Owner-Driven Housing Reconstruction guidelines

International Federation
of Red Cross and Red Crescent Societies

strategy2020

Strategy 2020 voices the collective determination of the International Federation of Red Cross and Red Crescent Societies (IFRC) to move forward in tackling the major challenges that confront humanity in the next decade. Informed by the needs and vulnerabilities of the diverse communities with whom we work, as well as the basic rights and freedoms to which all are entitled, this strategy seeks to benefit all who look to Red Cross Red Crescent to help to build a more humane, dignified and peaceful world.

Over the next ten years, the collective focus of the IFRC will be on achieving the following strategic aims:

1. **Save lives, protect livelihoods and strengthen recovery from disasters and crises**
2. **Enable healthy and safe living**
3. **Promote social inclusion and a culture of non-violence and peace.**

Cover photo:
Post-tsunami owner-driven housing reconstruction in Sri Lanka, 2009 (IFRC); Participatory planning workshop in Bangladesh, 2010 (Corinne Treherne/IFRC); A child shows the keys to her new home, Aceh Utara, 2007 (Robert Li/HKRC)

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Introduction

Whether we call them *owner-driven*, *community-based* or *assisted self-help projects*, there is evidence of growing interest in the use of participatory approaches for post-disaster recovery and reconstruction in both urban and rural areas.

Within the International Red Cross and Red Crescent Movement (the Movement), these methods are commonly accepted as important components of successful community development programmes. The scale of present interest and the widespread acceptance of these methods suggest that their application will continue to grow. But the path ahead to ensure broad adoption and mainstreaming of owner-driven housing reconstruction (ODHR) is still not straightforward, hence the need for further guidance has been expressed.

These guidelines, produced with substantial contributions from many National Societies, capitalize on the expertise developed within the Movement through a number of post-disaster reconstruction projects. More specifically, they have been created following the successful post-tsunami programme developed in Sri Lanka within a partnership framework, which resulted in community-oriented processes that served to design spatial forms, enable livelihoods and build social infrastructures.

The programme has had a profound and durable effect on the local communities, which increased their sense of ownership and self-reliance, as well as on the organizations who implemented ODHR. The variety of designs of houses and settlements demonstrate the vitality of the building culture and local construction practices that can be produced when home-owners are encouraged to take the lead in the reconstruction process.

The ODHR Guidelines, in their present format, are a significant contribution to institutionalizing this approach within the Movement. They are intended for programme coordinators and field delegates to support participatory planning and decision-making, including the steps required to ensure quality control, appropriate technical supervision and financial management. Once they have been tested, improved and validated on the ground, they can either complement other existing advisory material or serve as the key reference within the shelter sector.

Housing is a process, not merely the provision of a product. The people living in these houses and their surrounding community should rightly be at the centre of this process.

Graham Saunders

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International Federation of Red Cross and Red Crescent Societies

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Acknowledgements

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These guidelines were made possible by the generous financial and technical support of the British Red Cross.
ODHR Flow Chart: Claudia Schneider (SKAT)
These guidelines have been informed by a variety of owner-driven housing reconstruction field documents produced by National Societies and field delegations including guidelines and lessons learned developed by the Belgian, French and Netherlands Red Cross Societies. Special consideration was given to the Community Recovery and Reconstruction Partnership (CRRP) programmatic and financial guidelines developed in partnership by Sri Lanka Red Cross (SLRCS), IFRC, and UN-Habitat in 2006.

Special thanks to the valuable contributions from the individuals from the American, Australian, Belgian, British, Finnish, French, Irish, Netherlands and Spanish Red Cross Societies and the IFRC Secretariat: Adrian Ouvry, Al Panico, Ascension Martinez, Colin Chaperon, Daniel Kull, Ela Serdaroglu, Elizabeth Whelan, Elyse Mosquini, Eric Baranick, Felix de Vries, Ilisa Gertner, Jagan Chapagain, Kannan Pasupathiraj, Karl O'Flaherty, Klaus Palkovits, Melvin Tebbutt, Michael Zeleke, Mikko Koria, Omar Abou Samra, Stéphane Vengut, Travis Betz , Valle Galan, Vera Kremb, Wardell Eastwood, William Carter, W.D. Ailaperuma.

Additional thanks to the organisations who contributed to the development of the CRRP guidelines in Sri Lanka: IFRC, SLRCS, UN-Habitat, World Bank, PricewaterhouseCoopers.

Who will use these guidelines?

The guidelines are for field practitioners planning and implementing housing reconstruction programmes. This includes members of shelter recovery/reconstruction operations such as programme managers, shelter delegates and construction delegates.

The guidelines are designed for the use of the IFRC and Red Cross Red Crescent Societies operating nationally or internationally, in the head and field branch offices.

When to use the guidelines?

The guidelines do not aid decision-making as to when an ODHR-based programme is an appropriate response at the national level. This decision will be part of a reconstruction policy set up by the National Government in agreement with the international humanitarian community. The IFRC, as Emergency Shelter Cluster lead for natural disasters, will participate in the development of reconstruction policy and advocate for the inclusion of this participatory approach wherever appropriate.

The ODHR method defined in these guidelines will be used:

- Following a disaster, once the number of occurrence and the extent of damage have been assessed at the national level, a general criteria for beneficiary identification has been established and the roles and mandates of the Red Cross Movement (RCM) in reconstruction have been agreed upon
- For the repair or reconstruction of single-family dwelling units
- On fully funded or partly funded (top-up) programmes
- In relocation sites or to build in situ
- For working with individual families and with community groups.

What these guidelines cover

The guidelines highlight ODHR-related issues to consider and provide recommendations. The guidelines do not cover every activity to be performed throughout the programme cycle. The guidelines will help to:

- Recognize the benefits and understand the risks of ODHR and avoid pitfalls
- Plan and manage the programme to meet needs – tailoring components to fit the context
- Determine the nature of and provide appropriate technical support
- Decide on the best delivery mechanism for financial/resource assistance (through existing financial institutions, directly from the National Society to the individual, or in material delivery)
- Support individual families in decision-making to use resources effectively and, where applicable, reduce future risk
- Help families to promote community safety and resilience
- Organize families to work on communal interests.

The guidelines are divided into (five) sections:

Section 1: *What is Owner-Driven Housing Reconstruction?* This section defines the approach, its benefits and risks and the principles that will guide the planning and implementation of an ODHR programme.

Sections 2 to 5 cover assessments, planning and implementation in relation to: (2) programme development; (3) participatory process; (4) technical assistance; and (5) financial assistance.

Section 1. What is Owner-Driven Housing Reconstruction?

Defines the approach, its benefits and risks and the principles that will guide the planning and implementation of an ODHR programme

Section 2. Programme Development	Section 3. Participatory Process	Section 4. Technical Assistance	Section 5. Financial Assistance
↘ General considerations, assessments, planning and implementation in relation to:	↘ General considerations, assessments, planning and implementation in relation to:	↘ General considerations, assessments, planning and implementation in relation to:	↘ General considerations, assessments, planning and implementation in relation to:
↘ The overall programme planning, mobilization of resources, monitoring and evaluations	↘ The process of mobilizing and organizing communities, and building their capacities to plan and implement activities	↘ The process of providing construction technical support to the families and communities from design to completion of works	↘ The process of distributing grants, monitoring the flow of funds, and the receipt and use of funds

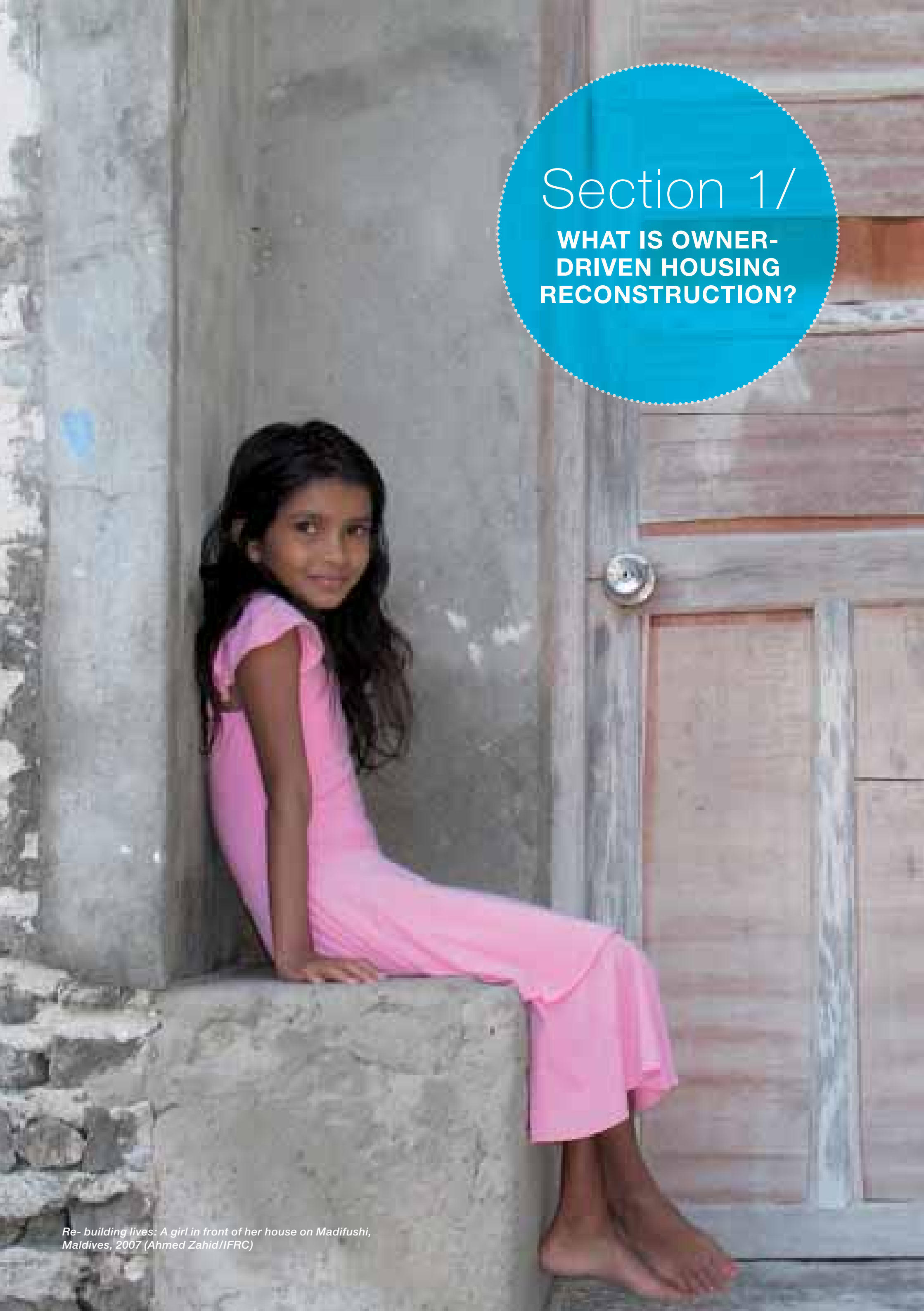
The following symbols are used to:

Provide reference to relevant documents, guidelines and procedures that support the planning and implementation process

Raise key questions or issues to consider before making a programme decision

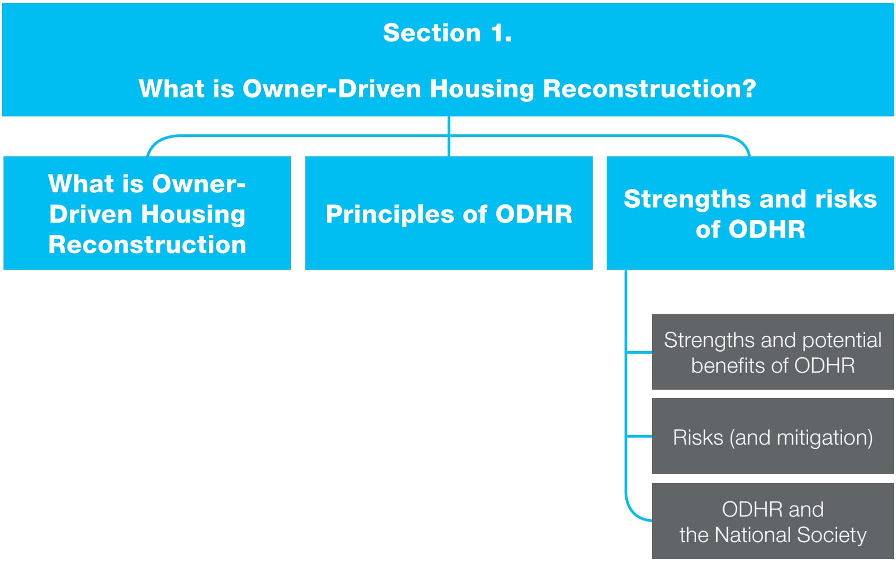
Highlight possible pitfalls or situations to avoid.

Reference to relevant annexes and cross-reference to other sections are found throughout the document. Annexes include additional tools, formats and recommendations.



Section 1/
WHAT IS OWNER-DRIVEN HOUSING RECONSTRUCTION?

Re- building lives: A girl in front of her house on Madifushi, Maldives, 2007 (Ahmed Zahid/IFRC)



1.1. What is Owner-Driven Housing Reconstruction?

Under an owner-driven housing reconstruction (ODHR) programme, an institution – government, non-government organization (NGO), bank, National Society etc. – provides assistance directly to households for the rebuilding of their damaged homes. In ODHR programmes, the prioritization of needs and the decision-making are in the hands of the affected families, giving them ownership of their rehabilitation and building their skills and self-confidence. ODHR does not require that the affected family provide construction labour, but it requires that they manage the reconstruction with the technical assistance of the programme's team.

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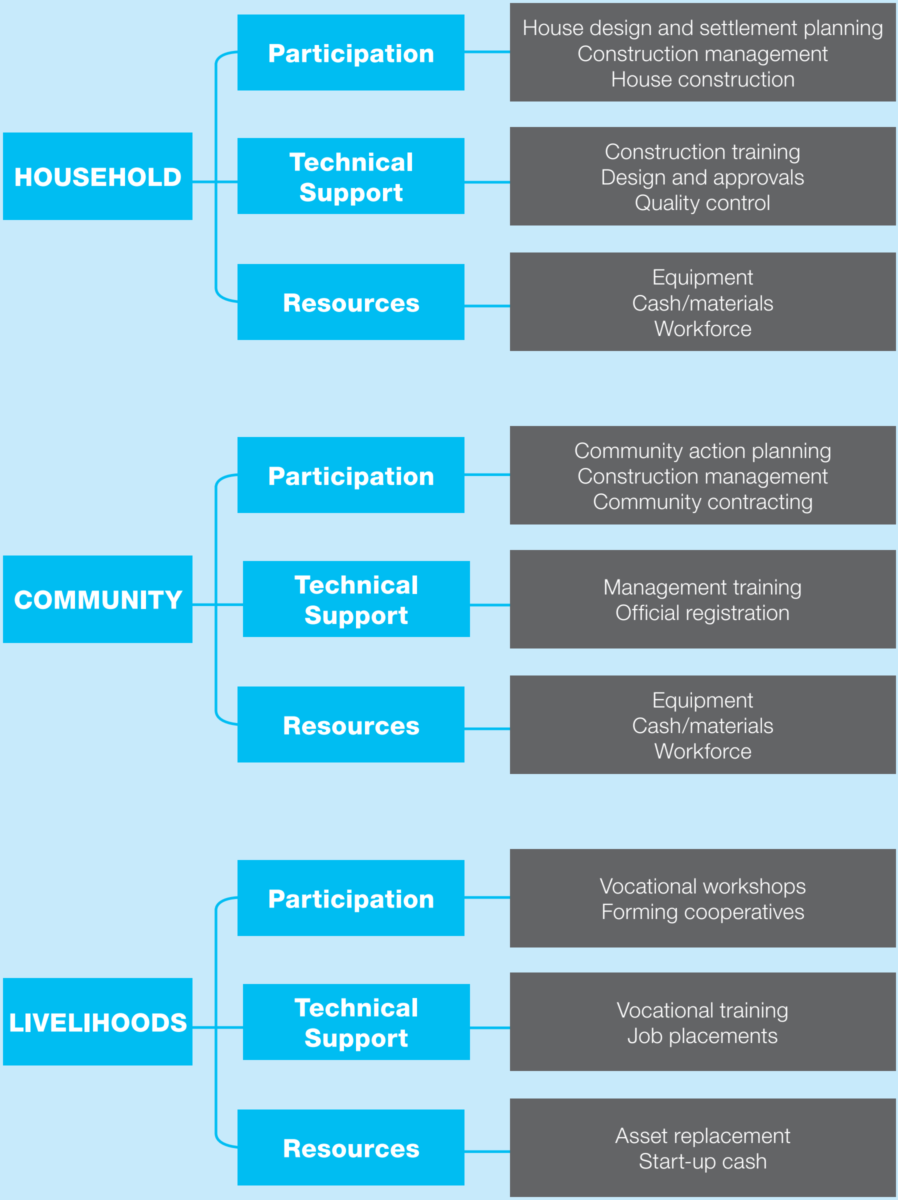
Annexes

ODHR programmes assist identified families and communities to rebuild homes that are safe and meet or exceed established technical requirements, in an integrated approach centred on the affected families as informed decision-makers.

This principle of owning the reconstruction process is further applied to groups of families deciding on community development plans. It is always recommended that the reconstruction programme integrates responses to other hindrances to the communities' rehabilitation, such as their vulnerability in future disasters, livelihood needs and community infrastructure needs (both physical and social).

We recognize three fundamental requirements of ODHR which are applicable to all programme components in addition to housing. They are: (1) participatory process of decision-making, (2) adequate technical support and (3) adequate financial assistance. These concepts define the structure in which these guidelines are written and form part of the IFRC's ODHR guiding principles described below. How the beneficiaries or communities participate, the extent of the technical support provided and the amount and distribution mechanism of the financial assistance will be determined based on detailed field assessments including assessments of the capacity of families and communities to manage the process.

Figure 1: What kind of assistance will the programme provide?
Sample set-up for housing, community infrastructure and livelihood programmes



1.2. Owner-Driven Housing Reconstruction Principles

1. Participatory process of decision-making

During the participatory process, families are empowered to make informed decisions regarding their and their community's rehabilitation. The participatory process in reconstruction builds the capacity of households to understand and undertake safe construction techniques, to recognize good-quality materials, employ labourers and manage finances. Through participation and with the programme's support, communities identify internal resources, prioritize needs, develop plans of action and create linkages to external resources. Participation highlights the needs of vulnerable families, allowing the programme to tailor its assistance to meet those needs, while it enables those families to benefit from and participate in community development activities.

2. Appropriate technical support

The completion of housing and associated infrastructure that are safe, of good quality and meet established regulations while fulfilling the particular needs of families is the programme's priority. The latter is achieved through the families and communities' participation in planning and design activities and the programme's flexibility to provide as much technical assistance, supervision and training as needed.

The IFRC understands that the safety of families during construction and once in their completed homes is the first priority, and, to reduce the risk of damage in future disasters, the programme must ensure thorough quality monitoring at all stages by qualified individuals.

The technical support that the programme can provide includes engineering solutions, e.g. design, quality monitoring and building approvals, technical manuals and non-engineering solutions, e.g. financial management, vocational training and leadership training.

3. Appropriate financial assistance

The assistance may be provided through financial and/or material grants and distributed through financial or social institutions or in-hand to the families. The programme must choose the safest and most efficient way of distributing resources.

The grant will be sufficient to construct a fully finished house and water and sanitation infrastructure where needed, and the amount will take into account the impact of the potential loss of income during the construction period so that families are able to meet their daily needs while making appropriate use of programme funds.

The programme will carefully monitor market fluctuations in the price (and availability) of materials, transport and labour, as well as the safety of the distribution mechanism and adjust to reflect those changes.

4. Government recognition of ODHR and reconstruction policy advocacy

The programme must advocate for reconstruction policies that reduce the impact of future disasters, address vulnerabilities and promote respect for diversity and human dignity. The expected results of such advocacy include a transparent process of beneficiary selection, the prioritization of needs of vulnerable groups, the introduction or improvement of building standards and regulations, the formalization of land tenure and information campaigns on housing policies and the reconstruction process.

The relevant local authorities must endorse the process and recognize ODHR as an appropriate method. The government may be involved in providing beneficiary lists to be verified, grant approvals, site inspections and certification of completed houses, as well as providing assistance on land tenure issues. On consideration of the IFRC's existing Status Agreements with the National Government, the legal team will recommend the signature of specific reconstruction programme Memorandums of Understanding (MoUs) at the national level. MoUs must clearly state roles and responsibilities of all parties and be reviewed and sanctioned by the IFRC's legal team. For more information, refer to Annex 3: Considerations When Drafting Memorandums of Understanding (MoUs).

5. Disaster Risk Reduction (DRR) by understanding risk and building safer environments

The recovery process after storms, earthquakes, floods or other disasters offers the unique chance for settlements to turn their disaster vulnerability into disaster resilience. Therefore, risk reduction and mitigation measures should be an integral part of recovery. Decisions on the selection and planning of sites, materials and methods, and any applied engineering solutions should aim to reduce the vulnerability of communities to future disasters, and to reduce the environmental damage of any operation. For more information, refer to 4.2.2 Disaster Risk Reduction (DRR).

6. Participation and technical support requires regular access to the families

A purely cash-based programme can operate in areas inaccessible to programme staff or contractors as long as the mechanism for transfers is operational. A benefit of ODHR is that, if access is interrupted and work must stop, there will be little financial penalty to restart (re-mobilize) once access is restored. Any construction activity requires close supervision to guarantee quality and the future safety of the users and, because ODHR is more often implemented by unlicensed labourers (masons, carpenters) than by licensed contractors, ODHR programmes should not operate on cash grant distribution only, otherwise the rebuilt houses will be as vulnerable as they were before the disaster.

7. Reconstruction extends beyond housing

The programme cannot ignore reconstruction needs concerning the individual families and the settlements, such as: water and sanitation (safe water supply, excreta disposal, drainage, solid waste disposal and vector control); the physical infrastructure that surrounds the houses, especially when local authorities lack the capacity to provide those facilities; the social infrastructure that supports the community; and the rebuilding or improving of income-generating activities taking into account the potential new skills learned through the ODHR process. The decision to include additional components to housing must be made in-country based on needs, defined roles and mandates, and in consultation with local authorities and coordination with other actors to avoid duplication. For more information, refer to 3.3.5 Livelihoods support, 4.2.3 Water and sanitation, 4.4 Specific Considerations for Relocation Sites.

8. Addressing security of tenure-related vulnerabilities

Land tenure issues are very likely to arise and, although it is the responsibility of governments to ensure the transfer/formalization of land ownership to affected families, the team will inevitably need to be familiar with property rights and be able to refer families to appropriate channels for resolution. It is highly recommended that the team understand the basic principles of property rights and liaise with specialized institutions within the country to determine the programme's ability to support the families throughout process. For more information refer to 4.1.3 Resolution of land issues.

9. Informed decision-making by all parties

The programme places extreme importance on the concept of informed decision-making. This concept applies equally to families and communities making decisions based on technical advise from the programme experts, and to programmatic decision making based on communities' identified and prioritized needs.

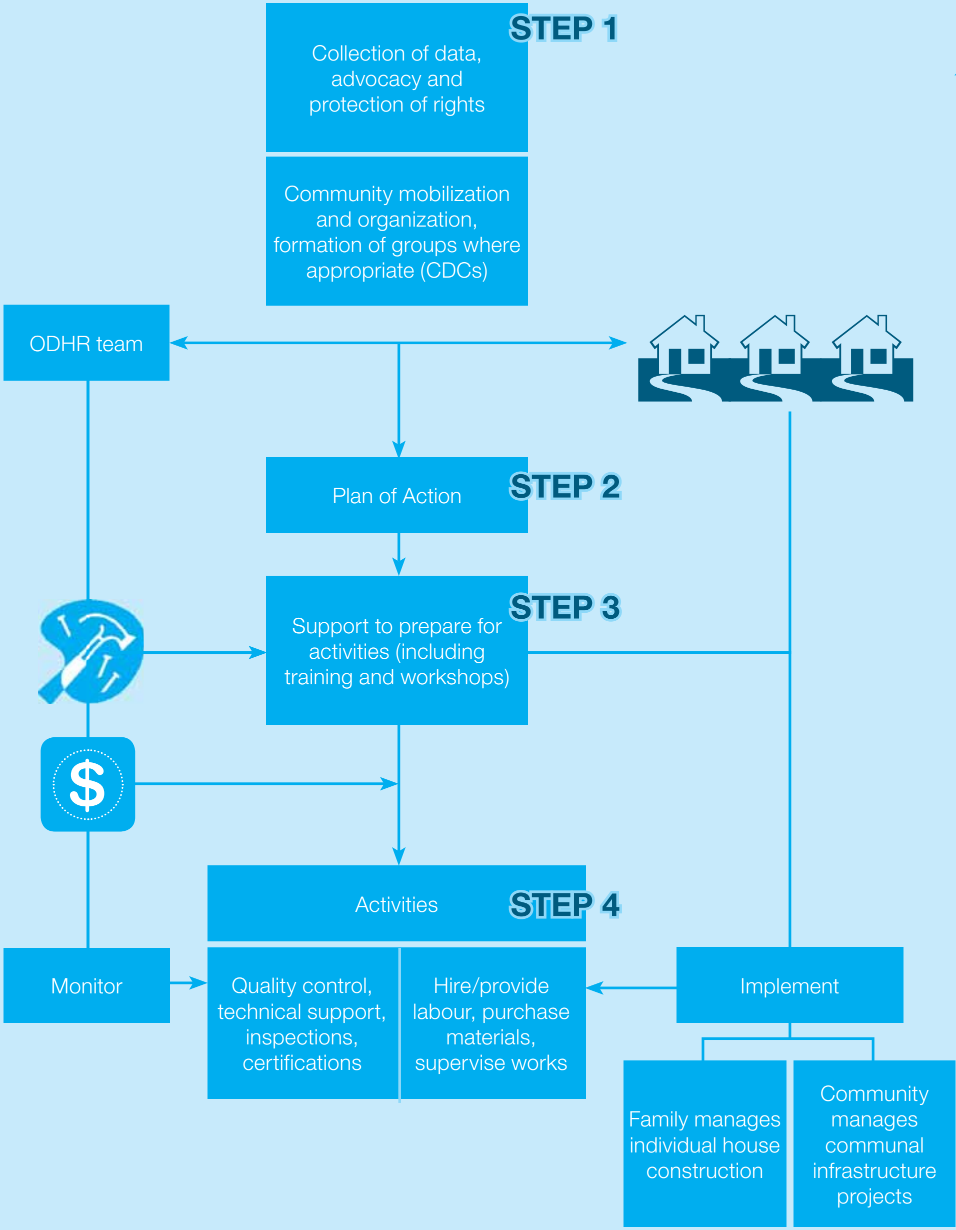
Potential beneficiaries should be aware of their responsibilities during the programme and of other options available to them. It is important to recognize that not everyone can manage the construction of their own house and that their time might be better used to generate income. The families' decision to participate in the programme should be made based on a thorough understanding of the programme's requirements, expectations and time frame.

Informed decision-making is achieved through information meetings, detailed assessments, participatory planning, monitoring and evaluation, technical training and other tools used in ODHR. For more information, refer to 2.2.2 Programme responsibilities, 3.1.2 Communication and 3.2.5 How families participate in ODHR (responsibilities).

10. Responsible resettlement

It is always preferable for people to be able to return to their place of residence and to rebuild in situ; however, relocations of various scales may be unavoidable. The development of relocation sites poses a challenge to reconstruction and to participatory approaches and requires extra care and planning. Relocation sites are often associated with low-value, isolated pieces of land, far from economic opportunities and lacking in basic services. Developing these sites responsibly includes detailed environmental impact assessments, the provision of utilities and infrastructure, and the integration of relocated communities into the social fabric of the new area, including the prevention of tensions between new and host communities. For more information refer to 4.4 Specific Considerations for Relocation Sites.

Figure 2: Supporting the rebuilding process



1.3. Strengths and Risks of Owner-Driven Housing Reconstruction

1.3.1. Strengths and potential benefits of ODHR

Families and communities that participate actively in the programme acquire skills that enable them to respond to housing, community infrastructure and other needs in more efficient and effective ways. The most critical benefit of ODHR is that it allows individuals affected by a disaster to decide how to rebuild a critical piece of their lives. The ownership of the process greatly increases levels of satisfaction, self-reliance and confidence of the families and communities in their own capacities to respond to their rehabilitation and development needs.

ODHR has the potential to contribute greatly to building community safety and resilience through community activities such as prioritizing needs identified through a vulnerability and capacity assessment (VCA)*, programming that empowers communities to act and creating links between communities and local institutions. The minimum end results of a successful ODHR programme are houses of good quality that minimize future risk of damage and which are built by families and communities with greater capacity to mobilize and rebuild better and safer dwellings.

