



SRI LANKA

An Integrated Approach to Disaster Recovery: A Toolkit on Cross-Cutting Issues

Lessons from the Tsunami Recovery Unit

UNDP Sri Lanka

© UNDP Sri Lanka
202-204, Bauddhaloka Mawatha, Colombo 7, Sri Lanka
Phone 94-11-25807691-7 Fax 94-11-2581116



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FOREWORD

This publication was developed by the Tsunami Recovery Unit of UNDP Sri Lanka as an attempt to document our experiences in integrating cross-cutting issues into the post-tsunami recovery effort and to synthesize some valuable analyses, ideas, lessons learnt and recommendations into a composite document that we hope would be of use to other UNDP country teams working in crisis recovery situations.

The 2004 tsunami disaster was unprecedented in terms of the death and destruction it wrought and in the magnitude of the post-disaster recovery effort it commanded. As was true for recovery stakeholders across the board, UNDP Sri Lanka was faced with the gargantuan task of delivering an unprecedented amount of financial resources across a wide-ranging portfolio of projects, and doing so speedily and efficiently so as to meet the urgent needs of the affected people in the country. As members of the Tsunami Recovery Unit at UNDP, we devoted much of our time and energy in the initial two to three months to working out the nuts and bolts of various projects (such as developing sub-projects, selecting implementing partners, recruiting staff), and did so under severe capacity constraints and against stringent deadlines and delivery pressures.

Once the immediate frenzy had died down and we were afforded the luxury of being more reflective, some of us began to take a closer look at whether, where and how cross-cutting concerns were being incorporated into our work. We set up an in-house cross-cutting issues team to conduct field visits, to assess and evaluate projects against cross-cutting criteria, to develop strategies and mechanisms for improving performance and to provide capacity development to staff and partners.

This experience highlighted a few valuable lessons. Firstly, despite the great emphasis that agencies like UNDP place on cross-cutting issues such as gender, human rights, environmental protection and conflict sensitivity, these issues are, and will always be, the first to be short-changed when delivering recovery assistance in the context of complex political emergencies and natural disasters. Secondly, even in those situations when cross-cutting issues have not been adequately considered in the initial stage, it is still possible to develop strategies and mechanisms for doing so mid-stream, with surprisingly effective results. Thirdly, project staff members frequently do not possess the expertise for integrating cross-cutting issues into their projects, quite apart from being able to transfer this know-how to project partners.

On a related point, project staff and partners often resist developing their capacities on cross-cutting issues, particularly if they hail from more technical professions and when they are battling procurement deadlines and delivery pressures. Finally, in spite of the plethora of manuals, toolkits and checklists available on topics such as gender, human rights, environment and so on, there is still no composite document that can provide a much-needed one-stop shop as it were, for UNDP teams looking to integrate the full range of cross-cutting concerns into their work.

The above-mentioned points serve as the *raison d'être* for developing this document and is the basis for much of the information provided. While we concede that every crisis recovery context throws up a different set of issues, we are convinced that the challenges vis-à-vis integrating cross-cutting issues into recovery efforts are quite similar across contexts and that some of our experiences in post-tsunami recovery in Sri Lanka are applicable and relevant to other situations.

A few caveats are in order. Although perhaps much of the material is transferable to other contexts, this manual is primarily intended for those working on integrating cross-cutting issues into crisis recovery projects. To this end, we have grounded our recommendations in examples and case studies from UNDP's tsunami recovery experience. We have tried as much as possible to direct this document to all tiers of staff (management, project-based, field-based and even those of partner agencies) based on our conviction that the effective integration of cross-cutting issues into projects is the responsibility of everyone involved.

We have tried to keep it as brief and as digestible as possible, even when it has meant synthesizing large amounts of information into bullet points. The end-users, in our minds, are UNDP colleagues in other crisis recovery situations, working against competing agendas, capacity constraints and tight deadlines, who do not have the luxury of poring over reams of documents or attending one training workshop after another, but instead will be better served by turning the pages of a document such as this one and gaining enough information and inspiration to adequately reflect the variety of cross-cutting issues in their work.

This publication would not have been possible without the vision and leadership provided by Sanaka Samarasingha who served as the Deputy Country Director and the leader of the Tsunami Recovery Unit. His insistence on linking the various sectors and determination to have the unit work as a cohesive team rather than in project silos resulted in a concerted effort to promote cross-cutting issues across the different project areas. His persistent encouragement to team members to document our experiences and develop such a tool has resulted in this publication.

Additional input to the various chapters was provided by R. Ganesharajah, Ananda Mallawatantri and Shane Cogan. Arjuna Parakrama also provided extensive feedback on the HRBA trainings which has been included in this publication

We thank our colleagues in UNDP who have commented on earlier drafts of this document, particularly colleagues from UNDP Myanmar and the Bureau for Crisis Prevention and Recovery.

Finally, we would like to express our gratitude to Christine Jayasinghe for editing the document and the UNDP Regional Centre in Bangkok for providing the resources required to print this document.

Aparna Basnyat (Convenor and Editor in Chief)

With:

Dilrukshi Fonseka
Radhika Hettiarachchi
Madhavi Malalgoda Ariyabandu
Prashan Malalasekera
Devanand Ramiah
Anita Shah

INTRODUCTION

Based on its tsunami recovery experiences, the Sri Lanka Country Office (CO) is able to share an integrated tool to facilitate the mainstreaming of cross-cutting issues in disaster recovery. As the traditional methodologies for applying standard cross-cutting issues failed in the recovery process, the Sri Lanka CO took an innovative approach in successfully incorporating these principles retroactively. The application of this approach highlighted the need for a new integrated cross-cutting tool, which the CO has developed in-house.

One of the key lessons learnt in the implementation of the tsunami recovery projects is that in spite of the rhetoric regarding cross-cutting issues such as conflict sensitivity, gender, human rights-based approaches and disaster risk mitigation, crisis prevention and recovery situations often do not take these principles into account at the conceptualization and operational stages. This is not due to a lack of conviction concerning the concept, but is rather because of pragmatic reasons relating to post-crisis recovery such as:

- a) In the initial stages of conceptualization (Flash Appeal, Consolidated Appeal Process (CAP), Consolidated Humanitarian Appeal Process (CHAP) and so on), the focus is on adhering to deadlines, which is not conducive to any in-depth assessment, cross-cutting or otherwise. This always results in assessments being fitted retroactively into concepts.
- b) After the formulation of recovery projects, both headquarters and donors generally push (in the case of the tsunami, for instance) for financial delivery. The 'how' is usually not given much consideration till much later; only the 'what' is considered.
- c) At the field level, there are general operational issues that gain priority such as procurement, recruitment and deployment. Project staff members barely have breathing space and are expected to show quick results. Against this background, focal points pushing for human rights-based approaches, conflict sensitivity and gender and arranging workshops on these subjects are considered more of a nuisance than a priority.

In retrospect, the Sri Lanka CO experience has shown the following:

- The contextual elements highlighted above are not going to change. They may improve, but issues of delivery, human resource and logistical constraints do not go away in crisis prevention and recovery situations.
 - We may have to accept the fact that the mainstreaming of cross-cutting issues can be done retroactively (this may not be the best way, but could be the only plausible way).
 - Throwing out a barrage of guidelines, assessment/analytical tools on gender, human rights-based approaches and conflict sensitivity to field staff and expecting them to comply will not work, especially not when the initial accountability is mainly for financial delivery.
 - People implementing projects need the capacity to make informed decisions on trade-offs when it comes to cross-cutting issues as all may not be implemented at an optimum level all the time.
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- The different cross-cutting areas generally work separately. At the field level, data collection, analysis and strategies for the different cross-cutting concepts are implemented in parallel, creating additional work with no tangible result.
- All the same, there is space to develop combined strategies to deal with cross-cutting issues.
- Conceptually, human rights-based approaches may provide the base on which to build an integrated tool for this purpose.

The above realization prompted the Sri Lanka CO to develop an integrated tool that could facilitate the application of cross-cutting issues. This toolkit may be used for assessment, implementation and monitoring of projects and programmes in recovery programming.

The tool was prepared entirely by staff members of UNDP Sri Lanka who implemented the US \$25.8 million portfolio of tsunami recovery projects. We see this as an opportunity not to be missed, given that, apart from having learned valuable lessons throughout the two-year period of the Tsunami Recovery Unit, the team happened to be made up of individuals with a great deal of prior experience in each of these cross-cutting areas. As such, the suggestions and recommendations in this tool are not just theoretically sound, but because they have emanated from actual post-tsunami recovery experiences, they have been field tested with varying degrees of success. They are ideologically driven, pragmatic solutions for real problems faced by UNDP staff in post-crisis situations. While at times the information contained here may seem contextual, we have at all times strived to draw lessons from our experiences, which we hope will be of some use to colleagues facing similar, though not identical, challenges.

This integrated tool specifies what UNDP staff and implementing partners can do in the areas of early recovery in which UNDP has experience, namely, fisheries, housing, micro-enterprise development and capacity development (civil society and public sector). This tool also has an integrated analysis/assessment section, which helps focus on all issues together without separating them into the different cross-cutting areas.

Chapter 1, entitled 'Analysis and Assessment,' is applicable to projects across the board and suggests areas and methods for integrating cross-cutting issues in developing, implementing and monitoring projects.

Chapter 2, entitled 'Livelihood Recovery,' focuses on ways of ensuring that livelihood recovery is made more sensitive to cross-cutting issues and, particularly, to gender concerns.

Chapter 3, entitled 'Housing and Community Infrastructure,' suggests ways of making housing and infrastructure development more responsive to community needs and preferences, and how the consideration of cross-cutting issues is critical to the success of housing and community infrastructure projects.

Chapter 4, entitled 'Capacity Development,' examines the various ways in which capacity development projects, whether it be training, human resource development or infrastructure support to organizations, communities or the government, can be strengthened by ensuring that cross-cutting issues are a central part of the agenda.

Finally, the Annexes provide additional information and checklists that were used by UNDP Sri Lanka's Tsunami Recovery Unit as well as summaries of the projects implemented by the Unit.

ABBREVIATIONS AND ACRONYMS

AC	Advisory Committee	INGO	International Non-Governmental Organization
APR	Annual Project Report		
CADREP	Capacity Development for Recovery Programme	IP	Implementing Partner
		MED	Micro-Enterprise Development
CBO	Community-Based Organization	MFI	Micro-Finance Institution
CCI	Cross-Cutting Issues	NEX	National Execution
CO	Country Office	NGO	Non-Governmental Organization
CPR	Crisis Prevention and Recovery	NHRI	National Human Rights Institution
CSR	Corporate Social Responsibility	PA	Preparatory Assistance
DAC	District Advisory Committee	PMT	Participatory Monitoring Team
DEX	Direct Execution	PNA	Participatory Needs Assessment
DRM	Disaster Risk Management	PRA	Participatory Rural Appraisal
DRMU	Disaster Relief Monitoring Unit	RADA	Reconstruction and Development Agency
EA	Environmental Assessment		
GA	Government Agent	RLF	Revolving Loan Fund
HIV/AIDS	Human Immunodeficiency Virus/ Acquired Immune Deficiency Syndrome	SC	Steering Committee
		STRONG	Sustaining Tsunami Recovery by Organizations Networking at the Grass-roots level through Promoting Local Accountability and Capacity Enhancement Systems
HRBA	Human Rights-Based Approaches		
HRC	Human Rights Commission of Sri Lanka		
IDP	Internally Displaced Person	TAFREN	Task Force for Rebuilding the Nation
IEE	Initial Environmental Examination	UNDP	United Nations Development Programme



ANALYSIS AND ASSESSMENT

Analysis and assessment of the situation from a cross-cutting issues perspective prior to developing a disaster recovery framework.

When undertaking any project or programme, it is important to first analyse and assess the situation to establish how best the intervention can be targeted. How should a problem be evaluated so that it can be addressed as part of an intervention? It needs to be recognized that disasters do not only have a negative impact, but can also open up space for dialogue and create opportunities. In the early recovery stages, the urgency of the relief stage usually abates slightly, allowing some space to reflect on how to frame interventions for the short- and medium-term recovery phase.

Questions for initial appraisal from a cross-cutting issues (CCI) perspective include:

How can interventions be targeted so that aid goes to those who need it most?

How can interventions be conducted in a manner that takes into account the situation and the different needs and priorities of men, women, children, the elderly, the disabled and other disadvantaged groups?

How can we ensure that aid is provided in a non-discriminatory manner and reaches all disadvantaged groups?

What mechanisms need to be put in place so that the recovery support is provided in a transparent and accountable manner?

In what ways can programmes be structured to avoid heightening conflict or inflicting environmental damage?

How can the programmes contribute to building peace and addressing the environmental damage caused by the disaster?

What programmes can be put into place to reduce the risks from future disasters for disadvantaged groups?



Collecting disaggregated data

Gather data on the ground. This includes baseline data that incorporates a nuanced perspective of the various gender, class, ethnicity and power dynamics in the aftermath of the disaster, and how it impacts lives and livelihoods, as well as the capacities of civil society and the public sector. Where possible, data collected should be disaggregated at least by income level, sex, caste/ethnicity/religious groups, age, and disability.¹ This will be useful in targeting the interventions to disadvantaged groups to suit their needs and priorities and ensure their inclusion. While the exigencies of the situation may not allow this to be an exhaustive process, and neither should it be, it is important that the data collected is disaggregated sufficiently to permit the identification of the most vulnerable. If this is not possible at the outset, ensure that the data collected is an ongoing process and interventions are flexible enough to be modified periodically.

Box 1 – Collecting disaggregated data on Housing

As part of the effort to collect disaggregated data, the following information was collected from the beneficiaries of the Vadalikkulam Tsunami Housing Project in Kuchchaveli, Trincomalee.

Name | Marital Status | Shelter Status | Age | Spouse's Name | Female-headed household | Number of children (male under 15/female under 15, male over 15/female over 15) | Birth certificate number | ID number | Elderly | Disabled | Nursing Mothers | Occupation | Assets | Education.

Use alternative means of data collection. Collecting information on sensitive topics such as caste, class, ethnicity, etc. can be problematic. Therefore, the traditional ways of data collection may not always be applicable. People may be wary of providing such data, especially if there is a possibility of it being misused e.g. for ethnic/race/caste profiling. Information can be collected through secondary sources, such as census data or data collected by Community-Based Organizations (CBOs), or by tracking general trends, rather than by directly asking individuals, if they are uncomfortable with providing the information.

Balanced staff composition. Ensure that the assessment team is composed of men and women from diverse ethnic groups and from different professional disciplines. It is useful to make sure that at least one person on the team is from the area and can speak the language. Also, it is important, as far as possible, to hire national staff as they are more familiar with the situation on the ground and can communicate in the local language. Hiring national staff can also, in the long run, help develop the capacity of individuals from the country to respond better in crisis situations.

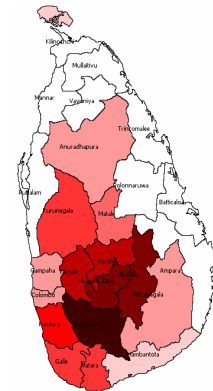
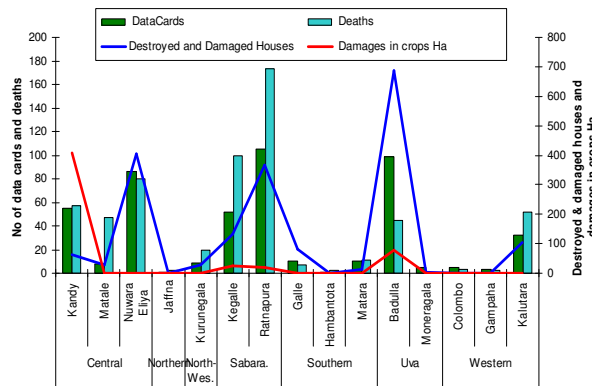
¹ There may be particular vulnerabilities in different locations that should also be addressed.

Collect sector-specific data. This is necessary to assess the impact of a disaster on specific sectors such as housing or livelihoods and to identify the needs of women, men, children and the elderly for emergency relief and rehabilitation within those sectors.

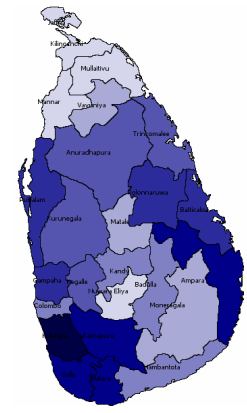
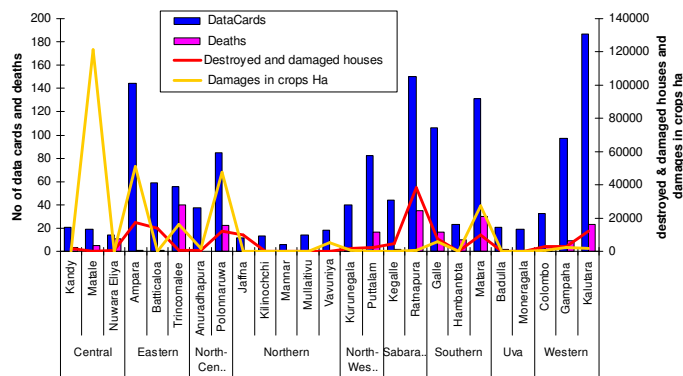
Conduct environmental impact assessments and hazard profiles. Ensure that before any projects are undertaken, environmental factors are taken into consideration. An Initial Environmental Examination (IEE) will indicate the extent of environmental concerns and if the IEE indicates negative impacts by the project, a comprehensive Environmental Assessment is needed. In addition to the environmental impact assessment, existing risk profiles/hazard maps of the country should be referred to. In the absence of a risk profile, a quick hazard assessment should be carried out prior to reconstruction to ensure that risks are not rebuilt. This information should be readily available and incorporated into recovery plans.

Examples of risk profiles:

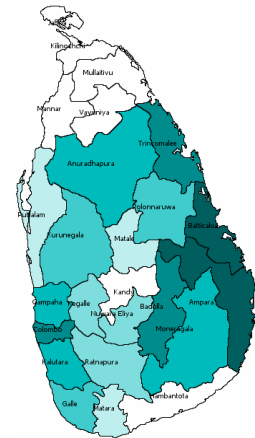
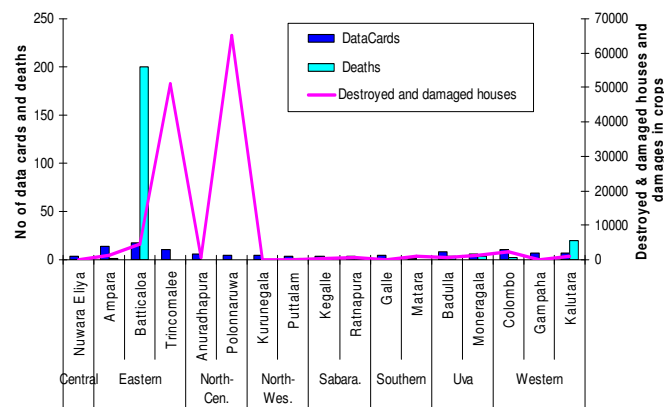
Landslide Prone Districts



Flood Prone Districts



Cyclone Prone Districts



Collect qualitative data to better inform the analysis. Along with the traditional quantitative methodologies, qualitative methodologies that emphasize community-level consultations are useful in identifying needs and priorities which can feed into how the recovery programmes are structured and developed. This can include, among others, the use of participatory rural appraisals (PRAs), participatory needs assessments (PNAs) and focus group discussions.

Collect data more frequently in constantly changing contexts. If the situation on the ground is fluid and constantly changing, as is usually the case in crisis situations, it is necessary to collect data more frequently in order to reflect the actual situation and to respond to it accordingly. For example, data on the number of displaced people who are moving into camps will need to be constantly monitored and updated so that the necessary requirements for food, water and shelter is adequately provided.

Box 2 – People’s Consultations on Post-Tsunami Relief, Reconstruction and Rehabilitation in Sri Lanka

The People’s Consultations project was conducted in over 800 tsunami-affected communities in eight tsunami-affected districts. The consultation identified the main concerns and grievances of the tsunami-affected populations, highlighting their concerns and priorities in terms of recovery. The findings from the consultations were channelled into the District Recovery Plans for livelihoods, housing and other recovery projects. As a result of the overwhelming number of complaints from the People’s Consultations, support was provided to the Human Rights Commission of Sri Lanka to establish Help Desks in each district through the Disaster Relief Monitoring Unit to raise awareness among communities on their rights and entitlements and to follow up on grievances.²

² See <http://www.undp.lk/tsunami/books/UNDP%20Tsunami%20Book.pdf> for the full report



Identifying actors and their capacities

The focus of interventions should always be on the people who have been affected by the disaster, but it is important to understand that even within this group there are a variety of different actors and different dynamics at play. Begin with an analysis of who the actors in the situation are and what their strengths and weaknesses might be.

⇒ Actor/Stakeholder Analysis

Identify claim-holders and duty-bearers. Those affected by the disaster (individuals or communities) are all claim-holders whose rights are protected by various international standards.³ Those actors responsible for ensuring that the rights and entitlements of claim-holders are fulfilled are duty-bearers (states, development agencies, community leaders, heads of households). As a first step, identify all the actors, both claim-holders and duty-bearers, in a community.

Identify disadvantaged groups. Who are those least able to claim their rights? Which groups are being discriminated against, marginalized or excluded? How does the particular situation of certain ethnic groups or minorities affect their ability to access resources and exercise their rights? Has disaggregated data been collected to better target disadvantaged groups? Each situation produces different groups that are disadvantaged for different reasons. Thus, it is necessary to analyse and assess the circumstances and identify the groups which are disadvantaged such as children, the elderly, the disabled, refugees/internally displaced persons (IDPs), youth, people with HIV/AIDS, the conflict-affected and particularly, women and girls from these groups.

Identify gender-based relationships and dynamics. Men and women experience disasters differently, given that their vulnerability to disasters varies widely. It is important to consider the disparities between men and women in their access to recovery assistance and control of resources; the access to options and choices (education, skill training, health, and livelihoods) and the possibilities for decision making. It is equally imperative to consider the social and economic status of men and women as individuals, groups and sub-groups and the potential for meeting their strategic needs. Particular attention needs to be paid to the gender division of labour, the gender roles in both economic and non-economic spheres, and gender-based differential skills. Be aware that neither women nor men fall into homogenous groups and that their particular class, ethnicity, religion and age influence their situation.

Identify conditions that increase vulnerability to disaster. Identify prevailing or consequential economic, social, political and physical conditions that increase the susceptibility and exposure of communities to the threat of natural hazards, especially in communities that are vulnerable to disaster.

³ International Human Rights Standards on Post-disaster Resettlement and Rehabilitation, Habitat International Coalition (AUGUST 2005). Housing and Land Rights Network (HIC-HLRN) and PDHRE - People's Movement for Human Rights Learning in collaboration with the United Nations Special Rapporteur on Adequate Housing, prepared by: Bikram Jeet Batra (consultant) and Shivani Chaudhry (HIC-HLRN). <http://www.pdhre.org/HIC-PDHRE.pdf>

Gender-Sensitive Livelihoods Assessment includes collecting data in the following areas:

Gender division of labour

Gender-based assessment of access to and control of resources

Gender-based capacity assessment

Box 3 – Factors underpinning vulnerability

There are a number of factors which make some people more vulnerable than others in disasters. These include poverty; gender-based imbalances and discriminatory factors; age; caste; powerlessness; and ethnic and religious marginalization. The poor have fewer livelihood assets, market linkages, savings and insurance, and therefore, find it more difficult to recover lost livelihoods. The extent to which people can link up with institutions, and access resources and assistance is also influenced by gender, age, ethnicity and caste. They also act as intersecting factors of vulnerability within poverty.

Identify the roles and interests of actors that may impact an ongoing conflict or have the potential to create conflict. Identify ways in which various groups, disadvantaged groups in particular, have been affected by conflict. In a complex emergency such as one where disaster strikes areas which have been exposed to ongoing conflict, it is necessary to be aware of conflicting interests and challenges in targeting vulnerable groups that are facing the double impact of both conflict and disaster. It is important to consider the various interests of those in positions of power in protecting their situation, and to be aware that interventions that challenge the existing power structures (e.g. trying to change the situation of disadvantaged women in a society) have the potential to create conflict. Make sure interventions have mechanisms that reduce the possibility of conflict and have peace-building elements built into the project.

Identify local capacities for peace. When working in contexts which have an ethnic or identity-based conflict in addition to a disaster, it is important to identify the local structures of convergence that can facilitate peace building. You may find, for instance, individual civic leaders such as school principals or religious leaders who play a natural dispute resolution role and are able to transcend religious and ethnic identities. There are other physical and social spaces such as fisheries cooperatives, sports and youth clubs, and women's groups that may not be polarized along ethnic and religious identities. It is important to map these in the local context in order to incorporate them into the strategy at a later stage.

Be aware that relationships between duty-bearers and claim-holders are often dynamic. A claim-holder can also be a duty-bearer and vice versa. For example, a head of household may be a claim-holder vis-à-vis the state but would be a duty-bearer in relation to his or her children.

Example from Ampara/Batticaloa Cross-Cutting Issues Training		
Problem	Claim-holders	Duty-bearers
Lack of participation by female beneficiaries	<ul style="list-style-type: none"> Female beneficiaries: Tsunami victims Widows Women-headed households 	<ul style="list-style-type: none"> Implementing partners UNDP Government authorities e.g. District Secretary, Women Development Officer
No place to sell fish	<ul style="list-style-type: none"> Fisher folk (mostly men) Fish sellers (both men and women) Fishing cooperatives Consumers/Village people (buying fish) Poor fish catchers/labourers Conflict-affected fishermen Low caste fishermen Migrant fishermen Ethnic minorities 	<ul style="list-style-type: none"> Fishermen's Cooperative Union Department of Fisheries Cooperative Department Local authorities Politicians Researchers/universities NGOs, INGOs, UN agencies Wholesale fish merchants Private sector
Inequitable distribution of services and equipment	<ul style="list-style-type: none"> Vulnerable fishing families (and dependants) Women-headed families Fisheries societies/federations Fisheries-related employers IPs, NGOs, INGOs, CBOs 	<ul style="list-style-type: none"> Fisheries cooperative societies, federations, unions Government authorities NGOs, INGOs Local leaders Private sector Donor agencies Coordinating agencies (RADA/TAFREN) UN agencies

⇒ **Capacity Analysis**

Identify strengths and weaknesses of claim-holders and duty-bearers. For claim-holders, it is important to see how they can be supported, first in knowing and understanding their rights, and then in exercising and claiming their rights. By identifying capacity strengths and weaknesses that duty-bearers have, it is possible to develop interventions to support them in their obligations to fulfil, promote and protect rights.

Identify existing support mechanisms within the community. Communities often have their own social networks and support groups. Are there mechanisms already in place in the communities through which people can organize themselves and voice their demands? Have CBOs that previously existed been destroyed by the disaster? Do social support networks still exist or have they been weakened or destroyed by the disaster?

Men and women have differing strengths and weaknesses and the analysis needs to account for this difference. What particular constraints do women face in the aftermath of a disaster? What mechanisms are already in place to assist them in coping with the situation? How do families survive when the breadwinner has been lost? How do children who have lost one or both their parents cope? How do girls and boys deal with the situation differently? Are they particularly vulnerable to abuse (e.g. violence, sexual abuse, incest)? Are there community groups, local organizations or other support structures already in place to assist these people? Communities, government officials, community leaders and development agencies can all be trained to be sensitive to the differences between men and women.

Box 4 – Gendered impact of disasters

Men and women often experience disasters differently because of their gendered social conditioning. Men and women in any society have different roles, needs and priorities, partly related to biological factors, and mostly arising from socially defined differentiated sets of roles, tasks and responsibilities. The social aspects may vary depending on particular socio-cultural values of a society; however the fundamental divisions of roles and responsibilities largely remain the same. As a result, men and women develop different and often, specific skills, and have life experiences different from one another.

Consequently, men's and women's roles in the disaster cycle are different and are guided by context-specific gender relations, while their coping skills, capacities and recovery are different. Further, gender-based divisions and prejudices place a heavier burden on girls and women in comparison to boys and men in many societies. Gender-based inequalities experienced by women are observed in human rights, political and economic status, land ownership, exposure to violence, education and health.

While women are not a homogenous group, they often face additional challenges and barriers depending on their social class, race, ethnic and age group, and hence, are more vulnerable in disaster situations. More specifically, the following factors make women more vulnerable to disasters: they have less access to warning information; they are less mobile (due to segregation and other social restrictions); they often depend on male members of the family; they are more prone to sexual abuse and attacks and have to endure the different stages in life such as pregnancy, breast feeding etc.

Analyse weaknesses and strengths of disadvantaged groups. For the poor, disasters mean that, in addition to enduring the loss of their homes or the loss of family members, their livelihoods are also severely affected and their vulnerabilities to future disasters increase. People may have become physically disabled or psychologically affected by the disaster and interventions have to help these individuals and communities recover. Conduct an assessment of how people cope in such situations, including looking at strengths such as youth groups or local CBOs/societies or other community groups from which people can draw support from each other.

Be sensitive to varying needs in conflict situations. When disaster strikes conflict-affected areas, refugee or internally displaced communities may be uprooted again, compounding their already difficult situation. However, the disaster may also present opportunities for previously divided groups to work together to address a common difficulty. An analysis of the constraints as well as the opportunities that can contribute towards peace building needs to be undertaken. It is also necessary to ensure that the interventions do not exacerbate tensions arising from perceived or real discrimination in the distribution of aid. Implementing partners (IPs) need to be aware that the mandates and policies of donors too can contribute to tensions. For instance, the unprecedented funds mobilized for tsunami relief and recovery were stringently tied to targeting only those affected by the tsunami, when, in reality, the needs of the tsunami-affected and conflict-affected hardly differed.

Box 5 – Tsunami Exhibition

The mobile exhibition, titled "One Coast, One People: The Tsunami Story", was a testament to the despair and devastation in the aftermath of the disaster and demonstrated the resilience of the Sri Lankan people in overcoming one of the worst catastrophes in recent times. The exhibition was a way of informing people of various communities, including those who had not been affected by the tsunami, so that they could understand the extent of the disaster.

The collection of press photographs, television footage and video presentations travelled through the tsunami-devastated areas as well as in the interior regions of the country. It portrayed a broad overview of the post-tsunami chaos as well as the massive rebuilding process over a period of one year. People who had not directly experienced the scope of the disaster or seen the struggles of the tsunami-affected to rebuild their lives had the opportunity to view the whole story. This sharing of information was important because many communities from inland areas were among the first to respond to the disaster. This gave them the chance to look back at those early days in which they were directly involved and to see the trials and triumphs of the tsunami-affected since.

One of the important features of the tsunami exhibition was that it was a multi-stakeholder project bringing together the Government, media organizations, private sector companies, civil society organizations and donors, with each contributing expertise and funds for the success of this campaign aimed at sharing experiences and promoting discussion on issues related to the tsunami recovery process.

Identify human resources, assets, equipment and supplies that communities can draw on for disaster relief and reconstruction. Communities may already have materials and human resources that they can contribute towards their own relief efforts. To ensure ownership of the communities and to enable them to take an active role in their own development, the interventions need to consider ways in which the communities can directly contribute to their own reconstruction. Analysis of whether it is possible (through community consultations) may be useful to identify how the communities can actively be involved, whether by contributing labour for building their houses or other community infrastructure, or actively monitoring the reconstruction process, or taking part in making decisions regarding how to develop their community-level recovery plans.

Identify the level of awareness in communities of their rights and entitlements.

Gaps in awareness of rights and entitlements, especially in the aftermath of a disaster, may exclude some communities that do not have access to information or because language is a barrier or for some other reason. This limits their ability to demand their rights and entitlements in situations when they are not being fulfilled by duty-bearers. Even within communities there may exist further disparities. Some sub-groups, such as disadvantaged women, boys and girls, the elderly, those who are illiterate or the disabled may find it more difficult than others to access information regarding their entitlements. They may not know when their rights are being violated, or what to do when their rights are violated. It is necessary to assess and analyse the level of awareness and capacities of communities to exercise and claim their rights so that capacity development strategies that raise rights awareness can be developed.

Identify the level of participation of disadvantaged groups in decision making.

If there are gaps in the level of participation, responsible actors can be targeted so that they consistently ensure that disadvantaged groups participate in decision-making processes. Assess the capacities of duty-bearers to fulfil obligations to disadvantaged groups, including promoting and protecting their rights and ensuring their participation in the decision-making process. For example, assessments can be done about the level of awareness of Sphere Standards⁴, gender awareness, level of conflict sensitivity, knowledge of human rights and obligations.

Also, at the community level, assess the level of participation of disadvantaged groups to develop a participation plan that focuses on building their capacities to participate throughout the programme cycle. Guidelines for the assessment include:

- To what extent do different groups within the communities participate in decision-making/political processes?
- Are there mechanisms in place to encourage participation of the community in programmes that affect them?
- Were the views/perceptions of those affected taken into consideration in the development and implementation of recovery interventions in the area?
- What were some obstacles/incentives for participation? Are there any logistical and cultural concerns that are barriers to participation? For example, safety concerns as well as cultural taboos may prevent women from taking part in skill development programmes. Distances, including transport time and cost of travelling, may also be a factor. What methods can be put in place to overcome some of these obstacles?
- Use traditional mechanisms such as PNA and PRA and include them in the SWOT (strengths / weakness / opportunities / threats) analysis. Non-traditional ways such as promoting participatory monitoring (e.g. Aid Watch which is described in Chapter 3) can also be employed. Keep in mind that interventions that promote participation and seek to empower communities to participate are long-term measures and can take time.

⁴ Sphere Standards are based on humanitarian, human rights and refugee laws and provide a set of guidelines and minimum standards for relief work in disaster situations. See www.sphereproject.org

Example from Ampara/Batticaloa Cross-Cutting Issues Training

Problem	Claim-holders – Capacity Strengths/Weaknesses	Duty-bearers – Capacity Strengths/Weaknesses
Lack of participation of affected women	<p><u>Strengths</u></p> <ul style="list-style-type: none"> • Women’s groups including cooperatives • Women’s skills such as handicrafts <p><u>Weaknesses</u></p> <ul style="list-style-type: none"> • Tsunami-affected people • Lack of income • Lack of awareness • Cultural constraints • Limited participation in decision making • High illiteracy • Lack of exposure, • Self-imposed barriers • Security • Geographical constraints 	<p><u>Strengths</u></p> <ul style="list-style-type: none"> • Availability of government institutions e.g. Women’s Development Officers • Strong monitoring systems, logistics <p><u>Weaknesses</u></p> <ul style="list-style-type: none"> • Lack of participation and sharing of information • Lack of awareness • Lack of staff • Lack of facilities
No place to sell fish	<p><u>Strengths</u></p> <ul style="list-style-type: none"> • Unions, societies • Skills • Resources • Less capital investment, • Large-scale fishermen have markets <p><u>Weaknesses</u></p> <ul style="list-style-type: none"> • Caste issues • Security situation • Bargaining power • Vulnerability of day labourers and small-scale fishermen • Limited access to markets • Ethnic discrimination 	<p><u>Strengths</u></p> <ul style="list-style-type: none"> • Advice on technical issues • Investigation on misuse of funds <p><u>Weaknesses</u></p> <ul style="list-style-type: none"> • Lack of proper equipment • Lack of capital • Lack of technology • Lack of finances • Limited knowledge of human rights • Security restrictions
Inequitable distribution of services and equipment	<p><u>Strengths</u></p> <ul style="list-style-type: none"> • Human resources • Technical knowledge • Past experiences • Registered societies/ unions/ federations • Access to resources <p><u>Weaknesses</u></p> <ul style="list-style-type: none"> • Lack of coordination • Lack of capacity for decision making • Limited access to information, • Security concerns • External pressures • Gender imbalance • Natural threats/disasters 	<p><u>Strengths</u></p> <ul style="list-style-type: none"> • Knowledge • Skills • Experience • Finance • Networks/coordination • Communication • Human resources • Sharing of information • Capacity to provide services <p><u>Weaknesses</u></p> <ul style="list-style-type: none"> • Resources (from outside the fisheries sector) • Biased decisions



Developing an implementation plan

Develop strategies to address weaknesses and build on strengths. An implementation strategy needs to take into consideration the interplay of all the actors involved and build on capacity strengths while addressing the weaknesses. This means that, for example, if one of the actors is a fisheries cooperative, its weakness may be that the members tend to overlook the role women play in the fisheries sector. An implementation strategy that supports fisheries cooperatives needs to actively include women, perhaps through collective discussion on how to use community centres and how they can play a more active role within the political structure of the cooperative.

Develop a holistic approach to providing assistance. Seek out ways to develop the capacities of both duty-bearers and claim-holders. It is not enough to empower only claim-holders as this will lead to frustration on their part and unresponsiveness on the part of duty-bearers. If only duty-bearers are strengthened, there will not be adequate accountability because claim-holders will not be empowered enough to hold the duty-bearers accountable.

Identify strategies to target disadvantaged groups. Having identified the disadvantaged groups and their strengths and weaknesses, the strategy needs to focus on how to promote their participation in decision-making processes. How can the project be formulated so that it reaches the most vulnerable in the communities? What strategies can be employed so as to address the hidden obstacles preventing disadvantaged groups from accessing resources? Along with addressing immediate short-term goals, in what ways can the strategy contribute to long-term strategic objectives?

Ensure that the project is sensitive to the cultural, social, political and geographic specificities of the area. This may include sensitivity to security issues, preferences in the types of livelihood options, languages used in training programmes or specificities in the design of houses.

Build in flexibility in the implementation strategy. Projects operating in dynamic environments need to factor in flexibility in preparing implementation plans. This involves, at one level, constant updating of the analysis as the ground situation changes. For example, the changes in the buffer zone policy created a new ground reality overnight for housing and livelihood, making the previous analysis and implementation plan redundant.

Example from UNDP Field Office CCI exercise

Strategies to address identified gaps and support strengths

Participation

- Use participatory analysis and planning and needs assessment for implementing, planning, monitoring in all projects
- Mobilization of the community to increase participation
- Increase interaction with community as well as religious leaders to promote participation
- Facilitate dialogue to discuss options on how to allocate housing, including discussion on protecting vulnerable groups
- Holding small meetings may encourage less vocal members to participate more actively
- Where feasible, use labour from the community (depending on willingness/interest of the community to do so), e.g. women to clear access roads
- Hold meetings with both duty-bearers and claim-holders to facilitate dialogue between them
-

Non-discrimination and attention to vulnerable groups

- Collect disaggregated data on affected people
- Be aware of exclusionary effects of projects - where a community centre is built may determine who is able to access it; certain groups may be excluded, e.g. people of lower caste, or women
- Adhere to the principles of neutrality and impartiality when providing assistance while ensuring adequate consideration is given to vulnerable groups
- Strengthen the CBOs that deal with disadvantaged groups
- Facilitate government involvement and awareness of projects with a focus on disadvantaged groups
- Linkages to human rights standards
- Create awareness of human rights, government policies, and specifications (including budget and plans) of the project

Accountability

- Share information with communities and link to other stakeholders - ensure access to information at all times through community meetings, discussion with stakeholders, providing project leaflets, posting information on notice boards
- Hold combined meetings with affected people and the larger community to explain the project and allow for community feedback
- Coordinate with other organizations and projects - make linkages where possible between projects and build partnerships with other organizations so that when working in the same area, communities are able to easily access information from organizations and processes are not duplicated
- Use of community media - radio, newsletters to inform people about the projects, criteria for selection of projects and publicize ways in which complaints can be made about the project
- Train community members in technical skills to build and monitor progress of infrastructure projects
- Encourage CBOs to review their constitutions to make them more inclusive
- Encourage CBOs to monitor progress and periodically provide feedback
- Build capacity of CBOs in transparency and accountability

Empowerment

- Empower beneficiaries through community dialogue, training, awareness of rights, paying special attention to disadvantaged groups

Sustainability

- Develop well-defined projects taking into consideration their sustainability
- Hold meetings with local government and other duty-bearers on a regular basis to inform them on the progress and obstacles of the project
- Provide funding to enable CBOs to function after a disaster

In a constantly changing environment (e.g. conflict situation or if a new disaster has hit), ensure that the initial analysis is periodically reviewed and updated so as to remain relevant

Ensure that the project follows a 'DO NO HARM' policy. Project managers need to be aware that, at the very least, they need to adopt a 'DO NO HARM' policy where they should be careful not to make the situation worse i.e. ensure that they do not exacerbate conflict, cause environmental damage etc. However, interventions should try to go beyond 'DO NO HARM' and make a constructive contribution, for example, by including peace-building elements in the project or strategies that contribute to environmental conservation.

Box 6 – Palmyra Planting

The palmyra planting project in Hambantota was developed in the aftermath of the tsunami as an alternative livelihood project for women affected by the disaster. In addition to being an alternative livelihood project, it helped prevent further environmental damage to the coastline, since the trees were planted along the coast and would serve to reduce erosion of the beach. The project also was a means of challenging ethnic stereotypes since palmyra palms have generally been identified with the northern and eastern regions. Establishing market linkages between the north and south could be another way to contribute to peace-building efforts. When exchange mechanisms are established between the two geographically distant regions, this project will be able to strengthen channels of communication and enhance understanding.

Develop a partnership strategy. Partnering with local organizations is key to successfully implementing programmes. Local organizations are more familiar with the ground situation and have their contacts and networks, which is essential for organizing communities and implementing projects. For example, the STRONG PLACES (Sustaining Tsunami Recovery by Organizations Networking at the Grass-roots level through Promoting Local Accountability and Capacity Enhancement Systems) project sought to build institutional capacities of CBOs in the tsunami-affected areas so that they were able to serve their communities better (see Annex I for project details).

Begin by assessing the capacity of potential partner organizations to determine if they have the necessary technical skills and competencies and are aware of CCI. If they fall short, concerted effort needs to be made to develop their sensitivity to and capacities for incorporating CCI into their work. Partner organizations should be aware and use participatory methods in collecting data and in designing and implementing their projects. They should be rated on their transparency and accountability to their communities. This not only means keeping financial records, but also that they provide the communities that they work with accurate and timely information on their budgets and activities. It is also necessary to ensure that there is a gender balance in the staff of the partner organizations and that women are included in decision-making positions.

Extensive international non-governmental organizations (INGOs) and international donor support is usually sought in the aftermath of a disaster, but it is often much more effective to partner with local non-governmental organizations (NGOs) and CBOs (see above) as well as with the private sector.

Box 7 – SUNTEL support for livelihood recovery

SUNTEL, a private sector telecommunications company, set up the Suntel Relief Trust Fund which funded a Revolving Loan Fund (RLF) through UNDP in Suriyawewa, Hambantota district. This concessionary loan scheme finances the rehabilitation of damaged vegetable plots in Weligama in the Matara district.

Apart from receiving funds from the private sector, the project also draws on the expertise of other companies in the corporate sector for technical knowledge and market linkages. For example, tomato farmers regularly lose a percentage of their crop at the stages of packing and transportation. A large grocery store chain in the area has been working with the group to provide hands-on training in new low-cost packaging techniques, and has agreed to buy produce from the villagers regularly.

Traditional livelihood programmes and loan schemes can be made holistic with this approach of involving national (for funding) and regional (for technical expertise and market linkages) private sector companies.

Develop a participation plan. Participation of the communities at all stages of the programme cycle needs to be promoted and a specific participation plan needs to be developed to correspond with the work plan. Though ensuring participation can be a costly exercise, it helps develop ownership of the stakeholders over the project as they are properly informed about the objectives and are able to make decisions about the direction of the programme and tailor them to their specific preferences.

When the project plan is being developed, communities need to be involved in defining their priorities so that it can be tailored to their needs. It is important that consultations result in directly affecting the scope and nature of the project and are not held merely to tick off a check box. Community discussions and consultations engaging different groups within the community (men and women, boys and girls, youth and the elderly, ethnic and religious groups) need to be built in throughout the implementation of the project so that feedback from the community on the progress and quality of the projects can be influenced by their input.

Box 8 – Sequencing of steps

While there is a logical progression of steps that must be followed in developing and implementing projects, the reality is that, often, data collection, analysis and preparation of implementation plans and partnership strategies are done simultaneously, or in some cases, retroactively. Particularly in the context of disaster recovery, where timelines are short and projects need to be developed and implemented as quickly as possible, there is often very little room to follow a proper sequencing of steps.

After the tsunami, UNDP began implementing projects as quickly as possible in early 2005. It was not till some months had passed, as the projects began to get off the ground, that they were reviewed for their sensitivity to CCI. If flexibility is built into the programme, it is possible to retroactively institute changes by 1) providing training in CCI sensitivity to programme officers and implementing partners, 2) reviewing and recommending changes to the project so that they adhere to CCI and 3) establishing indicators for CCI even after the programme has been launched.

Ideally, some disaggregated data, capacity analysis and empowerment initiatives using participatory approaches should be undertaken as part of regular programming rather than waiting until a crisis occurs.



Developing a monitoring and evaluation strategy

Project monitoring should be an ongoing process in which project activities and their contribution to stated outcomes are constantly scrutinized at every stage of implementation. In the context of CCI, project monitoring is most useful when it becomes a routine part of the work of a project. As a part of its global monitoring and evaluation policy and the change to results-based management techniques, UNDP has been placing greater emphasis on the need for outcome monitoring rather than only focusing on traditional output or implementation monitoring efforts. This also adds to the importance of CCI such as human rights, gender and conflict sensitivity, which are more relevant at an outcome level.

Ensure project staff members are aware of CCI and how to monitor their application. Ideally, a team of CCI experts with considerable experience in the respective fields (human rights-based approaches (HRBA), conflict sensitivity, disaster management, environment and gender) should be formed within the office to assist project managers with monitoring and provide advice when necessary. At the very least, project managers and local project staff should be trained in CCI at the start of the project on the type of problems that may arise. They can then monitor the progress through frequent site visits, where, along with discussions with those carrying out the project and verifying progress in quantitative terms, consultations can be held with the beneficiaries and the surrounding community. Should any problems arise during the implementation, the project managers/field focal points should be able to directly contact the relevant team of in-house experts for advice.

Incorporate CCI monitoring into project documents, annual project reports etc.

The identification of relevant CCI and methods to address them (along with indicators to measure progress) should be included as part of the overall results and resources framework that is included in a project document. This will ensure that the consideration of CCI will be mainstreamed into the overall project implementation efforts, and not just seen as separate and optional items of work. When including project monitoring in annual work plans, the monitoring of CCI should be specifically mentioned as a mandatory activity. At the outset of a project, it should be clearly articulated that progress must be detailed in monthly progress monitoring reports which officially capture the current situation, and which include a separate section regarding the implementation of CCI and the challenges faced.