To families and communities	- Sense of ownership, self-reliance and self-esteem as participants are made responsible for their own rehabilitation, rather than being passive recipients. - Contributes to place the beneficiary in a position of actor of change and rebuild trust in himself/herself and others (psychosocial benefits).

**VCA remains one of the most frequently used community-based tools within International Federation of Red Cross and Red Crescent Societies.*

	- Supports local small businesses and increases cash flow within the communities. - Potential for developing the community's acting capacity. Increases capacity of civil society, village committees, community development organizations and other partner agencies. - Scope to increase communities' understanding of their disaster risks (through VCA) and how to mitigate them through appropriate site selection, spatial planning and construction practices. - Potential to increase the capacity of technical officers and social officers when working closely with local government.
House design and construction	- The final product may correspond better to individual needs and expectations by encouraging personalization and material choices – the design may consider home-based income-generating activities. ***If each house differs greatly, it requires capacity within the technical team to review each design and to develop appropriate technical support materials for each house and method.*** - It is possible for participants to improve upon the house with their own funds ***as long as the grant is sufficient to complete the planned house without families going into debt.*** - Opportunity to develop care and maintenance plans with the family from the design stage, and to encourage the reuse and recycling of building materials.
Programmatic	- Lower unit cost and reduced overheads in the cost of construction may contribute to an increase in the number of houses built. ***However, ODHR requires a high level of human resources per family (construction supervisors, community mobilizers, engineers, social officers etc.), the cost of which may reduce the overall savings.*** - Implementation once construction starts is often quick. ***The programme requires a long start-up period to include proper assessments and full participation of the beneficiaries. If the start-up period is too short for proper participation, this opportunity will turn into a risk.***

Figure 3: Potential benefits of ODHR

1.3.2. Potential risks *(and mitigation)*

ODHR programmes are challenged constantly by the risks associated with transferring total or partial responsibility of reconstruction to a family or community. One of the most challenging aspects of conditional cash transfers is ensuring that the money is spent as intended. Families will have other priorities such as food, education, transport, paying debts, business expenses etc. Construction is a highly risky activity and it requires supervision by qualified individuals to ensure quality standards are maintained and regulations followed. It is only through the understanding of the risks and from a process of planning that minimizes those risks that the programme can realize its potential.

Will families use the grant for its intended purposes? Will the grant be sufficient?

Will the quality of the construction remain acceptable in all houses? Will they be less vulnerable to damage than the previous houses? Who will the families turn to if the house fails due to poor-quality design or construction?

Will families choose the best-quality materials and methods? Will suppliers, contractors and labourers take advantage of their small amount of construction knowledge?

Will the poorest families be able to complete their houses? Will they be able to care for and maintain their houses?

The programme must ensure that the most vulnerable families can fully participate. The risks noted here increase for vulnerable families and they will require additional assistance. For more information on how to support these families, refer to 3.1.3. Vulnerable groups and vulnerable families.

Use of funds	- Most families will take the responsibility of managing the finances very seriously, but some will spend portions of the funds for other purposes – this could result in construction shortcuts and delays. ***Provide financial management support and allow flexibility in construction schedules.*** - Grant amount may not be enough to complete the steps and beneficiaries may be forced to go into debt to keep up with the programme. ***Budget to consider non-bulk purchases and increases in price. Monitor the market regularly and build in flexibility to increase or modify the grant amounts accordingly.***
House construction	- Poor-quality monitoring = poor-quality houses that will not meet the technical requirements and be at high risk of damage in future disasters. ***Reduce the number of houses a supervisor oversees, increase the number and length of visits and ensure that all team members understand and apply quality standards.*** - Liability (poor construction quality or design failures) may be transferred irresponsibly to participants. ***Quality is a joint responsibility and the programme team and beneficiary should work as partners to achieve it. Designs must be completed by licensed professionals and certified by local authorities. Quality monitoring must be precise to ensure that materials and methods conform to regulations. Safety measures must be taken during the construction period.***
Loss of income and interruption of livelihoods	- Beneficiaries without income will use cash for daily expenditures. ***Allow the use of a portion of the grant to cover daily needs of the poorest families.*** - Interruption of jobs and loss of income during the construction period. Inability to return to a job after construction ends. The limited learned skills of the building trade may not be in demand. ***The community mobilizers must work closely with the family to determine who can take charge of reconstruction and how it will impact the family's immediate and future income generation.***

Beneficiary capacity/ beneficiary communications	- The most vulnerable families (single-parent-headed, child-headed, disabled, elderly, poorer etc.) may not be able to fully participate and may be better served by turnkey programmes (i.e. where the buildings and resources are delivered and immediately ready to use). ***They require increased support such as more frequent visits from the team members, engaging a contractor, assistance to communicate with labourers and suppliers, distribution of grants in smaller instalments etc.*** - Situations may arise that will prevent people from continuing work. In this case, a beneficiary may lose their only opportunity to rebuild their house. ***Build within time and budget contingencies to adapt to a changing context. Prepare flexible schedules, support them to engage a contractor, engage other families that can help.*** - Beneficiaries may not be willing or able to manage the construction once it starts as the responsibility may prove too demanding and they may drop out of the process. ***Beneficiaries must be fully aware of the required commitment before enrolling in the programme and must receive guidance and training in construction and financial management before commencing construction.***

Figure 4: ODHR potential risks and mitigation measures

1.3.3. ODHR and the National Society

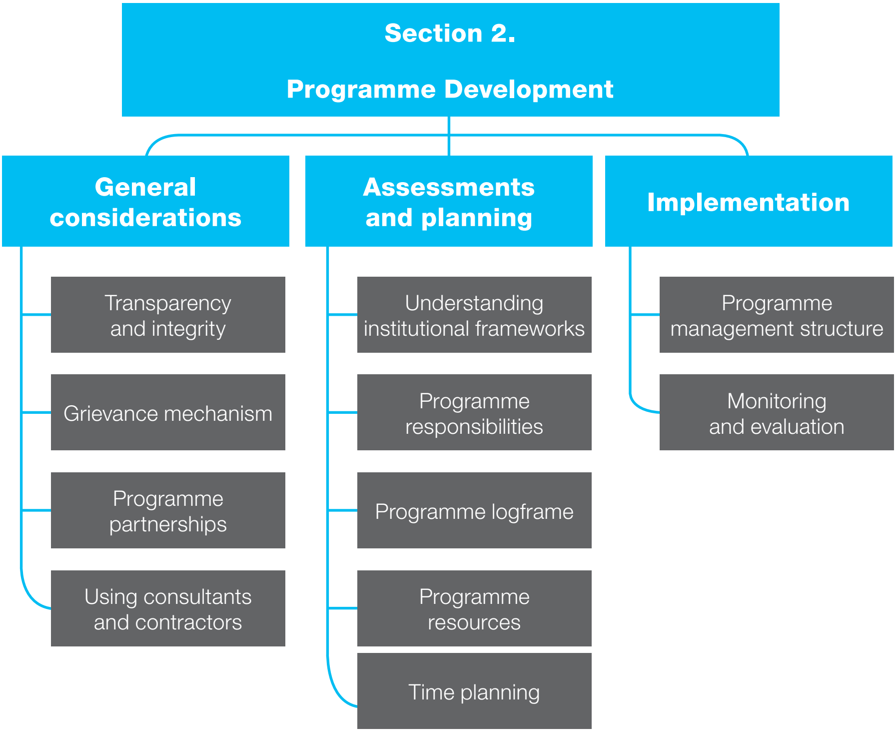
Our National Societies already possess effective tools for community mobilization and organization which are essential in ODHR. The strengths of the National Societies with their branches, training capacities, voluntary support and participation in disaster response operations make them ideal partners in mobilizing communities.

The National Society's level of involvement in the implementation of housing programmes, and in ODHR programmes specifically, will be determined according to capacities, strategic goals and core activities. The participation of the National Society in the programme may include but not be limited to some of the following activities:

- Participate in and facilitate the development of policies and procedures for the programme.
- Have an active role in all levels of programme management.
- Mobilize and confirm branch-level participation.
- Initiate and facilitate community mobilization using its volunteer networks.
- Train and manage programme volunteers.
- VCAs.
- Support the community in accessing available resources.
- Develop and conduct capacity building programmes for communities and volunteers.
- Distribute information, education and communication materials to increase community awareness levels.
- Integrate housing and community development issues into existing frameworks of DRR.
- Encourage village/community organizations to develop into functioning units of the branch.

Section 2/
PROGRAMME DEVELOPMENT

Rebuilding with Red Cross shelter kit and building material in camp Jacobad following Earthquake in Haiti, 2010 (Jacob Dall/IFRC)



2.1. General Considerations

Programme planning should be based on IFRC Project Planning guidelines which include Project Planning Process guidelines and Monitoring and Evaluation guidelines. All your activities must be in line with the fundamental principles and statutes of the International Red Cross and Red Crescent Movement (the Movement), the constitution of the IFRC as well as your National Society's own statutes and national legislation.

2.1.1. Transparency and integrity

Every staff member employed in the programme must sign the Code of Conduct for the Movement and NGOs in Disaster Relief and receive an introduction into its content before starting work. It is assumed that all members of staff understand the principles of the Red Cross Red Crescent and will apply them throughout the programme.

The families are to be made aware of the rights and duties of the staff members working with them and that monitoring mechanisms will be put in place. The community must be able to evaluate the performance of the staff members on completion of the houses: both technical staff and community mobilizers. The community is to receive an introduction to the programme, which explains in detail the mutual rights, entitlements and obligations. This should include a detailed explanation of roles, responsibilities and authorities entrusted to the different components and representatives of all parties.

2.1.2. Grievance mechanism

Determine how families will air their grievances about the programme and how the programme will manage and respond to those grievances. Grievances may concern beneficiary selection, the support provided, staff, payment process etc.

Recommendations:

- Dedicate specific time to discussing grievances; this should be a periodic process.
- Request all grievances in writing.
- Record all grievances in a family file.
- Keep names confidential.
- Take action in a timely manner.

2.1.3. Programme partnerships

Partnerships may be formed when capacities do not exist within the programme teams or when existing institutions operating in the area have capacity and expertise to implement portions of the programme. For more information refer to Annex 13: Partnership Development and Coordination.

2.1.4. Using consultants and contractors

Some activities may be undertaken by certified consultants or contractors. If and when such personnel are to be used would be decided according to context-specific needs and the selection of these professionals must follow procurement procedures. All construction activities must follow the procedures outlined in the IFRC Procurement manual for goods and services and IFRC Procurement of works and services for construction projects.

Consider the use of consultants or contractors to undertake those very technical and context-specific tasks such as:

- Land rights and other legal considerations
- Land-use, spatial and environmental planning
- Design and specifications for infrastructure development
- Design and specifications for house design
- Quality monitoring
- Construction activities that cannot be managed by the families or communities through local labourers.

2.2. Assessments and Planning

Section 2. Programme Development	Section 3. Participatory Process	Section 4. Technical Assistance	Section 5. Financial Assistance
↘ institutional framework ↘ internal capacities ↘ programme logframe ↘ identify resources ↘ prepare time plan	↘ capacity assessments of families and communities ↘ define beneficiary's responsibilities ↘ beneficiary selection	↘ damage and technical assessments ↘ DDR, VCA/ PASSA/PHAST ↘ identify 'water and sanitation' needs	↘ security and market assessment ↘ define grant distribution mechanism and cash flow

2.2.1. Understanding institutional frameworks

Determine the context-specific institutional environment (mandates, policies, legal framework etc.) under which you will be operating. Such an institutional environment may include organs of central and local government (its capacity and its current and past housing policies), organized civil society, the private sector, the work of other agencies etc. According to agreed roles and mandates of the national reconstruction initiative, determine the active institutions and their roles in programme implementation.

We are not working in isolation; the programme must be planned in accordance with the laws of the country, in close consultation with the local authorities and in coordination with other shelter actors.

Figure 5: Stakeholder analysis

Stakeholder analysis: *The first thing that needs to be done is to identify and list all stakeholders (the people, institutions, groups, organizations etc.) involved in or affected by the situation in which the team would like to intervene.*

Once all the stakeholders have been identified, the team should note their particular problems, their interests, the connection between them etc.

	Institutions	Target groups	Others
	Stakeholder 1	Stakeholder 2	Stakeholder 3
Problems			
Interests			
Potential			
Interaction			
Others' actions			
Red Cross Red Crescent action			

From: IFRC Project Planning Process handbook

Figure 6: Sample list of potential actors

Institution	Issues to consider
Government administrative hierarchies – from the lowest administrative unit	Local council, provincial authority, district authority etc. What are their roles in reconstruction?
Reconstruction coordinating agency	Government and non-government coordination mechanisms
Environmental agency	Policy and requirements for construction
Building planning, standards and regulations	Agreed minimum requirements for reconstruction and approval process Are national standards understood and applied at the local level?
Land use policy agency	How does current and future land-use policy affect the villages or new settlements?
Land tenure agency/agencies	Include specialized institutions on land rights Identify types of ownership and formalization process
Utility providers	Existing infrastructure and planned infrastructure Provision of water, electricity, gas, communications etc.
Civil societies, religious and other community organizations	How does the community operate and how can existing channels benefit/harm the programme?
Other active agencies (NGO, HNS/PNS etc.)	Expertise and agreed roles (it is possible that one agency may commit to implement all activities related to a sector? e.g. water and sanitation, construction training etc.)
Labour unions, local labour, local contractors, local consultants	General skills, capacity, restrictions etc.
Research institutions and universities	Quality control, quality testing, design and technology

2.2.2. Programme responsibilities

The programme must be designed to minimize the risks associated with ODHR as introduced in Section 1.3 Strengths and Risks of Owner-Driven Housing Reconstruction. Flexibility is needed so that plans can be adapted to changes in market, security and priorities of the families and communities, and the programme performance must be monitored regularly and improved as necessary. It must have the capacity to provide appropriate levels of assistance to participating families before and throughout the construction period.

The primary responsibility is the completion of houses (and associated infrastructure) that are safe and of good quality and that meet or exceed established regulations.

Participation:

- Build the capacity of families to manage the construction process.
- Ensure all families are able to participate and communicate their needs effectively.
- Make sure the participation in the programme does not negatively affect the families' income-generating activities.
- Qualified personnel are to implement community participatory techniques.
- Will you be able to recruit enough staff with the ability and capacity to identify strengths and weaknesses within communities and to respond to community-driven priorities?
- How long will it take to recruit and train personnel?

Technical support:

- Minimize environmental damage throughout the management of the project cycle.
- Provide assistance to secure land tenure.

- Provide technical advice on design of housing and community infrastructure before construction.
- Support the families in securing the services of licensed professionals for house design.
- Provide training to local skilled labourers on the programme's material and method requirements.
- Provide technical advice on materials and methods during construction and closely monitor the quality of construction.
- Certify the completion of works for each paid instalment.
- Provide technically qualified personnel to implement the programme according to the requirements of the reconstruction.
- Will you be able to recruit enough staff to supervise construction in the area?
- Can you train personnel?
- How long will it take to recruit and train personnel?

Resource assistance:
- Ensure the grants are sufficient to complete the works to specifications.
- Process payments in a timely manner.
- Monitor the safety of the distribution systems.
- Monitor market price increases.

2.2.3. Programme Logical Framework (logframe)

Goal: *The highest-level result to which an IFRC and National Societies' operation is intended to contribute. It is measured by impact indicators.*
Impact: *Positive and negative, intended or unintended long-term results produced by an IFRC and National Societies' operation, either directly or indirectly. Relates to the goal level of the logframe hierarchy.*

Indicator: *Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement or to reflect the changes connected to an IFRC and National Societies' operation.*
Assumptions: *Hypotheses about factors or risks which are largely outside the control of those responsible for the IFRC and National Societies' operation, and which could affect its progress or success.*
Baseline study: *The analysis and description of the situation prior to the start of an IFRC and National Societies' operation, against which change can be assessed or comparisons made.*
The data collected should be disaggregated by sex, age and other relevant variables.
Objective: *The purposes and goal of an IFRC and National Societies' operation, representing the desired state which the operation is intended to achieve.*
Outputs: *The products and capital goods and services which result from an IFRC and National Societies' operation; these include changes resulting from the operation which are relevant to the achievement of outcomes. Relates to the output level of the logframe hierarchy.*
Outcome: *The medium-term results of an operation's outputs. Relates to the purpose level of the logframe hierarchy.*

From: IFRC Monitoring and Evaluation handbook

Considerations when defining objectives and indicators for this approach:

- The primary goal of an ODHR programme is to assist identified families and communities to rebuild houses that are safe and meet agreed technical standards and regulations, in an integrated approach centred on the affected families as informed decision-makers.
- Include focus on outcomes (and not only outputs). Consider the beneficiaries' satisfaction with the products and the impact of outputs in the short, medium and long term.

1
2
3
4
5
Annexes

- Implement planning to reduce the risk and impact of future disasters.
- Develop specific indicators to monitor the quality of construction, such as the standard of the roof structure, walls, structural elements, finishes etc.
- Specify minimum standards the communities should have in terms of drinking water and household and environmental sanitation, including operation and maintenance goals.
- Aim to achieve a zero accident record in the construction sites.
- Define the expected percentage of occupancy.

Recommended reference documents:

IFRC Project Planning Process handbook

IFRC Monitoring and Evaluation handbook and IFRC Operational framework for evaluations

Figure 7: Sample detailed Logical Framework

Detailed Logical Framework Matrix			
Project Design	**Performance Indicators**	**Means of Verification**	**Assumptions/Risks**
GOAL: Support affected households to recover, rebuild and develop their shelters, livelihoods and community structures	1. Number and % of households occupying rebuilt houses (Target=90%) 2. Economic well-being (assets and income) of households restored to or above pre-disaster levels (Target=75%) 3. New or improved livelihood opportunities made available through this programme	• Baseline survey • Mid-term review • Evaluation: → End of Project (EOP) → Phased donor-specific evaluations of target communities (option) → Beneficiary satisfaction survey	Political, economic and security environment remains conducive to recovery – no major crises, economic shocks or further displacement in target locations. Programme funds are available, disbursed in a timely manner and used for intended purposes.

Objective 1: Assist disaster-affected households to rebuild their homes	1. Number of beneficiary households identified and verified (gender-divided data) 2. Number and % of houses built by households that comply with standards by EOP (Target=90%) 3. Number and % of houses with improved water supply and toilets built to standard (Target=90%)	• Government-proposed beneficiary lists, eligibility lists • Progress reporting on house stages completed and tranche payments made • Certificate of conformity/ final certificate	Government-proposed beneficiary lists capture vulnerable disaster-affected households. National standards do not change and are applied consistently across districts. Costs of materials and labour do not increase beyond programme budget contingencies.
Output 1.1: Grants utilized to rebuild houses	Number of grants disbursed Number of houses completed	• Field monitoring visit reports and diary • Beneficiary lists • Database records/reports • Bank records/reports	The banking system performs effectively. Appropriate monitoring systems ensure that grants are used for intended purposes.
Key Activities for Output 1.1: • Mobilization of community/mass meetings • Beneficiary verification and finalizing the list • Processing grant tranche payments • Technical assistance to households to ensure compliance with the agreed standards • Support in procuring materials • Provision of certificate of completion		**Inputs/Resources:** • Human resources – community mobilizers, technical staff in the field, programme management and administration staff • Transport and accommodation • Communications equipment and services • Computers and software • Stationery	
Output 1.2: Increased vulnerable beneficiary access to housing grants	Number of land tenure issues identified and referred to Number of land tenure issues resolved Number of vulnerable disaster-affected households added to the proposed beneficiary list	• Government records of registered beneficiaries and referred land tenure cases • Field monitoring visit reports and diary	Effective community meetings held to identify vulnerable disaster-affected households. Timely resolution of land tenure issues enables new beneficiaries to participate in housing grant scheme.
Key Activities for Output 1.2: • Identify vulnerable disaster-affected households who have neither been included on proposed beneficiary lists nor received grants due to land issues • Refer land tenure cases to relevant authorities to address issues • Revise beneficiary lists to include resolved cases		**Inputs/Resources:** • Human resources – community mobilizers and technical staff in the field • Transport and accommodation • Communications equipment and services • Computers and software • Stationery	
Output 1.3: Rebuilt houses have improved water supply and toilet facilities	Number of houses with improved water supply Number of grants given for construction of toilets Number of rebuilt houses with toilet facilities that meet standards	• Baseline, site audit and EOP survey • Field monitoring visit reports and diary • Database records and reports	Grants are adequate to provide for appropriate toilet facilities and water supply solutions across a broad range of situations. Communities prioritise water supply facilities.
Key Activities for Output 1.3: • Mobilization of community/mass meetings (including hygiene and sanitation awareness) • Processing tranche payments • Technical assistance to households to ensure compliance with the agreed standards • Support in procuring materials • Provision of certificate of completion		**Inputs/Resources:** • Human resources – community mobilizers and technical staff in the field • Transport and accommodation • Communications equipment and services • Computers and software • Stationery	

2.2.4. Programme resources

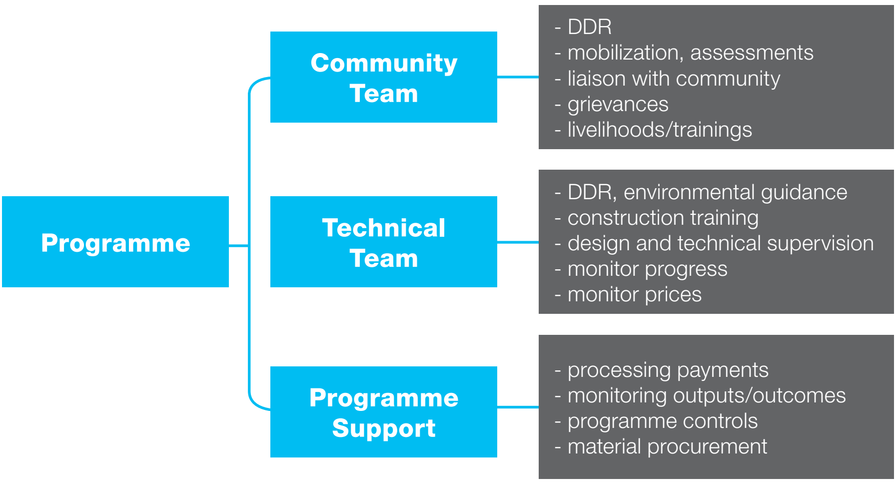
Human resources

Although the programme responsibilities should be clearly assigned to community development, support (financial, logistics, reporting etc.) and technical teams, it is important that in the field you combine skill sets into integrated teams that coordinate activities and communicate effectively.

The staff must be experienced in the techniques (engineering or community development) to be used by the programme and familiar with the relevant procedures and guidelines. Do not assume that your technical staff members have the skill sets to perform the duties of mobilizers, or vice versa.

Ensure gender, religious and ethnic balance in the field teams to build a relationship of trust with all members of the community. A well-founded,

Figure 8: ODHR programme teams and overall functions



trusting relationship helps to better address prevailing needs and it is an important precondition for awareness-raising campaigns.

Construction team:
Construction quality will be largely dependent on the standard and frequency of technical support. The number of staff members in the field will be mostly determined by the regularity with which they must visit each house. The frequency should be based on:
- The complexity of the construction techniques
- The families' knowledge of those techniques
- The level of quality the programme aims to achieve.

It is important to assign the appropriate ratio of personnel per house specially for construction quality monitoring. It has been observed that the number of technical staff in the field is not always sufficient and this results in poor construction monitoring and lower-quality housing. Ensure that you have the capacity to provide sufficient and appropriate technical assistance by carefully scheduling your staff to supervise works daily, wherever possible, during structural works and/or to certify other essential construction stages (depth of excavation, structural connectors, reinforcement prior to concreting etc.). How do you determine appropriate numbers? Refer to 4.1.1 Quality control and 4.3.5 Construction monitoring.

Community mobilization team:
The objectives of the programme will determine the size and nature of the community mobilization team. The team's responsibilities include: assess and increase the capacity of the families to participate in the programme; coordinate and conduct community meetings and community action planning (CAP) workshops; help strengthen links with civil societies, government and service providers; and evaluate and improve community's capacity to prioritize and implement collective action.

It is recommended that you identify and appoint a beneficiary liaison person or a beneficiary relationship manager. This person will work closely with families through the beneficiary selection (collection of documents, eligibility checks etc.), document and follow up progress of vulnerable families and assist in managing grievances, and may support monitoring of programme performance.

Water, sanitation and hygiene promotion:
It requires 'software' experts to lead activities related to hygiene promotion and 'hardware' experts to develop engineered solutions. Software must be established in parallel or before introducing the hardware. The programme must have access to both skill sets and they must work together to ensure that the systems are appropriate and sustainable.

Other resources

- Equipment: Include equipment to be provided to communities e.g. cement mixer, brick press etc.
- Consultants: Design, land tenure, law firms, livelihoods etc.
- Contractors: For community infrastructure etc.
- Builders: May recruit and train local area builders to ensure the same quality is followed in all houses
- Environmental assessments.

Training needs of stakeholders

Based on the assessments of existing capacity, determine the training needs of all programme stakeholders.

- Staff: Assessing damage, expected construction quality, mobilization techniques, the use of the IFRC's tools, programme procedures etc.
- Beneficiaries: Construction techniques, material selection, financial literacy
- Communities: Financial management, leadership etc.
- Training of volunteers

- Partners: Monitoring and reporting systems, project management, the Fundamental Principles and Code of Conduct of the International Red Cross and Red Crescent Movement
- Others: Government technical and social officers, local labourers etc.

Budget considerations

- House construction (materials, non-bulk purchases, transport and labour)
- Price escalation
- Design fees to licensed professionals
- Design approvals and construction inspection fees
- Consultants' fees
- Construction safety equipment
- Equipment for the manufacturing of bricks, cement mixers, roof trusses etc.
- Material procurement, storage, distribution etc.
- Training of stakeholders (beneficiaries, local labourers, staff etc.)
- Bank transfers, withdrawals and other account fees that the programme will cover
- Other programme components, e.g. infrastructure, asset replacement, individual and/or community start-up grants etc.

2.2.5. Time planning

Construction during ODHR programme will be quick once it starts, but there are many pre-construction steps to be followed. Selection and verification of beneficiaries, community organization, training of beneficiaries and labourers, and securing land tenure and infrastructure (in relocation sites) are likely to be the most time-consuming tasks.

Define a timetable for each activity's expected commencement, duration and completion.

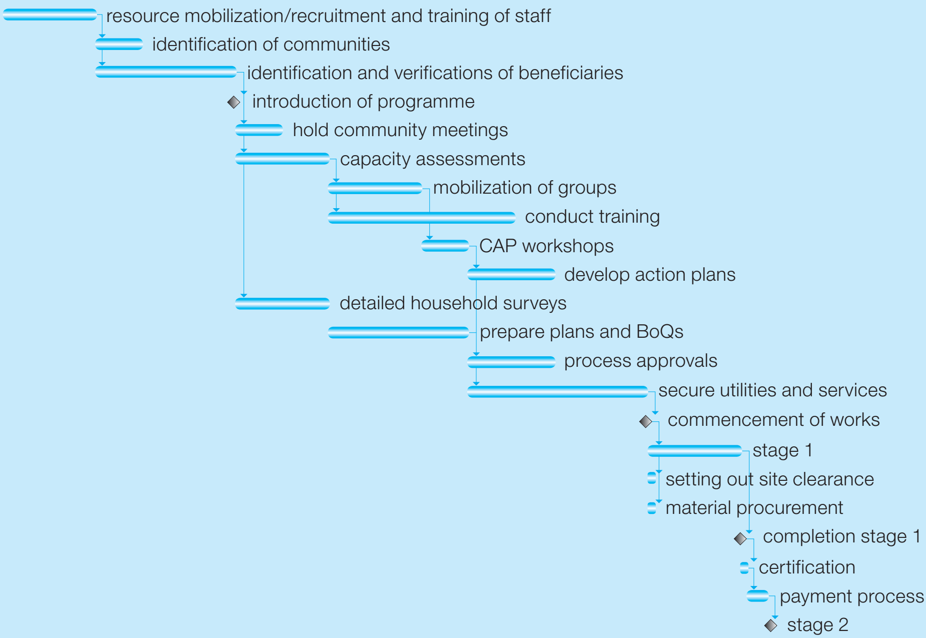
Devise a contingency/back-up plan if the activity is not completed or partially completed by the anticipated deadline, e.g. how will the programme function if funding for construction grants is only partially secured by the expected commencement? How will the programme function if not enough qualified human resources are recruited and trained prior to commencement?

Do not underestimate the importance of carefully planning the implementation process and the time spent working with the affected families. Consider the differences between the families' time frames (and priorities) and the programme's time frame (and objectives).

Identify the activities to take place and the way in which they will be put in place, and consider how long it will take to resolve issues such as:

- Agreements with government bodies, partners and other stakeholders
- Determination of property rights
- Negotiations with host communities and authorities
- Collection of baseline data
- Beneficiary selection and verification and the appeals process
- Community mobilization and organization
- Training of beneficiaries, local labourers or building craftsmen
- Setting up financial flow systems
- Recruitment of staff
- Training of staff
- Development of minimum reconstruction standards
- Access to suitable land (including assessment time)
- Clearance of rubble and debris
- Processing of approvals
- Monitoring the construction process.