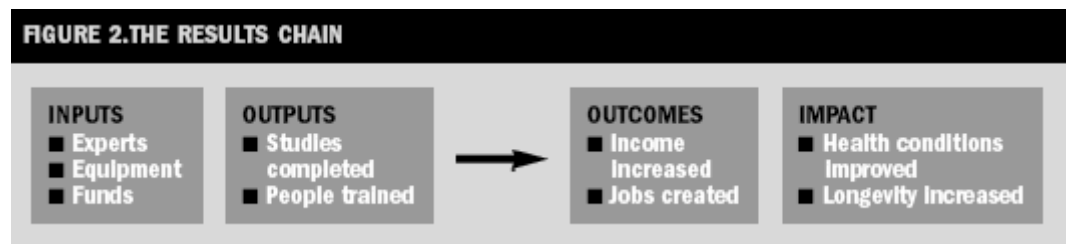
An important tool for the UNDP country office in terms of central oversight and management processes is the Annual Project Report (APR), even more so, given that many of the other mandatory requirements for projects, such as tripartite review meetings, have now been abolished. It is vital that when developing the APR, implementation of CCI as well as best practices and lessons learnt in this area should be taken into consideration and a section of the report should be set aside for this purpose. This would ensure that implementation of CCI would be considered as a key driver of the overall project progress. Moreover, more than just project staff reporting on the implementation of CCI (which would be the normal procedure in monthly monitoring reports), the APRs should ideally perform the function of obtaining community verification as to whether these issues have been taken into consideration. This could be done by utilizing a community feedback mechanism such as discussion forums or beneficiary surveys which can feed into the APR.

Use both quantitative and qualitative methods to monitor projects. Quantitative data gathers statistics and other numerical data, whereas the qualitative approach would be more subjective, used to describe life experiences and give them meaning. These two methods of collating information are complementary and will provide project managers and staff the basis to accurately gauge the progress on implementing CCI.

Quantitative data: The establishment of well-defined and measurable CCI at the outset of the project is essential to ensuring that progress in implementation can be tracked over time. Of critical importance to the development of good indicators is accurate and comprehensive baseline information, which must be collected at the outset. This could be done using a variety of sources, including existing national statistical information, from local authorities or, if they have been established, through UNDP field offices.

Qualitative data: It is important to corroborate feedback received through the quantitative indicators with qualitative information. The process of gathering qualitative data should also begin at the project inception stage and continue through the project cycle. For example, a specific project may conduct regular discussion forums with the communities on project objectives to gauge progress in addressing CCI issues. A set of common questions should be used in each of these forums so that comparisons can be made across time.

Process and Output Indicators are both necessary. Traditional project management methods have focused specifically on the delivery of agreed outputs, progress towards which is tracked through process indicators over the project time period. With the increasing emphasis on tracking the impact of interventions on the achievement of identified development outcomes (based on the strategic shift to results-based management), the importance of higher-level outcome indicators has grown commensurately. The monitoring of outputs and outcomes are inherently linked and cannot be viewed independently of each other, especially in the context of trying to measure the contribution of a project to a larger change in development conditions. This inter-relationship can be clearly seen in the diagram below:



(From UNDP Monitoring and Evaluation Handbook)

Some examples of indicators are provided below:

Process	Output	Outcome
New housing reinforced with steel to enhance structural strength	Number of houses built through a project in disaster-prone areas that meet safety criteria	Number of communities that feel safer in their homes
Number of consultations with project beneficiaries conducted at specified times during the planning and implementation periods	Number of beneficiaries consulted and who approve of project objectives	Number of beneficiaries empowered to build a true partnership with development actors
Identification of areas of inter-community tension at project sites	Physical development/improvement of a community interaction site, e.g. village hall, playground	Increase in the level of interaction between ethnic communities and the reduction in intercommunity disputes

Indicators to measure both implementation process and outcomes should be developed (for both quantitative and qualitative data). Both process indicators and outcome indicators should be developed. Essential to the creation of good indicators is comprehensive baseline data, which should be gathered at the project inception phase to help track changes in overall development conditions through the project. Indicators should reflect all the CCI relevant to the specific intervention and particularly on disadvantaged groups. Standards and norms extracted from the international and national normative framework should shape these outcomes and indicators. Projects should be measured on the progressive realisation of results as defined by these standards and norms.

Too often development projects fail because of the lack of emphasis on quality. Quality can only be achieved if the correct process is adopted. That process should embrace an approach that includes effective targeting of assistance, sensitivity to CCI, community participation and ownership, and safeguards to guarantee sustainability. Indicators that emphasize process, such as those listed below, should be used to define qualitative indicators of success.

- Data collected allows for monitoring and evaluating progress of the project
- Data collected is updated regularly to reflect the changing situation
- Communities and those that are particularly vulnerable are regularly consulted
- Project is designed in consultation with communities
- People have access to information on the project and the means to complain when there are problems
- Contracting and hiring in the project is conducted in a transparent manner
- Staff in the project are aware of CCI and international and national human rights standards

The key features of implementation and outcome monitoring are shown below:

TABLE 1. KEY FEATURES OF IMPLEMENTATION VERSUS OUTCOME MONITORING	
ELEMENTS OF IMPLEMENTATION MONITORING (traditionally used for projects)	ELEMENTS OF OUTCOME MONITORING (used for a range of interventions and strategies)
<ul style="list-style-type: none"> ■ Description of the problem or situation before the intervention; ■ Benchmarks for activities and immediate outputs; ■ Data collection on inputs, activities and immediate outputs; ■ Systematic reporting on provision of inputs, etc.; ■ Directly linked to a discrete intervention (or series of interventions); ■ Designed to provide information on administrative, implementation and management issues as opposed to broader development effectiveness issues. 	<ul style="list-style-type: none"> ■ Baseline data to describe the problem or situation before the intervention; ■ Indicators for outcomes; ■ Data collection on outputs and how/whether they contribute towards achievement of outcomes; ■ More focus on perceptions of change among stakeholders and more focus on "soft" assistance; ■ Systematic reporting with more qualitative and quantitative information on the progress of outcomes; ■ Done in conjunction with strategic partners; ■ Captures information on success or failure of UNDP partnership strategy in achieving desired outcomes.

Source: UNDP Handbook for Monitoring and Evaluating for Results

Encourage participatory monitoring by communities. When monitoring projects, communities should be engaged as far as possible in order to obtain feedback on and verification of progress. This could be in the form of regular forums and surveys as discussed earlier, but also in some cases, particularly those related to community infrastructure and housing, a more structured community monitoring system could be set up from the outset (see Aid Watch in Chapter 3). This would help ensure that construction takes into account particular local needs and is adapted to suit the community as far as possible. Community groups, especially disadvantaged groups, can also take part in identifying indicators for monitoring the project (this could help pre-empt 'creative' reporting).

Public access to monitoring reports and progress of projects. Monthly monitoring reports, APRs etc should be publicly available (through websites, field offices, community bulletin boards, etc.) and in all relevant languages to ensure transparency and downward accountability. Information should be made available to the public through innovative means so that it is accessible, for example, through leaflets, exhibitions, and community discussions and consultations. The media can also play a role in reinforcing transparency by reporting on the projects so that information is widely available and organizations can be held accountable.

Evaluations. UNDP no longer requires mandatory project evaluations, but specifies that a number of outcome evaluations should take place during each programme cycle, depending on the size of the country programme. In a post-recovery context where UNDP activities may fall outside the immediate scope of the country programme, it is important that the consideration and incorporation of cross-cutting themes be a key overall outcome and that it is one of the outcomes that are evaluated. If the monitoring and reporting strategies discussed earlier are implemented, this would facilitate a comprehensive evaluation of CCI.



LIVELIHOOD RECOVERY

Restoring employment and income opportunities to disaster-affected communities, paying special attention to gender-sensitive livelihood recovery

Livelihood/ livelihood systems consist of five categories of assets:

Human – skills, physical strength, health

Social – family, kinship, access to political power, information

Natural – land, water

Physical – production tools, livestock, infrastructure

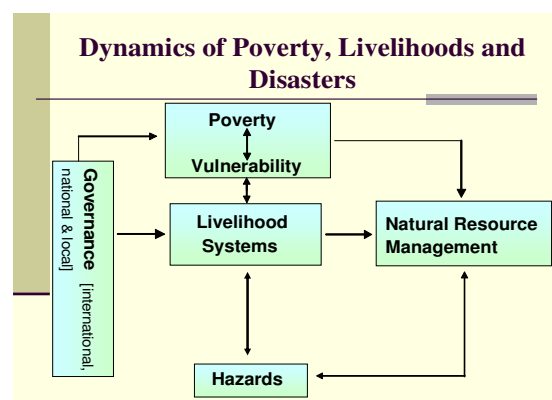
Financial – credit, capital, insurance

Ownership and accessibility of livelihood assets is not equal and vary considerably depending on a variety of factors including level of poverty, gender relations, caste, social class, social and political connectivity, and the dynamic social and economic relationships that result in the interplay between these factors. The status of ownership and accessibility determine the capacities and vulnerabilities of people in producing livelihood outcomes, how disasters impact them and the speed of recovery.

In disasters and emergencies, livelihoods are disrupted, livelihood assets get lost and are damaged. While the hazards themselves do not discriminate between the various divisions in society (rich and poor, men and women, high and low caste), the severity of impacts and the speed of recovery of various individuals and groups differ vastly. These variations in impact and recovery can be easily traced back to existing vulnerabilities and capacities.

The recovery phase offers new windows of opportunity to transform some of the oppressive relationships and linkages into more progressive and equitable ones, so that vulnerability is reduced. It could also provide learning and skill development opportunities to explore new, more efficient livelihood options in an equitable manner.

(Source: Livelihood Centred Approach to Disaster Management; A Policy Framework for South Asia, IIDG South Asia, January 2005)





Identifying and selecting projects and stakeholders

Analysis of livelihood sectors. Identify different sectors, such as fisheries, agriculture, tourism and crafts, taking into account geographical placement (coastal, inland, wet/dry zones, mountains), existing gender relations, caste-based differences in livelihood choice and ownership and accessibility of livelihood assets. In addition, the analysis should be cognizant of the differences within the livelihood sector, including the specificities of the situation of different community groups, men and women. National economic priorities for the medium and long term must also be considered.

Identify needs and priorities of different community groups. To target recovery interventions accurately, the different groups within communities, such as class, caste, people without productive assets, men and women, different age groups, people with special needs and disabilities, must first be identified. As part of the analysis, it is important to seek out the most marginalized groups for livelihood recovery assistance based on disaggregated data. Project plans can include specific activities to deliver recovery assistance to the most marginalized groups.

Box 1- Targeting marginalized groups by identifying factors of marginalization

The people affected by the tsunami did not fall into homogenous groups and, to ensure that the recovery effort supported those who were most vulnerable, it was important to look for further factors of marginalization. In the Micro-Enterprise Development (MED) project, this was done in two steps. First, information was collected from the areas affected by the tsunami which enabled the identification of the most marginalized amongst the affected. Secondly, a recovery assistance programme was designed to reach out specifically to these groups.

The PNA/PRA conducted by the field staff provided vital information about the status of the affected persons. Consultation with village cooperatives and CBOs also provided information on the communities - the types of groups that existed, membership profiles and networks through which people could be reached. However, in order to identify the most marginalized men and women in the communities, it is necessary to invest some time while conducting the PNA to probe beyond the set questions. Ideally, the team members need to be aware of the factors of marginalization such as gender, poverty, ethnicity, caste, mobility, literacy and skill levels so that they can identify those who have been marginalized within the community.

It is likely that those who have been most marginalized do not belong to any cooperative, do not have membership in any organization and are less willing to participate or have been prevented from participating in any community discussion. For example, as a result of the ongoing conflict, many CBOs in Kallapadu in the Mullaitivu district were no longer functioning. It was recognized that it would be necessary not only to support the recovery of individuals but to enable the formation of a women's group so that its members could access micro-credit to initiate livelihood recovery activities. Women's groups in the south and east were also similarly supported with the funds provided by the UN Staff Council, as many of them had been bypassed by mainstream recovery assistance. A handloom workers' group in Kalmunakudi in Ampara district and a women's group making coir-based products in Matara district were also supported.

Identify livelihood resources available. Assess access to productive resources (credit, raw material, tools, etc.) for most marginalized groups such as poor women, the disabled, widows, certain ethnic groups, etc., and develop measures to ensure access is included in the project plans.

Identify the scale of operation. In the fishing sector, for example, there are people who operate on a large scale with multi-day boats, as well as small-scale fishermen who either own small boats or who use boats and gear owned by others. In the small-scale fisheries sector, there are often other non-fishery livelihood support activities such as coir work and fish processing, where the gender division of labour in family livelihood support is clearly seen. By identifying the scale of operation it is possible to better target the intervention.

Box 2 – Identifying gaps in livelihood recovery - scales of operation

The majority of post-tsunami livelihood recovery intervention plans were made without adequate analysis or an understanding of the subtle dynamics of the livelihood systems of coastal and other affected communities and without a sound base of disaggregated data. Mainstream recovery programmes took a sector-based approach, looking at the fisheries, tourism and agriculture sectors, based on the damage and needs assessments conducted from a macro point of view. Such assessments clearly could not capture the small-scale production on which the poorest men and women depend.

For example, families which are engaged in small-scale fishing augment their income with activities such as making dry fish, petty trading (selling vegetables and snacks) and making coir products (a common income-generating avenue for coastal women). However, these activities were minimally reflected in the assessments and plans, and thus, they received much less assistance.

Implications: Livelihood recovery interventions too often fail to meet the needs of the most marginalized groups and occupations at the lower scale when needs are assessed based on overall sector approach rather than through the use of disaggregated data within the sectors.

Gender relations in livelihoods are reflected in the following main areas:

In gender division of labour

In access and control of productive assets

In access and control of livelihood outcomes/results

Identify skills and technology options available for large-, medium- and small-scale operations/enterprises. The recovery phase offers a window of opportunity to upgrade production technology, skill levels and quality. By assessing the available skills and technology, it is possible to identify gaps and address them through skill development and improved technology options for both men and women. In supporting the recovery of fishing gear, boats and harbours, for example, the quality was upgraded in comparison to what was lost. However, this was not done for small-scale operations. For many of the livelihood development activities in which women were involved, individuals were provided with a direct replacement for the equipment lost. For example, while the opportunity could have been used to upgrade coir processing and handloom production technology to reduce the drudgery of the activity, it was not done.⁵

⁵ The case of coir and handloom workers, who are mostly women, exemplifies this. There was no significant upgrading of the coir processing or handloom production technology in early recovery, particularly for coir producers who work with primitive technology and basic amenities, which result in back- and neck-related illnesses.

Identify barriers to accessing credit and other resources that the most marginalized groups confront and develop measures to overcome them. For example, for the micro-credit scheme set up for those affected by the tsunami, the most common barriers and challenges included:

- Low levels of literacy, inability to fill forms/applications/follow formal banking procedures
- No links with banks, no existing bank accounts, no prior experience in interacting with bank officials
- No skills and knowledge of formal aspects of running enterprises/businesses (accounting, business plans, book keeping)
- No collateral to provide as guarantees for accessing credit - women, in particular, often do not have assets to offer as bank guarantees, nor do they have bank accounts or formal identification documentation
- Issues of mobility and travel for women in segregated communities
- Bank officials prefer not to give out small loans

Measures taken to overcome the barriers:

- Provided assistance and training to prepare business plans to all individuals who wished to obtain micro-credit through the Jeevana Shakthi scheme and the Help Desks established in each district
- Created awareness among micro-credit institutions and developed capacities so that the existing constraints were better addressed
- Adapted the credit scheme to the requirements of the poor and the range of loans was made smaller so that the challenges of collateral could be met
- Encouraged group loans where members of the group could provide guarantees for each other
- Encouraged rural micro-credit institutions and women's credit groups to obtain loans from credit schemes and make the funds accessible to members
- Made the loan scheme attractive for participating banks with a three-year grace period for payback
- Provided direct credit/soft loans to rural micro-finance institutions
- Included conditions in credit schemes to ensure a certain percentage of financing went to poor women, widows and other marginalized groups

Identify hazard profile and profile of communities at risk. Identify linkages between the hazard profile and natural resources and the implications of prevailing natural hazards on livelihood assets, production patterns and labour migration. Alternative livelihood options can be explored to support communities which are dependent on the eco-systems that could be at risk from recurrent floods, droughts, landslides and other hazards (e.g. through eco-tourism, processing agri-products).

Consider disaster risk reduction aspects in livelihood recovery interventions. Project ideas related to risk reduction in the longer term and natural resource conservation can be identified by reviewing livelihood recovery projects and sub-projects for disaster risk and environmental considerations. Specific recommendations can be made to the project implementation teams.

Box 3 - Examples of projects that included aspects of disaster risk management and environmental concerns

A vocational training centre for youth affected by the tsunami was built in the Hambantota district. Being a highly drought-prone area where drinking water becomes scarce annually, the PNA included the problem of meeting the drinking water needs of the trainees and the staff. Not having access to water would have adversely affected the running of the centre. Thus, it was agreed that a rainwater harvesting tank should be constructed to supplement the water needs of the centre, without entirely depending on external supplies.

The palmyra planting project in the Hambantota district aims to meet three objectives: as a natural barrier for protection from tsunamis and wild elephants and as an option for livelihood support in the long term⁶. The linkages between disaster risk management and livelihoods were identified and incorporated into the project plans with the use of PNA techniques.

Be aware of gender relations in livelihood recovery. Gender relations are an integral part of all livelihood systems: in how livelihoods are organized and how livelihoods evolve in relation to the five categories of assets, namely, human, social, natural, physical and financial. Gaps in gender sensitivity in livelihood recovery interventions can lead to substantial failures of the programmes and lead to further marginalization of women, one of the poorest segments of the affected populations. Begin by identifying livelihood activities of women and men and identify complementary and shared activities.

For example, much of the recovery assistance provided showed a distinct gender-blindness. Many individuals and institutional donors provided assistance to male-dominated activities in the finishing sector while women, who were involved in different aspects of fishing or in other occupations, were not adequately assisted. Additionally, the division of labour within the household in coastal communities was not recognized. While much of the division of labour results in complementarities, disparities within the household can also be seen in terms of ownership of assets (boats and fishing gear, the distribution of cash income from sales) and in the memberships and decision-making positions in fisheries societies and unions, which are often held by men.

Why do we need to do a gender analysis of livelihoods?

Many aspects of livelihoods are not equitable for men and women, both in terms of contribution towards livelihood outcomes and in accessing benefits.

Livelihood skills, technology, tools, knowledge and information show gendered differences and imbalances.

Only a gender analysis of livelihoods can reveal these differences and imbalances.

⁶ A word of caution here is that the success of the project depends on the long-term tending of the palmyra plants, since they take two to three years to be established and require watering at least for the first six months.

Box 4 - Improving gender relations - challenges

Often there can be resistance to engaging women in the community in discussions and training programmes. However, destabilization and destruction in a disaster scenario can change the existing norms and offer some flexibility in the recovery phase. This needs to be taken as a window of opportunity.

Some ways to meet these challenges include:

- Engaging both men and women in the community wherever possible
- Including female members in recovery teams
- Discussing with the community the potential for improving family income by women engaging in credit schemes and entrepreneurship
- Discussing the benefits of skill development of both girls and boys
- Offering options for joint businesses engaging male and female family members (such as making dry fish with the leftover fish catch)
- Encouraging the formation of women's groups for entrepreneurship which is often less threatening for men (e.g. the Sahana Foundation in Matara district is a women's group making coir-based products, marketing and product development)

Identify ways to address both immediate and practical issues as well as long-term improvement of gender relations. Changes to aim for in formulating project interventions for livelihood recovery include immediate/practical improvements of the most marginalized groups (ethnic and religious minorities, widows/widowers, the elderly, the disabled, and women within these categories) as well as an improvement of gender relations in the medium- and long-term within the livelihood systems.

For example, it is necessary to identify the livelihood activities and options for women within the overall livelihood sectors and systems and provide opportunities and assistance for recovery. Interventions must be made to remove any barriers which prevent women from accessing such assistance. These barriers could be practical ones such as mobility restrictions, lack of child care facilities as well as safety and security aspects of working away from home. They could also include procedural and legal considerations, such as difficulties in accessing productive resources (credit) or not having the legal status to access recovery assistance.

Improvements in the status of women relates to long-term improvements in gender relations. Key initial steps in this direction include: improvements in production technology, better access to capital and other productive assets, the ability to access skill development and different types of training (non-stereotyping skills for both men and women) as well as the ability to take part in decision-making processes, make livelihood choices, command better prices and negotiate.

Move beyond targeting women towards improving gender relations through capacity and skill development. Addressing gender issues and changing gender relations go beyond reaching out to more women. However, providing opportunities and options for income generation, skill development and participation is a key initial step towards improved gender relations in the long term.

Incorporate gender awareness into programmes by:

Targeting interventions to reduce the gaps and imbalances in livelihood recovery opportunities

Expanded opportunities work in two ways: self-development of women and improvement in the quality of contribution they make within their homes, to the community and to society at large. It changes the attitudes and stereotypical views about women in society in terms of their capabilities and potential. Further, women get access to more information, which gives them more space for choices and decision making and gives them the opportunities to interact with banks, government officials and other stakeholders resulting in overall changes in social relations and a gradual change in gendered attitudes about women over a period of time.

Developing awareness and capacities of staff and partners

Self-development of women is an important aspect in improving gender relations, since their gendered identity and status in society is deeply ingrained within women themselves. It is a key contributory factor to address low self-esteem for a majority of women who accept the existing oppressive relationship as given and non-changeable.

Establishing monitoring indicators to reflect both the immediate recovery status and medium- and long-term change in gender relations

Improvements to long-term gender relations can, therefore, be realized through providing women with opportunities for skills development and holding positions of leadership and access to new, improved technology options. Both girls and boys must be given opportunities for training in new skills. This will facilitate changes in the existing gender division of labour, more earning and decision-making possibilities for women and gradual changes in the stereotypical attitudes towards both women and men. This can lead to an overall, gradual change in the status of women at home, in community and in society.

In a post-disaster scenario, prevailing restrictions within a community for women's direct engagement in taking part in meetings and engaging in business ventures often relax. Frequently, the major obstacle in such situations is the attitudes of the recovery officials who restrict women to stereotypical occupations and skills.

Box 5 - Experience of the MED project in addressing gender-based recovery issues

After conducting a gender analysis of post-tsunami livelihood recovery, the imbalance with regard to women's livelihoods was clear and a specific effort was made to fill these gaps. Gender issues were incorporated into the interventions through several routes:

1. Directly targeting interventions to reduce the gaps and imbalances in livelihood recovery opportunities.

For example, in both micro-credit schemes (Jeevana Shakthi with the commercial banks and the ones with micro-finance institutions (MFIs) and cooperatives in affected districts), a specific target to reach a certain percentage of poor women, widows and widowers, single-headed families and ethnically marginalized groups was established.

Additionally, the initial needs assessment identified livelihood options which women predominantly engage in, such as handloom weaving and making coir products, and interventions could be developed to support them with capital, equipment, training and marketing.

2. Developing awareness and capacities of the UNDP Programme teams, project IPs and service providers at the grass-roots and national levels on gender issues and the prevailing imbalances to enable them to be gender sensitive in planning and implementing interventions.

3. Developing monitoring indicators which reflect both the immediate recovery status and the changes towards medium- and long-term gender relations.

Immediate indicators could: a) Include the most vulnerable categories of women in targets for livelihood recovery, and b) Identify gender-based production and marketing constraints and address them in the advisory services provided.

Medium- to long-term indicators could include: a) Machinery and equipment in recovery is selected to ensure that they can be used and suit the needs and priorities of both men and women. Technology options and skills are upgraded for women-specific activities as well, and b) training curricula of business services and capacity development programmes include gender issues and development of entrepreneurship and leadership of women.