Figure 9: Make realistic assessments of the time it will take to build permanent housing and use this to produce a master time plan Gantt Chart, Line of Balance or other suitable plan



Flow Chart: ODHR Programme Activity Flow Chart provides an indication of the activities to follow for different phases of the programme, i.e.: programme preparation (assessments, preliminary plans and budgeting, signing agreements and social mobilization); programme planning (site selection, settlement planning, house design and approval process); construction (houses and community infrastructure and community development activities); and phasing out (supporting operational care and maintenance to ensure sustainability). It is intended to depict the complexity and number of steps necessary before ground breaks at the site.

2.3. Implementation

Section 2. Programme Development	Section 3. Participatory Process	Section 4. Technical Assistance	Section 5. Financial Assistance
↘ defining management structure ↘ monitoring and evaluation systems	↘ community mobilization, formation of groups ↘ supporting community groups	↘ resolution of land tenure issues ↘ house design and land-use planning ↘ construction monitoring	↘ managing the payment process

2.3.1. Programme management structure

The size and complexity of the programme, as well as the number of stakeholders, partners etc., will determine the specific management structure. When setting up decision-making structures, consider:

- Who should make decisions at the household, community, field and country levels?
- How are decisions made?
- How often are decision-makers to meet?
- How is information transferred?
- Programme actors

Funding agencies	- Ensure that sufficient funds are given by donors, administer finances and contribute to the general management of the programme - Provide audit, evaluation and reporting responsibilities - Participate in joint assessments and verification exercises at country and community level
Implementing agencies	- Verification of beneficiaries - Generation of payment lists - Reporting - Internal technical progress certification - Monitoring of outputs
Government agencies	- Beneficiary identification - Damage assessment - Planning approvals - Official certification of completion - Local-level administration - Grievances - Land-use policy - Planning and construction standards
Others	- Banking institutions - Community-based organizations (CBOs) - Property insurance providers

Figure 10: A sample list of programme actors and their defined roles and responsibilities

Defining roles

Consider the figure below as an example of a possible management structure. It may not be necessary to develop committees and advisory groups for smaller programmes where decisions may be made by individuals. It is important to determine early on who will make which decisions and how they will be communicated to stakeholders including participating families.

1 2 3 4 5 Annexes

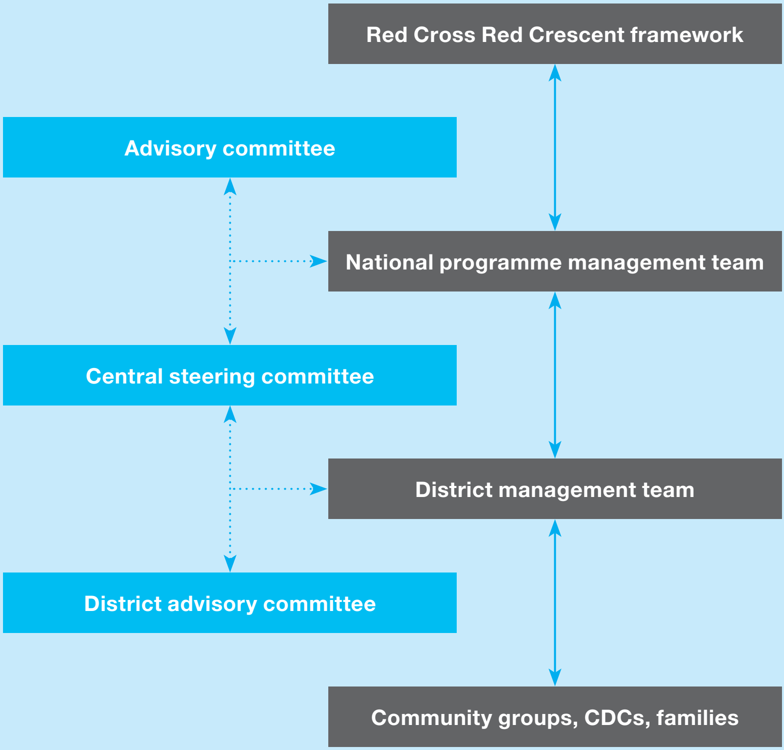


Figure 11: Example of management structure

Advisory committee: Decisions regarding national-level policy, programming, monitoring and resource mobilization

Central steering committee: Decisions regarding project management, technical assistance and financing

District advisory committee: Advisory and monitoring of district-level programming

National programme management team: Decisions regarding national programming

District management team: Decisions regarding district programming

Community groups, CDCs, families: Decisions regarding the recovery and reconstruction of the community

2.3.2. Planning the implementation of programme activities

The decisions on how to mobilize the communities, the best way to provide technical support and the most efficient way to provide financial assistance will determine the overall programme methodology. Based on those decisions, produce a document detailing how the programme will be implemented, who will do what and how, Terms of Reference etc.

Section 1. What is Owner-Driven Housing Reconstruction?

↘ Maximize benefits, minimize risks, respect the principles

Section 2. Programme Development	Section 3. Participatory Process	Section 4. Technical Assistance	Section 5. Financial Assistance
↘ The overall programme planning, mobilization of resources, monitoring and evaluations	↘ The process of mobilizing and organizing communities, and building their capacities to plan and implement activities	↘ The process of providing construction technical support to the families and communities from design to completion of works	↘ The process of distributing grants, monitoring the flow of funds, and the receipt and use of funds

The programme methodology brings these together.

First of all, determine the following:

- The needs of reconstruction
- The basic needs and capacities of individual families and communities
- The resource assistance method (cash, materials etc.)
- The disbursement method (financial institutions, cash)
- The support required by the community.

Secondly, identify the programme's activities and actions to be carried out. Find out how these activities will be implemented, who is responsible for each task and who provides support for the people putting these activities into place.

	YES	NO	IN HOUSE	THROUGH CONTRACTOR/ CONSULTANT	THROUGH PARTNER	IMPLEMENTER IDENTIFIED
Assistance						
Cash	X			Through bank		
Materials						
Other						
Technical						
Water and sanitation PHAST	X				X	Red Cross-Red Crescent branch health promotion
Water and sanitation	X		X			
Infrastructure	X			X		
DRR	X		X			
Design support – pre-construction	X				X	
Monitoring of construction	X				X	
Support to process approvals						Local government official
Operation and maintenance						
Community						
Land rights	X			X		Local NGO
Training	X					Local training college
Mobilization and organization	X				X	X
Livelihoods development						Other agency

Figure 12: Example of how assistance may be delivered

The table below places into context the programme activities within Sections 2 to 5 of these guidelines, i.e. programme development, participatory process, technical assistance and financial assistance support. It reinforces the need for close coordination of all the individuals and departments that perform those tasks simultaneously.

Refer to Annex 1: ODHR Programme Activity Flow Chart, for an indication of the activities to follow at different phases of the programme.

Figure 13: ODHR activities in relation to programme development, participatory process, technical assistance and financial assistance

Activities

1. Plan of action for reconstruction
2. Decide on implementation methods at the national level (owner-driven, contractor built, building yard etc.)
3. Preparing MoUs/agreements (national level)

	Programme Development	Participatory Process
Assessments and planning	1. Coordinate with other reconstruction agencies 2. Determine institutional framework/ stakeholder analysis 3. Identify resources (human resources, equipment etc.)	
	4. Identify local partners 5. Define programme objectives, logical framework	1. Identify communities or localities
	6. Signing of MoUs (local government level)?	2. Define selection criteria and selection process 3. Organize community information meeting 4. Identify and train volunteers
	7. Determine programme procedures (monitoring, reporting, evaluations, administration etc.) 8. Determine data management needs, develop database	5. Conduct socio-economic survey, capacity assessment of families 6. Carry out eligibility checks and verifications 7. Cross-reference beneficiary list with other agencies
		8. Finalize and publish selected beneficiaries 9. Appeals process
Implementation	9. Signing of MoUs with beneficiaries	10. Community mobilization (VCA, DDR, PHAST, KAP etc.), family visits, group and mass meetings 11. Formation of primary groups
	10. Monitor progress and performance	12. Beneficiary training programmes (technical, financial management) 13. Community action planning (CAP) defining strategy for livelihoods development and/or community development
		14. Continuing support to families during the construction period, especially vulnerable families
		15. Capacity building of community groups – preparation for community infrastructure works 16. Linking health and education facilities 17. Livelihood support: training, workshops, asset replacement, grants, liaising with others etc.

Activities

Technical Assistance	Financial Assistance
1. Determine reconstruction needs at the community level (house damage, infrastructure damage) AND assessments of relocation sites 2. DRR, VCA/PASSA/PHAST	1. Determine payment schemes (for repairs, retrofitting, reconstruction, top-up grants etc.)
3. Determine reconstruction technical requirements, regulations, approvals etc.	2. Identify grant distribution methods
4. Conduct technical surveys per household 5. Preliminary design of houses (type plans), bill of quantities (BoQs)	3. Determine financial procedures
6. Develop technical information packages, safety procedures etc. 7. Resolution of land issues	
8. Finalize house plans and BoQs with beneficiaries, acquire approvals as needed 9. Review and approve beneficiaries' own designs, study design options and trade-offs	4. Open bank accounts 5. Where necessary plan for procurement and distribution of materials
10. Technical guidelines, training and workshops on housing construction 11. Formation of construction groups, preparation of construction schedule	
12. Commencement of works and monitoring of works (payment, quality control, certification etc.) 13. Completion of works and final certification	6. Process payments 7. Monitor market changes
14. Design of community infrastructure (with beneficiaries, local authorities and other stakeholders) 15. Execution of infrastructure works (through contractors or CBOs)	

2.3.3. Monitoring and evaluation

This section should be read in conjunction with the *IFRC Monitoring and Evaluation handbook* and the *Project Planning Process handbook*.

Planning	Implementation	Evaluation
Baseline study	*Monitoring*	*Follow-up study*
What is the situation prior to start-up?	*Are we on track towards achieving our objectives?*	*What has been achieved?*

Figure 14: Baseline and follow-up studies in the project cycle, from *IFRC Monitoring and Evaluation handbook*

The fundamental principle of a monitoring system is to allow users to capture data and process and disseminate information in a systematic way. Such a system enables the measurement of trends of various indicators based on the data collected in the field.

Systematic assessment and review at one point in time of post-disaster activities helps to monitor the progress and support and to evaluate the sustainable impact on an affected community.

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

- Baseline information
- Selection of indicators related to activities, outputs and objectives
- Tools for collecting information
- Collection of information
- Processing of information
- Analysis of information
- Ability to present and communicate the results in an appropriate way.

Where is monitoring to take place? Monitoring should take place at the household level, community level, local/provincial level and at the national level.

When will monitoring happen? Monitoring should be carried out periodically and in a regular manner. Use checklists and secondary data to measure the activity indicators on a regular basis. Periodically select and interview a sample of households which received support.

Who will do the monitoring? Consider the following: whether to engage the communities in participatory monitoring or to appoint a dedicated monitoring team outside of the implementation team. Also consider the role of the financial department in monitoring the appropriate use of funds.

What do we do next? Communicate findings and prepare a revised action plan after each review, detailing how recommendations will be incorporated into the programme.

General recommendations

- Refer to Annex 2: What to Monitor in Owner-Driven Housing Reconstruction.
- Mid-term reviews and the preparation of completion reports (end-of-project reviews) provide information regarding programme outputs and results. Prepare a revised action plan after each review detailing how recommendations will be incorporated.
- A different set of indicators (activity, output and objective indicators), which have been established in the framework, need to be assessed or measured throughout the process. Ensure that indicators show the impact of the programme on the lives of women. Maintain master copies of the plans as project baseline documents and review progress against them at regular intervals.
- Establish monitoring of outputs (payments, construction levels, setting up of community groups etc.) and outcomes. With an

appropriate outcome monitoring system, the programme can guarantee a better quality of houses and results.

- Use weekly and monthly time, financial and resource plans for planning and monitoring day-to-day operations.
- Monitor the communication mechanisms between partners and departments.
- Regularly assess the performance of implementing agencies.
- Ensure compilation of baseline information.
- Make sure that reporting and monitoring procedures are well coordinated and follow the same formats.

2.3.4. Risk monitoring and management

The recovery programme is a complex set of activities involving changes, and risks of and interactions with many people, agencies and social groups. Risk can be defined as potential negative impact to an asset or project and/or some characteristic value that may arise from present or future events. In practice, risk is the combination of likelihood and impact. Likelihood is the probability and impact is the lasting change.

Why is monitoring and management of risk important?

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

Figure 15:
What to monitor in programme activities – one sample activity

Activity: *A specific piece of work/task carried out to achieve objectives.*	- Introduction of safety measures to construction through training sessions conducted by programme staff, distribution of safety equipment, training on the use of safety equipment.
Input: *The financial, human and material resources needed to carry out activities.*	- Are the trainers knowledgeable and sufficient in number? Are the training materials sufficient and easy to understand – how and why? Is the safety equipment of good quality and sufficient in number? Can the safety equipment be easily replaced – cost and availability?
Outputs: *The products and capital goods and services which result from an operation: includes changes resulting from the operation which are relevant to the achievement of outcomes.*	- Number of people trained, number of skilled labourers that participated in the training, number of accidents at the sites and severity of accidents.
Outcome: *The medium-term results of an operation's outputs: relates to the purpose level of the logframe hierarchy.*	- Increase in use of safety equipment, number and severity of accidents at the sites – can they be compared to the number and severity of accidents occurring in other programmes where no training was introduced? Is safety equipment being replaced when necessary?
Impact: *Positive and negative, intended or unintended, long-term results produced by an IFRC and National Societies' operation, either directly or indirectly: relates to the goal level of the logframe hierarchy.*	- Is more safety equipment being used by labourers outside of the programme sites? Are more workers covered by insurance and worker's compensation packages?

Define common programme risks, the effect and the possible control measures. In addition, determine who should take action to reduce risk.

Controls and verification

The operational and financial aspects of the programme should be continuously monitored and reviewed. This is an ongoing process throughout the life of the programme which should identify, clarify and rectify all aspects of weakness found in the operational and financial management of the project.

- Consolidate data and forecast at the field level and ensure their compliance with policies and procedures, and their accuracy.
- Maintain periodic visits to the field offices to review the process and documentation ensuring the established controls are adhered to.
- Ensure access to the banking system information and necessary documentation as required.

Figure 16: Sample risk management plan

Risk Monitoring and Management Plan				
Source	**Description of Risk**	**Impact**	**Measures**	**Who**
Security	Decline in the security situation leads to suspension of work or to restrictions of movement	Suspension of programme activities	Monitor the security situation Develop a contingency plan	
Market	Major increases in the price of labour and/or materials and labour scarcity	Decline in construction quality against standards	Monitor local market prices and assistance with the bulk procurement of materials	
Banking System	Low accessibility to bank facilities in some areas	Delays and additional costs	Implement alternative payment systems in selected sites	
Quality	House construction does not comply with standards	Housing is unsafe for beneficiary habitation	Regular field monitoring Quality assurance checks on critical benchmarks	
Beneficiary Selection	Double counting of beneficiaries, vulnerable disaster-affected households are left out, not enough candidates	Project fails to support the most vulnerable	Verify lists with other agencies Support excluded beneficiaries	

2.3.5. Programme reporting

Define report types, content and regularity. Determine the audience and format for the reports and who will both prepare and review them.

The databases maintained with each field office are critical to the reporting on the project and its financial performance. These databases are the primary source of information for monthly reports and effectively drive the reporting process. The accuracy, timeliness and reliability of the source data is integral to the reporting process and significant effort is required to ensure also that the data and processes are validated and the integrity is maintained at all levels of the reporting, such as field, head office and Head Quarters.

Important information to include in reports:

- All evidence of beneficiary registration and any changes
- Log of non-compliant cases and errors and changes in status
- Inactive beneficiaries are those beneficiaries registered who have not received any financial payment to date
- Time taken to receive payment: number of working days between a successful technical evaluation and the time taken for the funds to be available in the beneficiary's bank account
- Payment reporting in number terms showing monthly movement and cumulative values
- Registered beneficiaries, versus commitments, versus target
- Implementation rates versus planned cycle
- Donor funds to beneficiary percentage
- Price escalation and scheduling analysis
- Field audit highlights and issues identified.

2.3.6. Evaluations

Ensure evaluations are objective and conducted periodically to include assessment of the programme's design, implementation and impact.

Make sure mid-term evaluations or reviews are used to improve the programme's performance. Evaluation will verify that objectives have been met, determine the impact of the programme and provide recommendations to improve the implementation.

- Analyse the efficiency and effectiveness of the programme and the changes or impact brought about in the lives of targeted beneficiaries and their communities. How will these changes be sustained for longer periods?
- The Project Planning Process handbook recommends that evaluations determine the relevance and the fulfilment of the programme's objectives through criteria of efficiency, impact, relevance and sustainability.
- Consider including stakeholders, especially beneficiaries, in the evaluation process. Employ familiar tools used during the mobilization process, e.g. social mapping and CAP workshop structure, to record the changes in the community since the commencement of the programme.
- Ensure that unintended changes, positive and negative, are recorded and taken into consideration in future implementation.

Evaluation for accountability purposes looks back at past performance to determine the degree of success or failure, while evaluation for learning seeks to improve future performance by determining the reasons for success or failure.

At least one of the following three evaluation exercises should be undertaken during the lifetime (phase) of an operation:

- **Self-evaluations (sometimes called a mid-term management review) –** conducted entirely by staff involved in an operation (typically including National Society staff) and normally without the assistance of external consultants
- **Non-mandatory evaluations –** undertaken by independent consultants and managed by National Societies
- **Mandatory independent evaluations –** undertaken by independent consultants and managed by Monitoring and Evaluation Division.

From: IFRC Montoring and Evaluation handbook

ODHR evaluations should analyse five aspects of the programme crucial to making the communities sustainable on the long term. The five aspects listed below should be analysed through lenses of relevance, impact, appropriateness, efficiency, effectiveness, sustainability and capacity enhancement.

Main criteria for this analysis are:

- **Social:** Analysing the level of satisfaction of the beneficiaries, cultural and social appropriateness of proposed solutions, the level of participation and engagement of house-owners and the income-generating opportunities created for the whole community.
- **Technical:** The reliability of the design and settlement planning solutions, the quality control over the construction process, the performance and adaptation of building technologies used, and the materials supply chain, logistic and procurement aspects of the building process. Assessing the community's infrastructure, water and sanitation, sewage and solid waste disposal systems.
- **Environmental:** The scale and impact of the construction process on both the local and regional environment (e.g. use of natural resources, side-effects from the building process, introduction of eco-friendly technologies).
- **Financial/economic:** The cost-effectiveness of the programme, its impact on local markets and livelihoods development within the community.
- **Institutional:** Capacity building of partners/stakeholders, organizational development and lessons learnt from the overall recovery programme.

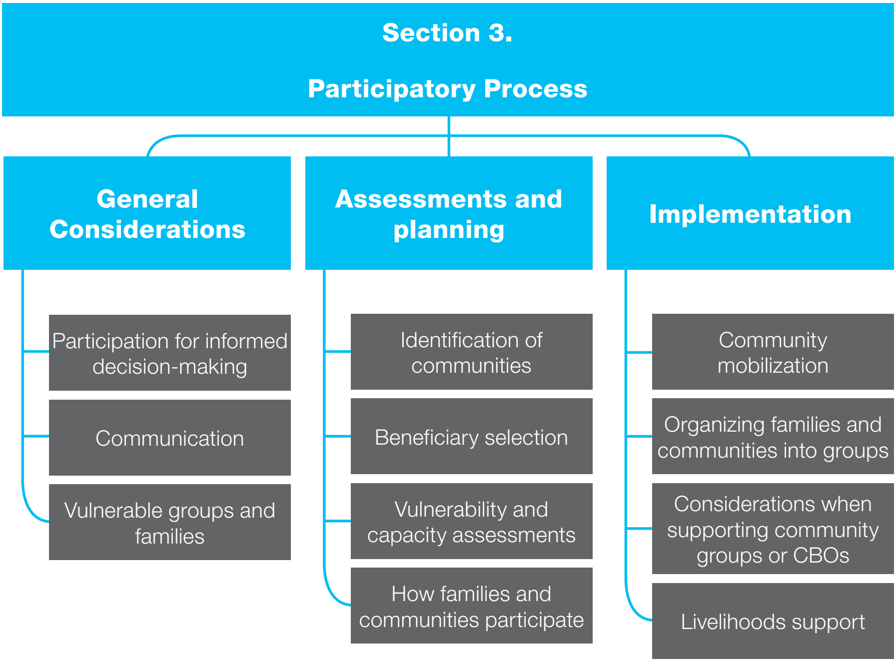
Recommended reference documents:

IFRC Monitoring and Evaluation handbook and IFRC Operational framework for evaluations

IFRC Working with Communities, a toolbox – participatory monitoring and evaluations

Section 3/ PARTICIPATORY PROCESS

Community participation starts by listening to disaster affected home-owners. Survivor of earthquake that stroke the city of Moquegue in Peru' stands on the debris of her destroyed house, (IFRC)



3.1. General Considerations

3.1.1. Participation for informed decision-making

It is reasonable and responsible to assume that not all family needs can be met by the programme and it is fundamental to understand what the programme's capacities are and to communicate this to the families as early as possible.

The level of participation from an individual family and a community will vary according to their willingness and capacity. The extent to which the programme can transfer decision-making to families is related to the programme's flexibility and capacity.

Participation can range from: (a) Consultation: the family/community is consulted and the programme professionals identify problems and solutions, the family voices opinion on their preferences, the family does not participate in decision-making; to (b) Total transfer of decision-making: the family/community prioritizes, decides and implements.

In this ODHR approach, the family/community determines the needs and priorities and, with support from the programme, develops plans of action for implementation. Through community meetings, CAP, forming community groups (community development councils – CDCs) and relevant training, the programme allows the community to make informed decisions based on the support of a technical expert.

It is important to recognize that the programme will have limitations in terms of its capacity to support all activities prioritized by a community. The programme will support the families to engage in action and/

Participatory approaches include a range of different activities designed to:

- Increase available information about the settlement and its residents
- Increase available information about the locality
- Identify *(environmental issues and)* development options
- Identify resources for such options
- Enable inhabitants (individually and collectively) to prioritize their needs
- Develop initiative, self-confidence, self-reliance and collective capacity of community members
- Develop mechanisms to bring out priorities and needs of all beneficiaries, especially those that may face particular social or cultural barriers to their full involvement – for instance the several communities in which the needs and priorities of women, children, youth and the elderly may not receive adequate attention.

From: How to do a VCA: A practical step-by-step guide for Red Cross Red Crescent staff and volunteers, IFRC 2007 or liaise with specialized agencies and institutions for the planning and implementation of those activities. It is important to determine what the programme is able to develop and offer a basket of options to address some identified priorities.

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Facilitating community consultation and participation takes time. Donors, officials and the population itself will pressure the programme to deliver quickly. It is important to have the time flexibility to fully engage the families and communities, and to make the ODHR process and its requirements understood.

3.1.2. Communication

Information sharing is an essential part of participation. Hold an information meeting in identified communities and clearly explain to the families the responsibilities to which they will commit when entering the programme.

Maintain inter-agency communication with other stakeholders (government, donors, agencies, UN etc.) at the local and national level if a nationwide or combined communication strategy will be followed.

Determine the most appropriate way to communicate with the beneficiaries and clearly explain the process, the purpose of assessments, the extent of the assistance available etc. Refer to 3.2.5 How families participate in ODHR (responsibilities).

To communicate effectively with the beneficiaries, develop materials that include:

- Leaflets explaining the assessment and selection process
- Diagrams outlining the payment process
- Diagrams explaining technical methods from foundations to finishes
- SMS messages or radio broadcast

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- The community mobilization process
- The programme's definition of a completed house
- The programme's expectations (their commitments).

3.1.3. Vulnerable groups and vulnerable families

Who is vulnerable in a community will vary with context. Vulnerable groups include any group subject to discrimination. The most prevalent and often invisible group is women and girls, who are discriminated against in most contexts in which we are working. In addition, there are those who are disabled, the elderly, displaced populations, single-parent- and/or child-headed households, the landless/renters, the very poor etc. Only when all vulnerable groups are clearly identified and form part of the assessment, can their specific needs, concerns and priorities be heard and addressed.

Some of the risks associated with ODHR are greater for, and/or specific to, vulnerable groups. For example, it has been noted that families that are better off economically or that already trade in construction tend to benefit to a greater extend from ODHR. These families are much better positioned to profit from ODHR interventions by being able to complement limited project inputs through, for example, their own savings or professional skills.

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Single-parent-headed households, the elderly, the disabled and very poor families can be overwhelmed and ill-equipped to manage the sheer multitude of tasks and responsibilities associated with the ODHR approach (e.g. managing the grant money, negotiating fair and good services, supervising the construction or demanding their rights).

This should not be a deterrent to introducing ODHR. However, it is essential that the more vulnerable groups are closely accompanied in such a process and that they can make informed decisions when enrolling in the programme. (Maybe some families prefer to receive a finished house, especially if they can participate in the design process.)

The overall goal and process of the ODHR programme is to empower people, and not to overburden and overstrain their capacities. This will differ between families and groups.

Figure 17: Vulnerable families in ODHR, risks and risk mitigation

Risks	Activities to mitigate risk
The needs of vulnerable individuals or families are not addressed	- Always collect data divided into groups by sex, age, family size, monthly income, remittances received, single-parent/child-headed households etc. - Appoint a dedicated liaison person for vulnerable families - Review legal implications and the legal status of women, the displaced, the landless and other legally sidelined groups - Assess the specific capacities, strengths, needs and vulnerabilities of different groups to access and benefit from offered services - Establish links with women's, disabled and other groups providing community services
Use of cash for daily expenses	- Include a margin in the house budget for family sub-sistence, according to family size, income-generating opportunities (remittances included) and expenses (is there chronic illness within the family?) - Provide a detailed BoQ with each instalment that ex-plains the estimated cost of the materials and labour - Allow time flexibility and assist families to 'catch up' if they fall behind schedule
Mismanagement of funds	- Financial literacy training, especially for women - Assistance in communicating with labourers and suppliers especially for all single-parent-headed/ child-headed households to also protect them from potential sexual exploitation or abuse - Agree with families on instalment sizes and payment timing according to needs (e.g. school fees, other regular and irregular or one-off expenses, need for construction material); if necessary, set up smaller instalments

Financial difficulty obtaining a house design, BoQs and approvals	- Include the cost of buying house plans in the grant and review to ensure they meet regulations, or provide house type plans
Poor-quality construction due to lack of capacity to monitor labourers	- Basic training on construction methods to be used where necessary. - Assistance in communicating with labourers and suppliers (especially for unskilled construction groups and single-parent-headed households) - Help in recruiting a general contractor and in managing the contract - More frequent visits from the team members
Inability to collect appropriate legal documentation	- Provide legal assistance to obtain lost documents, or to obtain alternative documents (including proof of ownership or land tenure security) - Ensure that families are not subject to abuse from higher powers and/or to sexual exploitation
The needs of women may not be understood or addressed	- Review power structures within families and ensure both women and men benefit from, have access to and manage received funds - Regularly review violence levels within families and the community; ensure violence, including gender-based violence, is not increasing as a side-effect - Recognize the importance of considering not just women's needs and priorities in isolation, but to understand these within the broader context of the social relationships within the community - Take positive action to ensure women are empowered and actively participate in the development, and later in maintenance and management, of ODHR outputs - Schedule meetings at times and places when and where women can participate; hold separate meetings with women, where joint meetings between women and men are culturally not acceptable, or if women cannot speak up in joint meetings; ensure that women's voices and concerns are fully heard and understood - Support women's needs for legal services, e.g. joint ownership - Support income-generating projects that build the skills of women and men; where necessary and possible, develop and offer home-based income-generating activities

3.2. Assessments and Planning

Section 2. Programme Development	Section 3. Participatory Process	Section 4. Technical Assistance	Section 5. Financial Assistance
↘ institutional framework ↘ internal capacity ↘ programme logframe ↘ identify resources ↘ prepare time plan	↘ capacity assessments of families and communities ↘ define beneficiary's responsibilities ↘ beneficiary selection	↘ damage and technical assessments ↘ DDR, VCA/ PASSA/PHAST ↘ identify 'water and sanitation' needs	↘ security and market assessment ↘ define grant distribution mechanisms and cash flow

3.2.1. Identification of communities

Before identifying individual families, determine the communities in which to operate. Use your resources efficiently by concentrating efforts in selective communities and aim to deliver a comprehensive response, be that as a sole actor or in partnership with others.

Considerations when identifying communities include:

- Those communities identified through VCA
- **Equity** – ensure that the assistance does not contribute to tension or conflict within or between communities
- **Vulnerability** – the presence and percentage of vulnerable groups such as minority groups, women, children, the elderly, the disabled, single-parent- or child-headed households etc.