4. Targeting the most marginalized women so that they could access recovery assistance.

5. Setting targets for the IPs of the main livelihood recovery components and periodically reviewing and monitoring their achievements. Targets include:

- Micro-credit institutions, banks, fisheries and other cooperatives were given a target to disburse livelihood recovery credit to a minimum of 40% women to enable them to recover or to initiate businesses.

- Chambers of Commerce, the IPs providing business support information, business guidance and market linkages for livelihood recovery to entrepreneurs, were given a target to reach at least 40% women.

- The Institute of Bankers of Sri Lanka, which develops the capacities of business service providers at the grass-roots level, was requested to include resource persons on gender issues on the organization's resource team and in the project coordination team. It was made mandatory that at least 50% of the participants in capacity development programmes were women.

- At least 50% of the people helped by rural cooperatives and CBOs through interventions had to be women.

6. Supporting particularly weak IPs with regard to awareness and information on implementing gender-sensitive programmes.

7. Training in gender awareness and sensitivity and the specific needs and priorities of men and women were imparted to Livelihood Officers and Skill Development Officers hired by the Government to work in tsunami-affected districts.

8. Conducting HRBA and gender workshops for government officials and other IPs at the district level.

In conflict situations, security concerns can directly affect the progress and type of livelihood recovery. In conflict situations, additional restrictions placed on movement and areas that are accessible, as well as the prevailing sense of uncertainty and fear affect the type of livelihood options and ability of people to engage in livelihood recovery. For example, the limitation on how far people could go to fish in certain areas would force fisher folk to operate close to the beach and be limited to catching smaller fish, which they may not be able to sell in the market. The fear of gathering in public places and the limitations on freedom of movement (e.g. in high security zones which are close to the beach) also prevent people from certain livelihood options which they may otherwise prefer. In addition to the psychosocial impact of the tsunami destroying marketplaces, bombs being planted near market places can also instil fear and deter people from trading at market places.



Project and contract modalities

To ensure that projects include CCI, all project plans and contracts must have some elements of the underpinning principles built into them.

Include specific targets in project plans and outcomes. Specific targets for reaching the marginalized were provided to the Central Bank of Sri Lanka and six participating credit institutions in delivering a micro-credit scheme worth US \$ 1 million.

Build in monitoring indicators for staff and IPs. Set up monitoring indicators for the identified livelihood recovery outcomes for each aspect of key CCI. Enhance the skills and awareness of the monitoring teams of UNDP staff and IPs on meeting targets and collecting data for monitoring against the identified indicators.

The areas to focus attention in developing monitoring indicators include: livelihood/ business recovery of widows, widowers, the disabled, women and ethnic minorities; skill development opportunities provided for men and women; meeting credit targets of the poorest and other marginalized persons; gender balance of business recovery/new enterprises; and measures taken for protecting businesses from natural hazards.

Representation of women and other marginalized groups in project implementation. As part of the criteria for selecting IPs, it is necessary to ensure that there is, as far as possible, adequate representation of women and other marginalized groups in the CBOs, cooperative management etc. Additionally, representation of these groups in decision-making positions within the project management committees and in teams of resource personnel should be promoted.

Box 6 – Principles for disbursing loans – examples from micro-finance agreements

As a signatory to this document, the Participatory Credit Institution/Micro finance Institution (PCI/ MFI) agrees to the following principles with regard to the disbursement of the loans.

Target beneficiaries:

- ⇒ Must target only tsunami-affected households.
- ⇒ Must be willing to target at least 40% women obtaining credit from the scheme.
- ⇒ Must be willing to target at least 25% vulnerable populations (specifically, female-headed households, the elderly, the disabled, and survivors of the tsunami who lost all family members) obtaining credit from the scheme.

Nature of loan scheme:

- ⇒ Should agree to recovering loans at 6-8% interest rate.
- ⇒ Should recover loans over a maximum period of 36 months with a grace period of 2-6 months. Repayment period per individual should be based on nature of the activity.
- ⇒ Should not accept an asset-based collateral; inter se guarantee of two similar borrowers or two non-nuclear family members are acceptable as guarantors.
- ⇒ Should provide loans to beneficiaries based on the need of the individual as ascertained from her/his business plan with an upper ceiling loan amount of US\$ 5,000

Include insurance schemes as part of the project. Life and non-life insurance with pre-paid premiums for small owners and workers in risk-prone areas can be included within the project. For example, ice plants, boats, nets, small businesses can be registered and insured.

Set up contingency funds and options for loan write-offs for micro-finance schemes in case of disasters. Members of savings and credit schemes and MFIs institutions can set up a separate contingency fund which can offer fresh loans in the aftermath of a disaster. Agreements can also be made with MFIs to write off loan repayment in the wake of a disaster. For example, agreements with MFIs to increase the grace periods and lower interest rates for loan repayment in the aftermath of a disaster were negotiated and, in the aftermath of the tsunami, a six-month grace period for recovery was agreed upon. However, this needs to be extended to cover the impact of other natural hazards such as floods and landslides.



Training and capacity development

Ideally, both the national-level and field-level IPs need to be aware of and have previous experience in CCI. However, more often than not, IPs do not have sufficient CCI awareness or experience, and as recovery plans are made under tight deadlines, IPs are selected as quickly as possible. To address this gap, this section proposes several strategies.

Conduct CCI awareness programmes for the recovery team and for those conducting the PRA/PNA. It is important that disaggregated data is collected and the capacities of the team members need to be developed so that they understand the many different factors they need to be aware of when conducting the PNA.

Conduct CCI awareness programmes for IPs. Awareness sessions can be held at the district level for all the IPs. This will not only help them to implement the current project, but will also influence any future activity they undertake. Ensure that these awareness programmes include safety and risk reduction training as well.

Conduct CCI awareness programmes and workshops with UNDP field programme staff. By conducting awareness sessions for UNDP field programme staff on all CCI, they will be encouraged to analyse each sub-project and identify the various cross-cutting factors that influence it.

Box 7 – Livelihood and CCI to be captured in the PNA and in capacity development trainings

- Gender- and community-specific disaggregated information and analysis of livelihood - options, choices, production technology, gender division of labour, home-based work
- Access to credit, marketing, business knowledge for the poorest, semi-literate, women in general, women in seclusion, IDPs and others without identification and documentation
- Possibilities and modalities of insuring of businesses, life insurance, insurance taking into account natural hazards/potential damage to enterprises/livelihoods prevalent in the area
- Review of the impact of prevalent natural hazards and seasonal disasters in the area, such as drought, floods, cyclones, on livelihoods and protection and preparedness measures - this will include building codes for houses, market places, community centres, community roads, availability of natural resources for livelihood activities such as water
- Issues of consultation and participation of the most marginalized groups in livelihoods assessment and planning discussions
- Aspects specific to some community and religious groups, such as mobility of women belonging to the Muslim faith, which will need specific attention in consultation, livelihood choices and in organizing skill development programmes

Review curricula of capacity development activities. Develop and review training curricula to include aspects of equity and marginalization of livelihood recovery. For IPs conducting capacity-building activities, review the curricula to ensure the inclusion of cross-cutting aspects. Ensure the gender balance of the resource teams which undertake training programme and suggest measures to ensure gender sensitivity and awareness of all CCI amongst members of the teams. It must be emphasized that the resource personnel conducting training courses should have a high level of awareness of CCI.

Conduct district-level CCI workshops for recovery stakeholders. Hold district-level workshops with the government and other recovery partners on HRBA (including issues of equity in access to livelihood resources and assistance), gender-based stereotyping of livelihood options and skills, environmental resource issues in livelihood development and protecting livelihoods from hazards and disasters as well as conflict sensitivity.

Be sensitive to the needs of disadvantaged groups when conducting skill development programmes. For example, ensure programmes are conducted in the local languages, that they provide for appropriate logistics for women to take part and that they include female resource persons in conducting programmes, especially for segregated communities.

Assist small enterprise owners with preparing business continuity plans. To build resilience to disasters and reduce economic vulnerability, small enterprise owners should be supported in preparing business continuity plans with a focus on markets, productive assets, stock and transport. This can be done with the support of local Chambers of Commerce which can advise entrepreneurs on how to develop these plans.

Box 8 – *Viyaparika Diriya* – Chambers of Commerce Help Desks

A comprehensive programme was introduced to provide business support services for livelihood recovery covering all the districts. The main component of the programme was establishing Help Desks to provide business counselling, support with business information, business plan development, accessing credit from banks and other micro-credit institutions.

The programme was coordinated by the Ceylon Chambers of Commerce which had a well-established district network linking with small and micro entrepreneurs. A survey was conducted to identify all the tsunami-affected businesses to assess the recovery possibilities, options and choices available within the recovery environment. Attention was also paid to those who were not engaged in any micro-enterprise earlier, but with potential to do so. Based on this, district-wise programmes were conducted on a pre-tested 'Back to Business' programme..

Special business plan development programmes were conducted in each district for micro entrepreneurs who had little awareness of business planning and preparation techniques. Services were offered in both local languages Tamil and Sinhala. The programme specifically targeted the most vulnerable and in need of assistance: widows, poor women, the disabled and ethnic minorities.

The *Viyaparika Diriya* (Support for Business) programme was complemented with a programme on capacity development of the business service providers in the tsunami-affected districts conducted by the Institute of Bankers of Sri Lanka. The programme reached out to micro-credit organizations, cooperatives, marketing and training organizations in the affected districts with the objective of developing their capacities to provide a more qualitative, need-based and efficient service to micro-entrepreneurs recovering from the tsunami disaster.



Monitoring and evaluation

Suggested indicators:

- ☑ Production, marketing and training needs of men and women within each livelihood sector assessed and incorporated into construction plan of recovering production infrastructure.
- ☑ Classification/ differentiation of micro-entrepreneurs based on CCI e.g. by gender, or whether they are from marginalized and vulnerable groups.
- ☑ Barriers and constraints of livelihood recovery (including cultural constraints, discrimination and stereotyping) specific to women, the disabled or other vulnerable groups are identified and livelihood diversification options are provided.
- ☑ Gender-based production and marketing constraints are identified and reflected in the advisory services provided.
- ☑ Common assessment of all IPs conducted to identify levels of basic CCI awareness and workshops/training programmes held to address any gaps.
- ☑ IP teams include both men and women.
- ☑ IPs are provided with tools and methodologies for gender inclusiveness, conflict sensitivity and the incorporation of vulnerable groups into project activities.
- ☑ Capacity development programmes include measures to facilitate increased participation of women (ensure logistical barriers of participation are addressed).
- ☑ Training curricula for service provider organizations to include sessions on gender and other CCI such as enterprise development, credit access and human resources issues.
- ☑ Resource teams include female resource persons.
- ☑ Machinery and equipment are selected to ensure that they suit the needs and priorities of both men and women.
- ☑ Business service programmes include specific targets for women entrepreneurs, ethnic minorities, the disabled.
- ☑ Types of appropriate technology options made available for women, the disabled, widows, home-based workers.
- ☑ Loan disbursement criteria include specific targets for most vulnerable groups and the loan disbursement process takes into consideration and addresses the barriers facing women, the disabled and other vulnerable groups in accessing loans.
- ☑ At least 40 percent of the recipients must be women, particularly those from single-headed households and widows.
- ☑ Numbers and levels of participation of the most marginalized persons in skill development programmes.
- ☑ Insurance provided for small enterprise owners to reduce vulnerability in case of disasters.

Box 9 – Long-term monitoring of Revolving Loan Funds (RLF)

RLF micro-credit ideally, should be monitored by three different stakeholders, and the monitoring information needs to contain the following breakdown of information as a minimum:

The size of the loan, type of business, recipient of the loan (whether male/female, ethnicity, disability, widow/widower) and the status of recovery of the loan.



UNDP's housing programmes consisted of renovating (Jaffna, Kalutara) and building (Trincomalee, Moratuwa, Galle) 414 houses in five districts.

HOUSING AND COMMUNITY INFRASTRUCTURE

Overcoming post-disaster challenges of rebuilding houses and infrastructure, focusing on community participation in recovery

Building houses and community centres is more than merely developing infrastructure; it has the deeper dimension of providing homes for people to live in and for helping communities to evolve. There were several challenges in housing and community infrastructure projects in the post-tsunami context. External conditions such as the lack of a clear housing policy in the aftermath of the tsunami^{7 7} and the re-emergence of conflict conditions in the north and the east increased the constraints facing the completion of housing projects.

From the very outset, housing construction, from a provider's point of view, had to be undertaken within the socio-political constraints outlined above. It required creative solutions and practices in order to incorporate the ideals of rights-based approaches, conflict sensitivity, disaster risk reduction, gender-awareness and effective monitoring. Different contracting modalities, building styles, community participation strategies and responses to policy and external conditions were employed in the process.

There are many lessons, both positive and negative, that can be learnt from the housing programme for providing permanent shelter to people affected by disaster. Practical considerations in discerning the best possible housing arrangements that are in line with international standards; the immediate needs of the environment where IDPs are resettled; and taking into account special needs of their particular livelihoods are key features of any effective recovery intervention.

⁷ The housing policy, which was initially a simple 'house for a house' policy, was changed a few times based on the changing definition of the buffer zone (see footnote later), the changing classification of who a housing beneficiary was (renters, sub-families, only male heirs, registered home owners) and the changing definition of a 'damaged or partially damaged' house.



Identifying and selecting projects and stakeholders

Strengthening the community in being aware of their rights, including the right to question and demand redress from all duty-bearers (government/project managers) must be included throughout the housing project.

Identify clear guidelines and criteria for the allocation of housing. While UNDP needs to work within the existing realities, it should attempt to reduce confusion by establishing clear selection criteria for its housing projects, verifying the lists that are given to ensure accuracy, and challenging government policies and criteria if they cause inequitable results. For example, after the tsunami, lists were developed by the District Secretariats and given to donors. The drawing up of these lists depended on many factors⁸, leading to some cases of bribery of lower-level government officials and the duplication of lists.

Conduct advocacy work with the government on CCI to facilitate housing allocation.

Even if UNDP may have little influence on the beneficiary lists, conducting awareness programmes with government officials responsible for housing allocation on issues of equity, gender sensitivity, vulnerability and corruption may help mitigate cases of misallocation.

Collect and share disaggregated data with the community. Disaggregated data must be collected and shared with the community as soon as the list of people receiving housing is finalized to facilitate the process of community-driven allocation of housing. For example, allocation of housing units can be done in a more sensitive manner if detailed information is gathered. Preference of ground floor apartments may be given to disabled people or to those who are elderly and cannot climb stairs. Similarly, Muslim widows may express a preference to live close to relatives for safety and support.

Map out community vulnerabilities. Communities also need awareness on how to understand and map vulnerability, so that they, through their civic leadership, can advocate for the most marginalized, voiceless and vulnerable members of the community. In cases where houses are being renovated, a vulnerability mapping must be included in the rapid assessments. The community should be kept informed that the renovation of housing will be done based on vulnerability.

Identify most vulnerable groups and focus on them. Extensive consultations with the whole community need to be held to identify the priorities of men and women as well as vulnerable groups through participatory vulnerability mapping, especially in terms of the infrastructure needs of the community as a whole.

Be careful when using lottery systems to allocate housing and plots. The lottery system, although completely neutral, is not always the best method of allocating houses in a resettlement village or scheme because of its very neutrality. The allocation of houses purely by chance removes the possibility of addressing the particular needs of the most vulnerable.

⁸ The housing policy changing several times, the lists being drawn up in a hurry, the lack of clarification on the right to housing for women-headed households and sub-families, and the influence of the local authorities (Grama Niladharis) led to many discrepancies including non-affected people receiving housing, houses being allocated for people who died in the tsunami, true claimants not receiving houses and people receiving more than one house by registering several times.

Box 1 – Finalizing the housing list in Thalapitiya, Galle

Environmental assessments need to be conducted to analyse risks and hazards and build appropriately.

UNDP built an apartment complex with 21 units in Thalapitiya in the Galle district. The apartment complex is situated on land destroyed by tsunami. The first beneficiary list provided by the District Secretariat contained the names of 11 beneficiaries who were living on the same land where the complex was being built. The remaining eight names were given in by the Mayor (who also wanted a crèche and women's clinic on the same premises). However, there was hostility among members of the group as the names provided by the Mayor were allegedly not those of legitimate tsunami survivors⁹. There was also concern that four of them were getting houses elsewhere as well.

Conflict and intensification of hostilities were avoided by having community meetings with both groups and a positive confrontation of issues and the verification of the list of affected persons eligible for housing with the local authorities. UNDP social mobilizers worked with the community in collecting disaggregated data (ages, professions, disabilities, number of boys and girls, etc.) on each family. This information was used to determine vulnerability and the needs of each family (for example, older people who could not climb stairs needed to be on the ground floor as opposed to a family with grown children) to allocate housing through a process of consensus building where the whole community participated.

Consider livelihood options when identifying housing sites. Often communities specialize in a certain trade where their environment plays a major role in their livelihoods. For fisher folk, it is important to live close to the sea or a lake, while farmers must have adequate land to cultivate. In cases where the environment no longer accommodates their livelihood, then alternative livelihood options and skills development should be facilitated. In Sri Lanka, there were cases where fishermen who were moved to settlements inland were encouraged to find alternative forms of livelihood, or, in some cases, were provided with secure storage space for their boats and fishing equipment on the beach so that they did not have to carry their equipment over long distances.

Consider social options when identifying housing locations. It is important to be aware of social considerations such as access to schooling and proximity to hospitals or medical services for the sick and elderly when identifying locations for resettlement.

An environmental assessment must be done to analyse risks and hazards. Risk reduction can thus be built into the overall design of the houses and resettlement area. For example, building houses on a tiered system might protect them from floods and mudslides, if the area is prone to such risks.

⁹ The housing policy changing several times, the lists being drawn up in a hurry, the lack of clarification on the right to housing for women-headed households and sub-families, and the influence of the local authorities (Grama Niladharis) led to many discrepancies including non-affected people receiving housing, houses being allocated for people who died in the tsunami, true claimants not receiving houses and people receiving more than one house by registering several times. The District Secretary (DS) is the administrative head of the district and was made the competent authority for tsunami decision making and planning in the tsunami-affected regions. The DS is a part of the central government public administrative mechanism. The Mayor is part of the devolved structures of local government and was responsible for following up on the essential services and reconstruction work within his/her electorate.

Consult with communities on housing plans, models, site plans and designs.

Different housing plans, models and site plans must be shared with the community before they can select their building designs. Consultations must be held with them on the design of the house and any modification requested must be accommodated as much as possible. The cultural appropriateness of the housing design must be checked with the community. For example, beneficiaries of the UNDP's water supply project in Kalupe did not want their bathroom/toilet to be attached to the house as it was considered inappropriate and wanted the entrance to it from the outside. It is, thus, important to consult both the men and the women in the household since the prioritisation and utilisation of space and amenities may be, and often is, different.

Promote community-driven allocation of housing. The community as a group should be encouraged to take complete responsibility for community-driven allocation of houses, as its members know each other's needs and limitations.

Respect kinship networks and existing community structures and traditions. These structures should be maintained, if possible, in consultation with the community. Previously co-existing communities should be encouraged to live together, especially in cases where cultural/religious practices would necessitate proximity. When several communities are merged to form a new one, it is necessary to provide adequate support structures and promote community confidence-building measures so that new networks and structures can be formed.

Land and housing policies and entitlements need to be shared with the community so that they can make informed decisions.

Box 2 - Identification of locations for resettlement

The selection and availability of sites in Sri Lanka for post-tsunami housing construction depended on many factors. The buffer zone policy¹⁰ prevented resettling the tsunami-affected on their previous properties, while the unavailability of land in the vicinity of the destroyed land prompted authorities to purchase land for resettlement in nearby villages or towns. Most often, unless purchased by the provider (INGO/NGOs, private donors), land was usually allocated by the Government and there was not much space for the community to be engaged in this selection process. However, to the extent possible, the land allocated must be assessed for safety and security – from an environmental perspective as well as from a conflict perspective.

Share information on housing laws, policies and rights with the community. Project managers should be familiar with all the local policies related to land and housing rights so that this information can be shared with the communities throughout the process. Additionally, it is possible to work with local and international organizations focused on housing rights to ensure that communities are aware of their rights and the IPs are aware of their responsibilities.

¹⁰ The buffer zone policy was developed to prevent coastal populations resettling within 100 metres of the coastline as a disaster mitigation policy. It came under criticism from various parties for being favourable to tourism and other private ventures that could possibly use this 100-metre stretch for a business. The policy was changed thrice over the next year due to protests, Central Environmental Authority audits and scientific surveys, until it was finalized as a 'flexible' buffer zone, generally around 35 metres, based on district-specific needs and disaster proneness.

Ensure laws and policies are available in local languages in user-friendly formats.

Housing providers must have legislation and policies relevant to housing translated into local languages so that they can be shared with the community e.g. laws such as the Condominium Act or official housing policies that outline the criteria for receiving a house.

Clearly establish the conditions and legal rights of ownership.

If ownership of a house is granted to an individual, then the right to sell at will is also granted. This must be clearly articulated to the community so as to avoid conflict. It is also important to bear in mind that if the land and houses are sold immediately, there will be rapid turnover within the community, which will, in turn, affect the social structure.

Ensure joint ownership of houses for husband and wives.

Providers must attempt to promote the notion of shared property by transferring ownership to husbands and wives equally. Cultural practices and nuances must be evaluated prior to such commitments, and changes in attitude must be dealt with over time so as to inculcate new values of equality and equity without imposing conditions. Apart from housing ownership the same practice can be employed in empowering women through sharing of financial responsibilities. For example, in the UNDP Moratuwa owner-driven housing scheme the cheques were made out to the husband and wife, which meant that a joint bank account had to first be opened.

Box 3 - Be familiar with the relevant standards

Project managers and implementing partners should be familiar with project-related international and national standards and legal frameworks. This information needs to be incorporated into the project design and the project needs to be continuously monitored to ensure that they adhere to these standards.

The Sphere Project contains the Humanitarian Charter and Minimum Standards in Disaster Response - <http://www.sphereproject.org>

The Sphere Standards handbook (2004) outlines standards for housing, temporary shelters, water and sanitation, food security, health and minimum standards in IDP resettlement - http://www.sphereproject.org/component/option,com_docman/task,cat_view/gid,17/Itemid,203/lang,English

The Pinheiro Principles are United Nations principles on housing and property restitution for refugees and displaced persons - www.cohre.org/get_attachment.php?attachment_id=1632

Centre on Housing Rights and Evictions (COHRE) brings together international legal resources including declarations, covenants and conventions on housing – www.cohre.org/hrframe.htm

Regular community meetings with the whole community, project managers, contractors, and government representatives can facilitate a discussion in the group on how to allocate houses, taking into consideration the particular needs of some families.

Facilitate dialogue with the host communities.

It is important that the community is seen as a whole, rather than as a group of project beneficiaries. This will ensure that the resettled community is better able to integrate with the larger community. This can be done through discussions with the larger community and joint consultations at which the project objectives and the benefits to the larger community are made clear to both the host and resettled communities. Project managers need to be mindful of the potential tensions and conflicts that may arise between the communities (ethnic composition within the resettled community, proximity to other ethnic groups originally settled on the same land, host communities that are xenophobic etc.). These consultations with the host or neighbouring communities about their concerns, misconceptions and needs must be conducted prior to the introduction of the new group. These periodic consultations with the community can serve to build confidence and trust among project managers, social mobilizers and within the community.

Ensure that joint activities are planned with the host communities. Consider joint social and economic activities as an extended community to foster strong relationships e.g. social events such as New Year festivals, religious ceremonies and economic activities such as micro-finance projects that open up livelihood possibilities for the community at large.

Ensure that there is no discrimination through the project against other groups. Project managers need to be sure to maintain similar standards to that of the community so as not to provoke conflict by causing extreme disparity with the larger community. It is also important to be mindful that projects do not benefit one vulnerable group at the expense of another disadvantaged group. Consultations and consensus building with the whole community is essential in order to minimize prospective conflicts if it is perceived that some groups are getting preferential treatment.

Ensure common community spaces are established as part of the housing plan. To facilitate integration (both host and resettled), common community spaces such as children's playgrounds, common wells, common markets that lie between several communities provide an ideal and natural space for dialogue and the building of new relationships. Community infrastructure, such as women's clinics, crèches, space for private religious ceremonies and enclosed gardens, could facilitate interaction while providing safety and privacy. These conditions should be clearly stipulated in the memorandum of agreement signed between UNDP and its IP at the outset of the project.

Establish management mechanisms for these common structures. The community must be encouraged to develop rules and mechanisms for management and monitoring of the use of common spaces. This can promote fair and appropriate usage and maintenance of common property. It can also develop a sense of community ownership of common property and the principles of holding local authorities accountable for the maintenance of public spaces.

Ensure care of communities waiting for housing as they live in transitional shelters. As many people will continue to live in transitional shelters while houses are being built, care and maintenance of transitional shelters must not be forgotten. Separate provisions for care and maintenance must be built into the housing budget and timelines. For example, the UNDP project staff regularly visited the beneficiaries of the UNDP Thalapitiya housing project at the transitional shelters. When the community's water supply was stopped by the municipal council after some time, UNDP convinced the local authorities to reinstate the water supply¹¹. UNDP also planned to deliver water to the community in bowsers, once a week, until they were ready to move into their houses, in the event that the municipal council did not reinstate water supply to the transitional shelters.

¹¹ There was no state provision to supply water to the transitional shelter site of the Thalapitiya beneficiaries as there was no site 'owner' or responsible entity for bill payment.

Project and contract modalities



The decisions on whether owner-driven housing construction, community labour or a private contractor will be used must be made in full consultation with the community, after exploring the positive and negative implications of all options.

The decisions on whether owner-driven housing construction, community labour (work for pay) or a private contractor will be used must be made in full consultation with the community after exploring the positive and negative implications of all options. The practical option of a mixed modality (community labour as well as private contractors) should always be considered. In this way, affected communities can engage in building housing and minor infrastructure through cash for work projects or local CBO contracting arrangements.

Include communities when selecting private contractors. The community must be able to voice concerns and opinions about the selection process and the contractor selected. The contractor should be selected based on the principle of 'best value for money', keeping in mind that the cheapest is not necessarily the best. It would be beneficial to consult available sources and lists of professional and certified directories of construction artisans for large-scale projects.

Ensure that contractors selected and private sector companies aligned to projects have a good ethical track record. Companies that become project partners or implementers must have a clear track record in conforming to ethical employment, financial practices and decent work standards as outlined in national standards set up by employment federations, trade unions and governments as well as international standards (see ILO standards on labour <http://www.ilo.org/public/english/employment/gems/eeo/ilo/intro2.htm>).

Create participatory monitoring teams (PMTs). The PMTs can be made up of a few community members (maintaining a gender and age balance, wherever possible) to monitor the project periodically. These teams should receive basic training in project-specific monitoring. For example, for a housing or infrastructure project, the PMT can be given basic training in technical skills in order to monitor the quality of the project e.g. the ratio of sand to cement, how to identify grade B blocks from grade A blocks etc. In the Galle district housing project, community monitoring was able to identify that window and door frames were made of low quality wood. Subsequently, they were remade with wood of a better quality.

Establish a working arrangement and Housing identity cards to facilitate beneficiary monitoring of the construction. Often private contractors are reluctant to be monitored by the community, citing reasons such as potential for accidents on the site and materials being stolen. If ID cards are created for those who need access to the housing site and working arrangements for site inspections are established with the community, project manager and contractor, it can facilitate entry to the site and minimize the potential for being turned away by construction site workers.

Accountability mechanisms can be written into the terms and conditions of the contract. For example, the contract can stipulate that the contractors must allow community monitoring of the construction, attend monthly meetings with project managers and the community and keep the community informed with updates and realistic timeframes for the construction. The contractor, workers and community must be made aware that respecting each other's rights to work in peace, to walk around freely and engage in constructive criticism will benefit all parties concerned. The project managers can facilitate the inspection visits, dialogue and feedback sessions.

Ensure that the terms and conditions of the contract include maintaining building and environmental standards. The terms and conditions of the contract can also include reviewing and adhering to existing building codes, techniques and standards as well as conducting a hazard profile for the entire site (e.g. propensity to food, soil erosion).

Use community labour where possible. The contractor should be encouraged to use community labour as this can serve as a form of livelihood for the community and promotes direct participation in the building of the house. Engaging affected communities in minor infrastructure projects (access roads, community centres etc.) through cash for work projects helps in reducing economic vulnerability and enables sharing of knowledge on disaster risk reduction. Both men and women should be provided employment opportunities and should be paid equally. However, keep in mind that in some instances, the community may prefer not to contribute labour as the opportunity costs involved can be high. For example, in the Jaffna housing project, community members opted not to work on their own houses as they could make more money fishing than by working on construction sites.

Box 4 –Moratuwa UNDP/UN-Habitat Housing project

The UNDP/UN-Habitat housing project in Moratuwa used owner-driven house reconstruction as its primary project modality. The beneficiaries chose groups of families (kin or neighbours) that would like to live in close proximity to each other as the Moratuwa housing project was situated in four separate locations. Each family (husband and wife) was made to open a joint bank account and milestone payments for housework were sent into the joint account or given as cheques addressed to both.

The family was free to choose a private contractor to build their house or to build it themselves. This presented a problem in some cases where women-headed households did not have male relatives to provide support in construction or in supervising the construction of houses. The owner-driven construction work was supported by engineers and project officers of the CBO partner of UNDP/UN-Habitat to ensure quality and compliance. Although according to the second year tsunami report of the Government owner-driven housing construction shows a higher rate of completion, the opportunity cost of owner-driven housing construction in terms of livelihoods and schooling/working time lost is high. There have also been instances where families have struggled to manage building a house due to insufficient funds, mismanagement of funds and the escalating costs of material due to higher rates of inflation.

Assess capacities of communities to identify gaps in their ability to build houses or work on other infrastructure projects. The capabilities and weaknesses of the community in terms of technical knowledge need to be ascertained. Capabilities and weaknesses in terms of practical considerations, such as the lack of skills or the degree of difficulty of labour (for example, in women-headed households), should be considered and allowances made. For example, in cases of disability or single-headed households with children, provisions need to be made for extra support through community interventions or financial support in the way of paid contracts to those households.

Ensure sensitivity to cultural practices when designing and building the houses. Project managers must be aware of cultural practices and preferences when designing and building houses. For example, performing a religious ceremony prior to construction or before the community moves in may be important to the community. Those implementing the project need to be aware and facilitate such practices to encourage ownership.

Project managers must be aware of cultural practices and preferences when designing and building houses.

Build in a contingency budget of 10% into the housing budget. The provider must keep a contingency budget of at least 10% for possible inflation (as construction often takes two to three years for completion) and for other hindrances (intensification of conflict and higher cost of goods in conflict-affected areas).

Support communities in accessing electricity, garbage disposal and water supply. Applying for individual connections of electricity and water supply should be encouraged. Clear information and guidelines and the necessary support should be provided as building construction begins. In particular, be sure to address the concerns of women on issues of access, particularly to water, garbage disposal, alternative options for water, etc. Sources of water and garbage disposal facilities for the community should be within a reasonable distance. Look into the possibility of private sector partnerships in accessing utilities.

Promote transparency by setting up community notice boards. A community notice board should be placed at each site to guarantee transparency and accountability. Information pertaining to the costs of a project, eligibility criteria, project duration, the agency responsible for project implementation, donor information and contact information should be made available. Budget funds should be allocated to set up and maintain these community notice boards.

Identify community infrastructure that can also serve as safety shelters. Ensure that some of the structures, such as schools or community centres, are built to function as designated safety areas. Signs should be posted making them accessible to all members of the community. The community should be made aware of the purpose of these safe areas. For example, in food-prone areas, ensure that the building designated as the shelter is built on higher ground and is accessible to all ethnic groups/castes, women, boys and girls, as well as those with disabilities.

Box 5 – Community infrastructure development through private sector partnerships

At the early stages of a housing project, it is essential to move ahead with the identification of related infrastructure needs so that concurrent plans, identification of resources and partners for those services and facilities can be made quickly. A valuable asset in this respect is the trend towards Corporate Social Responsibility (CSR) in the private sector. UNDP has worked out several initiatives where private sector resources (funding as well as knowledge and skills) are leveraged and channelled towards development projects. By traditional development actors bringing in the private sector through joint projects, CSR projects can be made into focused strategic interventions that contribute to a set of sectoral or Millennium Development Goals-related targets.

- The Coca-Cola Company has come forward to support the water and sanitation sector related to housing. The company is funding a sanitation system using bio-cell technology to be provided to 350 houses in Kattankudy in the Batticaloa district, an area that has the highest population density in the country.
- Brandix Lanka Limited, an apparel manufacturing company, is providing a waste water treatment plant to Kattankudy in an effort to improve water and sanitation facilities in the town. Brandix is also providing the internal water supply system to the UNDP housing complex in Moratuwa.

- Alongside this infrastructure component, Brandix is conducting hands-on sessions on waste management, the 5S principles¹² and how to manage clean eco-friendly surroundings. Brandix, as a company that manages large spaces effectively, shared its expertise and experience with the community through hands-on training and learning tours to their factory. Practical sessions back in the community helped translate these ideas to simple, community - level practices.



Training and capacity development

Focus capacity development on CCI for project managers, social mobilizers, engineers, government and civil society counterparts. Pay attention to incorporating CCI into the design, implementation and monitoring stages of a construction project. This includes sensitization workshops on CCI for relevant local government authorities, project staff and civil society to ensure that both the duty-bearers' and claim-holders' understanding of each other's rights is on par. It is important to engage these groups in at least one joint introductory meeting at the construction site, where information on construction plans and housing standards, how to identify the quality of materials used, the project timelines and information on environmental standards and gender-specific needs are discussed openly.

Strengthen the community's awareness of its rights and its ability to claim them. This includes the right to question/demand redress from all duty-bearers (government/project managers). It is as important to develop the corresponding capacity of communities to claim their rights. This is the bottom-up approach to the advocacy work done with government with regard to equitable housing allocation and selection of community infrastructure projects. Separate training sessions on basic CCI knowledge and rights training and housing/construction-related monitoring skills (such as identifying the quality of construction material and correct cement mixture ratios as well as knowing wood-treatment techniques among others) should be conducted.

Include skill development training for women and men as part of the project. Clearly specified skill development activities for women and men (technical, management, leadership and communication skills) must be included in the plans for the community and for IPs. These include the above-mentioned skills for recognising and monitoring quality of construction as well as basic construction skills for the future maintenance of the site by its occupants.

Provide follow up as necessary for sustainability of the capacity development programmes.

¹² The 5S principles are a Japanese system of making the environment one lives or works in a more efficient and effective space. They stand for Sort (Seiri) - eliminate all unnecessary items in the work area; Straighten (Seiton) - everything has a place and everything in its place; Shine (Seiso) - clean the work area; Standardize (Seiketsu) - make the revised work area the standard; and Sustain (Shitsuke) - the discipline to maintain the improvements and continue to improve.

Develop training and certification programmes on construction skills. A training programme in construction techniques and safety measures should be developed. This reduces economic vulnerability and provides for the sharing of important information on risk reduction that can be transferred and utilized in future infrastructure development activities undertaken by these communities. As a possible livelihood and skill development, a certification process for workers should be established.

Strengthen accountabilities through external (e.g. civil society oversight) and project mechanisms. Link up communities with relevant grievance redress mechanisms such as the Human Rights Commission, the Legal Aid Commission, and the District/ Divisional Secretary Offices. These organizations can hold their own training and information sessions with the communities so that they are better informed about the procedures and functions of the organizations.

Build capacities of community leaders for conflict mediation. Analytical processes and simple practical tools should be introduced to build the capacity of community/civic leaders and respected persons for basic conflict identification and resolution. This is particularly important as newly resettled communities have to integrate with the host community. It is also important to train these mediators on recognizing potential threats to community living such as not throwing garbage into others' yards, not letting waste water flow into another's garden, keeping noise levels down and putting up fences with the approval of neighbours.

Build the capacity of communities to adopt good practices in community living. Communities should be made aware of how to manage community living. For example, in apartment complexes they should be introduced to the possibility of having a maintenance committee and a rules and ethics committee where beneficiaries can establish rules on garbage, parking, noise, and bring complaints on violations and resolve them within the community where possible.

Provide information on insurance. Micro-insurance and housing insurance should be promoted through information and follow-up sessions with the community. This is especially relevant for those who live in disaster-prone areas. Private sector initiatives for provision of special micro-insurance packages, innovative community insurance and/or other livelihood support should be encouraged.

Facilitate the creation of a CBO, which includes members of both the host community and the resettled community, to engage with duty-bearers. The communities (host and resettled) can work together through a registered CBO which can function as a neighbourhood watch/community action group after the completion of the housing project. These groups can continue to seek livelihood support, engage in conflict mediation and obtain redress for grievances as a community. They can work together to ensure that the government and larger NGOs pay attention and deliver services that address their needs.

Provide follow-up as necessary for the sustainability of capacity development programmes. Be aware that once the information is provided, guidance and support in following up may be necessary e.g. writing letters of petition to the Mayor and other authorities.



Monitoring and evaluation

Suggested indicators:

- ☑ Collection of disaggregated data on households periodically throughout the project to track improvements in living standards resulting from the construction of housing and small infrastructure.
- ☑ PMTs established to continuously monitor the construction process.
- ☑ Houses designed in consultation with communities, paying particular attention to the needs of women, the elderly, the disabled and boys and girls.
- ☑ Making available a checklist of clear and detailed information on the type of housing unit, cost of construction and estimated completion dates to the affected communities.
- ☑ Regular progress updates provided to the community so that they can hold contractors/IPs/UNDP accountable and monitor the progress of the construction.
- ☑ Common disaster risk management (DRM) strategies and methods incorporated into all housing design and construction processes.
- ☑ PMTs have an arranged site inspection/monitoring plan established with the contractor.
- ☑ Community is trained in basic construction skills and quality assurance skills.
- ☑ An environmental and gender audit should be conducted periodically and at termination.
- ☑ If contractors/CBOs are used, an external financial audit should be conducted at the end of the project.
- ☑ All financial accounts, MOUs, contracts, reports and terminal reports are filed.
- ☑ Reports should be filed, site should be monitored for satisfactory completion of work before milestone payments are made to contractors, government counterparts and CBOs.
- ☑ Community information boards are established on-site with timelines, budgets and plans.
- ☑ Households trained in safety measures in the event of future disasters.
- ☑ Land tenure should be secured.
- ☑ If community meeting space has been affected by new construction, evidence that an alternative has been established.
- ☑ An inventory of equipment on-site is drawn up in the presence of the community so that no challenge of theft can be levelled against communities.
- ☑ Checklist of monitoring indicators for housing and community infrastructure projects should have separate indicators for outcome tracking/monitoring¹³ and process indicators.
- ☑ These outcome indicators (house built, water supply established, quality of materials used) and process indicators (community consulted, monitoring capacity built, project and government staff sensitised, CCI used in design process) should be based on local and international standards.

¹³ Suggested indicators. Also see the SPHERE Project, "Humanitarian Charter and Minimum Standards in Disaster Response" pg 189.



CAPACITY DEVELOPMENT

Capacity development of the public sector, national human rights institutions and civil society for recovery in the aftermath of a disaster

Capacity development strategies have a dual objective of addressing the immediate capacity constraints in the recovery process while also developing sustainable

In the transition from crisis to post-crisis recovery and development, capacity development projects play a critical role. Given UNDP's predominance in the sector, it is likely that several strategic capacity development interventions will be included in a typical portfolio of UNDP post-crisis recovery projects. Capacity development components will either be built into traditional recovery projects such as housing, community infrastructure or micro-enterprise development, or they will be stand-alone interventions aimed at enhancing the capacities of institutions in one or more sectors supporting the crisis recovery. This section will focus on the integration of CCI into the implementation phase of capacity development projects aimed at the public sector, national human rights institutions (NHRIs), the civil society sector and community groupings.

Capacity development activities can be stand-alone projects or can be a component of other mainstream projects. Often, these activities focus on building physical infrastructure (providing the means for organizations or the government to do their work), providing additional human resources (supporting additional staff and technical expertise) or training existing staff in order to enable them to be more effective. This chapter looks at all these areas and suggests ways in which CCI can be integrated, whether it is in how staff members are hired or their performance evaluated, how organizational structures are established, or how training can be better conducted.

Public sector capacity development: Even prior to a disaster, the capacities of the public sector are often stretched and inadequate to fulfil their existing mandates. Thus, in the aftermath of a disaster, the public sector is unable to respond immediately and effectively. In this context, UNDP's capacity development strategies have a dual objective of addressing the capacity constraints so that these stakeholders can play an effective role in recovery in the short run and, secondly, of addressing pre-disaster capacity gaps. Furthermore, disasters also provide entry points for capacity development into sectors that were previously inaccessible. UNDP, being primarily a development (not relief) organization, needs to harness its comparative advantage and use these opportunities in order to fulfil its capacity development and governance mandates.

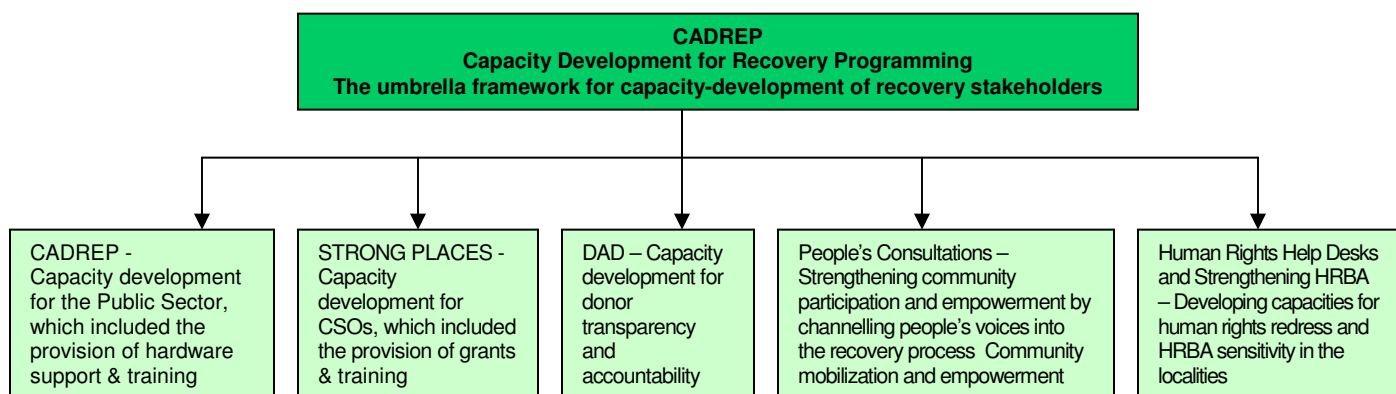
The influx of INGOs in the aftermath of the tsunami and the rapid internationalization of the disaster undermined pre-existing local organizations.

Civil society capacity development: Civil society often faces problems similar to the public sector in terms of capacity gaps that prevent them from achieving their goals. The post-tsunami environment in Sri Lanka resulted in several challenges for civil society, including poor coordination and few opportunities for meaningful participation in decision making. This was in spite of Sri Lanka having a vibrant civil society, both at the policy advocacy and grass-roots level. The need for civil society participation at all levels, from central government mechanisms to village level, in processes ranging from needs assessments to reconstruction was emphasized by all concerned, but did not materialize mainly due to capacity constraints. The broader civil society (local NGOs and long-standing INGOs) was also critical of what was characterized as the rapid internationalization of the disaster. The influx of new INGOs and the mushrooming of local NGOs in the post-tsunami environment created many tensions, as long-standing organizations felt that development principles were being circumvented by newcomers and local organizations felt they were being bypassed and undermined by international organizations. In the few instances where local capacities were harnessed for recovery, the partnerships between local and international organizations, or between smaller and larger organizations, were more sub-contractual in nature and were not genuinely empowering or equitable.



Identifying and selecting projects and stakeholders

Develop a capacity development framework rather than stand-alone projects. In the design of a capacity development strategy, it is best to provide support for a variety of sectors and actors who, within the same framework, can serve as supervisory bodies of other sectors. Instead of stand-alone support, it is often better to provide a package of capacity development support for the different sectors under one strategy. For example, in Sri Lanka, the Capacity Development for Recovery Programme (CADREP) was not just a project, but also an umbrella framework for tsunami recovery programmes under which separate initiatives for building the capacity of various actors in the recovery process fitted in. This included improving the role of the public sector in recovery delivery, strengthening CBOs in tsunami recovery, improving disaster risk management capacities at the local level, promoting coordination and transparency through a Development Assistance Database (DAD) and ensuring the participation of affected communities in the recovery process through public consultations. This was followed by support to the Human Rights Commission of Sri Lanka (HRC) to monitor the recovery process and serve as a grievance redress mechanism.



Post-crisis capacity development should offer a package of interventions that support sectors and structures that are most geared for sustaining both immediate recovery as well as medium- to long-term development priorities

Recognize opportunities and entry points created by disaster situations. The tsunami provided a window of opportunity for DRM to be placed high on the agenda of government priorities and to gain the prominence that it deserves. UNDP formulated a capacity development for DRM programme to put in place a strong institutional base and legal and policy framework for DRM at the national and local levels and to promote community resilience and a culture of safety. The approach was multi-level (national, provincial, district and community), multi-stakeholder (partnerships with NGOs, CBO's, UN agencies, government departments, private sector, and academic institutions) and multi-hazard (focusing not only on tsunami, but also on other natural and man-made hazards identified in the Disaster Management Act).

Ensure that support provided for ad hoc structures in a crisis situation does not undermine long-standing structures. Crisis recovery contexts offer the opportunity to strengthen the overall capacities of governance institutions. For example, initiatives put in place to address recovery issues can be subsequently broad based to address development issues at large. Conversely, there is a danger of building the CCI capacities of ad hoc structures set up in the post-crisis phase at the risk of weakening or undermining long-standing governance structures. It is important to ensure that post-crisis capacity development projects offer a package of interventions that support sectors and structures that are most geared for sustaining both immediate recovery as well as medium- to long-term development priorities.

It is indeed a fact that, in certain cases, there is little choice but to help establish and/or offer support to new institutions. When stepping in to support new or ad hoc structures, it is essential to do so in ways that ensure they outlive the current crisis and political expediencies of the moment. Some of the ways in which to ensure this is by advocating proper legislation of such structures, allocating adequate resources and lobbying for the co-allocation of resources through the national budget.

Box 1 – Build on existing strengths without duplicating structures

UNDP supported the then Task Force for Rebuilding the Nation (TAFREN) to host the DAD to monitor the activities and progress of tsunami recovery activities. Although TAFREN (later reconstituted as the Reconstruction and Development Authority, RADA), was the designated state institution for coordinating tsunami recovery activities, it was nevertheless an institution with a relatively short lifespan and with limited political mandate. In hindsight, it would have been more strategic to support the Ministry of Finance to host the DAD, as it would have ensured greater sustainability and higher potential for extending the database to cover other development activities.