- **Families still living in camps** with no or inadequate housing assistance or families living in makeshift or substandard houses on their own land
- **Families with negligible access to basic services** like water and sanitation, before the disaster, or living in very poor environmental conditions
- **Geographic location and concentration** – concentrating resources within geographically close communities under one administrative unit increases efficiency
- **Red Cross Red Crescent presence** – consider working in areas where branches are active to maximize your impact and gain immediate access to local resources, or work in areas where the National Society is not active to contribute to their organisational development – and areas where you may have been involved in pre-disaster, relief operations
- **Presence of other organizations** – you may choose to select areas where few other organizations are active to make sure you reach people whose needs have not been met, or you may choose to select areas where potential partners are active. Detailed external coordination and communication needs to be established in both circumstances.

3.2.2. Beneficiary selection

The selection of beneficiaries will be guided by the general selection criteria set up jointly by the national government and the international humanitarian community. The IFRC will advocate for the development of a transparent process of beneficiary selection, the prioritization of needs of vulnerable groups and for information campaigns on housing policies and the selection process.

Special selection criteria need to be clearly communicated and negotiated among the parties mentioned above so that programme objectives are achieved, e.g. reaching those without land tenure, all single-parent-headed households, those whose houses are more than 50 percent destroyed, and those with the least available resources left to rebuild houses themselves (this criterion needs to be set locally).

To ensure assistance reaches the most vulnerable, the programme may target specific groups to be **within** the identified beneficiaries eligible to receive a permanent house:

- Families without secured land tenure (often ignored)
- Single-parent- and child-headed households
- Families who have to relocate to safer areas
- Families who have lost the primary provider and income-earning assets
- Families with disabled members (prior to, or as a consequence of, the disaster)
- Families who have adopted orphaned children of relatives
- Families whose houses were used as income-generating premises (not solely commercial premises)
- Fully destroyed houses to be rebuilt or partially damaged houses to be repaired or retrofitted
- One house only for each affected family.

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The assessment and selection of ODHR beneficiaries needs to be completed by a team made up of the National Society, IFRC and government representatives. No single individual can make such decisions. This is key in order to ensure: (a) transparency in the process; (b) objectivity (according to the selection criteria jointly set up); (c) fairness; and (d) assistance to the most needy; and (e) to avoid favouritism and/or political discrimination.

3.2.3. Verification and enrolment of beneficiaries

Once the programme has identified the localities (communities) in which to operate, and the criteria for selection of beneficiaries have been set, define the process that must be followed for each family to be included in the programme. The nomination of beneficiaries may come from the community itself, or from the authorities, in line with the selection criteria set at the national level (double-check in places!) The selection process is likely to follow the steps below:

Figure 18: Sample beneficiary selection process

Surveys	- Visit the families at their current places of residency and at the places of residency before the disaster, if different. - Identify missing or vulnerable families who are not on the beneficiary list. - Recognize that the programme will not fit every family that qualifies for the programme. Call on all potential beneficiaries on the list and explain the expectations, the amount of the grant, required documentation etc. - Conduct a technical survey to assess/confirm damage and any repairs or reconstruction in progress. - Collect socio-economic data, family size, existing housing conditions, income-generating activities, available remittances, savings etc. Assess needs by separating on the bases of age, gender, social status, ethnicity, education etc. and distinguish between needs and aspirations. - Collect documents according to agreed minimum requirements for qualification. The list of documents required may include proof of ownership or proof of occupancy, certification as affected family etc. - Collect information on land ownership or rights of occupation. Liaise with concerned parties when necessary to secure land tenure. - Assess the capacity of the families to participate successfully in the programme and identify what needs they may have to be successful. - Confirm extent of damage. Collect information on the suitability of the current land for construction according to agreed standards. Record changes in situation from initial assessment information, if any.
Verification	- Determine that the candidate is a legitimate affected family. This can be partially achieved through discussions with neighbours and local authorities, and cross-matching information from different sources.

	- Determine that the family has not been selected by other agencies to receive assistance. Candidates may be repeatedly nominated to different agencies or a family may be registered under one or more names. Advocate for systematic sharing of selected lists between agencies. - Community screening can be used as an effective tool for verification. Consult the community to determine the validity of a candidate's inclusion in the programme. - Finalize the list of beneficiaries after the community screening and display on a notice-board in an agreed public place.
Recording	- Confirm the list of selected beneficiaries to the local authorities. - Record all appeals on beneficiary lists and the decisions given and their justification. - Log verified beneficiaries into the project database.

3.2.4. Vulnerability and capacity assessments (VCAs)

The IFRC Toolbox for VCAs contains tools that can be adapted and used to mobilize families and communities for ODHR. The tools are geared towards VCA for disaster risk reduction; their extended use in defining needs, vulnerabilities, capacities and priorities for reconstruction and development ensures that DRR is the basis for community development. Some of those VCA tools applicable to ODHR include:

1. Sensitization meetings

These are ideal to brief families on the reconstruction process, to introduce ODHR and other options available to them. This type of meeting can also be used to introduce community groups to the process of reconstruction of physical infrastructure or other programme components.

- Issue the invitation in writing, where appropriate.
- Ensure participation and involvement of as many community leaders as possible, and gain their approval and commitment for the process.
- Make sure that all participants are aware of others who will be attending the meeting.

- Prepare an agenda and a presentation with key messages that you wish to communicate to community leaders.
- Avoid creating unrealistic expectations of the Red Cross Red Crescent in the community. This meeting is the first opportunity where these may arise.

2. Household/neighbourhood vulnerability assessment (qualitative)

This tool is useful for helping households – and, by extension, neighbourhoods – to assess their level of vulnerability so that action can be taken to reduce it. This assists in assessing how vulnerable the household/neighbourhood is in relation to likely hazards and risks, taking into account key factors such as type of housing, rivers, environmental degradation that can lead to floods and mudslides, evacuation routes, electricity, gas and drainage.

3. Livelihoods analysis (qualitative)

Livelihoods analysis creates an inventory of a household's assets and how they are applied as a 'bundle' to its income earning. It is a powerful tool to identify the areas of a household's vulnerability and what capacities it has to protect itself from hazards.

4. Coping strategies analysis (qualitative)

This analysis focuses on what people do when they are already affected by a hazard (e.g. drought). Coping strategies are what come into play when dealing with the hazard. They are what families (and communities) rely on to develop means of maintaining their livelihoods during and after a disaster.

5. Institutional and social network analysis (qualitative)

This tool helps to gauge people's perceptions of the role and significance of various organizations within the community. It can stimulate discussion leading to identification of the role each organization can play, not

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only in times of disaster but also in relation to disaster preparedness and mitigation activities.

6. Assessing the capacity of people's organizations (qualitative)
Listing the key organizations in the community, such as religious bodies, schools, financial committees, hospitals, coordinating bodies and local government, can help to identify the various types of support available to the community in times of crisis. This can be used to gradually build up a picture of local capacities. It is closely linked to capacity mapping.

3.2.5 How families participate in ODHR (responsibilities)

For the programme to be truly owner driven, the first decision the families must make is whether or not this approach is the best option for them. To make this choice, families must clearly understand the requirements and roles and responsibilities of each party within the programme and their options to choose a different approach if available. Develop an agreement with the families that defines the parties' responsibilities, the time commitment, the skills needed to manage construction and its finances, the programme expectations in terms of quality of construction etc. Refer to Annex 3: Considerations When Drafting Memorandums of Understanding (MoUs).

ODHR requires a strong commitment from the participating families, and families may require varying levels of support, based on their capacities and vulnerabilities. Families may be asked to commit to:

- Participate in pre-construction and construction meetings and workshops (ensure both women and men participate in these)
- Manage the house construction, which may include both planning tasks and construction supervision. This may be necessary until completion of the house, especially in cases where families do not include a skilled construction labourer, or are single-parent-headed households

- Strive to complete their house within an agreed schedule
- Follow technical advice as provided
- Use house-construction funds only for the construction of the house (it may be required that extra funds be made available to highly vulnerable families who cannot secure their daily food requirements and other basic needs)
- Process final approval from local authorities
- Participate in activities to identify, prioritize and implement communal infrastructure (ensure women are consulted and their voices have been heard)
- Provide basic labour for communal infrastructure or assist other families.

With this in mind, what capacities are fundamental to a family's success in ODHR?

- Basic financial literacy to manage construction finances
- Ability to dedicate time to construction management (ensure each family has dedicated a family member ('manager') who can supervise the construction and assist those who cannot fulfil this requirement.)
- Understanding of technical requirements
- Ability to communicate with skilled labourers or subcontractors (or seek assistance from the contractor)
- Capacity to provide labour (skilled and unskilled and in line with other family responsibilities – this may include that some families can invest only a small amount of time, as they are single-parent-headed households).

In some families, the only person able to take responsibility for managing the construction is also the primary earner.

In these situations the families will be forced to disengage from income-generating activities while construction is taking place. In these cases, it is recommended that the families are assisted in engaging contractors.

3.2.6. How communities participate in ODHR (responsibilities)

Although the individual house construction will be managed by each family, community groups can play a great role in supporting vulnerable families and in bulk purchasing. This approach encourages the formation of groups and CBOs from the onset of the programme in developing plans of action and implementing activities to benefit the whole. Communities will organize into groups, plan and take action on identified priorities. The nature of activities to be carried out by the community will be dependent on their willingness and capacity to organize and work together.

The problem with community

It is important not to idealize the notion of 'community'. The people in any locality that outsiders think of as being a community may not always be cooperative on all issues. They can also be in conflict, involving exploitative and repressive relationships, especially in relation to their livelihoods (e.g. different access to land and water) and social existence (e.g. caste, ethnic differences, religious intolerances).

Another factor is gender: we cannot on the one hand advocate for gender equality and women's rights and on the other hand ignore the fact, that in any community, divisions between males and females are of crucial importance. Do we work on gender issues, or with the community that exists on the basis of gender inequality?

Programmes that fail to acknowledge the internal divisions and differences within a 'community' may be liable to fail. These issues are well known in NGO development work and are recognized in the IFRC's programmes through the Better Programming Initiative (e.g. through the concept of dividers and connectors in the Better Programming Initiative).

From: How to do a VCA: A practical step-by-step guide for Red Cross Red Crescent staff and volunteers, IFRC 2007

Communities may be asked to commit to:

- Participate in community meetings and workshops
- Engage in activities to identify, prioritize and implement communal infrastructure
- Organize into committees or associations
- Manage funds for community projects
- Provide basic labour for communal infrastructure
- Manage the reconstruction of community infrastructure
- Follow technical advice as provided
- Operate and maintain systems after the programme closes.

With this in mind, what capacities are fundamental to a community's success in ODHR?

- To create trusting relationships between families so needs and priorities can be agreed upon without conflict or favouritism
- The ability to make collective decisions
- To communicate needs effectively to the programme staff, partners and local authorities
- Financial literacy to manage resources that the programme will provide and to fund-raise and manage resources for future activities (including operation and maintenance).

Recommended reference documents:

IFRC Better Programming initiative

IFRC Guidelines for emergency Assessments

Vulnerability and Capacity Assessment tools

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3.3. Implementation

Section 2. Programme Development	Section 3. Participatory Process	Section 4. Technical Assistance	Section 5. Financial Assistance
↘ defining management structure ↘ monitoring and evaluation systems	↘ community mobilization, formation of groups ↘ supporting community groups	↘ resolution of land tenure issues ↘ house design and land-use planning ↘ construction monitoring	↘ managing the payment process

3.3.1. Community mobilization process

A community in this context is a body of persons sharing common problems, living in a geographically identifiable area. A community will be made of natural subgroups with social, political or religious affinities, and some of these groups will be stronger and more influential than others. Participation should be inclusive to an acceptable level, take into account the particular needs of vulnerable households and it should encourage all groups to take part in the decision-making process.

Social mobilization is the primary step of community development for recovery after disasters. Through social mobilization, people become organized to take action collectively by developing their own plan and strategy for recovery. Communities that take charge of their own recovery will make informed decisions, reach sustainable solutions and achieve better results more quickly, while at the same time enhancing their solidarity and capacity to undertake development initiatives.

The community needs to be responsible for the decisions that will affect its development. The level of participation of communities cannot be defined without assessing the capacities and willingness of families to work together. To enable communities to organize and take collective action it is important that:

- Participatory assessment tools are used to determine needs, aspirations and capacities
- Communities are enabled to prioritize their needs and to plan solutions
- Solutions utilize communities' resources and the assistance-provided supplement, but not replace those resources
- Communities or individual families are allowed to participate, each according to their capacity
- Communities are able to access external resources, be those technical, legal, financial etc.
- Participation in community planning or activities should be an option for beneficiary families rather than a requirement.

Woman looking at drawings of IFRC prototype houses in Banda Aceh, 2007. Vina Agustina/IFRC

Figure 19: The process of mobilizing communities

Share information	- Community information meeting - Explain the programme and expected commitment - Explain other options available to them
Survey and assess	- Site visit by assessment team (technical and community mobilization staff) - Identify needs and capacity of families to engage in programme activities - With the community, identify vulnerable families that will require additional support from the programme and other families - Verification of eligibility and legal support when necessary
Organize communities	- When appropriate, form working groups (construction, primary, CDCs) - Identify community needs and priorities through CAP workshops - Develop a plan of action for community development
Prepare for activities	- With the community define capacity building needs; likewise with individual families - Prepare for and conduct training workshops - Support families/communities with pre-construction activities (design/BoQs, approvals, technical specifications, selection of materials, operation and maintenance plans)
Monitor progress	- Monitor, with the family/community, their progress and achievements - Review results periodically, revise action plans, monitor impact of changes

3.3.2. Community mobilization tools

Methods for social mobilization are abundant and as varied as the communities to which they are applied. Any mobilization effort must be tailored to meet the social and cultural context. In addition to the VCA tools mentioned above, consider the following tools for working with communities: (a) social mapping; (b) CAP workshops; and (c) community contracting. These tools form the bases of the people's process developed by UN-Habitat. These tools have proven effective in organizing and empowering communities to implement programme activities.

1. Social mapping

Social mapping will help you and the beneficiaries to visualize the existing community assets and assess real needs. A social map provides a base for a CAP workshop. When preparing a base map, include existing services, facilities, amenities, the frequency of their use and distance to the settlement. During the CAP workshop or in a community meeting, encourage people to further inform the document based on their observations and experience.

In relocation sites, this exercise can reveal whether people are able to use existing facilities rather than building new infrastructure. Determine the capacity of those facilities to incorporate the new settlers and, whenever possible, improve on existing infrastructure rather than building anew. For additional considerations specific to relocation sites, refer to Section 4.4.2.

2. Community Action Planning (CAP) workshops

During a CAP workshop, the community identifies the issues, prioritizes needs and sets up plans of action. This process also encourages the community to take ownership and responsibility for the implementation and monitoring of the proposed activities. Refer to Annex 8: Community Action Planning, for further information.

- CAP is a process for action and not a blueprint for future development.
- Community action plans should not be predetermined but be generated by the communities themselves.
- Provide technical guidance during the workshop without disturbing the community decision-making process and its ownership. This technical guidance will ensure that the community can make informed and realistic decisions, and may come from a member of the team, an external consultant or partner or designated authorities.

- Facilitators must avoid lecturing to the community; rather, conduct the workshop as a discussion.
- Facilitate inputs of all groups and do not allow one group or the leadership to dominate the discussion; remember that an issue which may seem unimportant to one group may be critical to another.
- Refrain from drawing and writing too much; it is easier to absorb and remember a few points rather than a long list.

What you can expect to do in a CAP workshop:
- Encourage community integration and mobilization.
- Identify opportunities and resources.
- Using the social mapping, perform a survey of the site wherever possible, and discuss the findings. List positive aspects of the community setting and how they can maintain and improve them.
- Identify needs or risks and set priorities.
- Ask them to list what they consider as needs and problems, and who in the community faces these problems. List how they cope with the problems now. Those problems for which there is no coping mechanism become priorities.
- Identify possible actions and assign responsibilities.
- Once solutions are listed, evaluate them in terms of the time, cost and feasibility. Begin to match resources with needs and list necessary steps. Who needs to take action, how and where?

3. Community contracting

A community contract is a contract awarded to a community organization to carry out physical works that have been identified in the community action plan.

Community contracting requires that the community organization be recognized as a legal entity and this may not be possible in all contexts. When direct implementation by the community is not appropriate, it may be necessary for the programme to manage some contracts directly or to support the community in management of contracts with subcontractors.

Community contracts emerge from a process in which communities identify their needs, prioritize their problems and agree upon plans for their solutions. The technical preparation of the plan is usually facilitated by the programme. The set of activities to be carried out by community contracts is usually the construction or improvement of small-scale community infrastructure. The plan is derived through the CAP process, the designs must be certified by a licensed professional and the construction is facilitated by the technical team.

Community contracts can be used on projects defined as:

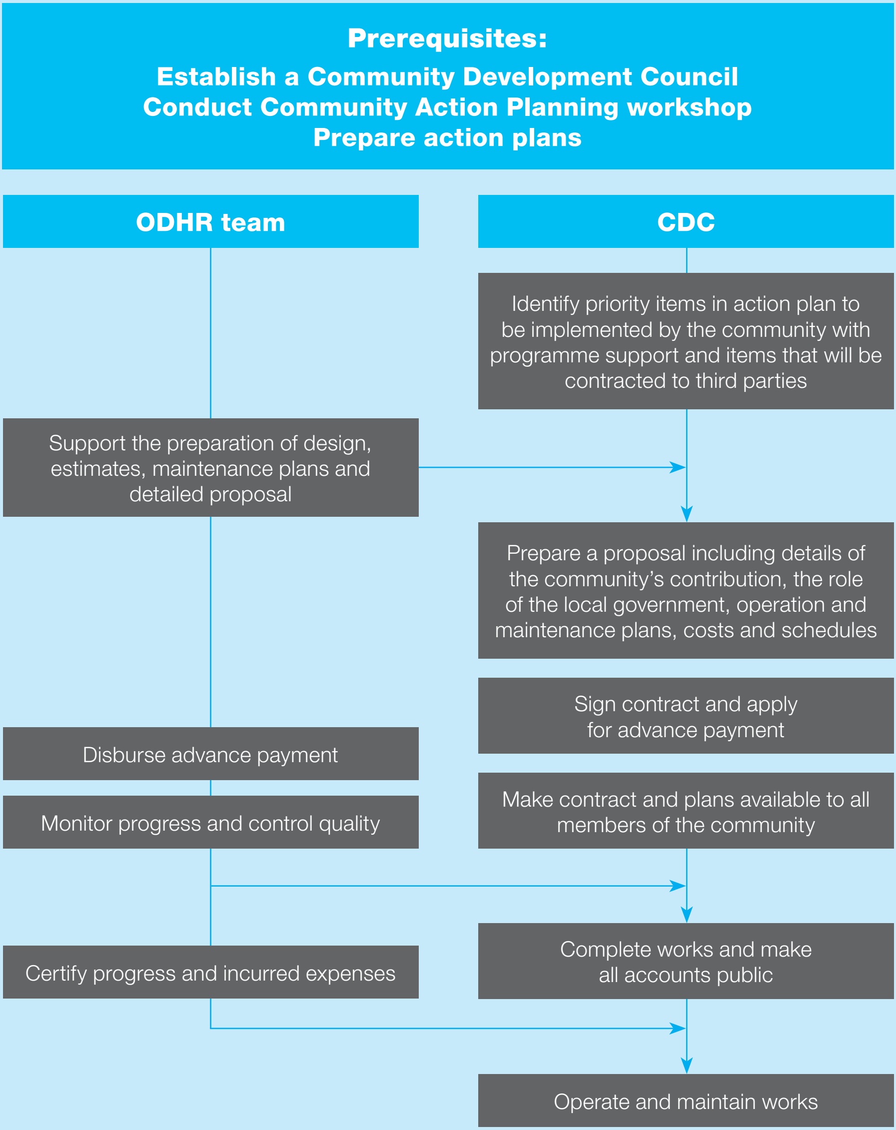
- Physical improvements within the settlement
- Technically not complicated in nature
- Mostly labour intensive, rather than mechanized
- Not capital intensive
- Not requiring highly specialised skills
- Relatively easy to manage.

Recommended reference documents:

ProVention Consortium: Toolkit for Community Risk Assessment and Action Planning. Geneva: ProVention Consortium, 2005

United Nations Human Settlements Programme – UN-Habitat's People's Process

Figure 20: The process of community contracting



3.3.3. Organizing families and communities into groups

Several types of community groups may be formed with specific tasks related to individual housing construction, community infrastructure or other identified issues. The formation of these groups and their nature, size and practical definition must be determined in the field in consultation with the participating families.

When deciding on formation of groups consider:

What decisions happen at the household level and what decisions at the community level? When will the individual family and when will the community be involved in different steps of the programme?

1. Construction groups

The construction group may be linked primarily by geographical proximity, similar construction house types or similar socio-economic situations. The families within the construction groups are encouraged, although not required, to join efforts for bulk purchasing, to help and to learn from each other. These groups may carry out construction simultaneously and be set up to encourage shared responsibility for construction of all houses.

Construction groups are especially useful for helping families with less capacity. A construction group of approximately five families can include an identified vulnerable family (very poor, single-parent-headed, elderly or disabled). All families within the group will work together in managing the construction and provide assistance in the form of extra labour or extra support to the identified vulnerable family. It is important that the participating families identify vulnerable families and the make-up of the group.

2. Settlement, village and primary groups
These are made up of several construction groups which are geographically close and share common interests such as income generation, communal infrastructure, physical infrastructure etc.

The size of these groups should be large enough to be influential and proactive, but small enough to facilitate organization and prevent long-term apathy. When addressing communal issues in very large groups, only a few members actively participate and take positions of responsibility. This discourages long-term participation from less vocal or less prominent members of the group.

Settlement/village/primary groups are common in relocation sites and their sizes will vary accordingly. When working in a large relocation site, consider creating several subgroups or committees with specific objectives.

The communities will be involved in the assessment and prioritization of needs for communal infrastructure, but it is important to liaise early on with local authorities that will ultimately be responsible for any infrastructure in the area and consider the sustainability of any solution. When the infrastructure impacts the host community, encourage their participation in planning and implementing solutions.

3. Community-Based Organizations (CBOs) and Community Development Councils (CDCs)
A CBO in this context is a more formal organization than a primary group with members that may include affected and non-affected families, beneficiaries and host communities, and share larger preoccupations such as livelihoods, education, health care, infrastructure etc. The programme may strengthen the capacity of existing CBOs or, in their absence, form new CBOs. Where the structure of construction and

village groups may be dissolved on completion of the programme's activities, it is expected that CBOs would continue to operate.

Community Development Councils (CDC) are CBOs formed during the community mobilization process **specifically** to address the development needs of the families participating in ODHR. A CDC's functions include:

- Bulk procurement of materials for house construction
- Support to vulnerable or less-able families in the construction of their houses
- Implementation of community infrastructure works identified in CAP workshops
- Operation and maintenance of community facilities
- Community savings
- Liaison with local government authorities on behalf of the communities
- Represention of the needs of the communities to local authorities and other institutions.

Structured groups such as CDCs help the community express their needs and take steps towards problem-solving and can become legal entities to implement community contracts. Avoid the creation of new groups when there are CBOs operating in the community that can perform the roles of the CDC. Instead, provide support to those groups. Any formal (legalized) community group that will be entrusted with decision-making and implementation of community development programmes should develop a constitution detailing the purpose of its activities. Refer to Annex 9: Drafting a Community Development Council (CDC) Constitution.

3.3.4. Considerations when supporting Community Development Councils (CDCs) or other community groups

- Membership to groups must be voluntary.
- Identify areas where the group needs support, e.g. systems for decision-making, financial management, liaising with other parties etc.
- Encourage membership of vulnerable persons and gender balance in overall membership and especially is appointment of management council officers.
- Ensure that election of group officers is inclusive and democratic.
- The groups should generate income-earning funds to ensure sustainability. These funds may come from membership fees – ensure that the amount is fair and affordable.
- Ensure transparency (and capacity to manage) in the process of managing funds (own funds or programme grants) – bookkeeping, auditing of accounts etc.
- Be aware of the potential for corruption within group management.
- There may be scope for community saving schemes to be used for communal projects or to provide funds to families as loans or donations (e.g. funeral societies).
- Negotiation of material prices for the whole community should be monitored to reduce corruption and bribes.
- All activities must be derived from CAP-identified priorities.
- Is there an official registration process? What are the benefits of registration or legal status?
- How can the group integrate, participate or benefit from other existing social networks?
- Priorities of community groups will vary; does the programme have restrictions on the type of activities it will support?

3.3.5. Livelihoods support

The programme must conduct a livelihood analysis and determine the impact (positive and negative) of the participation of families in the construction, especially the interruption of, and return to, livelihoods during and after construction.

When determining the impact of the programme on people's short and long-term livelihoods and the impact of their income-generating activities in the programme implementation, consider the following:

- Poverty increases vulnerability and reduces the capacity of households to protect themselves from hazards and to recover from disasters.
- Participating families may see their income-generating activities interrupted during the construction cycle. The funds distributed are likely to be used for daily family needs if income generation is interrupted. This needs to be avoided.
- Some individuals may not be able to return to their pre-construction livelihood activities once interrupted. These should be targeted in reconstruction activities and other income-generating activities offered. Also consider offering skills training to provide new skills to those who need it.
- The timing length of the construction cycle in the programme must take into consideration seasonal work opportunities and migration. Income-earning members may be absent (work migration).
- Children may be engaged in income-generating or subsistence activities. Ensure they are attending schools and that children do not have to take on family responsibilities due to their mother/father supervising house construction. Otherwise, they cannot complete school and this will affect them for the rest of their lives.
- Some families will return to pre-disaster activities; others will need to initiate new activities. Provide special attention to single-parent- or child-headed households and women.
- Some activities may be environmentally damaging (hazards). Offer alternatives.
- Some activities may be illegal or risky (sex labour). Target those groups with income-generating activities and skills training.

Determining how the programme will support livelihood activities must be based of assessment on livelihood analysis and coping strategy analysis as mentioned in Section 3.1.3 and as detailed in the IFRC VCA Toolbox. Programme support may be in the form of tangible (e.g. livestock, equipment, tools, cash) or intangible assets (skills, education, social networks etc.).

Livelihoods analysis (qualitative)
Livelihoods analysis creates an inventory of a household's assets and how they are applied as a 'bundle' to its income earning. It is a powerful tool to identify the areas of a household's vulnerability and what capacities it has to protect itself from hazards.

Coping strategies analysis (qualitative)
This form of analysis focuses on what people do when they are already affected by a hazard (e.g. drought). Coping strategies are what come into play when dealing with the hazard. They are what families (and communities) rely on to develop means to maintain their livelihoods during and after a disaster. Coping strategies differ greatly for men and women. This needs to be addressed in our response.

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At a minimum, the programme MUST respond to short-term livelihood issues, such as:

Who currently generates income in the family? Who makes decisions over its use?

Who will participate in meetings and manage construction?

What kind of income-generating activities do they engage in?

Will income generation be interrupted by programme activities? If so, can the family subsist without income? For how long? Will the grant be used for daily expenditures? If so, how will the house be completed?

Do family members have job security? Can they stop work for a period of time? How long? Can they return to work after construction?

Recommendations:

- Support communities to identify their needs and capacities and develop linkages with, and secure support from, local-level organizations (e.g. Government, NGOs and private sector), supporting livelihood-related activities in the area.
- Assist the community to prepare a community action plan which includes community livelihood development activities.
- Build safer and more resilient communities through Red Cross Society activities such as Community-Based Disaster Preparedness, Community-Based Disaster Management, Community-Based Health and Community-Based First Aid.
- Avoid the tendency to target only rural livelihoods.
- Do not focus on self-employment only. Consider developing skills to increase people's employability.
- Restoration of previous livelihood – is it still viable (e.g. a market still exists for the product or services; a suitable place to carry out the activity exists etc.)? Identify risky coping strategies (e.g. sex labour, increased risks for HIV infection).
- Vocational training to strengthen individuals' capacities to provide for their households taking women's priorities and the market needs into account.
- Evaluate the relevance of training and assets.
- Coordinate livelihood activities to avoid oversupply of trade assets.
- Identify areas in which partnerships with other organizations can be developed to fill the gaps where the Red Cross Red Crescent cannot work.

- Consider the existing coping mechanisms to protect or restart livelihood activities.
- How can livelihoods be protected from the impact of hazards (or how can existing mechanisms be improved) in the future?
- Develop a sound livelihood support strategy that responds to the identified needs of individuals and communities.
- Use the structure of the CAP workshop to determine priorities. Develop a livelihood support programme based on those priorities and avoid a blanket approach to training, distribution of assets, grants etc.
- Consider the introduction of community saving schemes and community banking for both men and women.

Recommended reference documents:

International Red Cross Red Crescent Movement Guidelines for cash transfer programming, Guidance sheet 2, Cash transfers for support of livelihoods

IFRC Gender perspective and IFRC Gender policy

Section 4/
TECHNICAL ASSISTANCE

Technical advise is provided throughout the post-tsunami reconstruction programme in Indonesia. All members of tsunami-affected have a equal right to participate in the planning process. (Virgil Grandfield/IFRC)

Section 4.

Technical Assistance

- **General Considerations**
  - Quality control
  - When to repair, when to retrofit, when to rebuild
  - Resolution land issues
  - Timing of grant distribution
  - Operation, care and maintenance
- **Assessments and planning**
  - Damage and technical assessment
  - Disaster Risk Reduction
  - Water and sanitation
- **Implementation**
  - Settlement design
  - House design
  - Construction monitoring
  - Completion of works
- **Relocation site**
  - Assessing the land
  - Benefits and additional challenges

4.1. General Considerations

Housing construction is the core component of the programme and technical support is one of its most important aspects. Construction quality must be carefully monitored to ensure that the house is safe for habitation and reduces future risk. It is important to determine the expectations of the programme in terms of quality and what constitutes a finished house. Those expectations should be clearly communicated to all stakeholders.

4.1.1 Quality control

The primary programme responsibility is the completion of houses (and associated infrastructure) that are safe and of good quality and that meet established regulations. ODHR programmes build the capacity of beneficiaries to understand construction methods and to identify good-quality construction, but this capacity does not replace the presence of technically qualified programme personnel. In some cases, a beneficiary will have the capacity to monitor quality and the technical skills to ensure the construction materials and methods are appropriate. This is not a general rule but, rather, an exception.

The IFRC recognizes that ODHR is subject to construction quality risks. However, this is not due to neglect, as participating families are always concerned with building a good-quality home. Quality assurance and quality monitoring are programme priorities because often not technically qualified persons are given the responsibility for construction quality control. The programme will adapt to provide as much technical assistance, supervision and training as needed to those families with less capacity, to utilize to the fullest the capacity of those beneficiaries with technical skills and to encourage the pursuit of technical qualifications for those who demonstrate interest and skills.

Safe and good-quality housing is achieved through the following steps:

1. Designs are prepared by licensed professionals.
2. Technical documentation detailing construction methods is developed in easy-to-read-and-understand formats and distributed to beneficiaries and labourers.
3. The family must assign one responsible person (manager) for construction management. This person is to be in charge of monitoring the work of labourers on a daily basis. The family may identify a

family member or, in their absence, a neighbour or contractor to supervise the works.

4. Works should take place only if the 'manager' is present. The manager attends all meetings related to technical issues and receives technical training. The manager is trained in how to identify defective or low-quality materials.
5. The programme trains a number of local labourers on expected standards, e.g one mason, carpenter, plumber etc. for every 40 families.
6. Programme staff remain responsible for:
   a. Rejecting or accepting materials
   b. Inspecting critical steps, e.g. cutting and binding of reinforcement prior to concreting
   c. Maintaining a logbook with each family
   d. Demonstrating methods to be followed at the site.

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The costs of construction mistakes:

When a mistake is identified, can it be repaired? Can the family afford the cost of rectification? If the answer is no, can the mistake be overlooked? If it cannot, will this family need to go into debt or have to abandon the programme? How will the loss of time affect the progress of other families' housing?

Mistakes in construction due to poor monitoring can force families into debt to pay for repairs.

Failures in construction can result in injuries to the families or third parties and can be fatal. If you cannot provide appropriate supervision, especially when building structural components, consider reducing the number of houses or hiring a contractor who can be more easily supervised and held liable for defects.

4.1.2. When to repair, when to retrofit, when to rebuild

If the programme is to include repairs and/or retrofitting, determining the extent of the damage and repairs requires a thorough structural assessment of each house. Some houses may need only repairs in order to return to pre-disaster conditions. Repairs can be done by the home-owners or by contracted labour and the family can return to their home relatively quickly. Others will need retrofitting which requires technical expertise. Retrofitting should be used when the extent of the damage is related to repairable structural failures and the house structure can be strengthened.

The grants for repairs or retrofitting may be tailored to more closely match the rebuilding costs. This requires more extensive surveys and the development of a BoQ for each household. It is important to assess if non-equal grants may create conflict within the communities. It is possible to create standard assistance packages for house repairs which may include tool and material kits, a new kitchen or sanitary facilities.

When planning to repair or retrofit, there are risks to consider:

- It is difficult to assess the quality of some existing construction.
- What if repairs made by the family do not conform to standards?
- Damage can be incremental – a small crack thought to be superficial can enlarge over time and result in structural damage to the property.
- A house that withstood damage may still not be safe should a future disaster occur – external conditions may have prevented the house from being fully damaged or the magnitude of the event was just below the threshold the house can withstand.
- Repaired and retrofitted houses must be monitored over a period of time to observe any changes that may make the house unsafe to inhabit. Avoid covering up the damage with plastering or other claddings during this time.

Men at work on houses built through the Community Recovery and Reconstruction Partnership (CRRP) in Trincomalee, Sri Lanka, 2007. Japanese Media Team

4.1.3. Resolution of land issues

Not all disaster-affected families will be landowners. Affected families may include renters, trespassers on government land or private land, land leaseholders, those living on undivided private land etc. Land insecurity is an additional vulnerability, especially in high-density areas, which the Movement should address through advocacy and policy planning.

Land ownership should not always be a requirement; however, long-term security of tenure must be formalized before commencement of work. Ensure that the participants are informed of their situation as regards land tenure and that, if there is a process to be followed up after the programme ends, they are aware of the necessary steps and who can provide support and advice.

To make informed decisions regarding land tenure, consider the following:

- What are the types of land ownership available in the country?
- What is the process of formalizing tenure, e.g. for families that may have temporary permits for occupation of land?
- Who owns the land and who grants land ownership?
- Who can own land, and can people have joint ownership?
- What type of ownership prevails within your selected communities?

In relocation sites:

- What are the types of ownership available to affected families which need to relocate?
- Who grants land ownership? What is the process?
- When will the ownership be transferred? On selection? On completion of the house? On receipt of approvals or certificates of conformity?
- How long will the process of transfer of ownership take?
- Is temporary or partial land tenure an option?
- Inevitably, some families will not complete their houses and may drop out of the programme. If the land is given by the government, will they be allowed to continue to live on the plot?

4.1.4. Timing of grant distribution

Programme funding may combine funds from different sources which may be distributed at different stages and through different channels, e.g. a government agency will provide a base grant that will be supplemented by other agencies with a top-up grant, or different agencies contribute to percentages of funding. The total grant (base plus top-up) will cover the cost of a completed house.

Whenever possible, there will be only one funding distribution mechanism for all sources, administered by one agency. When this is not the case, the timing for delivery of funds needs to be clearly defined and coordinated.

Beneficiaries may commence the construction of their houses with a base grant or their own resources before full programme funding is confirmed. Such cases require increased technical support to conform to the agreed minimum standards.

- What if the current construction does not meet the required standards?
- What if the quality of the construction is well below programme expectations?
- Can the programme team expect beneficiaries to repair or replace portions of the current house to match 'programme requirements', e.g. if the use of asbestos is sanctioned by national regulations but not by the programme specifications?
- Should the cost of repair, or, to replace materials that are unacceptable by the programme standards, be met by the beneficiaries or be covered within the programme itself?

Price escalation

With increased demand after a disaster, prices will rise. Cost escalation of both construction materials and labour supply must be monitored closely and regularly during the implementation period. If prices are not monitored and budgeted for accordingly, the most vulnerable families will be most affected and be less likely to maintain progress.

Decisions on price escalation should be made based on the advice of the field teams and structured according to their location, stages of progress and market developments.

Set up a schedule for the revision of budgets, e.g. every six months, but continue to monitor the market between revisions for unexpected fluctuations.

4.1.5. Operation and maintenance

It is often incorrectly assumed that through ODHR programmes, communities will automatically be able to maintain and care for their assets.

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Operation and maintenance requires more than just a sense of ownership of the assets or systems; it requires: (a) financial resources; (b) access to tools and spare parts; and (c) technical skills.

The designs of systems must be based on the capacity of the family/community to care for and maintain them, the construction techniques must be familiar to local skilled trade and the cost of maintenance affordable using existing resources (or through a saving plan) to improve the efficiency, effectiveness and sustainability.

The programme team must prepare a plan with the families/communities on the operation, care and maintenance of the houses, water and sanitation systems and any other community infrastructure. This plan must consider the three requirements mentioned above as well as the role (and capacity) of the local authorities in the short and long term. For example, sanitation systems need to be maintained and eventually emptied; if the gully sucker cannot access a local system or if there are no gully suckers available in the area, the life of the system will be limited to the time it will take to fill up.

Coordinating care for communal interests is more difficult than it is for personal assets. Operation and maintenance do not encompass technical issues only but managerial, social, financial and institutional issues also.

Long-term maintenance considerations include:

- Families should be aware of potential problems for their houses due to lack of maintenance, e.g. leaky roofs, water-saturated foundations, wood-boring insects etc.
- What activities are necessary to prevent those problems?
- What activities can be undertaken once the problems appear?
- How will the funds will be budgeted and saved for, collected and managed?

- How frequent is maintenance necessary?
- Which repairs can be undertaken by this community and which require external technical skills?
- Which issues require local government involvement?
- The programme team should monitor the operations and maintenance of the facilities for a period of time prior to disengaging from the communities (as part of its exit strategy).

4.2. Assessments and Planning

Section 2. Programme Development	Section 3. Participatory Process	Section 4. Technical Assistance	Section 5. Financial Assistance
institutional framework internal capacity programme logframe identify resources prepare time plan	capacity assessments of families and communities define beneficiary's responsibilities beneficiary selection	**damage and technical assessments** **DDR, VCA/ PASSA/PHAST** **identify 'water and sanitation' needs**	security and market assessment define grant distribution mechanisms and cash flow

4.2.1. Damage and technical assessment

Basic information on the extent of damage, the number of affected households etc. should be available already from official sources. Damage categories (slightly, partially, fully damaged) and the needs of reconstruction defined at the central government level will likely shape the general scale, priorities and nature of the reconstruction programmes. However, more detailed surveys may be required to identify the support needed by households within each community.

Technical assessments should be carried out by a team ideally composed of members of both the technical and community mobilization teams and not by an individual.

This is key to ensure (a) transparency in the process; (b) objectivity (according to the selection criteria jointly set up); (c) fairness; (d) assistance to the most needy; and (e) prevention of favouritism or discrimination.

Before conducting detailed technical assessments in identified communities:
- Coordinate with other agencies in the area and identify local partners.
- Define the selection criteria and process.
- Hold a community information meeting
- Coordinate with other actors to complete multisector assessments and avoid interview fatigue.

Household damage and technical assessment
This assessment is detailed and specific to the houses of potential beneficiaries.

Based on initial damage assessment forms or surveys, the extent of damage must be confirmed by your technical team. The boundary of the categories needs to be well defined to reduce the prejudice of the assessment and its openness to interpretation. Your entire team should understand the damage categories and be able to use the technical assessment tools, so as to not under or over-assess damage.

What information is to be sought from a thorough technical assessment?

The household technical assessment may be completed over several visits and should provide all information needed to commence or continue reconstruction. The team needs to:

- Confirm the extent of damage. Create a checklist to facilitate this task.
- Collect information on the suitability of the current land for construction according to agreed standards. Record any changes in the situation from initial assessment information.
- Compile information on land ownership or rights of occupation. Record land boundaries and compare the supplied information with legal records. Liaise with concerned parties when necessary to secure land tenure.
- Record details of access to services: electricity and water.
- Evaluate the access to sanitation. Record the number of users, the current and preferred facilities, and the current and preferred (and appropriate) methods of disposal. Determine the optimal choices and locations for individual sanitation and identify hazards.
- Note roads and drainage available at the site.
- Ascertain any local conditions that may influence the standard design, e.g. trees, swampy areas, topography etc.
- Note any debris or foundations to be removed, as well as any reusable materials on the plot.
- Identify potential hazards and whether more detailed hazard mappings should be carried out.

Community infrastructure damage assessment

This assessment will be used to assign budget lines and necessary resources to identified communities. If information is not readily available, conduct a basic assessment of damaged infrastructure such as roads, drainage, community spaces, community facilities etc. Be sure to include utilities such as water supply, communications, electricity, gas, etc.

Detailed plans will be prepared with the participating families through the community mobilization process, especially through CAP workshops. (See Section 3.3) The affected community, with the programme team's support, will identify the type and scale of the problems that affect the group of families and those which may prevent them from rebuilding or improving their lives.

When addressing the improvement or construction of infrastructure, make certain that all stakeholders are consulted including the adjacent communities and local authorities. The design and construction of any infrastructure works should be completed by qualified personnel to comply with all applicable regulations.

4.2.2. Disaster Risk Reduction (DRR)

The recovery process after storms, earthquakes, floods or other disasters offers the unique chance for settlements to turn their disaster vulnerability into disaster resilience. Therefore, risk reduction and mitigation measures should be an integral part of recovery.

Recovery provides the physical opportunity as well as a collective mindset to introduce changes in structural and non-structural risk reduction elements, and these need to be coordinated in an integrated manner. If there is no building code, the Movement can advocate for its development so that houses can be built to agreed standards and risk to families can be minimized in the future. The development of codes must take into consideration the environmental impact of material and methods, and traditional local practices.

A programme integrating Disaster Risk Reduction into housing reconstruction will contribute to increasing the community's safety and resilience and will create communities better equipped to:

- Understand the disaster risks that they face. They can assess and monitor these risks and can protect themselves and make themselves safe to minimize losses and damage when a disaster strikes.
- Do a great deal for themselves and sustain their basic community functions and structures despite the impact of disasters.
- Build back after a disaster and work towards ensuring that vulnerabilities continue to be reduced for the future. More safety and resilience means less vulnerability.
- Understand that building safety and resilience is a long-term, continuous process that requires ongoing commitment. In the face of such unknown factors as the effects of climate change, or the degree of urban growth or environmental degradation, they understand that there is much that can be done to adapt to future problems and challenges by building on their current knowledge.
- Appreciate the fact that being safe and disaster resilient means that there is a greater chance of meeting development goals which, in themselves, will greatly add to safety and resilience.

From: IFRC Framework for Community Safety and Resilience, in the face of disaster risk.

Core issues for risk mitigation and awareness are:

- The integration of DRR into sustainable policies and the planning of recovery
- Development and strengthening of institutions, legal mechanisms and capacities to build resilience to hazards throughout the recovery process
- The systematic incorporation of risk reduction approaches into the implementation of emergency preparedness, response and recovery programmes

- Building risk reduction into the reconstruction of new buildings and infrastructure
- Community-based activities in all aspects of the recovery to build capacity for risk reduction and disaster mitigation.

Risk reduction also needs to be mainstreamed into the central flow of government policies and planning. Disaster recovery may provide the catalyst/means for such changes.

Obstacles to the introduction of safety measures include:
- The additional costs
- The need to train designers and builders in new ways of building
- The need to educate the public concerning their own behaviour
- The need to develop enhanced safety legislation, such as building by-laws and land-use planning controls.

Participatory Approach for Safe-Shelter Awareness (PASSA)
During the last decade, experience has shown that most fieldworkers increasingly address the subjects of safe shelter awareness through participatory approaches, ensuring that the target communities determine their own safe-shelter measures. PASSA contributes to the overall IFRC Global Shelter Programme's objectives by promoting a participatory method of awareness-raising on safe shelters, suitable for and adapted to various cultural, physical and hazard contexts, as well as on different construction techniques.

PASSA tools encourage community management of safe-shelter practices and provide communities with knowledge and training to solve their own shelter problems and aims to influence behavioural change.

PASSA is intended to be applied when VCA determines that safe shelter is a principal community need, and that its tools are to be used in coordination with, and to complement, water and sanitation and health participatory programmes. PASSA tool is currently being finalised and will be available at the end of 2010.

Recommended reference documents:

IFRC Framework for Community Safety and Resilience

Participatory Approach for Safe-Shelter Awareness (PASSA)

IFRC Procurement manual for goods and services

IFRC Procurement of works and services for construction projects

Cost Benefit Analysis of investing in safety measures. Measuring cost benefits of community disaster risk reduction in Ilam, Nepal

4.2.3. Water and sanitation

The IFRC's programming and advocacy aims to incorporate water and sanitation objectives into general health and development programmes as well as into emergency situations. ODHR programmes must integrate water and sanitation (software and hardware) into their activities.

Water and sanitation includes hygiene promotion, safe water supply, excreta disposal, drainage, solid waste disposal and vector control. Programmes must integrate 'hardware' or engineering solutions related to equipment and construction, and 'software' or activities related to hygiene promotion and behavioural change.

The engineering solutions will be determined by the context and customs of the affected families and should be developed in conjunction with communities to ensure the systems are understood and can be maintained over time.

- The technical specifications and minimum acceptable sanitation requirements must be clearly defined and agreed upon with the relevant national authorities at the outset of the programme. However, the options offered to communities must be based on an understanding of needs, aspirations and sustainability of the systems, rather than solely on technical grounds.
- During CAP workshops, provide technical guidance without disturbing the community's decision-making process and its ownership. This technical guidance will ensure that the community can make informed and realistic decisions, and may come from a member of the team, an external consultant or partner, or from the designated authorities.
- When developing the sanitation systems, consider the water needs and availability, and how other issues may be linked. For example, if water to flush a toilet comes from a well and the well needs a pump, then the pump will require electricity – if there is no electricity, the flushing toilet will not be used.
- Operation and maintenance: The long-term impact of the systems will depend on the individuals' and community's abilities to operate them properly and maintain them. Consider the role of the local authorities in maintaining the systems.
- Water systems require financial resources, spare parts and technical support to be sustainable. Sanitation systems must be maintained and eventually emptied.

The IFRC uses a number of tools to work with households and communities to determine the appropriate solutions and, through 'community management' and 'behavioural change' (hygiene promotion) activities, to ensure medium to long-term sustainability.

Participatory Hygiene and Sanitation Transformation (PHAST)
PHAST is a widely used methodology by the IFRC and consists of seven steps known as the 'standard PHAST process'. Each PHAST step is implemented through a toolkit and a series of activities that include:

- Problem identification
- Problem analysis
- Planning for solutions
- Selecting options
- Planning for new facilities and behavioural change
- Preparing to check our progress
- Checking our progress.

The PHAST process is most appropriate for settled populations. In relocation sites, PHAST can provide a rapid picture of the existing sanitation and highlight areas of improvement. Consider also the use of **Knowledge, Attitude and Practices (KAP)** studies and community sanitary surveys.

Recommended reference documents:

IFRC Water and Sanitation Policy

The complete PHAST methodology and toolkit is available from the 'PHAST step-by-step guide' and the 'International Federation software tools for water and sanitation programming'

4.3. Implementation

Section 2. Programme Development	Section 3. Participatory Process	Section 4. Technical Assistance	Section 5. Financial Assistance
↘ defining management structure ↘ monitoring and evaluation systems	↘ community mobilization, formation of groups ↘ supporting community groups	↘ resolution of land tenure issues ↘ house design and land-use planning ↘ construction monitoring	↘ managing the payment process

Consider the following list of activities related to house and infrastructure construction. Some activities can be initiated and driven by the construction team; however, the majority of activities will be completed by or with the beneficiaries and communities. Ensure that enough time and resources are allocated to liaising with families throughout the programme implementation.

Technical team's activities:

- Household damage and technical surveys
- Development of standard house designs from which beneficiaries can choose or development of individual house plans (or through a consultant)
- Preparation of training in construction skills – after assessing capacity
- Monitoring market fluctuations.

Activities with the beneficiaries where technical support is needed:

- Risk mitigation and awareness
- Securing land tenure where this is an issue
- Obtaining planning approval from local authorities and official recognition on completion
- Ensuring safety during construction
- Construction and supervision of the house and its sanitary system.

Activities with the community where technical support is needed:
- Settlement planning – spatial planning, blocking out or setting out
- Prioritizing, planning and building of community infrastructure
- Support on material procurement
- Planning and executing operations and maintenance plans.

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A licensed person/consultant in possession of professional liability insurance should design house plans, settlement plans and any infrastructure plans. The designs must be approved by the appointed government authority.

4.3.1. Settlement planning

The determination of individual lots is important for the successful planning of the settlement and should include both individual land and land shared for community purposes.

The community may decide to re-plot the land to bring access roads, community sites and other services into the neighbourhood. This technique also permits the re-plotting of landholding into more rational/sensible, and therefore more viable, holdings for development. The benefits of such schemes to the landowners are clear. They receive re-plotted land of higher value and with better access to services. The costs and benefits of the land readjustment process must be considered.

Considerations:

- The land identification process should take place in two stages: first, understand the community requirements for individual and common land (layout planning) and, second, physically set out these areas (block-out planning).
- Encourage community members to undertake the setting-out of each of their homes, but make sure they are supported to ensure it meets regulations and there is access to daylight and ventilation into the house.
- If a consultant is providing land-use and planning advice, prepare a design brief that includes participation in design workshops and allows the participant families to ultimately decide on settlement and house types.
- Determine ownership of land and confirm that tenure is secure.
- The outer boundary of the settlement has to be identified and marked out on a map.
- Boundaries between individual beneficiaries should be agreed and clearly marked out.
- Boundaries for common and public spaces such as roads, drainage, sewerage, water, communal bathing areas, community gardens etc. should be identified.
- Identify uses of land and plan accordingly to avoid conflict, e.g. animal migration routes.
- The positioning of the house in its plot according to building and land-use regulations.
- Land boundaries.
- Rights of way.
- Proximity of water sources.
- Slope and plot run-off.
- Relationship between water sources and sanitary systems.
- Refer to 4.4 Specific Considerations for Relocation Sites, for more information.

4.3.2. House design

The beneficiary will be responsible for acquiring a house plan designed by a licensed professional. The programme team will support this task when necessary by providing access to professionals and financial assistance to cover fees. For families unable to access professionals or in circumstances where professional services are not readily available in the area, the programme team may propose type plans (designed by a licensed consultant) for families to choose from.

The design of each house must be based on the minimum agreed reconstruction requirements, should address potential hazards (floods, wildfires, earthquakes etc.) and the local climate, as well as cultural norms of the communities. If a national authority has produced minimum standards or requirements for the construction of new houses, these need to be followed during the design process.

Considerations on house design:

- The choice of construction method and materials – initial cost, maintenance, availability, practicality
- Responsible incremental upgrading or expansion – the extensions should follow the same quality construction methods and not become a hazard
- Environmental sustainability and risk reduction
- Traditional techniques – reconstruction is often associated with a dramatic change in construction techniques and material to ‘improve’ the housing stock: traditional techniques can meet requirements when used appropriately to complement new techniques
- Prefabrication and bulk purchases – what portions of the house may be prefabricated and bought in bulk (roof trusses, windows, staircases, other structural elements)
- Design that improves ventilation, climate control, sanitation, fire safety, hazard reduction (e.g. storage of fuel, options for ventilation

that may not include windows, seismic and/or wind reinforcement, flood-proofing)

- Pooling of resources for sub-families – a house that can integrate two or more families who live together
- House as livelihood – can a house design help provide a means for improving income generation?
- Size of the plot and positioning of the house – placement of the house to utilize the plot to its best configuration
- Traditional beliefs – will traditions or beliefs prohibit certain spatial configurations? Can the house be considered unusable because it violates those beliefs?
- Universal design – address the specific spatial needs of the elderly and the disabled. The community mobilizer will play an important role in putting forward the needs of the elderly or disabled family members. However, be very careful/sensitive because these individuals may not be comfortable discussing those needs in a group setting, or families may be reluctant to ask for, or may not know about, spatial planning needs for the disabled.

Recommendations:

- Develop type plans based on the average size of a family and specific cultural requirements. If the type plans respect cultural traditions, it is likely that one of those plans will be suitable for the majority of the families. Each beneficiary may then adjust or personalize the standard design (not structural changes), within the parameters of the budget and minimum standards.
- In special cases (e.g. disabled family members, grouping of families into one household, houses used for income generation), a custom design may be necessary.
- Processing of approval can be completed by the beneficiary with the team's support.

Figure 21: Who designs the house? Benefits and challenges

	Consultant	In-house by the technical team	Beneficiary
✔	• The consultant is responsible for ensuring that the design complies with building regulations • Liability for design failure is the consultant's responsibility • The brief may include processing of approvals • Ideal for complex design requirements	• Easy to develop standard BoQs • Easy to develop technical guidelines and to monitor construction as the majority of the houses will follow similar specifications • Each beneficiary may adjust the standard design to suit their individual needs, within the parameters of the budget and minimum standards	• The design decisions will be in the hands of the individual families • Opportunity for customized design
✗	• High fees, especially if the design is to be adapted/customized • If the design is changed in the field, the consultant is freed from liability • The design brief to the consultant must specify participatory methods • Families may not be available during this stage for design workshops	• The technical team is responsible for ensuring that the design meets regulations • It requires additional certification by a licensed professional (external consultant) • Processing of approval must be completed by the beneficiary with the team's support	• Who will cover the cost of the plans? • Customization is not always a priority: it has been observed that groups of families will purchase one house plan rather than pay for individual plans • Time spent to review and approve design and BoQs • Time spent customizing technical support documents

4.3.3 Preparing Bills of Quantities (BoQs)

Once the house types have been developed, or the house design has been chosen by the beneficiary, determine the construction stages and steps to follow.

Prepare a BoQ and a basic list of methods/techniques to be followed. Consider variations in prices from region to region and prepare a BoQ per house type and per region.

Recommendations:

- Organize construction into several stages and separate BoQs into a series of steps (matching instalments) to ensure that the amount of cash distributed is manageable for the families, and to reduce the risk of misspending of large amount of funds.
- For each step, the BoQ should be prepared in the local language to give the families a guide to the amount they will receive, what they can afford with the money and the maximum amount allocated for each item. Refer to Annex 6: Technical Support – Bill of Quantities (BoQs) in Local Language. In this BoQ, give options for acceptable cost savings, e.g. recommend a range of prices for acceptable timber classes.
- Take into consideration:
  - Labour, transport, material cost
  - Equipment cost
  - Minimum material quality standards
  - Regional variations in prices and available materials
  - Regional variations of construction techniques
  - Exchange rate losses and gains
  - Utility connections.

4.3.4 Obtaining planning approval from local authorities

Obtaining planning approvals can often be difficult to manage but, if such institutions are in place in the country, it is very important to obtain these approvals to protect beneficiaries' long-term interests. The programme should support this process and liaise with relevant authorities to grant planning approval prior to commencement of construction.

When using a consultant, he/she will be responsible for ensuring that the designs meet current standards and for implementing the approvals process. However, you should understand the regulations to be followed. When designing in-house, the thorough review of standards becomes even more important to minimize legal risks.

4.3.5 Construction monitoring

All construction should be undertaken using the relevant standards. The standards and specifications used by the programme team should be well discussed, agreed and clearly communicated to the national and local authorities as well as to beneficiary communities.

Frequent and thorough technical advice and supervision is essential to ensure quality construction:

- Daily supervision is recommended during certain stages of construction, such as the building of foundations and other structural components, and the setting out and building of sanitary systems.
- Train beneficiaries and local skilled persons to ensure that the expectations of quality and techniques are clearly communicated. Encourage good practices in construction, while not neglecting the relevance of local building methods.
- Trained individuals within the community may contribute to quality monitoring; however their presence does not necessarily substitute for a technically qualified supervisor.

- Families and local labourers engaged in the communities should receive basic training on construction safety measures.
- Structural work requires additional attention and MUST be closely supervised. At the finishing stage, the time spent on each house can be reduced.

The supervisors and engineers will monitor the progress and the quality of the construction and will:

- Maintain a logbook with each family; the family should record the purchases, the days worked, the labour payments, the visits of the supervisors etc.
- Inspect the quality of material brought to the site and reject immediately any materials that do not meet requirements
- Note in the beneficiaries' logbooks any comments or suggestions made on site (drawings are usually more helpful than are lengthy descriptions)
- Hold site meetings with labourers and explain the methods to be used.
- Demonstrate methods at the site for beneficiaries to follow
- Inspect certain fundamental steps, e.g. cutting and binding of reinforcement prior to concreting.

Consider:

- How many hours a day will the technical team spend in the field? How much non-fieldwork (suppliers, utilities, local officials, office time etc.) will need to be carried out?
- How long should they spend at each house visit? How often will they visit each house?
- What do they expect to achieve from those house visits? Will they check progress only or will they check quality of materials and techniques too? Will they address the beneficiaries and labourers and explain methods?
- How long will it take to walk or drive to other houses?

How many houses can a supervisor monitor?

Let's consider that a supervisor spends seven hours a day in the field; he/she spends 15 minutes ONLY in each house and all the houses are within negligible walking distance from each other. He/She spends NO personal time and doesn't travel to the office or visit suppliers or local officers etc. He/She will visit a maximum of 28 houses a day.

(7 hours)	/	*(1/4 hour)*	=	*28*
(Working hours at the site)	/	*(Time spent in each house)*	=	*houses*

The number of houses that the programme team can effectively supervise at one time will also depend on the speed of construction; a fast-running programme requires more attention and more time spent in each house. Include approximate travel time when monitoring different sites or random house locations and calculate the time for non-fieldwork.

Construction meetings

It is recommended that regular meetings are held with the families to distribute technical documents, such as drawings and explanations of methods, and to cover major issues at each construction stage.