UNDP supported the Disaster Relief Monitoring Unit (DRMU) in the conducting of people's consultations on post-tsunami recovery between July and September 2005. The DRMU is essentially a temporary extension of the HRC entrusted with overseeing human rights issues of tsunami-affected populations. In the second phase of the project, UNDP realized that it was important to continue supporting the DRMU, but to do so in ways that strengthened, not weakened, the HRC as a whole in the process. Learning from this experience, the second phase of the project provided for the placement of United Nations Volunteers at tsunami Help Desks within (where available) the field offices of the HRC in the districts, instead of setting up separate field offices for the DRMU.

Ensure projects adhere to international human rights standards. It is important to recognize the necessity for governments to develop and implement laws, programmes and policies on crisis recovery that are in line with international standards, including international human rights standards. Initiatives through which NHRIs can play a role in advising governments about the application and implementation of these standards should also be supported. When identifying a project, ensure that it conforms to international standards and, in cases where partners are not aware of them, it may help to build in a component that builds awareness about the standards. For example, if setting up a project on disaster risk reduction, which seeks to build the capacity of local and national governments to prepare for and respond to disasters, then a part of the project may include training all staff and counterparts in the Sphere Standards.

Give preference to organizations/proposals that incorporate CCI in their work. Preference for CCI in selection of partners and proposals will work as an incentive for these organizations to mainstream CCI. If organizations are selected on a technical basis, then the contract can make the necessary accommodation for CCI mainstreaming. For example, if entering into a contract with a CSO for building a community centre, clauses for involving a percentage of community labour or for sharing budget information with the communities can be included with clear monitoring indicators.

Ensure that projects are selected on the basis of not just technical quality but knowledge and incorporation of CCI during implementation. The selection criteria need to be technical as well as CCI-oriented, and there needs to be a healthy balance between the two. For example, selection of a capacity development proposal needs to not only take into consideration the technical feasibility of the concept, but also needs to assess the organization's use of participatory processes, gender representation (qualitative), conflict sensitivity, environmental sustainability, etc. There may be situations where an organization can put forward the most technically feasible and value for money project proposal for building a community centre, but the process may not give due consideration to CCI and turn out to be unsustainable or worse, cause more harm than good.

Provide human resources and technological support to the public sector so that it is better able to provide services. The CADREP programme established District Recovery and Development Units (DRDUs) in the tsunami-affected districts so that they were better able to deliver support to the people in the affected areas. These units were supported with much-needed equipment, human resources and technical support so that they could carry out functions such as developing district recovery plans, collecting data and establishing Help Desks so that they were more accessible to the public.

Ensure that government offices are impartial/neutral. For example, buildings should not be decorated in a way that biases them towards any particular religion or ethnic group. Materials should be available in the major national languages and staff should be trained so that they are able to listen to and provide information without alienating any particular ethnic or religious group. Translators should be made available to the public whenever needed.

Project selection goes through three steps: development of selection criteria; call for and appraisal of proposals; and contracting. All these steps provide space for mainstreaming CCI.

Be aware that the influx of aid in a particular area may cause the government to reduce its investment there even if it is a priority. When donor agencies pledge a large sum to a particular sector, the government may think it unnecessary to invest resources in that sector, which reduces the overall national commitment to the sector. For example, if donors focus on supporting the national human rights machinery in a country, the government may think that it can divert funds from these institutions due to the influx of aid to that sector. The influx of aid has the opposite effect of undermining the overall commitment of the government to human rights since less of the national funds become available to the human rights institutions.

Focus on including and enhancing capacities of smaller, local organizations. Post-disaster environments can create tensions among CSO actors as they compete for resources. Most often, the larger, city-based and more articulate CSOs end up receiving the bulk of the new assistance, and smaller, locally based and less articulate CSOs end up being sidelined or serving as sub-contractors to larger CSOs. Even simple things like using English as the language of deliberation and negotiation (instead of the local vernacular) can exclude certain CSOs. It is important to actively seek out smaller and local organizations for capacity development, to be sensitive to their capacity constraints and, where possible, to build their institutional capacities in order to give them a stronger footing in the future.

Establish/raise awareness about grievance redress mechanisms. In the aftermath of a disaster, there are often many issues of lost documentation such as national identity cards, property ownership papers, marriage certificates, etc. that can raise the number of disputes between people. As a result, clear processes for grievance redress, whether in courts, mediation, mobile legal aid clinics, etc., should be communicated to those affected by the disaster so that they are able to deal with their concerns efficiently.

Based on the assessment and analysis of the situation, seek ways to allocate resources to and encourage participation of those that have been marginalized or discriminated against. If the conflict assessment and analysis demonstrates imbalances and discrimination in the distribution of public sector or civil society support and resources across geographies and communities, develop or strengthen strategies for offsetting this imbalance. For example, is it feasible to allocate more resources to districts or communities that are systematically neglected or excluded by other interventions through the project? Similarly, if the gender assessment and analysis demonstrates a skewed gender representation in the public sector or civil society, would it be feasible to build in preferential quotas or positive discrimination strategies into sub-projects and project activities?

Mainstream CCI into all steps of the project selection process. Selection of projects for small grants funds provides an opportunity to mainstream CCI. Project selection goes through three steps, development of selection criteria, call for proposals and appraisal of proposals and contracting. All provide space for mainstreaming. It is also important to ensure that the staff hired for the project not only have the necessary technical skills, but are aware of the various CCI and that their performance is evaluated based on their application of CCI in their work. For example, gender-based violence is often a common occurrence in the post-disaster context where tensions run high due to the stress of the situation. Staff should be sensitive to such cases and be aware of how to address such situations.

Box 2 - Encouraging partner organizations to incorporate CCI

- ✓ When calling for proposals, explicitly require the submitting organization to give details of CCI.
- ✓ Do a qualitative check on the details submitted.
- ✓ Give space for organizations that are not strong in CCI to articulate in their proposal how they plan to integrate CCI.
- ✓ When preparing contracts, have a CCI clause and monitor it.
- ✓ Conduct facilitated workshops for preparing project proposals.



Project and contract modalities

Build CCI into the project document. More often than not, capacity development projects will be nationally executed (NEX) projects undertaken through a national counterpart (e.g. ministry, governmental authority, HRC). In such instances, UNDP's ability to influence the project's sensitivity to CCI once the project is of the ground could be constrained in the short run, primarily due to prevailing attitudes within the public sector. For this reason, it is important to build CCI into the project document so that their integration is a non-negotiable output alongside other project deliverables.

Give equal weight to CCI proficiency alongside technical competence in the recruitment of staff. This is particularly relevant in the recruitment of Project Support Unit staff within government structures and in the setting up of project steering committees and project advisory committees.

Consider the recruitment of United Nations volunteers with CCI backgrounds to build up the immediate capacity at the central and field level for national institutions. To support the capacity development of national institutions including NHRIs, it may be useful to recruit international and national United Nations Volunteers who have the skills and knowledge to train existing staff as well as to serve as field officers.

Build in CCI commitments into the terms of references for staff contracts and assess and reward progress accordingly. Performance evaluation of staff and contract details should include knowledge of and implementation of CCI.

Box 3 – How to deal with resistance to CCI

- ✓ Look for champions and multipliers within the system and involve them in developing and conducting training for respective constituencies.
- ✓ Build in rewards and incentives for CCI integration into projects/activities, e.g.: awarding of certificates, including CCI achievements in progress reviews and staff reviews etc.
- ✓ Share good practices which show the benefits of addressing CCI in recovery.
- ✓ Provide access to tools, methodologies, resources to enable including CCI in projects.
- ✓ Provide practically-oriented training that corresponds with the job profiles and is relevant to the day-to-day work routines of those being trained.
- ✓ Provide training in a non-threatening manner, presenting it more as dialogue forums for exchanging ideas and insights and exploring ways in which integration of CCI can be strategically effective and beneficial for various constituencies.

Work with universities. Working with universities and university students to collect and disseminate information can be an effective way to reach out to those affected by the disaster.

Promote participation of disadvantaged groups in project steering and advisory committees. Civil society projects are governed by steering committee/advisory committee (SC/AC) models. While these committees are an excellent mechanism to mainstream CCI and function as a selection mechanism for sub-projects, it is important to move away from the cosmetic to the conceptual, with regard to real empowerment. These committees often have the same power dynamics and weaknesses that other structures have, where hierarchies present in society are mirrored within the committees. Hence, to promote participation of disadvantaged groups, it is important to make sure that the SC/AC leads the way by promoting members from marginalized communities to be part of the committee. If it seems like the representation from disadvantaged groups in these committees is being dwarfed by more powerful groups, it might also be useful to constitute parallel committees that can function independently but converge from time to time.

Ensure that the SC's functioning is process friendly. Selection of a representative and empowered SC does not necessarily result in mainstreaming of CCI. Therefore, it is important to make the committee's functioning process friendly. For example, power dynamics can be equalized by simple things like the appointment of a rotating chairperson or sensitive and skilled meeting facilitation.

Be wary of co-option of SCs by individuals, organizations or the state. In spite of the best of intentions, one needs to be aware that mechanisms such as the SC can be co-opted by individuals, civil society or the state, which would go against the fundamental principle of participatory decision making.

Committees often have the same power dynamics and weaknesses that other structures have where hierarchies present in society are mirrored within the committees. This can be countered, to some extent, by ensuring representation of disadvantaged groups within the committee.

Box 4 – Points to consider when establishing Steering/Advisory Committees

- ✓ Make sure SC/AC members have a clear understanding of CCI issues.
- ✓ Make sure that the SC/AC has men and women who are able to represent the interest of the vulnerable, women, the disabled etc.
- ✓ Make sure that the SC/AC has members who are aware of the political, ethnic, religious and caste dynamics in the project location and can take informed decisions.
- ✓ Create space for facilitated learning to raise the awareness of the SC/AC on CCI.

Numeric equality does not necessarily mean substantive equality. Promoting the inclusion of marginalized groups in UNDP's work (staff, project partners, SC/AC) is not a simple numbers game. For example, ensuring a numerical gender balance will not necessarily guarantee gender representation, if the women selected are still disadvantaged and discriminated by way of education, professional standing, socio-cultural attitudes and other such dynamics. When promoting the inclusion of disadvantaged groups it is important to look beyond numbers and to ensure that these representatives are empowered enough to take part in decision making on an equal footing and that their colleagues are adequately sensitized to their needs. For example, in STRONG PLACES, ensuring gender representation in District Advisory Committees (DACs) meant looking for female representatives who were on par with male representatives and also building gender awareness of the committee members themselves.

On the same note, there is sometimes a tendency to promote inclusion of the more 'prominently' or 'visibly' disadvantaged groups (e.g. women, girls and boys, the disabled, etc.) and a tendency to ignore the subtler hierarchies and vulnerabilities that prevail in the communities. For example, while UNDP staff took great care to ensure that the different ethnic groups were adequately represented in all undertakings, they learnt from experience that it was as important to be as sensitive to issues of class, caste, educational and professional standing and how these factors influenced the participation and representation of certain individuals and groups.

The challenges of empowering the disadvantaged as they manifest in recovery and development interventions are often microscopic of the larger structural challenges in this regard. It is not possible to address structural change within the confines of a single project or programme intervention. It is important to concede this limitation, but at the same time to strategize on how certain interventions can be used to effect such transformation.

Presence of international staff in conflict areas may reduce risks. If projects are established in areas under the control of non-state actors, the inclusion of international staff as members of the SC will ensure adherence to basic standards.

Ensure that the internal process is CCI-orientated. For example, make sure that details of the funding and the project are shared within the implementing organization and information on resources and equipment received under the project is shared with all members e.g. through notice boards, leaflets, etc.



Training and capacity development

Focus on long-term capacity-building initiatives. Look at opportunities for capacity development in CCI through structures and institutions within the sectors that can continue beyond the lifespan of the project. This includes technology and knowledge transfer to communities on CCI and how to reduce risks in post-disaster reconstruction and livelihoods projects.

Box 5 – Institutionalize capacity development initiatives

Where possible it is important to institutionalize capacity development initiatives so the learning remains embedded in the system long after UNDP's intervention. For example, under the CADREP project, direct assistance was offered to local government authorities in the districts to improve their delivery of recovery. Additionally, CADREP also collaborated with structures such as the Sri Lanka Institute of Development Administration (SLIDA, the premier public service training institute in Sri Lanka), the Auditor General's Department and Transparency International in providing targeted capacity development on topics like transparency and accountability. In working through and with these structures and organizations, UNDP sought to ensure that training on CCI would be integrated into the routine training curricula of these long-standing organizations. Based on their initial experience, UNDP learned that it was more useful to team up with such organizations when providing training instead of simply sub-contracting them to do so, as it guaranteed higher quality output and a more genuine transfer of cross-cutting concepts.

Hold training programmes for local journalists so that they are better able to report on the ongoing recovery effort. As part of an effort to promote transparency and accountability, programmes can be established to train local journalists to report on development and recovery activities in their respective districts. This can encourage people to monitor the recovery programmes.

Build up capacities of local communities to respond to disasters. It is important to not just build national development plans for disaster mitigation, but also work at the community level to build the skills and awareness of communities to respond to disaster. Training in life saving skills, first aid and evacuation drills are some ways to strengthen capacities of communities to respond in the case of a disaster.

Box 6 - Mass Evacuation Drill Conducted at *Sirwardene Pedesa*

Sirwardene Pedesa is a village in the Gampaha district. It is a small island surrounded by the Negombo lagoon and the ocean, rendering the community vulnerable to potential coastal hazards. The main income of the almost 3,300 people who live there is derived from fishing.

An evacuation drill was organized in this village as a prelude to National Safety Day, 26 December 2006. The objectives were to identify vulnerable groups and assess who was at risk, to make the community familiar with evacuation procedures in case of an emergency and to test the effectiveness of using sirens and public address systems in tsunami early warning procedures.

As a first step, officers of the District Disaster Management Coordinating Unit (DDMCU) spent three days visiting individual households to raise awareness in the community on evacuation procedures. Major aspects covered in the home visits were: evacuation routes and safe places, modes of warning (siren and the church bell), time of evacuation and the evacuation kit. DDMCU members also prepared sand models to illustrate the most vulnerable areas of the village, evacuation routes and safe places.

On the day of the event, to prevent panic, a public announcement was made 30 minutes before the warning was sounded informing communities that it was only a simulation exercise. Within 25 minutes of the sirens blaring, the community had calmly gathered at the designated safe location as they had been instructed.

Carry out a systematic review of existing projects and project proposals from a CCI perspective. This includes ensuring that the projects are participatory in nature at the design, implementation and monitoring stages. For example, support can be provided to the public sector to conduct consultations with the communities on drafts of disaster recovery plans so that their input can be incorporated into the final plans. Particular effort to include the input of disadvantaged groups is essential as their needs may be specific.

Build up a database of local organizations and individuals that can be mobilized in case of disasters. Mobilizing international experts often takes time and is expensive. Hence, to ensure that national capacities are maximized when a disaster strikes, a roster can be developed. This also reduces the negative effect of local capacities being undermined with the influx of foreign aid in the aftermath of a disaster.

Build capacities of public service training institutions to include CCI as part of training for all public servants. National training institutes and schools for public servants should be encouraged to include CCI as part of the curriculum for all public servants. Often public servants do not have the necessary awareness of CCI. This can be addressed by including the training as part of the requirement for all public servants.

NHRIs are often weak and need support in CCI. It is frequently taken for granted that NHRIs, by nature, have sufficient capacities to be rights based, gender sensitive, conflict sensitive, etc. However, this may not always be the case and such institutions require the same degree of capacity development on such issues as do other sectors. Training in CCI needs to take place at the central and field levels.

Build CCI training into all technical training curricula within the project. For example, when conducting training in corruption and transparency for the public sector, make sure that issues of downward accountability of the public sector to citizens are also discussed along with the importance of providing public information.

Carry out comprehensive training in CCI throughout the lifespan of the project. CCI training can be conducted at all stages of the project cycle, but is especially important at the beginning. It is often useful to conduct follow-up workshops after the initial training to clarify any issues regarding the practical aspects of implementing CCI in the projects.

Hold training-of-trainers sessions for a team on how to conduct participatory consultations. These trainers can then work with CBOs and other organizations in their respective districts and encourage them to incorporate consultations as part of their ongoing programmes.

Box 7 – HRBA training for tsunami recovery projects

Training was given for UNDP staff in the field offices, including those based in government institutions. This was often accompanied by conflict sensitivity and gender awareness training. As a part of the training, each field office was asked to make commitments on how it would promote rights-based approaches in its projects and give feedback on their progress in monthly monitoring reports.

Training was imparted to recovery partners, including for the Help Desk staff based with the HRC, the DRMU, social mobilizers and intermediary organizations with the STRONG PLACES project and local NGO partners for the MED and Fisheries projects.

Training sessions were held in participation and accountability for district government authorities, the CADREP District Recovery and Development teams, the Disaster Management Centre district teams, the HRC and Help Desk staff, staff of RADA, staff from the Ministry of Human Rights, and the STRONG PLACES DAC members.

Be prepared for initial resistance to HRBA training. UNDP held HRBA training for public sector partners, and initially there was resistance. Given that some of the participants in question were long-serving and high-ranking public service officials, UNDP staff learned the importance of packaging the training in the most non-patronizing and non-threatening of ways. UNDP consulted with participants both on content and logistics and in doing so, obtained their buy-in from the outset. Instead of abiding by a formulaic HRBA training agenda, the programmes were designed to draw from the experiences of the participants which in turn were then extrapolated to underscore the value of HRBA. For example, when participants shared that they had been affected by corruption charges and negative media coverage, trainers used these experiences to demonstrate how more transparent and accountable processes might have been more beneficial to the participants.

UNDP staff also learned through experience that it was far more useful to have a cross-section of participants instead of project-specific or sector-specific participants. For example, those training sessions that had representation from CADREP officials (mostly public sector), STRONG PLACES (mostly civil society) as well as from the HRC, Disaster Management Centre, United Nations Volunteers and so forth, proved to be more useful as participants learned more from their discussions and debates with each other.

Recommendations and lessons learned from HRBA Training for government and civil society partners in Sri Lanka.¹⁴

Given (a) the type of negative reinforcement, (b) internal hierarchies and narrow specializations, and (c) general lack of even basic understanding that partners and project staff appear to possess, one-of, one-day training workshops are not sufficient to have them thinking about rights-based approaches, much less to mainstream them.

Careful selection of participants. Selection of participants needs to be done with more care and a careful balance should be struck between the various categories and levels of participants. The presence of the GAs/District Secretaries (the most senior representative of the central government in the districts) for instance, is double-edged: on the one hand it sends a message to the participants about the seriousness of the exercise, while on the other, it stifles any kind of open dialogue and risk taking. This is all the more so in a rigidly hierarchical, politicized and bureaucratic public sector environment.

Limit agenda items. The training workshops should not have too many agendas and multiple targets, since one runs the risk of spreading oneself too thin. Particularly, since “resistance” and “self-protection” are two inevitable transitional by-products of any serious training that seeks to address sensitive issues, it is important to have enough time to deal with these responses adequately. Otherwise, the training may cause more damage than it does good.

Pre-workshop and post-training follow up. There should be a pre-workshop phase and a post-training follow-up process that is built into the system which ensures reporting and accounting on tangible outcomes and outputs. Otherwise, the participants merely learn to “talk the talk”, which can make real change even more difficult. One of the commitments which needs to be made by participants is to provide monthly documentation on the workshop decisions. This should also be followed up and advice provided constantly.

Space for open dialogue. Where UNDP has leverage at the moment, it needs to be used to the maximum while it lasts. At the policy and national levels, much work needs to be done to provide the safe space and enabling environment for officers to be self-critical and constructive when dealing with the work of colleagues. Without this element, the process will not yield sustainable results, and may degenerate into a tokenistic exercise.

¹⁴ Note by Arjuna Parakrama, resource person for the Hambantota District Workshop (September 7, 2006).

Selection of staff based on rights and gender sensitivity. Serious questions need to be asked about the selection of persons to positions over which the UNDP has some say. Judging from the comments made and the positions taken, most participants do not seem to have even a minimally developed sense of gender awareness or sensitivity. Nor do they seem to have even a basic understanding of accountability and transparency issues in relation to political interference. Unthinking adherence to self-beneficial dominant (majoritarian) cultural values have become so entrenched that real structural change in decision making, for instance, will be very difficult. While this is to be expected at the level of government bureaucracy, it is imperative that UNDP employs/facilitates the employment of those who are at least aware of the key issues/debates.

Recommendations:

Half-day pre-training module, which would serve to identify major gaps in understanding and approach, as well as to collect appropriate data for case studies etc. for the training proper. This should be held as near their place of work as possible. It may be possible to undertake this in separate job-oriented sub-groups, such as technical officers, natural disaster staff members who will come together at the main workshop.

Two-day training workshop, preferably on Friday/Saturday, where participants are provided with a certificate. This workshop should take place at least two weeks after the pre-training session to enable preparation and the design of an appropriate user-friendly agenda.

The actual training workshops should genuinely reflect both status/rank as well as geographical location, and not sacrifice one for the other. Separate workshops for administrative heads, which would cut across adjoining districts, maybe useful.

The training content should be structured around case studies and role plays/simulations where group work is the workshop engine. Discussions in plenary sessions are often dominated by existing hierarchies (both of rank/status and dominant ideologies), which does not readily allow for alternative views or new thinking to emerge.

A detailed checklist/quiz should be provided to participants beforehand and also administered at the end of the training to determine their levels of understanding and the core problem areas. The checklist can be collectively developed through the series of workshops and, in turn, become a useful tool that is validated and owned by communities, (I)NGOs, government administrators and technical agencies alike.



Monitoring and evaluation

Suggested indicators:

- ☑ Checklist of monitoring indicators for housing and community infrastructure projects should have separate indicators
- ☑ Incorporating CCI as a key outcome in the project document with clear implementation guidelines and providing a reporting format on how CCI is being implemented.
- ☑ Assessment of CCI competencies of institutions to be trained to understand the type of awareness programmes that may be necessary.
- ☑ Basic knowledge/awareness of CCI has been factored into hiring of staff for Project Support Units.
- ☑ Addressing issues of gender balance when recruiting staff and appointing the SC
- ☑ Relevant CCI training made a mandatory component for all capacity development/training programmes undertaken through the project.
- ☑ Consulting communities when drawing up national, regional and district recovery and disaster preparedness plans and ensuring that the plans take vulnerable groups into consideration.
- ☑ Train communities, including vulnerable groups, in disaster response, early warning, first aid, search and rescue.
- ☑ Regular field visits by UNDP staff to beneficiaries to identify whether the capacity development of public sector/civil society has had a tangible effect on specified outcome. For example, staff should consult with the communities whether there is more responsive and accessible service delivery, greater awareness and understanding of issues related to disadvantaged/vulnerable groups. Development of a CCI checklist related to obtaining beneficiary views should also be undertaken.
- ☑ Checklist/quiz assessments should be devised to track the improvements in CCI awareness amongst trainees and project staff. The quiz should be administered before and after the mandatory CCI training and after two or three months in order to track improvements in CCI awareness.