Explain complex items in the BoQs, give guidance on quality, bring samples of materials and, whenever possible, hand out photographs/ drawings of 'what to do' and 'what not to do'.

The supervisor should keep a record of site photographs and use them at the meetings as examples or to help when answering questions.

Beneficiary logbook

Each family should maintain a logbook. This can be a simple school exercise book. All visiting technical officers and other personnel must record and date their visit in the logbook.

Consider recording the following in this book:

- Instructions and advice given to the beneficiary on technical and other relevant issues
- Quality or inadequacy of building materials
- Delays due to family illness, interference by outside parties etc.
- Simple drawings which help to illustrate the advice given
- Dates when instalments were received.

Certification for release of payment

The family may request payment when the work has been completed. The supervisor or technical officer should certify the completion of the works and forward the request for payment. This process will be complementary to the government representative's sign-off, where applicable.

All supervisors and construction managers should have a common understanding of the level of completion required prior to certifying a payment. For instance, 95 per cent or 100 per cent completed will mean different things to each team member, as will 'quality' construction. Recognize that finishes or any other items considered non-essential may be particularly neglected and reinforce the need to complete all works prior to certification of payment.

Authority sign-off

When working in instalments, it is recommended that government representatives sign off each construction stage before the release of payment and/or certify the completion of works according to regulations.

It is not recommended for programme team members to certify compliance of construction works to building regulations; this should be the responsibility of the regulatory bodies of the government.

4.3.6. Completion of works

Beneficiaries have pressing needs beyond house construction. In an ODHR programme, there will be unfinished works and there will be unfinished houses. The reasons will vary as much as will the make-up of the families.

The rates of non-completion are generally low and may not affect the programme in a significant way; however, steps should be taken to minimize the number of drop-outs.

All possible strategies must be used to help each family complete their house as this will be their only opportunity. The mobilizers must be able to identify when a family is struggling to cope with the responsibilities of the construction process, to communicate this to the technical team and to ensure extra support is given to these families, e.g.:

- Payments may be stopped for a period of time to allow the family to catch up with their programme responsibilities or to rectify any mistakes (mistakes are minimal when supervision is appropriate).
- Additional help may be given such as in sourcing materials, the increased presence of a supervisor on site, help communicating with labourers etc.
- Further training may be provided on financial management or construction techniques.
- If the family member responsible for construction can no longer fill this role, find an alternative person within the family or within the construction group.
- If the family does not complete the work within a specified period agreed by the family, the construction and the community team, further payments may be cancelled.

Final payment

The final payment, in particular, is often used for other purposes and the programme authorities have little recourse to make sure the beneficiaries complete the house.

- **The final payment** should be large enough so that families would not want to lose it, but the items to be covered by the final payment should be considered non-essential as they are more likely to be left incomplete. This may include items such as the cost of electricity, non-essential finishes etc.

- **Reimbursement:** The last payment of a significant amount is approved by the project team only when the beneficiary has completed construction according to the programme's specification. This may give you more security that the work will be completed, but it will also be difficult for the poorer families to reimburse unfinished work and probably drive them into debt. In addition, it will cause delay on completion while the families secure sufficient resources to pay for the work.

- **Incentive:** When programme funds allow, the programme provides a final bonus payment to those who reach the programme objectives in the form of an individual livelihood start-up grant. Recognize that this method benefits those who are better off and complete the house without delays, and may raise equity issues if not all families reach completion. Alternatively, the incentive may fund a community project to be identified during the CAP workshops.

Obtaining a 'Certificate of Completion'

Where applicable, upon completion of the house by the beneficiary, the local authority should inspect the house and issue a 'Certificate of Completion' or any other form of legal recognition.

4.4. Specific Considerations for Relocation Sites

It is always preferable for people to be able to return to their place of residence and to rebuild in situ; however, relocations of various scales may be unavoidable. The development of relocation sites poses a challenge to reconstruction and to participatory approaches, and requires extra care and planning.

Relocation sites are often associated with low-value, isolated pieces of land, far from economic opportunities and lacking in basic services. Developing these sites responsibly includes the provision of utilities and infrastructure and the integration of relocated communities into the social fabric of the new area.

Ideal (but often unattainable) conditions of a relocation site:

- Located close to their previous place of residence (or within socio-cultural boundaries)
- Appropriate environmental impact of use of allocated lands
- Free of hazards
- Access to previous livelihoods or opportunities for new livelihoods
- Access roads and transport links
- On-site services
- Capacity of physical infrastructure to accommodate new development (water supply, drainage, electricity, roads etc.)
- Potential of community infrastructure to accommodate new families (educational facilities, health care, places of worship etc.)
- Located within a receptive host community where there will be a positive impact from the new development in the host communities.

4

In some cases, you may work with a group of families who have acquired private land to which to relocate. This option is ideal if the land acquired meets the conditions above. When the land purchased is of low quality and the families have no choice but to remain on the site, give priority to the development of infrastructure in these sites as long as the use of the land does not pose a risk to the safety of the families, or result in environmental damage. Alternatively, the government may assign or nominate land for development. In this case, support families in securing legal title of the plots prior to the start of construction.

The occupancy rates and beneficiary satisfaction in relocation sites are linked to:

- Access to livelihoods (market and transport)
- Acceptance by host communities (safety from violence)
- Safety from hazards
- Availability of services such as water supply, sewerage, electricity and drainage
- Access to social infrastructure such as educational facilities, health care, places of worship etc.
- Security of tenure – ownership of the land or legal approval of long-term occupancy
- Quality of the houses.

4.4.1. Assessing the land

Four aspects should be investigated: (1) land use: administrative jurisdiction and legal issues; (2) basic services: utilities and other services; (3) physical conditions: potential hazards, environmental concerns etc.; and (4) the host community: likelihood of acceptance of new families.

Land use

- Study the size of communities grouped under one economic group and the ratio of communal resources per household before determining the appropriate density and needed infrastructure.

- Know the rightful previous and current owners of the land, and the current authority with jurisdiction over the land. Determine land tenure security for the new settlers.
- Analyse development patterns and compare with land-use plans to determine settlement planning.
- Identify the approximate capacity of the land according to both government regulations and the site conditions.

Basic services

Secure utilities prior to development of the site. The pressure to begin construction will result in unfounded promises from service providers; so, aim to secure more than just commitments, be prepared and plan to wait before commencement of works. Lack of services may delay construction and prevent beneficiaries from occupying the houses. Unoccupied houses require security against looters at high costs.

- Services – sources and supply of energy, water supply, treatment and distribution – may be lacking.
- Existing solid waste management may be inadequate.
- If permanent services cannot be guaranteed initially, should you consider temporary provision? Could those resources be better spent on permanent infrastructure in other sites, or in more houses to benefit a larger number of families? Determine who can provide the services, at what cost and for how long. Even if the programme is able to fund service provision temporarily, does it make economic sense?
- How far should services extend? Be aware that the host community may lack those services. Will the arrival of new families with preferential/special access to services be divisive? Whenever possible, advocate for services to extend beyond the resettlement site.

Physical conditions

- Assess potential hazards and physical risks e.g. floods, landslides and earthquakes, considering also potential changes in weather-related hazards due to climate change.
- The environmental impact of the development and possible mitigation measures need to be considered.
- Access and transportation – how far to the nearest transport facility? Distance from previous home? How much will the cost of material transport affect the cost per house?
- Drainage – where is the nearest discharge point and how will additional volumes of water (such as stormwater, flooding) affect the host community?
- Identify additional infrastructure needs, other actors in the area and their capacity to address some of the needs.

The host community

- What is the make-up of the host community (ethnic, religious, socio-economic)?
- Is there a possibility of social, religious or ethnic conflict?
- Livelihood patterns, opportunities and needs – how will the influx of new people impact the area?
- Prepare social maps of the area identifying communal/shared infrastructure such as concentrations of trade, schools, places of worship, health-care facilities etc.
- Liaise with local authorities of a governmental, civil and religious nature and determine how receptive they are to new settlers – gather support prior to construction commencement.

Figure 22: Benefits and additional challenges in relocation sites

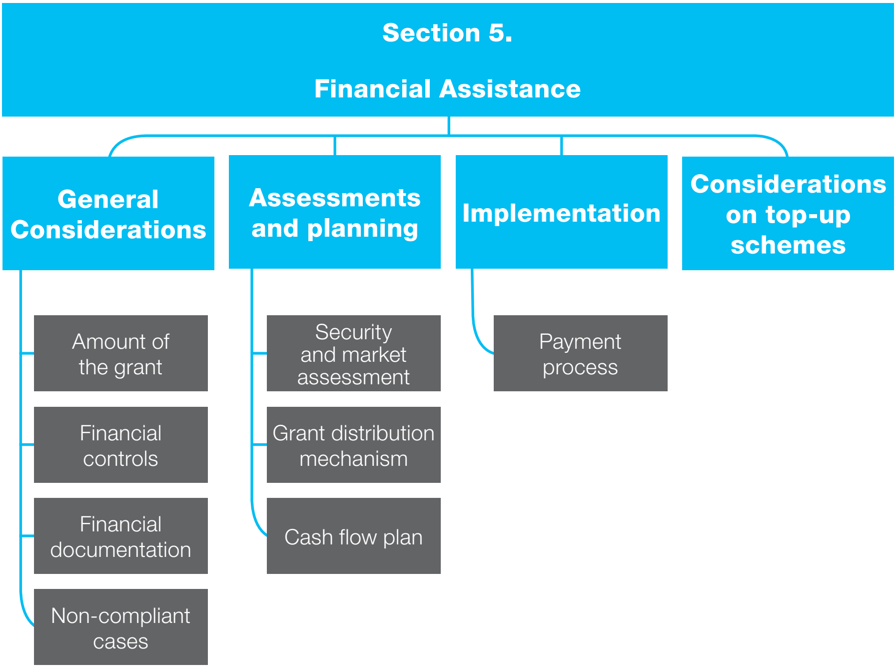
- Supervision and monitoring is easier when all families are in one place. Additional meetings can happen regularly on site to observe best practices.
- The same labourers may work on several houses and transfer knowledge.
- Material samples can be distributed easily. Cooperation/ collaboration and bulk purchasing can be encouraged.
- Community organization is easier; meetings can happen more regularly and attendance is improved.
- Community activities are more challenging if families come from different areas and don't know each other or if there are internal conflicts.
- Families will move to the site almost immediately after construction starts which prompts the need to secure basic services (water, electricity, transport, sanitation etc.) and temporary accommodation.

- If the land is far from market towns, the cost of construction increases. Procurement is unlikely to happen in bulk; although communal/shared purchasing can be encouraged, families may prefer to work individually.
- When families relocate, they may cross administrative boundaries. The previous authority may be eager to disengage from the families and the new local authority may not be welcoming of the additional responsibilities which include supplying services to those new families.
- Shortage of land (and high prices) will reduce the chances of finding suitable sites.
- If infrastructure needs are not addressed, it will reduce the occupancy rates and overall satisfaction. Be clear about your capacity to provide infrastructure, explain what is outside of your control and do not make promises you cannot keep.
- Land tenure – Refer to 4.1.3 Resolution of land issues.

Section 5/ FINANCIAL ASSISTANCE

The Sri Lanka Red Cross and Irish Red Cross provide homes and livelihood support to tsunami affected families. Woman prepares for cooking in her new house in Sri Lanka's eastern district of Batticaloa, on Tuesday, 2007 (Gemunu Amarasinghe/IFRC)

1 2 3 4 5 Annexes



5.1. General Considerations

This section should be read in conjunction with the International Red Cross and Red Crescent Movement's Guidelines for cash transfer programming.

Recommended reference documents:

International Red Cross and Red Crescent Movement Guidelines for cash transfer programming, Practical tool 4: Direct cash transfers step by step. Practical tool 5: Assessing financial institutions. Practical tool 7: Planning financial flows

Oxfam GB, The Emergency Market Mapping and Analysis tool (EMMA)

IFRC Procurement manual for goods and services

IFRC Procurement of works and services for construction projects

5.1.1. Amount of the grant

The grant amount must be sufficient to complete the house to agreed specifications preventing families from going into debt. Consider the following when determining the grant and instalment amounts:

- **Fees:** Design fees, bank transfers, withdrawals and other account fees that the programme will cover.
- **Appropriate size of the instalments:** The amount distributed must be manageable by all families to reduce the risk of misspending.
- **Price increases:** Cost escalation of both construction material and labour supply must be monitored closely and regularly during the implementation period. If prices are not monitored and payments increased accordingly, the most vulnerable families will be most affected and less likely to maintain progress of construction.
- **Timing:** Determine when payments will be processed based on the field and head office's capacity to transfer information and on the bank's capacity to credit accounts.

Changing instalment schedules

The assumptions on which the initial instalment schedule is defined may change from time to time, at a national or at the field level. Raw material prices may vary over time, or construction techniques may need to be modified. Foundation costs may increase while the costs for walls decrease, for instance, prompting an increase in the first instalment amount and a decrease in the sum of the second instalment. The instalment schedule may therefore need to be revised periodically, by locality. The tools and procedures have to allow for sufficient flexibility to implement a revised instalment schedule, for one or several districts.

5.1.2. Financial controls

There may be several levels of controls to mitigate/manage the risks. The appropriate level of control will need to be chosen depending on the likelihood and consequence of the risk and may need to be adjusted occasionally.

Recommendations:

- Monitor the number of technical certification forms filled per week.
- Manage the list of payment requests.
- Control the use of signatures required on payment requests.
- Compare/reconcile account numbers in payment requests file with account numbers from list of active beneficiaries.
- Reconcile/check the payment requests file against the list of credited accounts obtained directly from the bank and from field reports.
- Check for errors on registration forms or progress reports.
- Monitor the risk of beneficiary identity theft at bank branches.

5.1.3. Financial documentation

Documents need to be collected, stored and retrieved for internal or external control purposes. Storage requirements may vary, depending on volumes. The duration of the required document storage may be adapted from time to time.

Documents required for the payment process include:

- Technical progress certificate
- Beneficiary, payment and instalment database
- Log of non-compliant cases and errors
- List of requests of payment at field level
- List of approved requests of payment at national level
- Back-up of the file of requests of payment
- File and paper copy of the list of accounts credited by the bank
- Copy of all evidence of changes in the payment list (add or remove)
- Copy of all evidence of changes in the log of non-compliance and errors (change in status, add or remove).

5.1.4. Non-compliant cases

Non-compliance may arise from data management errors or from lack of progress of construction. Non-compliant cases should be reviewed periodically by a programme team. Based on the team's analysis and recommendations, actions may be taken to support those families to become compliant or the decision may be made to stop payments to them permanently. Maintain a log of all non-compliant cases, including actions decided and status of cases. The log will be used to make sure that all non-compliant cases are dealt with. It will also be used for reporting purposes.

Define possible categories of non-compliance and a process to deal with those cases. Keep in mind that new non-compliance categories for unforeseen issues will appear during the course of the programme.

5.2. Assessments and Planning

Section 2. Programme Development	Section 3. Participatory Process	Section 4. Technical Assistance	Section 5. Financial Assistance
↘ institutional framework ↘ internal capacity ↘ programme logframe ↘ identify resources ↘ prepare time plan	↘ capacity assessments of families and communities ↘ define beneficiary's responsibilities ↘ beneficiary selection	↘ damage and technical assessments ↘ DDR, VCA/ PASSA/PHAST ↘ identify 'water and sanitation' needs	↘ **security and market assessment** ↘ **define grant distribution mechanisms and cash flow**

5.2.1. Security and market assessment

A functioning market where goods and labour are available at the local level is essential for starting operations, as are security conditions that ensure the safety of programme staff and the beneficiaries handling cash grants. The conditions may change and those changes will affect the way in which you deliver assistance, the reach of your programme, your mobility, your budget etc. Security restrictions, price rises due to high demand and lack of appropriate transport facilities can negatively impact your programme's success.

Security:

↘ Document the likelihood and impact of deteriorating security situations and disruption of supply chains and assess your possible responses.

- Assess the security situation of your area, the presence of armed/criminal groups and the history of crime from the local population.
- Are participants at high risk of theft or extortion when receiving and handling large sums of cash?
- Assess the risks of corruption the participants or the programme team members may face.
- How will limited access to communities affect the programme? Can you continue to operate effectively without access?
- Evaluate the availability of goods/materials; foresee the impact of high demand on price and delivery time.

Market conditions:

- Evaluate the existing banking system – is it functional and reliable? Are there other institutions that can be used?
- Would cash be a better alternative; if so, is it safe to deliver it etc.?
- Is there a functioning supply of materials and labour at the local level?
- Are the materials needed available locally? How far will they need to be transported?
- Do prices change from season to season? How often will you need to review your budget against market prices? How will the distribution of cash affect the prices?
- Do certain items have restrictions on movement or supply?
- Plan for cost increases, build in contingencies (plans for unforeseen events) and be prepared to reduce the numbers of beneficiaries or the extent of assistance.
- Recognize potential areas of savings and the percentage of reductions that the project specifications can take without affecting quality.
- If skilled labour is not available, consider the training of unskilled workers and/or participant family members on your specific and/or general construction methods.

5.2.2. Grant distribution mechanism

The grant can be delivered to the beneficiaries directly in cash or through financial institutions. When cash is not an appropriate commodity, the programme can be adapted to distribute construction materials. Consider the benefits of all methods and choose the mechanism that best suits the programme and the beneficiaries in each particular area.

Direct cash distribution

Cash distribution meetings can be an excellent venue for technical meetings, airing grievances, inviting local authorities to brief participants on the status of services etc. During these meetings, there is direct contact with the families and, when all families receive cash in hand, there is an enhanced sense of transparency as the distribution is verified by witnesses.

Cash may be delivered more quickly than bank transfers can be made as it relies on fewer transactions at local banks; however, security conditions may make this method too risky for programme staff and for participants. Cash distribution also becomes more difficult as the size of the programme increases.

- Is there a safe place to meet and distribute cash?
- What will happen if a family falls victim to theft after payment?
- How long will the families commute to the distribution centres?
- Can cash be safely packaged and transported to distribution centres?
- Cash requires safe places to be stored before distribution.
- Cash requires preparation of receipts and witnesses.
- Who is authorized to distribute cash?
- How many cash distributions can be made per month? How many payments per distribution?

Bank transfers

Banks transfers pose lower risks of theft for participants and eliminate those risks for programme staff. The payments and verification processes need not be managed at the field level. Also, bank transfers provide an opportunity to access the banking system and to introduce savings. Speed of delivery will be dependent on a bank's structure. It will take time to establish agreements and appropriate transfer mechanisms, and to set up individual accounts.

- Does the local branch of the bank have the capacity to process increased numbers of accounts or large numbers of cash withdrawals at one time?
- What kind of agreement will the banks require?
- How long will it take for a transfer to reach the participant's bank account and will there be bank fees?
- Do the participant families have bank accounts? Are they in the same bank?
- Are all families able to set up accounts?
- Monitor incidents of robbery on exiting banks
- Explore cash transfers through remittance agents.

Materials distribution

Where cash is not an option, or where materials are difficult to find, it may be necessary to support families with procurement or to directly purchase and distribute materials.
Material distribution facilitates quality control and reduces the risk of misspending of funds.

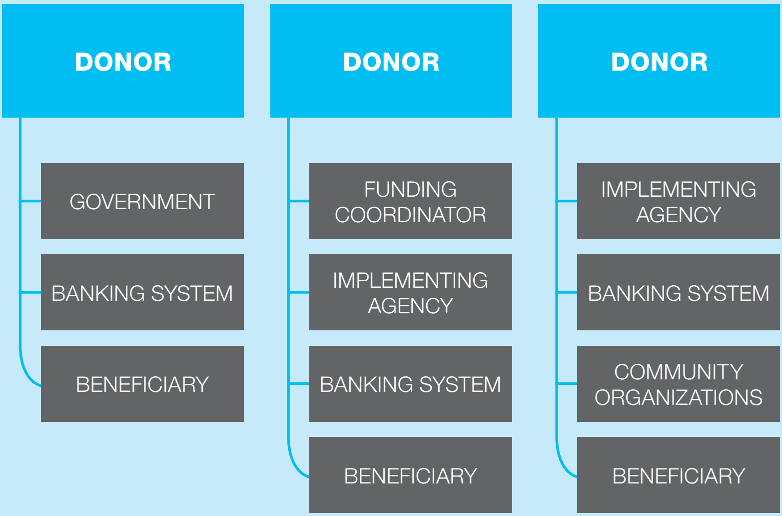
Material distribution raises other considerations, such as:

- Adherence to procurement procedures
- The fact that materials distributed will be associated with the Movement and must therefore be carefully selected
- Proper timing of supplies to minimize wastage
- Safe and secure storage facilities
- Maintenance of storage logs
- The effect of introduced materials on local industries
- Selection of sustainable building materials.

5.2.3. Cash flow plan

How will funds flow from the donor to the beneficiary? How long will it take for each step? Who is involved at each step? How do you check receipt of funds? How do you verify the appropriate use of funds?

Figure 23: Examples of flow of funds from donor to beneficiary



Sources of funds:

Funding can be fully provided by the programme or be made available jointly by the programme team and government or other agencies. Under a combined funding strategy (top-up) the programme must track all payments made from all sources and ensure that the funds are used for their intended purposes. Once again, careful and frequent supervision of the construction progress will limit the risk of funding being used to cover other family needs.

Distribution of funds:
Which funds will be transferred directly to beneficiaries and which will go through implementing agencies or partners? How do operational costs flow differently from programme costs? What is the verification method for receipt and proper use of funds?

Number of payments:
The number of payments will be determined by the technical team and will depend on the schedule of works. It is important that the amount be agreed by all partners or departments based on suitable manageable amounts.

Payment process:
Once the funds are received by the implementing agency, how will they arrive in the beneficiary's bank account? Who will process the payments and how long should the process take etc.?

Figure 24: How the funds may flow from programme accounts to beneficiary

Max no. days– Technical team

- Beneficiary requests OR
- Technical supervisor checks request
- Area manager confirms
- Data forwarded to finance

Max no. days– Finance

- Data confirmation
- Generation of payment request
- Head office sign-off
- Payment initiation by finance manager

Max no. days– Bank

- Handover of payment order to bank
- Money transferred to beneficiary's account/ deposited by hand

Max no. of days– Finance

- Confirmation of receipt of payment
- Bank reconciliation
- Verification of use of funds

5.3. Implementation

Section 2. Programme Development	Section 3. Participatory Process	Section 4. Technical Assistance	Section 5. Financial Assistance
↘ defining management structure ↘ monitoring and evaluation systems	↘ community mobilization, formation of groups ↘ supporting community groups	↘ resolution of land tenure issues ↘ house design and land-use planning ↘ construction monitoring	↘ **managing the payment process**

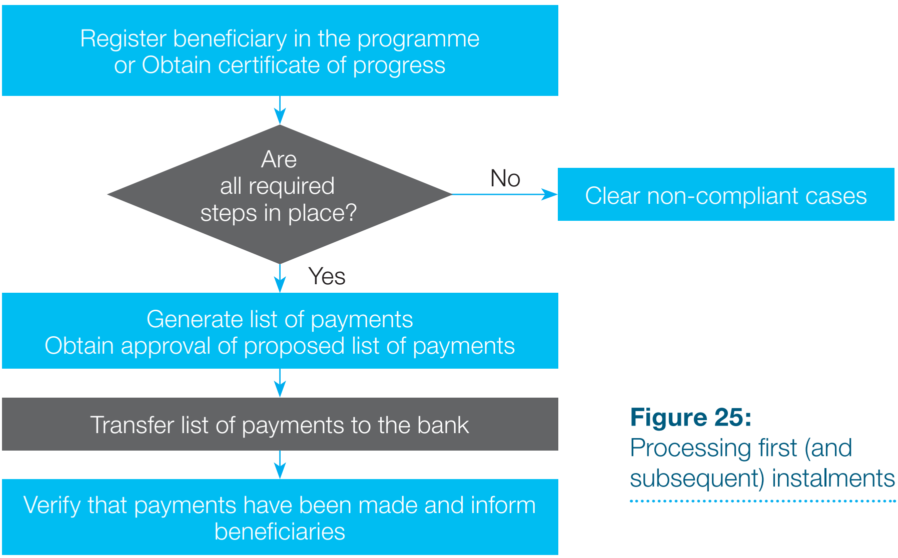


Figure 25:
Processing first (and subsequent) instalments

5.3.1. The payment process

Funds will be transferred to the beneficiary in one or several instalments, to the same bank account or by cash in hand. With the exception of the first instalment, all instalments will be transferred only if the progress of the construction of the house is satisfactory up to that stage. Engineer technical officers on the field will be responsible to certify that progress is satisfactory.

5.4. Considerations Specific to Managing Top-up Schemes

A top-up programme will combine funding from different sources, which may be distributed at various stages and through a range of channels. Beneficiaries may have received one or several instalments prior to joining the top-up programme. Collect information on the number of instalments already received, the dates and the amounts.

Administrative considerations for top-up grants include:

- When was the initial grant disbursed?
- What is the current flow of funds?
- Disbursement mechanisms for existing funds – are they efficient and can they be used to disburse the top-up grant?
- Do the bank networks used for the base grant provide suitable services for the top-up programme and are they within accessible/ easy distance for the beneficiaries?
- How will the programme collect confirmation on base grants – through the bank, government authorities or beneficiary accounts?

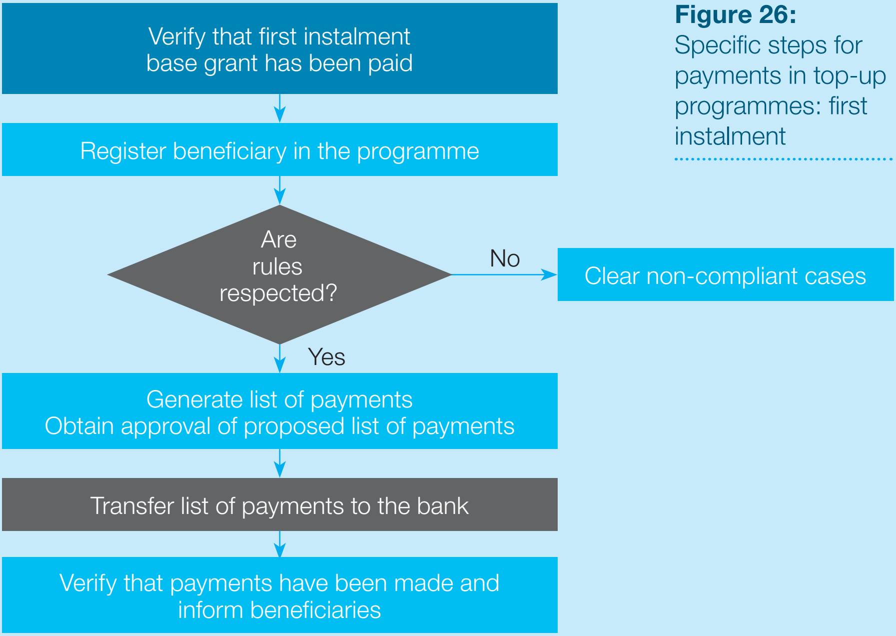


Figure 26: Specific steps for payments in top-up programmes: first instalment

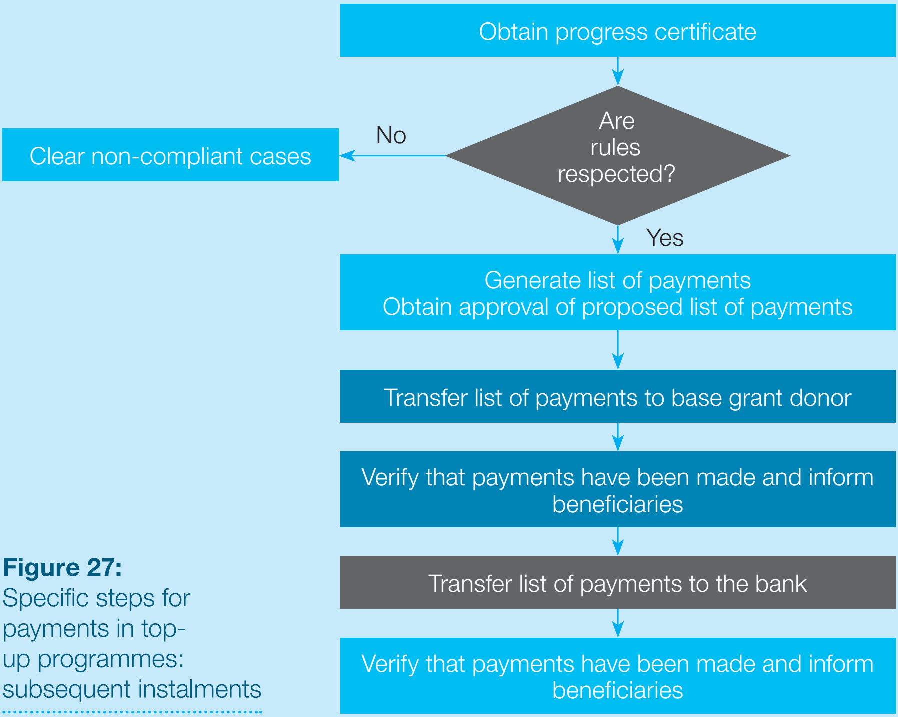


Figure 27: Specific steps for payments in top-up programmes: subsequent instalments

A family from Nias Island, Indonesia, smiling in front of their new house provided by the Canadian Red Cross. Their new home is one of the more than 19,200 permanent houses built by the Red Cross Red Crescent in Indonesia since the beginning of the recovery operation. (Ahmad Husein/IFRC)

Annexes/

Annex 1: What to Monitor in Owner-Driven Housing Reconstruction (ODHR)

General programme design

- How are the beneficiaries actively involved in the programme-designing process?
- To what extent are men's and women's needs addressed in the programme design?
- How familiar are members of staff (field and head office) with the implementation guidelines and programme procedures?
- What are the most positive results?
- How do you evaluate the success of the overall performance of the programme? E.g. housing quality: percentage of houses compliant with regulations, percentage of houses exceeding regulations/standards, percentage of houses completed within set schedule, percentage houses occupied etc.
- To what extent are men and women's needs realized after programme implementation?
- Major changes: What are the major changes brought about by the programme to the daily lives of the resident families?
- Is the grant amount sufficient to complete the works? How much extra have people spent on their houses? Where is this money coming from?
- How is the grant being spent? Who manages the funds within the families?
- Are families victim of harassment, extortion or corruption? If so, by whom?
- How does the actual payment time cycle compare to the planned cycle?

Programme management

- Coordination: How has the programme team coordinated its activities with the official and traditional authorities and other relevant actors (the partners) in the field to ensure acceptance by local leaders and political figures?
- Was the overall coordination method adopted at all operational levels sufficient to achieve programme objectives?
- Was the coordination method that was followed to link the programme activities with other (government and international and local NGOs) similar programmes satisfactory?
- What are the main hindrances in the programme management? How do responsible managers overcome them?
- Are there any delays in producing the outputs? If yes, how are they managed?
- How do programme managers handle any risks?
- How useful/efficient are the financial procedures?
- Human resources (considering the given context of the labour market): Does the programme provide an operational team of sufficient size and quality to assure proper monitoring of the activities?
- To what extent have the stakeholders been satisfied with the information received?
- Are the responsibilities of programme management clearly defined and executed?
- To what extent were the programme management structures and procedures reflected by, or adapted to, changes in the context? E.g. increase or decrease of project staff in selective areas, increase or decrease of costs, challenges accessing beneficiaries, any delays with banking systems etc.
- To what extent did the programme foster beneficiaries' participation in project design, implementation and monitoring?

Social development and livelihoods

- How far is the baseline data/information adequate to design the livelihood or income-generation programme?
- Does the intervention facilitate 'Back to Business' in its design, providing hands-on services to micro and small businesses that were affected?
- Has the programme foreseen any complementary livelihood activities for the residents (men and women) with immediate and/or long-term effects?
- What are the kinds of livelihoods/income-generating activities supported by the programme that are more effective (traditional as against modern) to the beneficiaries?
- On what data does the programme choose the activities carried out?
- To what degree are these complementary activities coordinated with the main activities?
- Does the programme address new activities in income generation for the target population (for men and women)? If so, to what extent?
- What has been their success in terms of employment and income?
- Have the community's and beneficiaries' personal savings increased?
- What are the most significant changes in the lives of the beneficiaries that are linked directly (or indirectly) through the programme?
- What are the major social and socio-economic changes caused by the programme for affected people?
- Does the programme generate economic benefits (immediate and long term) to the resident families (for men and women)?
- Does it generate economic benefits for other people?
- Opportunities: What kind of opportunities has the programme created for the target population to gain knowledge or skills?
- What percentage of the families has increased their income levels compared to their pre-disaster situation, directly as a result of the intervention?

1
2
3
4
5
Annexes

- Continuity of former activities: To what extent does the programme enable the residents to pursue their former livelihood activities?
- Possibility for alternative livelihood activities: To what extent does the programme enable the residents to pursue new livelihood activities?
- Has the programme had any empowering effect on marginalized people?
- How do beneficiaries finance the maintenance of their houses including latrines/sanitary facilities? Can they afford it?
- To what extent do beneficiaries have access to credit and savings?
- To what extent do beneficiaries have access to other livelihood support agencies?

Partnerships

- Are roles clearly defined and understood amongst partnership members?
- What are the main hindrances to good partnership? How do you overcome them?
- Are resources and responsibilities equitably and appropriately shared?
- Are organizational arrangements effective in providing services to the affected families?
- How do partners communicate? What information has not been shared?
- Are reports shared at agreed times?
- Are roles of partners clear to the beneficiaries? To the programme staff?

Participatory process – how inclusive and supportive is the process of vulnerable families

- How is the community mobilization process planned? What structures, such as committees, construction groups and CDCs, will be established?

- Who participates in the activities? Do different interest groups (men, women, children and socio-economic groups) participate in decision-making?
- What factors will aid or impede the process of participation – sex, age, education, social status, mobility, authority etc.
- How does the programme determine who is vulnerable? Are the communities involved in determining who is vulnerable? How does the programme specifically support the needs of vulnerable families?
- What are the clear indicators of families failing to cope with responsibilities? How does the programme monitor these indicators? How does the programme support the families found to be struggling with the process?
- Sustainability of community organizations (CDCs) and their activities: What are current activities of community organizations? Who is in charge of them? How often do the activities occur?
- To what extent is the community mobilization process (establishing structures such as committees, CDCs, expressing needs of the communities and adjusting interventions accordingly) useful?
- Are board members of community committees elected in secret ballots?
- What is the role of women in these committees and the percentage of participation? E.g. members, members of council, decision-making etc.
- How has the CAP workshop process been adapted to work in different communities? What is the participation of local authorities in these workshops?
- What needs have been identified through CAP workshops that were not anticipated by the programme?

Quality of the built environment (including environmental impact and risk reduction measures)

- Are the construction sites' topographic and physical features and potential risks properly analysed prior to reconstruction?
- Does the programme include measures to mitigate any negative environmental impact of the settlement and its development? Is there a special focus on implementing a sanitation solution?
- To what extent are biodiversity assessments undertaken for the concerned sites?
- Is the site, after its development, less or more vulnerable to natural hazards? How?
- To what extent do construction sites include hazardous building materials? How are those materials handled?
- What is the percentage of programme locations that use recycled materials including their temporary shelters?
- General physical condition of the building: Can building components be considered in good physical condition? How is this determined? E.g. Foundation: is it of appropriate depth and width as per soil conditions; how is it protected from water damage; are the foundation components connected (plinth beams); how is it connected to the superstructure?
- Installations: Are the electric, sanitary and kitchen installations properly installed and functioning?
- Ventilation and protection: Is there enough cross-ventilation and protection from rain and sun to ensure comfortable conditions?
- To what extent do programme sites include renewable energy and/or energy-efficient measures?

House and settlement planning

- Is the settlement situated in a safe area protected from natural hazards (floods, cyclones etc.)?

- Does the settlement design fit into the surrounding built environment?
- How are national standards, rules and regulations and land-use planning addressed by the planned intervention?
- To what degree is the settlement embedded in its immediate surrounding and its related services (transportation, education, health, markets and employment opportunities)?
- Does the site allow a connection with future settlement planning in the area?
- Potential for development: Does the settlement design enable the inhabitants to develop social and economic activities within its boundaries?
- Does the plan offer new opportunities for the population of adjacent settlements?
- Legal status: Do beneficiaries own their new houses and land? How many vulnerable families now benefit from secure land tenure?
- Who has the property rights?
- What are the good construction practices in the programme design and implementation?
- Phasing out and maintenance: Do the programme activities contribute to the maintenance of the newly constructed private and collective infrastructure?
- Is the house design sound from an engineering or technical point of view?
- How does the house design fit to the users' needs?
- Does the design allow house extensions?
- Is the foundation type selected correct and in accordance to soil conditions? Is the foundation type appropriate to bear the load of structure, and a foreseen extension with a second floor, if applicable?
- Is the structural design of the houses generally appropriate to withstand natural hazards (existence of plinth and ring beam, appropriate

proportions of walls, correct distances between doors, windows and corners, appropriate fixation of roof, strength of corners)?

- What are the critical structural elements of the house design? How closely supervised is their construction?
- Do the beneficiaries know how to maintain their houses and do they have the resources?

Water and sanitation

- How does the programme determine the need for water and sanitation?
- How is the 'software' component designed?
- How are the findings of PHAST and KAP being addressed in 'hardware' solutions?
- How are risky behaviours identified and prioritized?
- How do 'software' and 'hardware' design and activities coordinate?
- General physical condition of the technical infrastructure: Can the pipes, tubes, connection elements, access, water wells, pumps, latrines, water tanks, water filters, septic tanks, pits etc. be considered in good physical condition?
- How will the users operate, care for and maintain the water and sanitation systems?
- What maintenance is required? How are beneficiaries maintaining the systems? What is the role of the local authorities in maintenance?
- What are the consequences of poor maintenance? E.g. how long will the system operate if not properly maintained? Will vulnerabilities return?
- Suitability of latrines: Do constructed latrines pay the necessary attention to cultural and gender characteristics? Are latrines used by the female and male family members? What incentives enhance the use of latrines by men and women i.e. disposal of babies' faeces, hand-washing facilities etc.?
- To what extent are national norms and standards met?

Annex 2: Considerations When Drafting Memorandums of Understanding (MoUs)

The following are provided as guides to information to be considered during the drafting of MoUs. All legal agreements must be reviewed and sanctioned by the IFRC's legal team. All contractual agreements for construction works must be in line with the IFRC's Procurement manual for goods and services and Procurement of works and services for construction projects (this includes contracts signed with CBOs/CDCs for community development projects).

Memorandums of Understanding with Governments

On consideration of the IFRC's existing status agreements with the National Government, the legal team will recommend the signature of specific reconstruction programme MoUs at the national level.
Based on those national MoUs, the programme may sign additional programme-specific or project-specific agreements at the local government level. MoUs must clearly state roles and responsibilities of all parties and be reviewed and sanctioned by the legal team.

Memorandum of Understanding/Agreement with local governments

1. Introduction, purpose and scope
   - Context of contribution
   - Programme summary
   - Overall aim of the agreement, to define the respective roles and responsibilities
   - Activities to which the agreement applies.

2. Term

This MoU will be effective as of the date of signature through completion of the Programme/ Project.

3. The programme

- Overall programme components
  - Specific projects within the programme, e.g. house construction, water, sewer and other utilities, roads etc.

4. The role of the parties

Items to be defined by the Agreement

1. The selection of beneficiaries, agreed criteria, verification process
   - Beneficiaries may be removed from the list due to the fact that they received assistance through other (I)NGOs or are not eligible for assistance according to the established criteria
   - Prioritizations of case load, e.g. single-parent-headed households, persons with disabilities
   - Process of grievances or appeals
   - Introduction of new beneficiaries (by the programme as identified in the field)
2. Government contribution, if applicable, and your contribution. Consider price increases and currency fluctuations when defining financial commitments. Establish the cost per unit and number of units to be completed, but clearly state that the number will be revised if the unit cost increases. It is recommended that you commit to a monetary amount rather than to a number of deliverables should the numbers be reduced due to cost increase, lack of access etc.
3. Formalization of land tenure (who is responsible and at what stage will it happen?)

4. Minimum standards for a house
   - The minimum standard for a house to follow regulations of (regulating body)…………………………….
   - The standards will be verified by (government authority), schedule for verification visits
   - Approval and inspection procedures
5. Certificate of conformity/completion – process and responsible agent
6. Responsibilities and liabilities for construction quality control
7. Payment of fees, approvals, stamp duties, registration costs, inspection costs.
8. Operation and maintenance
9. Reporting system (frequency and content)
10. VAT/GST exemptions on purchases and payments to contractors/consultants and income tax exemptions on grants distributed to beneficiaries.
11. Responsibility for applicable fees, such as planning approvals and bank fees.

Recommendations:

1. Engage the services of a competent consultancy firm or firms to complete the required feasibility studies and detailed designs for each of the works and to supervise the planning and implementation phases, for infrastructure development.
2. Hire qualified contractors for implementation and commissioning of infrastructure development.
3. All consultants and contractors are to be selected on the basis of technical abilities, proven track record with the type of designs, financial solvency, human resources, statutory certification or equivalent, and references.

4. Ensure that the tendering process for employing contractors and consultants is undertaken in accordance with the applicable IFRC tendering rules and procedures which reflect commonly internationally accepted standards of transparency and competitive bidding, ensuring 'best value' (i.e. price and quality) in the procurement of all construction works.
5. Make sure that all necessary permits and approvals are obtained prior to commencement of the works.
6. Ensure the establishment of a committee, which shall be tasked with the long-term management, operation and maintenance of infrastructure systems.

General provisions

1. The parties agree to carry out their respective responsibilities in accordance with this Agreement, using their best efforts to ensure the highest quality of service and accountability to beneficiaries, donors and other stakeholders.
2. Nothing in this Agreement shall be construed as contrary to the Constitution of the International Federation of Red Cross and Red Crescent Societies (IFRC), Rules and Principles for the IFRC Disaster Relief, Standard Operation Procedures of the IFRC and the Statutes of the International Red Cross and Red Crescent Movement.
3. In the spirit of developmental cooperation, the parties will do their utmost to resolve any claim or controversy by negotiation or any similar method of amicable settlement. If such negotiations fail or such dispute is not resolved amicably within thirty (30) days from the commencement of such negotiations, then, upon the demand of either party, the dispute shall be settled by the arbitration to the exclusion of national jurisdiction in accordance with the United Nations' Commission on International

Trade Law (UNCITRAL) rules of arbitration, subject to such modifications as the parties may agree in writing. The parties agree to be bound by any arbitration award rendered in accordance with this paragraph as final adjudication of any such claim or controversy.

4. Either party may terminate this agreement with immediate effect if:
   a) one party, by an act or omission, brings the other parties into dispute or disrepute in any way whatsoever
   b) there is a material breach of this Agreement which has not been rectified within ten (10) working days after written notification has been given to the breaching party.
5. In the event of, and as soon as possible after, the occurrence of any cause constituting *force majeure*, the party affected by the *force majeure* event and thereby rendered unable, in whole or in part, to perform its obligations under this Agreement (including complying with its internal policies and ensuring the safety and security of its personnel or delegates) shall give the other party written notice with full particulars of such event; and the parties shall consult as to the appropriate action to be taken, which may include suspension or termination of the Agreement.

   The party giving notice shall be thereby relieved from such obligations as long as *force majeure* conditions persist and will, upon the cessation of the *force majeure* conditions, take all reasonable steps within its power to resume, with the least possible delay, compliance with its obligations hereunder.

   Force majeure events shall include war (whether declared or not), invasion, revolution, insurrection, flooding and other man-made or natural events of a similar nature or force, as well as any changed circumstance, beyond the reasonable control of the parties.

6. Upon termination of this Agreement the parties shall aim to the best of their abilities to find alternative mechanisms to complete the works envisaged hereunder unless needs have been met.
7. Any provisions of this Agreement can be amended or modified only with mutual written consent of the partners concerned. Such amendments shall be in the form of addenda with signatures from both parties.

   Nothing contained in, or relating to, this Agreement shall be deemed a waiver, express or implied, of any privilege or immunity which the IFRC may enjoy, whether pursuant to existing conventions or agreements or any other convention or agreement which may come into force.

Memorandums of Understanding/Agreements with beneficiaries

The programme team and the beneficiary family should enter into an agreement stating the time frame for completion, the schedule and amount of grants, the expectations and, in general, all the responsibilities of the parties.

This agreement confirms the commitment of the beneficiary to complete the house according to established standards and the commitment of the programme to provide appropriate assistance for the beneficiary to attend to the former.

Agreement for the reconstruction of a house with individual families
Items to be defined by the agreement:

1. Amount of the grant
2. Payment schedule – related to construction benchmarks

3. Who will certify progress reports?
4. Method of payment – bank account number
5. The identified person within the family to manage the construction ('manager')
6. Nature of technical support
7. Who ensures adherence to regulations?
8. Who is responsible for processing approvals, inspections, certificates of compliance?
9. Responsibility for third-party damages, or accidents
10. Who is responsible for securing utilities (water supply, electricity)?
11. Who is responsible for securing other infrastructure (roads, drainage, sewerage)?
12. If the agreement is terminated, will the beneficiary be required to reimburse any payment received?
13. The role of the local authority (if signatory) in inspections and certifications of progress.

Responsibilities of the parties – for example:

(Beneficiary)

1. The beneficiary is responsible for the reconstruction of his/her own house and agrees to supervise the reconstruction and completion of the house.
2. The beneficiary agrees to utilize the instalments of the IFRC for the sole purpose of reconstruction of his/her house.
3. The beneficiary will attend regular group meetings and other forums as requested by the IFRC and cooperate with the IFRC in order for the timely and successful reconstruction of his/her house.
4. The beneficiary agrees to ensure completion of the reconstruction of his/her house on or before (date)..

(Programme)

1. The programme will prepare progress reports.
2. The programme will record any instructions/recommendations in the beneficiary's logbook.
3. The programme will transfer payments to the beneficiary's account within .... days of certified progress report.

Recommendations:

- The programme remains responsible for quality monitoring. Clearly state how the programme will carry out monitoring activities, frequency of visits, nature of the visits etc.
- Designs must be completed by a licensed individual with professional liability insurance.
- Annex the approved plan of the house, the approved BoQ and a list of approved materials, if applicable.
- Describe the expected quality of the house and items to be completed.
- Define critical benchmarks, approvals and inspections required and who will carry out those activities.
- Construction is an inherently risky activity. Define the safety training that the programme will provide and list any relevant construction safety legislation to be followed.

Agreements with community organizations – Community contracting

Community Development Councils (CDCs) or other Community-Based Organizations (CBOs) with legal recognition may manage the implementation of community contracts.
All construction contracts must follow the IFRC's Procurement of goods for construction projects' tendering procedures. This agreement is not a contractor/client contract. Under this agreement, CDCs agree to manage

the funds provided by the programme to complete identified community works and to manage the supply of materials and hiring of labour.

The programme agrees to provide technical and financial management support during the construction of works.

1. Name of CDC/CBO: .... Registration No: ....

2. Description of the Work (attach drawings):

Work to be completed by the community and hired labour:
(Describe the expected quality, materials to be used and items to be completed)

Works to be completed by subcontractors:

3. Estimated cost:
Cost of the works ....
Management costs ....(5% allowance)
Operation and maintenance ....(% or amount)

4. Time: The work will be completed by ....

5. Payment schedule

No.	Percentage	Amount
First Instalment (Advance)	30	
Second Instalment	30	
Third Instalment	30	
Third Instalment	10	
Total		

Recommendations:

- The programme remains responsible for quality monitoring. Clearly state how the programme will carry out monitoring activities, frequency of visits, nature of the visits etc.
- Designs must be completed by a licensed individual with professional liability insurance.
- Annex the approved plans.
- Define critical benchmarks, approvals and inspections required and who will carry out those activities.
- Progress payment certificates to follow similar format as for the construction of a house.

Chairperson: Name: .... Signature and date: ....

Secretary: Name: .... Signature and date: ....

Programme/
Project Manager: Name: .... Signature and date: ....

Witness: .... Signature and date: ....

Witness: .... Signature and date: ....

Annex 3: Project Commencement Sheet

Once beneficiaries within a community have been identified and selected, prepare a project commencement sheet. It provides a snapshot of the community's make-up and lists all required information to gather before a project can begin. This will NOT replace the information on baseline surveys, rather it summarizes it. Include as a minimum the following information:

Date of submission	-
District/Province	- Name of local authority and government administrative unit
Town/Village	- Name of community/village - A brief description of the site/village/neighbourhood
Number of beneficiary families	- The number of beneficiaries in the village identified by the Government - The number of beneficiary families selected into the programme - Number of people in the programme and average family size - Make-up of the identified families
Existing conditions	- A brief description of the status of the identified beneficiaries

	- The present status of housing construction - Status of water supply, sanitation and other infrastructure
Programme-identified needs – to be confirmed with the community through VCA, PHAST, PASSA, CAP workshops	- Number of vulnerable families defined by identified vulnerability - Banking system available? - Water and sanitation needs - Infrastructure required
Programme identified resources	- Beneficiaries' skills - Local craftspeople's skills - Social networks and other agencies - The role of the local government
Security assessment	- A brief description of the security situation
Costing summary (estimated costs)	- Training costs - Housing and water and sanitation construction - Physical infrastructure - Other costs
Scheduling (estimated)	- Community information meeting - Formation of groups - Date of commencement of training - Design and approvals - Commencement and completion of construction
Approved to begin	- Programme Manager

Annex 4: House Construction Funds Request Form

House Construction Funds Request Form

Name: .... ID No: ....

Address: .... Request for Payment No: ....

Community Development Council: ....
Membership No: .... (optional)

1. Having completed the work for stage .... according to the agreement signed by me, I request the release of the next payment.

Signature: .... Date: ....

2. **Technical officer/supervisor recommendation**
   I have inspected the works completed as per attached progress report.
   Remarks:

Signature: .... Date: ....

3. **Community mobilizer:** .... (if joint visit)
   Remarks:

4. **Local authority**
   The works above have been completed according to the .... standards and regulations.
   Remarks:

Signature: .... Date: ....

5. **Engineer's certification is required** Yes/No (on structural works and prior to cladding/plastering)

Signature: .... Date: ....

Approved: **Date:**

Annex 5: Sample Construction Progress

Beneficiary's Name	
Technical Officer	
Community Mobilizer	
Stages	Check
1.0 Setting-out (including sanitary systems)	
1.1	Correctly positioned – distances measured – checked right angles – checked orientation
2.0 Foundation/slab/stilts	
2.1	Excavation depth (soil condition) – Reinforcement – bonding
2.2	Check levels and alignment – damp-proofing
3.0 Superstructure	
3.1	Aligned and uniform
3.2	Wall thickness – foundation-to-wall connection
3.3	Lintels – doors windows – treated joinery
4.0 Roof works	
4.1	Materials of required standard and quality
4.2	Wall-to-roof connections
4.3	Roof structure – roof cladding
5.0 Electricals	
5.1	Cabling is correct type and fixed securely
5.2	Lights and power outlets are installed – grounded – connected to mains
6.0 Rendering/cladding/finishes (floor and walls)	
6.1	Materials of required standard and quality
6.2	Check joints and connections
6.3	Sealers and primers/paint
7.0 Plumbing/drainage	
7.1	Water supply connection – internal plumbing checked
7.3	Gradient/fall consistent and adequate
7.4	Septic tank/pit/sewerage connection checked
7.5	Latrine superstructure – ventilation
7.6	Storm drainage
8.0 Other	

Report for Individual House

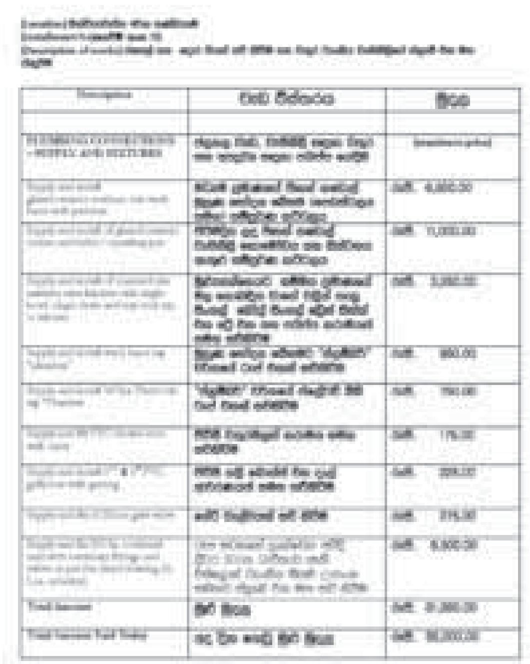
ID No:	
Date of inspection	
Next inspection	

	Complete			Problems/issues identified	Remedial work recommended (and date)	Additional assistance needs identified
	Y	N	%			

Annex 6: Technical Support – Bill of Quantities (BoQs) in Local Language

A simplified list of works to be completed at each step or per instalment is distributed to beneficiaries and labourers including a simple description of the works and a recommended price to pay.

This helps beneficiaries control the price they pay for materials and labour and helps supervisors check how completed works on site compare with the amount paid.



From: Belgian Red Cross Society - French guidelines for effective cash for housing programming, Sri Lanka, 2009

Annex 7: Community Action Planning (CAP)

The vehicle for community action planning and management is the CAP workshop. At the workshop, the community, with the support of the programme staff, discuss common problems, identify solutions and formulate plans of action. The workshop provides an opportunity for the community to obtain a comprehensive view of its socio-economic situation and to identify its main concerns and priorities, but also its resources. The workshop exposes the community to the opportunities available for the improvement of its living conditions as well as the constraints and obstacles that need to be overcome.

Objectives:

- Identify internal and external resources
- Identify needs or problems
- Identify the cause and magnitude of problems
- Prioritize issues to be dealt with
- Identify needed external resources and match resources (internal and internal) with actions to provide solutions
- Plan for action: Define who will do what, when and how.

The ideal number of participants is 25 to 30 and the participants should represent all sectors of the community. Discuss options and trade-offs. There can be a number of ways to solve every problem and there are trade-offs with each option. It is essential that professional personnel are present at the workshop to provide technical guidance to this process.

Venue: Ideally the venue could be a community hall, a school classroom, a temple, a church or any public building within the settlement or very close to it. If a suitable building cannot be found, an open space where people can sit on the ground may also be appropriate during daylight hours and if no rain is forecast. Make sure that there is space for smaller groups of six to ten to sit around and discuss.

Duration of sessions: Since the workshop may be conducted over a day and could take up to six hours, it is always good to have a break after two sessions. It may be appropriate to have the session over two consecutive mornings or evenings if this allows more members of the community to participate.

Workshop Agenda:

	Activity	Time
1	**Opening** What is the workshop about?	15 minutes – General session
2	**Social Mapping** What have we lost and what do we have now? (resources)	30 minutes – General session
3	**Identification** What are our problems?	30 minutes – Group session
4	**Prioritization** What are the problems of greatest priority?	30 minutes – General session
5	**Strategies** What are the approaches to solve the problems?	30 minutes – Group session
LUNCH BREAK		
6	**Options and Trade-offs** What are the practical actions?	30 minutes – General session
7	**Planning for Implementation** Who does what, where and how?	30 minutes – Group session
8	**Implementation, Monitoring and Maintenance** Where do we start, how do we check progress and what happens in the future?	30 minutes – General session
TEA BREAK		
9	**Presentation** Presentation of the plan to the whole community Decide on next steps	45 minutes – Whole community session

SESSION 1: OPENING

What is the workshop about? – 15 minutes

Task: It is about communicating our needs and priorities, identifying our resources and defining a plan to improve our communities.

How: This is a general session with all the participants and should ideally be chaired by the Chairperson of the Community Development Council (CDC).

- Facilitators and participants introduce themselves, then the workshop facilitator should explain the purpose of the workshop briefly but very precisely.
- Emphasize that the solutions to problems are with the people and that they need to identify them and act for their own development. (You may need to repeat this point.)
- Do not anticipate or try to predict the solutions for participants, e.g. to improve drainage or set up micro credit funds.
- Do not try to explain every session of the workshop now.
- The group should be encouraged to reflect on (think about) their present situation, considering issues such as livelihoods, health care, education, services etc.
- Emphasize that the programme staff or the authorities are not there to 'provide' for them but will support them to achieve what they need.

Outcome: A shared understanding of what the workshop is going to achieve and a set of workshop standards.

SESSION 2: SOCIAL MAPPING

What have we lost and what do we have now? – 30 minutes

Task: At the end of the session, the participants will draw a diagram of their settlement and have an understanding of what is the status of the settlement and also what they have lost in the disaster. To facilitate this session, the programme team may have a base map prepared into which the community adds its input.

How: Advise them to draw the houses, roads, drains, latrines, tube wells, schools, educational institutions, temples, churches or mosques, and mark what has been destroyed and what remains.
After they have finished, ask them to explain the maps.
If possible, collect other local people's opinions for confirmation of the validity of the map.

Outcome: A social map of the settlement with identified social and physical infrastructure (resources).

SESSION 3: IDENTIFICATION

What are the problems? – 30 minutes

Task: Working in groups, participants should identify the problems that they face – economic, physical, social, health-related and others.

How: For this session, participants have to be divided into four or five random groups. Even though it is important to have mixed groups (men-women) consider that the voice of women may be overshadowed by male leaders. Consider having a group of only women that can more easily present their views.

Each group makes a list of what they consider to be the problems that the community is facing and for whom they are problems. Do not give examples of problems because then the participants tend to think only of those concerns.

They should have materials to draw or write. Each group could appoint a note-taker and spokesperson to do the presentation. The facilitator should move around the groups and make sure that all the group members have a chance to contribute their ideas. They should consider for whom it is a problem and for what reason?

Outcome: A list of the problems identifying who is affected by each issue.