SUMMARY CHECKLIST

CHAPTER 1: ANALYSIS AND ASSESSMENT

Collecting disaggregated data

Balanced Team Composition

- Team composed of both men and women
- Team includes people who can speak the local languages
- Team includes people from diverse ethnic groups
- Local capacities/human resources used as far as possible (instead of international staff)

Sensitivity to gender, class and power dynamics when gathering data

- Baseline data collected and disaggregated based on:
 - ✓ Sex: men/women
 - ✓ Age: girls and boys/ youth/the elderly
 - ✓ Caste/Class/Education
 - ✓ Ethnicity/Religion
 - ✓ Disabilities: mental/ physical
 - ✓ Geographic location: rural/urban
- Data collected on capacities of civil society and government to respond to disaster Sector-specific data collected e.g. housing/shelter, livelihoods, health, education

Qualitative data collected along with quantitative data e.g. community consultations

- Enable access to community meetings
 - ✓ Time of meeting and place are convenient for women and other disadvantaged groups (e.g. disability access)
 - ✓ Transportation costs to and from the meeting venue are reimbursed where possible
 - ✓ Childcare options provided during meeting times
 - ✓ Girls' and boys' experience of the disaster and their concerns are included
 - ✓ Separate meetings held in cases where cultural constraints may prevent certain groups from speaking up during community discussions - e.g. women, marginalized castes/ethnicities, those with limited education or lower social status
- Members of disadvantaged and vulnerable groups included in the consultations and encouraged to speak up. Particular attention paid to:
 - ✓ Sex: men/women
 - ✓ Age: children/youth/the elderly
 - ✓ Caste/Class
 - ✓ Ethnicity/Religion
 - ✓ Disabilities: mental/physical
 - ✓ Political affiliation
- Compensation for loss of wages by attending meetings to encourage participation by those who live on day wage

Priorities of disadvantaged groups clearly identified from the consultation and incorporated into the project design and implementation

- Conduct community consultations to draw out people's ideas and concerns regarding the recovery process
- Share information on policies, rights and entitlements as part of the dialogue during the consultations
- While focusing on the disaster-affected, ensure consultations with host communities of resettlement projects and others who may not be directly affected by the disaster (e.g. those who have lost a market for their goods, etc.)
- Along with communities, ensure consultations include the perspective of local authorities, development agencies and other parties in the reconstruction process to include their perspectives and ascertain their needs and capacity constraints
- Channel grievances to the relevant redress mechanism (not just at the end of the consultation, but throughout the process)
- Publicize the findings in all local languages and share with all stakeholders at the national and local level

Identifying actors and their capacities

Identify stakeholders/ actors

- Identify duty-bearers (the state, individuals, NGOs, community leaders, development agencies, etc.) and claim-holders (individuals and groups) in relation to the problem/human rights dimension of the disaster
- Identify disadvantaged and vulnerable groups
 - ✓ Women
 - ✓ Children/the elderly/youth
 - ✓ People with disabilities
 - ✓ Refugees/IDPs
 - ✓ People with HIV/AIDS
 - ✓ People affected by conflict
- In a conflict situation, identify parties to the conflict and their positions
- Identify actors for peace and conflict transformation

Identify capacities of stakeholders/ actors

Gender-based capacity assessment

- Identify specific skills and capacities of men and women belonging to different age groups (children, youth, the elderly)
 - ✓ Productive activities
 - ✓ Re-productive activities
 - ✓ Community-based support network
 - ✓ Disaster preparedness
 - ✓ Emergency response
 - ✓ Risk management
 - ✓ Other general skills
 - ✓ Potential for skill development

In a conflict situation:

- Identify capacities of the parties in conflict 0 Identify local capacities of claim-holders to:
 - ✓ Access information
 - ✓ Organize
 - ✓ Advocate policy change
 - ✓ Obtain redress
- Identify capacities of duty-bearers to:
 - ✓ Fulfil obligations
 - ✓ Be accountable to communities

Vulnerability mapping of the communities affected by disaster

- Causes for vulnerability can include:
 - ✓ Environmental problems arising after the disaster (e.g. contamination of drinking water, erosion, etc.)
 - ✓ Social, economic and cultural factors Disability, including trauma, from the disaster
 - ✓ Legal procedures and policies (housing and land entitlements)
 - ✓ Displacement and living in temporary shelters/camps (e.g. loss of education for children living in camps)
 - ✓ Loss of livelihoods
 - ✓ Resettled communities (conflict with host community, lack of livelihood option, schools too far away, etc.)
 - ✓ Loss of family members (e.g. widow, orphan, widower, etc.)
 - ✓ Loss of caretakers for the elderly
 - ✓ Exposure to violence, harassment
 - ✓ People affected by conflict

Identify underlying causes

- Economic, social, political and physical prevailing or consequential conditions that increase the susceptibility/exposure of communities to the threat of natural hazards, especially in communities that are vulnerable to disaster
- Conflict
- Non-realization of human rights
- National normative/legal framework reviewed Imbalances based on gender

Proximate (visible/recent) causes of:

- Conflict
- Disaster
- Non-realization of human rights
- Gender discrimination

Assess civil society organizations/NGO partners/IPs

- Has technical skills required
- Collects baseline information about its constituency
- Has skills and competencies that complement those of UNDP
- Has access to relevant information/resources and experience
- Has useful contacts and networks
- Knows how to get baseline data, develop indicators
- Uses participatory methods
- Staff possesses adequate expertise and experience
- Women are represented in office-bearing positions
- Uses local capacities (financial/human/other resources)
- Has a strong presence in the field
- Produces clear, internally consistent proposals and intervention frameworks
- Development of a programme includes a regular review of the programme including annual reviews
- Reports on its work to:
 - ✓ donors
 - ✓ constituency
 - ✓ other civil society organizations involved in the same kind of work
 - ✓ local council
 - ✓ involved government ministries
- Monitors progress against indicators and evaluates its programme/project achievement
- Includes the viewpoint of the beneficiaries in the design and review of its programming.
- Disburses funds in a timely and effective manner.
- Produces programme and project budgets
- Keeps good, accurate and informative accounts and ensures proper financial recording and reporting

Developing an implementation plan

Ensure active, free and meaningful participation at all stages - design, assessment, implementation, monitoring and evaluation

- Participation is reflected both as a means and an end of the project.
- Participation of disadvantaged groups is included at all stages of the programme cycle.
- Activities to build the capacities of disadvantaged groups to participate is included as part of the project.
- Participation of all stakeholders at all stages to increase ownership in the analysis, implementation and review.

Facilitate discussions and build relationships between communities and government or other stakeholders

Develop implementation plans based on the analysis

- Based on the capacity analysis, identify strategies to address capacity gaps and build on strengths of duty-bearers to fulfil their obligations.
- Based on the capacity analysis, identify strategies to address capacity gaps and build on strengths of claim-holders to exercise their rights.
- Programming is informed by recommendations of international human rights bodies.
- Programmes prioritize the vulnerable, marginalized and disadvantaged groups.

Allow for flexibility in implementation

- Ensure that the analysis is still relevant (e.g. changing situation on the ground due to conflict or new disaster) and periodically update implementation plan to reflect changes.
- Assess plans of operation, negotiate project contracts and access to sites, coordination, security to ensure that they are aware and sensitive to the ongoing conflict.
- Build flexibility into the programme to readjust as necessary e.g. contingency plans, renegotiating ground rules, etc.
- Adopt an advocacy role including denunciation of conflicting parties if necessary.
- In conflict situations, review the position of beneficiaries.

Developing a monitoring and evaluation strategy

- Ensure project staff members are aware of CCI and how to monitor their application.
- Incorporate CCI monitoring into project documents, annual project reports, etc.
- Use both quantitative and qualitative methods to monitor projects.
- Process and Output Indicators are both necessary.
- Encourage participatory monitoring by communities.
- Public access to monitoring reports and progress of projects.

CHAPTER 2: Livelihood Recovery

Identifying and selecting projects and stakeholders

- Analysis of livelihood sectors.
- Identify needs and priorities of different community groups.
- Identify livelihood resources available.
- Identify scale of operation.
- Identify skills and technology options available for large-, medium- and small-scale operations/enterprises.
- Identify barriers to accessing credit and other resources that the most marginalized groups confront and develop measures to overcome them.
- Identify hazard profile and profile of communities at risk.
- Consider disaster risk reduction aspects in livelihood recovery interventions.
- Be aware of gender relations in livelihood recovery.
- Identify ways to address both immediate and practical issues as well as long-term improvement of gender relations
- Move beyond targeting women towards improving gender relations through capacity and skill development.
- In conflict situations, security concerns can directly affect the progress and type of livelihood recovery

Project and contract modalities

- Include specific targets in project plans and outcomes.
- Build in monitoring indicators for staff and implementing partners.
- Representation of women and other marginalized groups in project implementation.
- Include insurance schemes as part of the project.
- Set up contingency funds and options for loan write-offs for micro-finance schemes in case of disasters

Training and capacity development

- Conduct CCI awareness programmes for the recovery team and for those conducting the PRA/PNA.
- Conduct CCI awareness for programmes for IPs.
- Conduct CCI awareness programmes and workshops with UNDP field programme staff.
- Review curricula of capacity development activities.
- Conduct district-level CCI workshops for recovery stakeholders.
- Be sensitive to the needs of disadvantaged groups when conducting skill development programmes.
- Assist small enterprise owners with preparing business continuity plans.

Monitoring and Evaluation

- ☑ Production, marketing and training needs of men and women within each livelihood sector assessed and incorporated into construction plan of recovering production infrastructure.
- ☑ Classification/differentiation of micro-entrepreneurs based on CCI e.g. by gender, or whether they are from marginalized and vulnerable groups.
- ☑ Barriers and constraints of livelihood recovery (including cultural constraints, discrimination and stereotyping) specific to women, the disabled or other vulnerable groups are identified and livelihood diversification options are provided.
- ☑ Gender-based production and marketing constraints are identified and reflected in the advisory services provided.
- ☑ Common assessment of all IPs conducted to identify levels of basic CCI awareness and workshops/ training programmes held to address any gaps.
- ☑ IP teams include both men and women.
- ☑ IPs are provided with tools and methodologies for gender inclusiveness, conflict sensitivity and the incorporation of vulnerable groups into project activities.
- ☑ Capacity development programmes include measures to facilitate increased participation of women (ensure logistical barriers of participation are addressed).
- ☑ Training curricula for service provider organizations to include sessions on gender and other CCI such as enterprise development, credit access and human resources issues.
- ☑ Resource teams include female resource persons.
- ☑ Machinery and equipment is selected to ensure that they suit the needs and priorities of both men and women.
- ☑ Business service programmes include specific targets for women entrepreneurs, ethnic minorities, the disabled.
- ☑ Types of appropriate technology options made available for women, the disabled, widows, home-based workers.
- ☑ Loan disbursement criteria include specific targets for most vulnerable groups and the loan disbursement process takes into consideration and addresses the barriers facing women, the disabled and other vulnerable groups in accessing loans.
- ☑ At least 40 percent of the recipients must be women, particularly those from single-headed households and widows.
- ☑ Numbers and levels of participation of the most marginalized persons in skill development programmes.
- ☑ Insurance provided for small enterprise owners to reduce vulnerability in case of disasters.
- ☑ Contingency funds set up and loan write-off options available to protect vulnerable groups in the aftermath of a disaster.

CHAPTER 3: Housing and Community Infrastructure

Identifying and selecting projects and stakeholders

- Identify clear guidelines and criteria for the allocation of housing.
- Conduct advocacy work with the government on CCI to facilitate housing allocation.
- Collect and share disaggregated data with the community.
- Map out community vulnerabilities.
- Identify most vulnerable groups within the community and focus on them.
- Be careful when using lottery systems to allocate housing and plots.
- Consider livelihood options when identifying housing sites.
- Consider social options when identifying housing locations.
- An environmental assessment must be done to analyse the risks and hazards and adapt to housing design.
- Consult with communities on housing plans, models, site plans and designs.
- Promote community-driven allocation of housing.
- Respect kinship networks and existing community structures and traditions.
- Share information on housing laws, policies and rights with the community.
- Ensure laws and policies are available in local languages in user-friendly formats.
- Clearly establish the conditions and legal rights of ownership.
- Ensure joint ownership of houses for husbands and wives.
- Facilitate dialogue with the host communities.
- Ensure that joint activities are planned with the host communities.
- Ensure that the project does not discriminate against other groups.
- Ensure common community spaces are established as part of the housing plan.
- Establish community spaces as safe havens in case of emergencies.
- Establish management mechanisms for these common structures.
- Ensure care of communities waiting for housing as they live in transitional shelter

Project and contract modalities

- Include communities when selecting private contractors.
- Ensure that contractors selected and private companies aligned to projects have a good ethical track record.
- Create PMTs.
- Establish a working arrangement and housing identity cards to facilitate beneficiary monitoring of the construction.
- Accountability mechanisms can be written into the terms and conditions of the contract.
- Ensure that the terms and conditions of the contract include maintaining building and environmental standards.
- Use community labour where possible.
- Assess capacities of communities to identify gaps in their ability to build houses or work on other infrastructure projects.
- Ensure sensitivity to cultural practices when designing and building the houses.
- Build in a contingency budget of 10% into the housing budget.
- Support communities in accessing electricity, garbage disposal and water supply.
- Promote transparency by setting up community notice boards.
- Identify community infrastructure that can also serve as safely shelters.

Training and capacity development

- ☑ Focus capacity development on CCI for project managers, social mobilizers, engineers, government and civil society counterparts.
- ☑ Strengthen the community's awareness of its rights and its ability to claim them.
- ☑ Include skill development training for women and men as part of the project.
- ☑ Develop training and certification programmes on construction skills.
- ☑ Strengthen accountabilities through external (e.g. civil society oversight) and project mechanisms.
- ☑ Build capacities of community leaders for conflict mediation.
- ☑ Build the capacities of communities to adopt good practices in community living.
- ☑ Provide information on insurance.
- ☑ Facilitate the creation of a CBO, which includes members of both the host community and the resettled community, to engage with duty-bearers.
- ☑ Provide follow-up as necessary for the sustainability of capacity development programmes.

Monitoring and Evaluation

- ☑ Collection of disaggregated data on households periodically throughout the project to track improvements in living standards.
- ☑ PMTs established to continuously monitor the construction process.
- ☑ Houses designed in consultation with communities, paying particular attention to the needs of women, the elderly, the disabled, girls and boys.
- ☑ Making available a checklist of clear and detailed information on the type of housing unit, cost of construction and estimated completion dates.
- ☑ Regular progress updates provided to the community so that they can hold contractors/IPs/UNDP accountable and monitor the progress of the construction.
- ☑ Common DRM strategies and methods incorporated into all housing design and construction processes.
- ☑ PMTs have an arranged site inspection/monitoring plan established with the contractor.
- ☑ Community is trained in basic construction skills and quality assurance skills.
- ☑ An environmental and gender audit should be conducted periodically and at termination.
- ☑ If contractors/CBOs are used, an external financial audit should be conducted at the end of the project.
- ☑ All financial accounts, MOUs, contracts, reports and terminal reports should be filed.
- ☑ Reports should be filed and site should be monitored for satisfactory completion of work before milestone payments are made to contractors, government counterparts and CBOs.
- ☑ Community information boards are established on-site with timelines, budgets and plans.
- ☑ Households trained in safety measures in the event of future disasters.
- ☑ Land tenure should be secured.
- ☑ If community meeting space has been affected by new construction, evidence that an alternative has been established.
- ☑ An inventory of equipment on-site is drawn up in the presence of the community so that no challenge on theft can be levelled against communities.
- ☑ Checklist of monitoring indicators for housing and community infrastructure projects should have separate indicators for outcome tracking/monitoring and process indicators. These outcome indicators (house built, water supply established, quality of materials used) and process indicators (community consulted, monitoring capacity built, project and government staff sensitised, CCI used in design process) should be based on local and international standards.

CHAPTER 4: Capacity Development

Identifying and selecting projects and stakeholders

- Develop a capacity development framework rather than stand-alone projects.
- Recognize opportunities and entry points created by disaster situations.
- Ensure that support provided for ad hoc structures in a crisis situation does not undermine long-standing structures.
- Ensure projects adhere to international human rights standards.
- Give preference to organizations/proposals that incorporate CCI in their work.
- Ensure that projects are selected on the basis of not just technical quality but knowledge and incorporation of CCI during implementation.
- Provide human resources and technological support to the public sector so that it is better able to provide services.
- Ensure that government offices are impartial/neutral.
- Be aware that the influx of aid in a particular area may cause the government to reduce its investment there even if it is a priority.
- Focus on including and enhancing capacities of smaller, local organizations.
- Establish/raise awareness about grievance redress mechanisms.
- Based on the assessment and analysis of the situation, seek ways to allocate resources to and encourage participation of those that have been marginalized or discriminated against.
- Mainstream CCI into all steps of the project selection process

Project and contract modalities

- Build CCI into the project document.
- Give equal weight to CCI proficiency alongside technical competence in the recruitment of staff.
- Consider the recruitment of United Nations Volunteers with CCI backgrounds to build up the immediate capacity at the central and field level for national institutions.
- Build in CCI commitments into terms of references for staff.
- Work with universities.
- Promote participation of disadvantaged groups in project steering/advisory committees.
- Ensure that the steering committees' functioning is process friendly.
- Be wary of co-option of steering committees by individuals, organizations or the state.
- Numeric equality does not necessarily mean substantive equality.
- Presence of international staff in conflict areas may reduce risks.
- Ensure that the internal process is CCI-orientated.
- Build up capacities of local communities to respond to disasters.
- Carry out a systematic review of existing projects and project proposals from a CCI perspective.
- Build up a database of local organizations and individuals that can be mobilized in case of disasters.
- Build capacities of public service training institutions to include CCI as part of training for all public servants.

Training and Capacity Development

- ☑ NHRIs are often weak and need support in CCI.
- ☑ Build CCI training into all technical training curricula within the project.
- ☑ Carry out comprehensive training in CCI throughout the lifespan of the project.
- ☑ Hold training-of-trainers sessions for a team on how to conduct participatory consultations.
- ☑ Be prepared for initial resistance to HRBA training.

Monitoring and Evaluation

- ☑ Incorporating CCI as a key outcome in the project document with clear implementation guidelines and providing a reporting format on how CCI is being implemented.
- ☑ Assessment of CCI competencies of institutions to be trained to understand the type of awareness programmes that may be necessary.
- ☑ Basic knowledge/awareness of CCI has been factored into hiring of staff for Project Support Units.
- ☑ Addressing issues of gender balance when recruiting staff and appointing the steering committee.
- ☑ Relevant CCI training made a mandatory component for all capacity development/training programmes undertaken through the project.
- ☑ Consulting communities when drawing up national, regional and district recovery and disaster preparedness plans and ensuring that the plans take vulnerable groups into consideration.
- ☑ Train communities, including vulnerable groups, in disaster response, early warning, first aid, search and rescue.
- ☑ Regular field visits by UNDP staff to beneficiaries to identify whether the capacity development of public sector/civil society has had a tangible effect on specified outcome.
- ☑ Checklist/quiz assessments should be devised to track the improvements in CCI awareness among trainees and project staff.

ANNEX I: Overview of Tsunami Recovery Projects in Sri Lanka

This section provides an overview of all Tsunami Recovery projects. For a more comprehensive look at UNDP's post-tsunami recovery work in Sri Lanka, see 'Looking Back, Looking Forward: UNDP and Post-Tsunami Recovery in Sri Lanka' (UNDP Sri Lanka 2006).

Development Assistance Database

Project Overview- Development Assistance Database

Objectives: To promote the efficient and effective allocation of tsunami assistance to Sri Lanka against priority national needs, to supervise post-tsunami recovery aid utilization and to monitor and track progress of recovery and reconstruction projects

Partners: Reconstruction and Development Authority

Target Groups: All organizations and stakeholders involved in the tsunami recovery process

Budget: US \$500,000

With large scale reconstruction activities undertaken in tsunami-affected districts, there was a need for an information system in which all stakeholders (Government, donors, NGOs, media and beneficiaries) could track tsunami funds and ascertain the results of projects. The UNDP-supported Development Assistance Database (DAD) was launched in September 2005, and was based in the Reconstruction and Development Agency (RADA) to better facilitate coordination and monitor tsunami aid utilization.

The DAD is an online web application that allows agencies to report their projects and share information on objectives, funding sources, implementing partners and progress of implementation. RADA supported agencies to report and facilitates the usage of the DAD to track funding resources and results so that aid coordination can be carried out efficiently.

In March 2006, almost 70 organizations were regularly updating progress of their projects in the DAD online. These organizations included: all UN agencies, international financial institutions, international organizations and most bilateral donors and the largest international NGOs.

The monthly updated DAD Data Report Series was a hard copy compilation of reports for those who did not have internet access. All project information for each district and sector is available in it. Together with staff from UNDP's Capacity Development for Recovery Project (CADREP), this supported the district authorities to better coordinate the efforts in the districts.

It is also a platform for other modules of related datasets, such as the donor-driven housing module, and the organization profile. The housing module allows the user to see construction progress for every single house at each construction site, and get an accurate overview of national progress according to construction requirements. Since the donor-driven housing programme had 260 organizations involved on 430 construction sites, this had become an invaluable information tool for coordination among agencies. With large scale reconstruction activities undertaken in tsunami-affected districts, there is a need for an information system in which all stakeholders (Government, donors, NGOs, media and beneficiaries) can track tsunami funds and ascertain the results of projects. The UNDP-supported Development Assistance Database (DAD) was launched in September 2005, and is based in the Reconstruction and Development Agency (RADA) to better facilitate coordination and monitor tsunami aid utilization.

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Disaster Risk Management

Project Overview- Capacity Building for Disaster Risk Management

Objectives: To support the establishment of a legal and institutional framework on disaster risk management (DRM), promote the decentralization of DRM, streamline local disaster risk reduction efforts on a common platform, develop and strengthen an end-to-end Early Warning System and mainstream DRM into development planning

Partners: Disaster Management Centre, Department of Meteorology, Ministry of Disaster Management and Human Rights, District and Divisional Secretariats, line ministries. United Nations Volunteers and CBOs

Target Groups: Communities in the tsunami-affected Jaffna, Mullaitivu, Killinochchi, Trincomalee, Batticaloa, Ampara, Galle, Matara, Hambantota, Kalutara districts.

Budget: US \$ 683,000 (PA for Disaster management Framework in Sri Lanka - SIDA), US \$105,000 (PA for Disaster Management Centre in Sri Lanka -BCPR/UNDP), US \$ 1,176,470 (DRM-France), US \$ 200,000 (Sustainable Recovery of Natural Resources - Rep. of Korea), US \$ 124,000 (Early Warning System in Sri Lanka-UN-ISDR)

Donors: Government of France, Government of Korea, Sweden (SIDA), UNDP, UNV and UN-ISD

Sri Lanka's development gains have suffered setbacks in recent years with the country facing a growing number of disasters. Recurrent small- to medium-scale disasters such as floods, landslides and droughts have claimed lives, caused varying scales of property loss and environmental damage and marked the country as disaster prone.

The tsunami highlighted the gaps that existed in Sri Lanka's institutional mechanisms to cope with disaster risk. As the country recovered from the disaster, it was important to avoid the rebuilding of risks and address the underlying causes of vulnerability. DRM, therefore, became significant in Sri Lanka's development planning process.

UNDP's Disaster Management Programme assists the Disaster Management Centre (DMC), a central coordination body in the Ministry of Disaster Management and Human Rights, to address these needs. The DMC is being assisted to streamline and decentralize DRM from the national level to intermediate and local levels, while enhancing capacities in confronting calamities in a more organized and planned manner.

A comprehensive framework to identify and coordinate multi-stakeholder efforts over the next 10 years through a holistic strategy or 'Road Map' has also been put in place with support from the programme. The DRM framework at national, provincial, district and local levels supported through the programme is also helping to unify the various local disaster risk reduction efforts and bring them on to one common platform.

Vulnerable communities are being supported to prepare better for disasters with the support of national UN Volunteers who are based in all the programme districts and work in close collaboration with the district and local administration. Environmental concerns linked to disaster risk reduction are also being addressed through selected CBOs.

Further, UNDP in partnership with departments responsible for generating, predicting and disseminating early warning messages aims to establish a robust end-to-end Early Warning System through a participatory approach.

Disaster risk reduction considerations are also being mainstreamed into future development planning through support from the programme.