SESSION 4: PRIORITIZATION

What are the problems of greatest priority? – 30 minutes

Task: To get the groups to present what they have identified as problems and discuss for whom they are problems and why. Problems can be endless but there are some things that can be addressed and it is necessary to prioritize them.

How: This is a general session where each group will present the list of problems. During the presentation, the facilitator should allow others to ask questions so that everyone understands each problem, but they should not begin discussing solutions at this stage.

Then the facilitator should list the problems in a chart.

How to prioritize the problems?

The priority of a problem can vary for each individual. Collectively, there may be some agreement on the priority of the problems. Some, like housing and income-earning opportunities, may be obvious but there may be others that may not be as clear. The facilitator should ask important questions like “why is this a problem?”, “who is it a problem for?”

Outcome: A list of prioritized problems.

SESSION 5: STRATEGIES

What are the approaches to solve the problems? – 30 minutes

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

How: The participants form into groups again and they should be given the prioritized problems and requested to identify the actions required to address these problems.

It is necessary to remind the participants that any problem may have different solutions and that they need to consider as many options as possible, and to refer to the resources identified in the social map.

Outcome: A list prepared by each group of the different approaches to solving the problems.

SESSION 6: OPTIONS AND TRADE-OFFS

What are the actions? – 30 minutes

Task: After a break, the goal is to identify, from all the approaches, actions that can be realistically undertaken by the community to solve their immediate and long-term problems.

How: The spokesperson from each group will present the list of solutions that the group had identified to a session of all the participants. The facilitator plays an important role in this session to communicate the trade-offs for all the options presented, considering time, cost and practicality, and the greatest benefits. Having communicated the trade-offs, the facilitator then should allow the participants to discuss amongst themselves and come to an agreement on the option (or options) that they wish to implement. The facilitator should start writing down the options or the actions that the participants wish to implement.

Outcome: A list of agreed actions that the community would implement, with the support of the programme and the authorities, to address their immediate and long-term problems.

SESSION 7: PLANNING FOR IMPLEMENTATION

Who does what, where and how? – 30 minutes

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

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

For each agreed action (option) what are the step-by-step actions necessary to implement it?

Who will do the task (specific person or persons identified) – whether it is the community, local authority or other organization? If it is the community, would it be the CDC or a specific primary group? What kind of skills and training is required? What kind of tools will be needed? When will the actions start and how long it all will take?

Outcome: A list with step-by-step actions necessary to implement the agreed action/option.

SESSION 8: IMPLEMENTATION, MONITORING AND MAINTENANCE

Where do we start, how do we check progress and what happens in the future? – 30 minutes

Task: The goal here is discuss and agree on how to organize the implementation (how things are going to work). Who is going to initiate the work? How can we check the progress? And what will we need to maintain the facilities created?

How: The groups will present the step-by-step action necessary to implement the agreed actions. The facilitator should take the discussion to a conclusion and write down all the decisions taken. Discuss funding needs, the contribution of the community and who is to monitor the work (committees?).

Outcome: A detailed plan of the institutional arrangements to implement the actions and the mechanisms for monitoring and control.

SESSION 9: PRESENTATION – 45 minutes

Task: The outcomes of the exercise are presented to the whole community by the members who participated in the workshop. The goal is for the community to be informed of the decisions made regarding their development, to have the comments of the wider community and to ascertain their agreement.

How: The community representatives who took part in the workshop put up both the map and the decisions of sessions 6, 7 and 8 and take turns to explain each of the actions planned. The facilitator should invite comments and observe whether there is general approval of the ideas. If further ideas for improvement come from the floor, they should also be incorporated, as appropriate.
Outcome: A community action plan is accepted for implementation by the community.

Annex 8: Drafting a Community Development Council (CDC) Constitution

1. **Name and address of the CDC:** ....

2. **Aim and objectives:** The aim of the CDC is to improve the socio-economic condition of all the people living in the settlement and to ensure sustainable human development of the community:
   - To improve the standard of living through collective efforts
   - To develop a habit of saving among the members of the community and create a capital base of their own
   - To develop a self-sustainable community
   - To improve the economic condition of the people
   - To develop a clean and healthy physical environment for the community.

3. **Activities:**
   - Assist members in the rebuilding of their destroyed or damaged houses and infrastructure development programme, as identified by the community
   - Community saving programme
   - Coordinate with relevant authorities and assist in the operation of health care and health education programmes, and waste management programmes, facilitating legal aid programmes and launching environmental protection and management in the community area.

4. **The functions of the CDC:**
   - Uphold the Movement's constitution
   - Open and maintain a bank account; maintain financial records
   - Hold regular fortnightly meetings; hold CDC elections on expiry of the period for which they have been elected
   - Prepare community action plans; organize (and undertake) improvement works
   - Identify training needs
   - Conduct an annual general meeting and present financial statements for the current year and budget for the next year.

5. **Decision-making:** Proposals and voting process.

6. **Membership of the CDC:** Who can join, how to join, how to withdraw.

7. **Registration fee:** To be a fair amount, agreed by members.

8. **Sources of funds and keeping accounts:** The CDC will establish and operate a bank account, organize fund-raising activities and the use of a cashbook, savings register, loan register and collection book.

9. **Meetings of the CDC:** Frequency, notice, quorum and purpose.

10. **Election and removal of Council:** Nomination or self-nomination process and election process. Process of requesting removal. Percentage of membership votes needed to remove an officer.

11. **Powers and functions of Council members:**
    - ***Chairperson:*** Head of the CDC; he/she is one of the alternate signatories of the bank account and will be responsible for all income and expenditure of the CDC.
    - ***Vice-Chairperson:*** Second person among the office-bearers of the CDC, and will act as chairperson in the absence of the Chairperson.
    - ***Secretary:*** Assist the Chairperson in day-to-day office work, call meetings and keep minutes. He/she is one of the alternate signatories of the CDC bank account.
    - ***Treasurer:*** Responsible for all financial transactions, keeps books, updates all financial documents on a regular basis and reports on the financial position of CDC. He/she will act as a mandatory signatory of bank accounts.

12. **Maintaining of bank account:**
    - The bank accounts of the CDC will be maintained with a bank close to the community.
    - Two signatories out of the Chairperson or Secretary and Treasurer will be valid for transactions.

13. **Amendment of constitution:** How to request amendments, decision process, frequency of review.

Annex 9: Community Development Funds Application (CDC/CBO)

To be used on community infrastructure or livelihoods projects

1. GENERAL INFORMATION

Name of district/division:
Name of settlement/village:
Name of CDC/CBO: .... Registration No: ....
Number of families within the settlement:
Description of the work (attach drawings):
Total cost of the work (attach detail estimate):
Number of families benefiting from this work:
Number of children benefiting from this work:
Number of women benefiting from this work:

2. COMMUNITY DEVELOPMENT COUNCIL'S BANKING DETAILS

1. Name of bank account:
2. Account no:
3. Name of bank:
4. Branch:
5. Address:
6. Contact telephone nos:

Chairperson: Name: .... Signature and date: ....

Secretary: Name: .... Signature and date: ....

Recommended by engineer:

Signature: .... Date: ....

Recommended by community mobilizer (social officer):

Signature: .... Date: ....

Approved (district steering committee):

Signature: .... Date: ....

3. PROJECT MANAGEMENT

Application received (date): ....
Authorized (date): ....
Contract signed (date): ....
National Project Manager: ....

Annex 10: Community Contract Progress Payment Certificate

COMMUNITY CONTRACT No. ____________________

PROGRESS PAYMENT CERTIFICATE

1. Bill / Installment No. Date
2. Amount in Rupees
2. Name of the CDC
3. Address of the CDC
4. Contact Number
5. Date of Commencement
6. Date of Completion
7. Date of Measurements

Item of Work	Estimated				Previous Bill		Wk Done This Bill		Total	
	Unit	Qty	Rate	Amount	Qty	Amount	Qty	Amount	Qty	Amount
TOTAL										
Amount Paid with Last Bill										
Amount Due in This Bill										

We certify that we have jointly taken measurements and the works have been done satisfactorily in accordance with the specifications

Payment / Installment Due	

Sig. of CDC Chairperson: Sig. of Technical Officer:

Payment certified by:
District Engineer Signature Date:

Payment Recommended by:
Signature Date:

Payment Recommended by
Signature Date:

Annex 11: Community Livelihood Promotion Proposal

To be used when a community action planning (CAP) workshop has identified that livelihood opportunities are a priority for community development, or when livelihoods have been identified as a priority during surveys. In the latter case, prepare a livelihoods-targeted CAP. This proposal is to be followed by a community contract.

Step 1 – Collection of Data
- Collect baseline date on livelihoods
- Identify external resources (government/ agencies)
- Livelihoods surveys

Step 2 – Community Meetings
- Discuss findings of surveys
- Identify vulnerable groups/families
- Formulate CAP

Step 3 – Community Action Plan
- Develop livelihoods action plan
- Define strategy and responsibilities
- Present to the whole community

Step 4 – Implementation
- Prepare livelihoods proposals
- Identify subcommittees for different activities
- Monitor the process and outcomes

1. **Proposal date:** ....

2. **General information:**
   - Name of district/division:
   - Name of settlement/village:
   - Name of CDC/CBO: ....
   - Registration No: ....
   - Number of families in the settlement:
   - Number of families benefiting:
   - Number of women benefiting:

3. **Description of the project:**
   - The project was identified during a CAP workshop held on .... (minutes attached)
   - Outline the scope of work (description of activities):
   - Outline expected benefits:
   - Long-term maintenance/sustainability needs of the project (if applicable):

4. **Cost:**

Activity	Unit	Time	Total Cost
e.g. Vocational training for 15 people			
Material cost			
Resource person (tuition)			
Other costs			

5. **Time line:**
   - Project start date:
   - Project completion date:
   - Prepared by community mobilizer/social officer

Signature: .... Date: ....

Recommended by:

Signature: .... Date: ....

Approved by:

Signature: .... Date: ....

Annex 12: Partnership Development and Coordination

Establishing partnerships will increase the reach of resources and well-defined and managed partnership will bring improved and better-coordinated services at the community level. Partnering helps avoid duplication, it increases sharing ideas, training activities, information and resources, and it increases the reach of Red Cross Red Crescent's philosophy and activities.

All components of the Movement will encourage partnerships with companies:

- Which respect the Movement's humanitarian values and commit to a programme of action to support its work
- Which are leaders in exhibiting corporate social responsibility through policy and practice
- Which would respond positively to input from the Movement component aimed at improving their business practices in a way that promotes social responsibility
- Whose products and services relate to the Movement component's mission or activity and who would be the best possible partner in helping the component to achieve the aims, increase its reach and enhance awareness of its work
- Which are committed to volunteer action
- Which promote the education, health and social welfare of their employees to an extent that goes beyond what the law requires
- Which promote responsible production and use of their products and services and adhere to the principles of sustainable development
- Which have a positive image, good reputation and a track record of good ethical behaviour.

From: IFRC Policy for corporate sector partnerships

Make a list of other organizations that operate within your community including:

- Red Cross Red Crescent Societies
- Government agencies
- Civil society and community-based organizations
- Private sector organizations.

Establish what these other organizations are doing and how they fit within the ODHR programme:

- What is the organization's mission and role?
- What is the organization's history?
- What projects does the organization undertake?
- How does the organization involve community members in the assessment, planning, monitoring and evaluation of projects?
- What kind of assessments has the organization carried out?
- What training programmes does the organization run for its staff? For the community?
- What other organizations do they partner with?
- What promotional material does the organization have (e.g. brochures, posters, flyers)?
- What opportunities exist to work or train together?

Measure the capacity of the partners.

- What is the organizational structure? How are decisions made?
- What sectors does the organization cover (e.g. health, education, vocational training, tracing, disaster preparedness or response, agriculture, environmental work etc.)?
- Does the partner have an annual plan? How does it monitor progress towards achieving objectives? How are activities coordinated between departments?

- Are employees selected based on qualifications? What are the number and qualifications of technical staff? What's the recruitment and training process?
- What is the quality of projects completed by the partner? How is quality measured?
- How established is the partner in the communities? What is its relationship with local stakeholders?
- Do the methodologies applied by the partner meet Red Cross Red Crescent methodologies?
- Is it legally registered? How does it fund its activities? What are its accounting procedures? What is its cash flow forecast?
- What resources does it bring to the project (office space, vehicles, equipment etc.)?

Clearly define the issues to address, the goals and roles of all parties:
- Activities of each party
- How they are implemented
- Who supports the activities
- Who monitors activities
- Time lines and contingency plans
- Who will monitor the performance of the partners and what strategy will be followed if expectations are not reached? E.g. notify the partner, agree on needed resources, redistribute responsibilities or terminate the partnership.

Management of partnership:
- Maintain strong links between partners at all levels (field and head office).
- Establish common formats for reporting.
- Prepare joint monitoring plans.

- Where possible, share resources such as offices and vehicles, considering institutional restrictions to the use of those resources.
- Define a method of information-sharing, such as by regular progress meetings, joint field inspections, joint reporting etc.
- Make sure the beneficiaries are able to identify the roles of the partners to avoid confusion.
- Make sure the organizational/management structure of a partner does not create delays in the disbursement of funds or the production of reports.

Key issues:
- Common values
- Shared decision-making
- Transparency
- Mutual trust and respect
- Shared resources, risks and investment
- Clear expectations and roles
- Accountability
- Clear procedures
- Joint monitoring and evaluation
- Open discussion and regular communication.

Recommended reference documents:

IFRC Policy for corporate sector partnerships

IFRC Planning and Resource Mobilization-Partner mapping tool

Annex 13: Data Management

The information collected in a programme will be determined by specific contexts. The data management tool supports the programme by providing information related to beneficiary details, lists of payments, construction progress etc.

1. Information to be stored in the programme's database

Beneficiary verification: to determine the eligibility of a beneficiary

- Personal details of the beneficiary and family
- Government-recognized form of identification, e.g. national ID card
- Other forms of identification as verifying affected family
- Initial damage assessment form from the government
- Technical assessment report and checklist conducted by the field team
- Copies of documents indicating ownership of land or other form of verification of occupancy.

Construction progress:

- Copy of approved building plan for reconstruction
- BoQ dated and signed
- Schedule of works
- Progress reports.

Resource/financial disbursement

- The signed agreement with the beneficiary
- Copy of the beneficiary's bank book and account details
- Copy of certification of receipt of payment from the bank or, if paying by cash, signed by the beneficiary

- Other documents such as affidavits, certificates etc. in the absence of required documents.

2. Setting up a programme database

The data-entry process will vary according to the programme's components and activities. It is important for the efficiency of the payment mechanism that the database is managed by the same partner/person in charge for managing payments to the beneficiaries.

Considerations when setting up the database:

- **Controls** – supported with user-friendly interfaces and with simplified user manuals which describe all of the basic and operational functions.
- **Password protection** – special interfaces which allow personnel at different levels of administration to control and update information. Security and access control should be considered high priority. The set-up should ensure that unauthorized access will not trigger any activities which may have a negative impact.
- **Inactive files** – Registered beneficiaries that have to be rejected for any given reason – whose payment has been delayed or cancelled, or who have withdrawn from the programme – should remain as 'Inactive' in the database. Reasons for such rejection should be specified in the database. No names of beneficiaries are to be deleted during data processing.
- **Back-up and restoring** – The entire process will depend on the information generated by the database and the protection of this tool should be treated as a high priority. Maintain a disciplined back-up procedure to ensure the safety of the database and its contents. The database will have to be restored in the case of a data corruption or, if needed, to check for previous status. Also, a data filing system (for

progress reports and payment lists) should be installed to ensure that files are stored in an organized manner.

Example of data entry process:

Registration	- Collect hard copy of technical assessment report - Check beneficiary data for accuracy - Enter beneficiary data - Incomplete records are marked as 'Inactive' in the database - Stamp damage assessment form as 'Updated' to avoid duplications
Construction	- Collect data from fund request forms - Update system with construction progress status - Generate construction progress and other validation reports
Payments	- Request payment details from bank - Carry out payment process in database - Provide beneficiary payment details to head office - Generate summary reports

3. Setting up the list of beneficiaries

Selection will be completed in accordance with the criteria and selection process as defined by programme leaders. Once a candidate has been declared eligible by the appropriate parties, he/she is considered a beneficiary of the programme. His/her information will be entered in the beneficiary database, the first step of the payment process.

Recommendations:

- Determine the risks associated with activities required to register and maintain accurate and updated records of all beneficiaries.
- Ensure safekeeping of, and restricted access to, beneficiary information by unauthorized personnel only.
- Field verifications and physical inspections are to be carried out by a team, not by an individual.
- Maintain a picture log (using photographs or drawings) of every case.
- Reconcile lists of beneficiaries with other programmes.
- Install appropriate security procedures and password management for restricting access to the database information and enforce procedures.
- Reconcile the list of payments generated at head office with progress reports from technical officers in the field prior to processing payments.
- Beware that error or misconduct in filling in registration forms, or inaccurate information of assistance received by the beneficiary, can generate unwarranted instalments.

4. Major functions of a programme database

Determine the major functions required of your data management system. The size and complexity of the programme will determine the data management mechanism (software).

Recommended functions for the data management system:

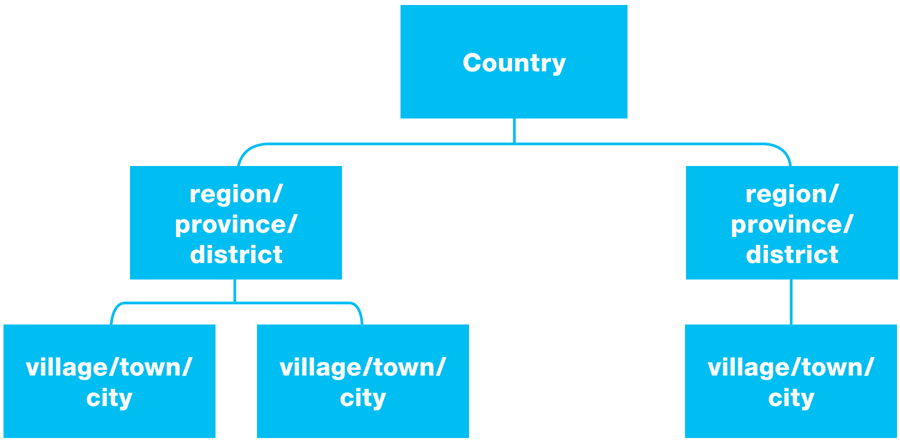
Static data – to collect and update information regarding:

- Donors – list of funds from each donor
- Payments scheme – if different disbursement methods or schemes (such as top-up, house-improvement kits etc.) are included in

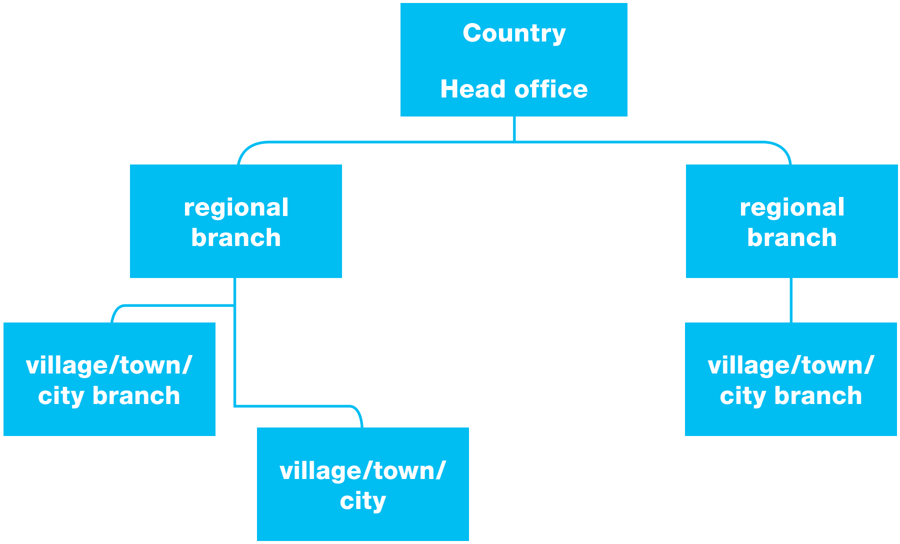
1 2 3 4 5 Annexes

one programme. A payment scheme defines the local instalment amounts transferred to beneficiaries for each repair or rebuild stage of the house.

- Authorized persons for payment – to sign payment lists
- Geographic areas – divide by government administrative structure



- Family relationship – make-up of the family
- House damages – extent of damage (slightly, partially, fully etc.); may include photographs
- Beneficiary status – very important throughout the beneficiary registration process, as well as for the damage assessment process and the instalment payment process
- Technical and financial information must be reconciled for beneficiaries to become eligible to receive payments
- Banks – structure of banks used and their field presence.

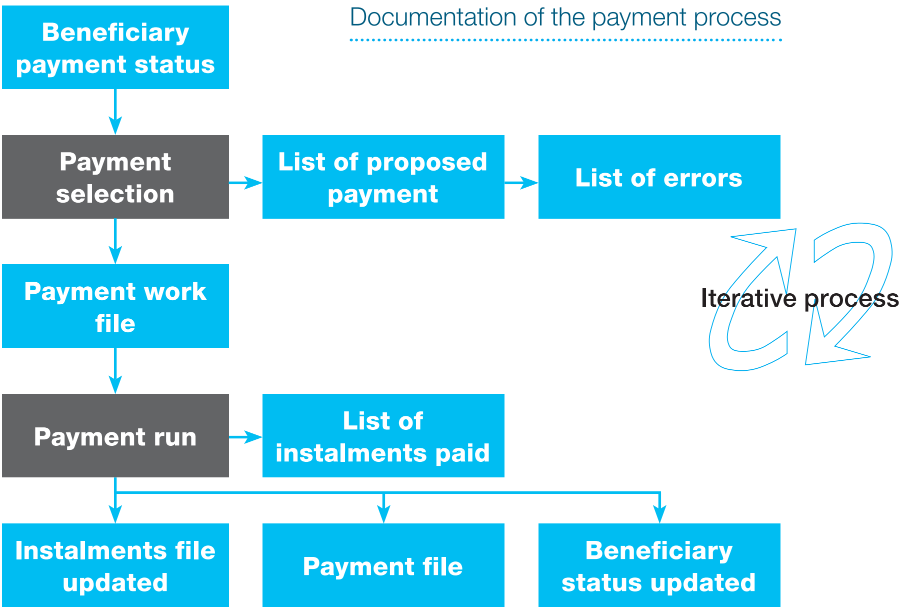


Beneficiary information:
A person eligible for a cash programme is registered in the beneficiary file. Personal and family information must be entered, as well as house information and banking information.

- Beneficiaries should be issued with a unique identifying code or number
- Respective administrative government division
- Technical status
- Personal information
- House information.

5. Instalment payments

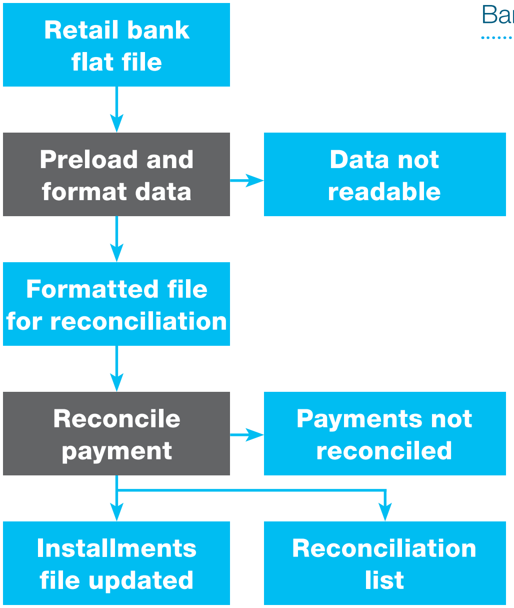
The payment process is run for each payment scheme and each field office. The beneficiaries who are eligible for a new instalment are selected and recorded in a payments work file.



6. Banks' reconciliation

Once the payment process has been performed, reconciliation with the banks' data must be done to check that the instalments transferred by the retail banks to the accounts of the beneficiaries correspond to the payment lists sent to the banks. This function also ensures that the instalment values and dates are updated in the payments file.

Bank reconciliation process



7. Database-generated reports

There is no need to print a list of the static data except for control purposes. However, the following proposed reports could be useful and there may be other reports you wish to add to this list:

- List of geographic areas sorted by administrative regions
- List of bank branches, sorted by bank code and bank branch
- Full list of beneficiaries with all characteristics/attributes, sorted by name
- List of the family relationships of the beneficiaries, sorted by name
- List of the beneficiaries' house locations and details of house damage, sorted by location and name
- Short list of beneficiaries with their addresses, sorted by name

- List of beneficiaries and their bank details
- List of instalments paid to the beneficiaries, sorted by name
- List of beneficiaries, grouped by status
- List of instalments received by beneficiaries, by payment scheme

8. Data management structure

Define who will manage the data and the basic roles of those staff members. It is essential that these roles are performed as stipulated/required for the payment process to be completed correctly and in a timely manner. For example:

- Finance Manager (Head Office): Has a special login password and has the ability to perform all basic transactions and other key data elements.
- Database Administrator (Head Office): Logs in as the system administrator and has the ability to modify the programme and access all information contained in the database.
- Database Operator (Field Level): Logs in for day-to-day operational use and can perform all basic transactions such as beneficiary registration, updating of progress and generating of reports etc.

The partner or department in charge of making the payment to the beneficiary's account needs to maintain the database on field level as well as for head office. This is important to provide a clear distinction between the time used for the payment process from the beneficiary's request to the entry into the system, and the time needed by the system to process the payment to the beneficiary's bank account.

Following the correct procedures and providing full and accurate information enables payments to be made as quickly as possible and ensures that detailed files are maintained.

Annex 14: Table of Figures

Annex 15: Reference Documents

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5. IFRC Monitoring and Evaluations in a nutshell, 2007
6. IFRC Working with Communities, a toolbox, 2006
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   - VCA Toolbox with reference sheets, 2007
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- Practical tool 4: Direct cash transfers step by step
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- Practical tool 7: Planning financial flows

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Other documents include:

Belgian Red Cross guidelines for effective cash for housing programming, Sri Lanka, 2009: based on tsunami response in Kalutara district working with individual families managing house construction in situ and relocation sites.

The Netherlands Red Cross home-owner-driven reconstruction manual, Galle District, Sri Lanka, 2007: a compilation of formats and tools used in the Galle district.

Annex 17: Acronyms

BoQ	Bill of Quantities
the Movement	International Red Cross and Red Crescent Movement
CAP	Community Action Planning
CBDM	Community-Based Disaster Management
CBH	Community-Based Health
CBO	Community-Based Organisation
CDC	Community Development Council
CRRP	Community Recovery and reconstruction Partnership
DM	Disaster Management
DDR	Donor Driven Reconstruction
EOP	End of Project
HNS	Host National Society
IFRC	International Federation of Red Cross and Red Crescent Societies
KAP	Knowledge, Attitude and Practices (survey)
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
NGO	Non-Governmental Organization
NS	National Society
PASSA	Participatory Approach for Safe Shelter Awareness
PHAST	Participatory Hygiene and Sanitation Transformation
PNS	Participating National Society
PWC	PricewaterhouseCoopers
RC	Red Cross
RCM	Red Cross Movement
SLF	Sustainable Livelihood Framework
SLRCS	Sri Lanka Red Cross Society
TOR	Terms of Reference
UN-Habitat	United Nations Human Settlements Programme
VCA	Vulnerability and Capacity Assessment

The Fundamental Principles of the International Red Cross and Red Crescent Movement

Humanity

The International Red Cross and Red Crescent Movement, born of a desire to bring assistance without discrimination to the wounded on the battlefield, endeavours, in its international and national capacity, to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, cooperation and lasting peace amongst all peoples.

Impartiality

It makes no discrimination as to nationality, race, religious beliefs, class or political opinions. It endeavours to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress.

Neutrality

In order to enjoy the confidence of all, the Movement may not take sides in hostilities or engage at any time in controversies of a political, racial, religious or ideological nature.

Independence

The Movement is independent. The National Societies, while auxiliaries in the humanitarian services of their governments and subject to the laws of their respective countries, must always maintain their autonomy so that they may be able at all times to act in accordance with the principles of the Movement.

Voluntary service

It is a voluntary relief movement not prompted in any manner by desire for gain.

Unity

There can be only one Red Cross or Red Crescent Society in any one country. It must be open to all. It must carry on its humanitarian work throughout its territory.

Universality

The International Red Cross and Red Crescent Movement, in which all societies have equal status and share equal responsibilities and duties in helping each other, is worldwide.

Owner-Driven Housing Reconstruction guidelines

For more information on the IFRC shelter and settlements programme, please contact:

In Geneva

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Phone: +41 22 730 42 41
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The International Federation of Red Cross and Red Crescent Societies promotes the humanitarian activities of National Societies among vulnerable people.

By coordinating international disaster relief and encouraging development support it seeks to prevent and alleviate human suffering.

The International Federation, the National Societies and the International Committee of the Red Cross together constitute the International Red Cross and Red Crescent Movement.

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