Fisheries

Project Overview- Recovery of the Fisheries Sector

Objectives: To rehabilitate and reconstruct small-scale fisheries infrastructure and assist the overall development of coastal community livelihoods, while promoting the empowerment of women in fisheries communities

Partners: Ministry of Fisheries and Aquatic Resources, Ceylon Fisheries Harbour Corporation, local government authorities and District Secretariats, local NGOs and CBOs

Target Groups: Tsunami-affected fishing communities in the Jaffna, Mullaitivu, Killinochchi, Trincomalee, Batticaloa, Ampara, Galle, Hambantota, Matara and Kalutara districts

Budget: US \$ 3,809,523 (Fisheries), \$600,000 (UNFIP- Fisheries and MED projects)

Donor: Government of Japan

The tsunami left in its wake devastated communities along two-thirds of the coastline of Sri Lanka.

The families living in these areas were primarily fisherfolk, their local economies heavily dependent on fishing and fish-related trades. The tsunami washed away their homes and their livelihoods - hundreds of boats were either lost or damaged in the tsunami while many other amenities associated with the fisheries industry, such as ice plants, fish storage cool rooms and fish auction halls, were destroyed.

UNDP supported the overall restoration of the fisheries sector through a multi-faceted project in the affected areas.

Cash for work programmes, which provided temporary employment and much-needed income to those who had lost their sources of livelihood in the tsunami-affected areas, were rapidly initiated.

In the recovery phase, the project supported the redevelopment of fisheries harbours, anchorages, landing places and the construction of service buildings to provide facilities such as fish auction halls, cool rooms and net mending halls. UNDP also provided other essential support infrastructure such as refrigerated trucks, tractors, diesel generators for the fisheries harbours and beacon lights. In addition, the project improved the overall welfare of the fishermen and their families by constructing community centres and dormitories, providing potable water and sanitary facilities and rehabilitating fisheries access/feeder roads.

UNDP collaborated closely with the Ministry of Fisheries and Aquatic Resources, Government Agents, local government entities, local fisheries societies and the Ceylon Fisheries Harbour Corporation on the activities mentioned above to tailor the project activities to the specific needs of the affected communities.

Housing

Project Overview- Recovery of the Housing Sector

Objectives: To provide shelter and complementary basic infrastructure facilities and services, such as water and sanitation facilities, electricity, road access, to improve the wellbeing and livelihood of the targeted communities

Partners: UN-HABITAT, National Housing Development Authority, Urban Development Authority, North-Eastern and Southern provincial councils. Government Agents and CBOs

Target Groups: Tsunami-displaced communities in the Jaffna, Trincomalee, Galle, Kalutara and Colombo (Moratuwa) districts

Budget: US \$ 2,584,480 (Housing), US \$450,000 (Water and Sanitation supported by Coca-Cola), US \$22,180 (Brandix Water and Sanitation project)

Donor: Government of Germany, the Coca-Cola Company and the United Nations Foundation

The UNDP played its part in meeting the pressing need for housing in the post-tsunami recovery phase by focusing on the construction of new houses, reconstruction of partly damaged houses and the construction of essential housing-related infrastructure.

Though this project, 233 new houses were constructed and 181 partly damaged houses were completely repaired in the Jaffna, Galle, Trincomalee, Kalutara and Colombo districts. UNDP ensured that the beneficiaries of the housing project were provided with basic infrastructure facilities such as water connections, sewerage facilities and internal access roads to improve their overall standard of living.

UNDP adopted a community-based implementation approach in this project by paying beneficiaries to conduct necessary construction work wherever possible. This approach helped to quicken the pace of the social and economic recovery of the affected areas, providing incomes and developing community ownership of the project.

UNDP worked closely with the relevant government authorities (Government Agents, the National Housing Development Authority, Urban Development Authority and the North-East Provincial Council), UNDP field offices and UN-HABITAT to ensure that all necessary support was available for the swift completion of the project.

As a related but separate initiative, UNDP partnered with the Coca-Cola Company to construct water sanitation and sewerage systems for two towns in the Batticaloa and Galle districts. In the Batticaloa district, the project provided an integrated sanitation and water management system (including rain water harvesting and hygiene promotion) in Kattankudy, which is one of the country's most densely populated towns. In Galle, the project helped to connect Kalupe village to the greater Galle water project and provide villagers with much-needed access to pipe-borne water.

Micro-Enterprise Development

Project Overview- Sustainable Recovery of Micro-Enterprise Sector Project (MED)

Objectives: To support the recovery and development of tsunami-affected micro entrepreneurs through the provision of micro-credit, market linkages support, alternative livelihood options and capacity development

Partners: The Central Bank Ministry of Rural and Small Industries Development, Ceylon Chambers of Commerce, Institute of Bankers of Sri Lanka, micro-finance institutions and CBOs

Target Groups: Tsunami-affected small and medium businessmen/women in the Jaffna, Mullaitivu, Killinochchi, Trincomalee, Batticaloa, Ampara, Galle, Hambantota, Gampaha, Kalutara and Matara districts

Budget: US \$ 3,876,720 (Micro-enterprise Development), US \$600,000 (UNFIP- Fisheries and MED projects), US \$92,877 (Projects supported by *Suntel*), 167,743 (UN Staff Council AJNF)

Donor: Government of Germany, UNFIP, Suntel (Pvt) Ltd

Revitalizing local economies was a dire need in the aftermath of the tsunami disaster, and a priority was redressing the damage sustained by small and micro-enterprises in the devastated areas. UNDP responded to this critical need in the micro-enterprises sector by initiating a project to enhance a broad area of capacities of micro-finance institutions, service providers and entrepreneurs. Through this project UNDP assisted affected individuals as well as their families get back on their feet by re-establishing affected micro-enterprises and promoting long-term sustainable livelihood development. The project specifically targeted the most vulnerable of the affected groups, including women, who are always disproportionately affected by natural disasters.

UNDP undertook the reconstruction of damaged micro-enterprise infrastructure and replaced lost equipment and machinery. It also helped small businesses find potential customers by promoting market linkages development and providing business advisory services for them to efficiently manage their enterprises. UNDP assisted micro-entrepreneurs gain access to much-needed credit by establishing a revolving loan fund with concessionary rates of interest.

The project had key collaborating partners for each component, which included local CBOs for delivering a portion of the revolving loans and infrastructure development and the Ceylon Chamber of Commerce and Institute of Bankers of Sri Lanka for improving market linkages, provision of business advisory services, and developing capacities of the district-based service providers to micro-entrepreneurs. In addition, the Central Bank was the key partner in disbursing US \$1 million of the revolving loan fund while the Ministry of Small and Rural Industries provided overall support and guidance to the project.

The project also involved a related but separate initiative with Suntel (Pvt) Ltd, through which UNDP provided training in making lace products and other handicrafts to 60 women.

People's Consultations

Project Overview- People's Consultations

Objectives: To engage tsunami-affected communities through public consultations on plans for the reconstruction of affected regions

Partners: Human Rights Commission of Sri Lanka, Community Extension Centre of the University of Colombo (CUEQ, Task Force for Rebuilding the Nation/Reconstruction and Development Authority (TAFREN/RADA)

Target Groups: Communities in all the tsunami-affected districts of Galle, Kalutara, Matara, Hamabantota, Batticaloa, Ampara, Trincomalee, Mullaitivu, Killinochchi, Jaffna, Colombo, Gampha and Puttalam

Budget: US \$450,000

Donor: Government of Germany, Government of Norway

The People's Consultations were conducted with the objective of incorporating people's voices in the tsunami recovery process. The consultations sought to provide a space for the affected communities to express their needs, concerns and ideas; to increase people's awareness of their rights and entitlements in the recovery phase; and to create a channel for incorporating people's voices into recovery planning at the local and national levels.

The consultations were carried out in over 1100 villages in 13 tsunami-affected districts in Sri Lanka. A total of 847 focus group discussions were convened with 15-20 representatives from each village participating. Consultations were also carried out with host communities to ascertain their needs and interests with regard to the settlement of the tsunami-affected within their communities. Additionally, consultations were conducted with local authorities, NGOs and CBOs in the affected districts to ascertain their needs and challenges with regard to tsunami recovery.

The findings from these consultations were shared with relevant stakeholders at local government level (Divisional Secretaries, Government Agents, etc.) and with relevant institutions (e.g. TAFREN/RADA) concurrently to the consultations. The final report is available in English, Sinhala and Tamil and is being disseminated widely. It was officially handed over to the President of Sri Lanka.

The findings from the People's Consultations were supplemented by two subsequent reports namely, a substantive analysis for the consultations and a mapping of the most vulnerable communities within the tsunami-affected populations. These reports were shared with relevant stakeholders. Workshops were conducted at the district and divisional levels to discuss all three reports in detail and to generate solutions to the issues raised. The workshops looked into ways of incorporating the concerns and views of the beneficiaries into the district-level plans being drawn up by local government.

UNDP supported the Human Rights Commission in setting up Help Desks in the affected districts to advance the human rights of affected communities. UNDP also helped the Ministry of Disaster Management and Human Rights incorporate human rights dimensions into disaster risk management. In addition, UNDP assisted RADA with the establishment of Citizens' Committees in select divisions and districts to ensure continued community engagement and participation in the recovery process.

Capacity Development of Civil Society Organizations

Project Overview- To sustain tsunami recovery by organizations networking at the grass-roots level through promoting local accountability and capacity enhancement systems (STRONG PLACES)

Objectives: To develop institutional and human capacity of CSOs to help them better address the urgent needs of their communities and increase the sustainability of future projects and to set up a small grant facility to support vulnerable CBOs to ensure the sustainability and downstream accountability of integrated development effort

Partners: Centre for Non-Governmental Sector, INGOs, NGOs and CBOs

Target Groups: Small local NGOs and CBOs in Galle, Matara, Hambantota, Ampara, Batticaloa, Trincomalee and Jaffna districts

Budget: US \$ 1,000,000 (STRONG PLACES), US \$ 605,000 (Preparatory Assistance for Strengthening Local Organizations)

Donor: Government of Germany, Government of Norway

Local CBOs play a key role in the continuation and sustainability of development efforts, especially as stakeholders and members of the beneficiary communities in the context of rural development. Sustainability of the local civil society organizations themselves is therefore essential in light of their longer-term engagement in development above and beyond the temporary issue-based or project-cycle based engagement of larger NGOs or INGOs.

UNDP was involved in the capacity development of civil society organizations, focusing on CBOs to empower them to forge genuine and constructive partnerships with key development actors. The objective was to help CBOs move away from sub-contractual relationships with key state actors, non-state actors and donors and become genuine partners and influence policy makers with regard to the development of their communities.

Through District Advisory Committees and partner CBOs, the project created a network of approximately 700 organizations and common spaces for regular dialogue with government, which enhanced their capacity to hold accountable those responsible for outcomes of development work done on behalf of the beneficiaries.

The two key components of the project were Direct Capacity Development and a Small Grants Facility. The Direct Capacity Development component provided training programmes for CBOs that covered common institutional capacity gaps such as project cycle management, organizational management, accounting, monitoring and reporting, human resource development and proposal writing. It also built the institutional capacity of CBOs in special training needs as requested by them, examples of which include training in swimming, sensitization exchange programmes between districts and first-aid training.

The Small Grants Facility consisted of institution-building support (including human resource development, operations and logistics support and grants for innovative ideas) and support for community resource centres. These provided a space for social mobilization, and a greater capacity for CBOs and district-based NGOs to access future funding and ensure sustainability of local needs and efforts.

Capacity Development of the Public Sector

Project Overview- Capacity Development for Recovery Programmes (CADREP) and ART-GOLD Sri Lanka

Objectives: To enhance the capacity of provincial, district and local authorities and improve the overall governance of the recovery process

Partners: Ministry of Public Administration and Home Affairs, RADA, Ministry of Provincial Councils and Local Government, Government Agents, Sri Lanka Institute of Development Administration, Vocation Training Authority, Public Sector Training Institutes, Sri Lanka Institute of Local Government, Provincial Councils and local government

Target Groups: Local government authorities and tsunami-affected communities in the Jaffna, Mullaitivu, Killinochchi, Trincomalee, Batticaloa, Ampara, Galle, Hambantota, and Kalutara districts

Budget: US \$ 4,686,698 (CADREP) and US \$ 632,000 (ART-GOLD initiative)

Donor: Government of Germany, Government of Norway, local municipalities in Spain and Italy

The sheer scale of the destruction wrought by the tsunami prompted an equally unprecedented aid effort from the local and international community. However, this meant that local government authorities trying to effectively coordinate and manage the recovery process in their respective districts were faced with a daunting task, given their limited resources.

In order to assist the Government Agents (GAs) and local government in this regard, UNDP's CADREP was aimed at strengthening the ability of local government to effectively support district recovery and development in the aftermath of the tsunami. Moreover, it aimed to leave in place a structure by which local government would be in a position to rapidly respond to any future disaster.

Through CADREP, UNDP assisted the capacity development of GAs and local authorities in several ways. It funded the recruitment of personnel who were crucial to the effective management of the recovery process, such as planners, technical officers, engineers, accountants.

They provided the additional human resource support necessary to help expedite the district-level recovery process. Apart from the extra personnel recruited through the programme, UNDP also provided a substantial amount of equipment to further assist GAs and local authorities in their coordination and management of the recovery effort. CADREP supported greater accountability and transparency in the recovery process by strengthening the Auditor-General's Department through training and provision of equipment to perform comprehensive management audits of the tsunami recovery process.

A large number of training workshops and programmes dealing with various aspects of recovery and development were held for the public sector through the project. This included support in areas such as coordination, planning, aid tracking and monitoring and database management.

CADREP worked in close partnership with several key national bodies such as the Ministry of Public Administration, Sri Lanka Institute of Development Administration and the Sri Lanka Institute of Local Government to deliver a well-defined programme specifically targeted to address the unique problems faced by the district and local authorities in the aftermath of the tsunami.

The programme also developed a strong partnership with the Southern Provincial Council through the ART GOLD project, a unique initiative partly funded through local authorities in Spain and Italy. This project assisted the Southern Provincial Council play the overall coordinating function in developing decentralized partnerships for development with other key actors such as local elected authorities, civil society and the private sector.

Annex II: Applying Human Rights-Based Approaches to Tsunami Recovery

This section provides a summary of the various Tsunami Recovery projects from a HRBA perspective

Participation

People's Consultations - In an attempt to ensure that the voice of the people affected by the tsunami was documented and that they were able to express their grievances with regard to the recovery process, UNDP undertook a comprehensive public consultation in all the tsunami-affected districts. The final product which included the People's Consultation report as well as two follow-up papers based on the consultations (an analysis of the findings and vulnerability assessment) provided a detailed account per district of the main concerns and priorities of the people affected by the tsunami.

Participation in planning and implementation of projects - As part of the Housing project, participation of the local communities directly benefiting from the projects was sought in the preparatory and implementation stages so that the input and priorities of the beneficiaries were taken into consideration in the building of the houses.

Capacity development of the public sector - Training was provided to local government officials in using participatory and inclusive processes in planning, decision making and implementing programmes. The goal was to ensure that local government officials took the needs of disadvantaged and vulnerable groups into account in recovery planning. For example, the inputs from the People's Consultations play a key role in the development of each district's recovery plan.

Community-level disaster risk management (DRM) - Workshops and consultations were carried out among stakeholders to introduce legal provisions for ensuring that DRM measures were used at the ground level. Community contingency planning exercises were carried out by volunteers from selected CBOs, NGOs and Grama Niladhari divisions to enhance their capacities to confront disasters.

Accountability

Participatory monitoring of projects - AidWatch is part of the STRONG PLACES project which sought to empower beneficiaries to hold duty-bearers accountable for the aid that was distributed to them. AidWatch committees, made up of beneficiaries, were set up to inform people of their aid entitlements and rights and to enable them to monitor incoming aid in their communities and hold duty-bearers accountable. It was piloted with the beneficiaries of UNDP's Housing projects where they were encouraged to engage in monitoring of and dialogue with the relevant duty-bearers.

Access to information - A number of concurrent initiatives were undertaken to promote transparency and accountability of UNDP's recovery programme:

- 1) Community notice boards informing communities of the aid provided by UNDP in that district were placed in prominent locations
- 2) Project leaflets explaining the projects and giving a breakdown of the budget were distributed to beneficiaries as well as to journalists and government officials
- 3) Training was provided to beneficiary communities on rights and entitlements so that they were aware of what was due to them
- 4) Use of various forms of media to disseminate information on services available to the tsunami-affected communities

Capacity development of journalists - Training in access to information was provided for regional journalists to ensure that they could monitor and report on the delivery of aid and the specific concerns in the various tsunami-affected areas, including highlighting any discrepancies in aid delivery and bringing to attention issues that may be otherwise overlooked.

Promoting principles of good governance within local government - As part of the CADREP programme which aimed to strengthen the capacity of duty-bearers (in this case, the capacity of local government to deliver services), the principles of transparency and accountability were emphasized as crucial to the recovery process. This included training on improving information flows, dissemination practices and audit processes with greater involvement of civil society and private sector as partners in the identification of recovery demands and monitoring service delivery. Additionally, audit practices were strengthened at district and central level through technical support, training and provision of equipment to district audit staff and offices.

Empowerment of vulnerable groups

Capacity development of CBOs - Focused on developing the capacity of CBOs, the STRONG PLACES programme sought to strengthen grass-roots CBOs in the tsunami-affected communities (including women's groups, groups working on promoting peace and confidence building, etc.) by enhancing their management and administration skills, providing them with the necessary infrastructure and building their community leadership and outreach skills. With these skills, the CBOs were in a position to undertake not just immediate recovery activities, but also to address longer-term needs. By strengthening CBOs, a more sustainable engagement was possible with the local communities where it was also possible to build community resilience to safeguard against future disasters. The objective was to empower CBOs to move from an ad hoc sub-contractual relationship with development partners to a genuine partnership.

Micro-enterprise development - The Micro-Enterprise Development programme targeted those affected by the tsunami, particularly the poor and medium income families (women in particular, along with other vulnerable groups such as IDPs and returnees, the unemployed and the disabled), by providing them the opportunity to rebuild their livelihoods. It provided small-scale loans to help restart small businesses (e.g. coir-yarn, lace, masks, handicrafts, cane, hemp, etc.) and linked them with local chambers of commerce to help them develop their enterprises and find a market for their goods.

Fisheries - The Fisheries programme focused on restoration and improvement of community livelihoods including the building of small-scale infrastructure facilities (e.g. community centres, ice plants and retail outlets targeting small-scale fisherfolk), capacity building and development (e.g. to establish fisheries cooperatives), gender equality and women empowerment (training on gender awareness as well as leadership, work and business skills for women with the additional aim of mobilizing women's groups within the fisheries sector).

Disaster Risk Management - Community contingency plans for future disasters were carried out in selected vulnerable villages. This helped map out resources, alternative roads as well as safe and vulnerable locations. While enabling outsiders to assist affected villagers efficiently, the emergency planning mechanism also empowered the villagers to respond in an organized manner should an emergency arise. In addition, selected individuals of active volunteer organizations, local NGOs and selected youth at the village level, were trained in emergency response activities such as first aid, swimming, fire fighting, life saving, search and rescue etc.

Application of human rights standards

Human rights Help Desks - As a follow up to the People's Consultations, Help Desks were set up in the tsunami-affected areas specifically to address human rights-related complaints from the affected communities. Working with the Disaster Relief Monitoring Unit of the Human Rights Commission of Sri Lanka and located within the Human Rights Commission field offices (or, in three districts, the Legal Aid Commission), these Help Desks registered and investigated complaints and made recommendations on how the complaints should be addressed. Additionally, they informed the communities of human rights standards and entitlements as well as liaised with CBOs, NGOs, INGOs and government officials to promote human right principles so that the recovery and rehabilitation work was conducted in a manner that respected human rights and was participatory, equitable, non-discriminatory, transparent and accountable.

Human rights review - Review of ongoing programmes to link them to applicable human rights standards.

Training on HRBA -Training was provided to duty-bearers on human rights-based approaches (UNDP, the Ministry of Disaster Management and Human Rights, RADA, the Disaster Relief Monitoring Unit, local government officials, etc.).

ANNEX III: Cross-Cutting Issues Review of UNDP Tsunami Recovery Projects

A table of the findings from the cross-cutting issues field review conducted by the Tsunami Recovery Unit on the various recovery sub-projects.

Remarks on Sub-Projects

Project	Remarks on Cross-cutting Issues	Ideas/Strategies for ongoing projects	Ideas/Strategies for future projects
AMPARA DISTRICT			
<p>STRONG PLACES</p> <p>(Meeting with CBOs in Ampara district)</p>	<ul style="list-style-type: none"> • Good gender participant mix in meeting; engaged and vocal • In terms of visibility, UNDP and STRONG PLACES logos displayed in meeting hall • Wide range of CBOs - fishermen's societies, savings groups, micro-credit organizations, women's organizations, school children's organizations, environmental organizations, vocational training • Assistance provided to widows, youth, elderly, children, women, disabled • CBOs from Muslim, Tamil and Sinhala communities • Need for promoting inclusion when it comes to CBOs. As most CBOs seem to serve their members and all victims are not members, there is potential for conflicts. • Conflict- and peace-related training programmes are being conducted 	<ul style="list-style-type: none"> • Dissemination of information needs to be increased • Awareness on Help Desks • Links with CADREP and HRC • Peace NGO has suggested newsletter on activities be produced for local community • Women's Development Centre CBO has seen an increase in members; request personnel to train on how to write proposals and seek a micro-credit loan • CBOs can be encouraged to put up notice boards with information on project activities and budgets • Collection of disaggregated data on all beneficiaries of the CBOs • Link CBOs working with disadvantaged groups to MED projects • All CBOs must have general meetings in which the community is informed of what they do and an opportunity given for all to join • District Support Officer (DSO) needs to participate in the committee meetings, general meetings as well as accompany the CBOs to the field • Capacity development on selection of beneficiaries based on vulnerability is necessary 	<ul style="list-style-type: none"> • Payments for volunteer in office and transport costs not covered in existing project • More focus on vulnerable groups • Programmes in Sinhala requested: at present exclusively in Tamil • HRBA training for Social Mobilisers and Intermediary Organizations • Promote monitoring of the CBOs by the communities • Linking CBOs for joint activities to build relations between communities • The Sinhala areas have weak CSO representation; will need to be strengthened
<p>MED</p> <p>Visited handloom beneficiaries and Zam Zam office in (Ampara)</p>	<ul style="list-style-type: none"> • Domestic home-based handloom livelihood income project • Receive equipment from Zam Zam, repayments over six month period resulting in ownership of machine • Family-run business • While many of the beneficiaries are women, the management structure of the organization is male-dominated 	<ul style="list-style-type: none"> • Collect disaggregated data on beneficiaries • Actively encourage women to be part of the management structure and to participate in decision making of the collective • Display project details and funding on notice boards • Capacity development on selection of beneficiaries based on vulnerability is necessary • Information sharing needs to take place on the long-term strategy 	<ul style="list-style-type: none"> • Identify additional market linkages for the products

<p>FISHERIES</p> <p>Multi-purpose Hall, Thirukkivil</p>	<ul style="list-style-type: none"> • Local beneficiaries working on construction; 20 labourers involved in project • Both male and female beneficiaries involved in clearing access road • Started construction in December 2005; expected completion August 2006 • 35 Co-op Societies to use building (6413 members) • Building to be used as medical centre, meeting hall and sales centre • Sanitation facilities provided • No problem with building supplies • Security situation has delayed implementation - difficult to find labour and transport materials • No visibility board • Security situation may affect the use of the multi purpose hall 	<ul style="list-style-type: none"> • Request for visibility signboards to be put up - sign previously damaged by a truck • Community bulletin board to be placed on building. Field Office has given commitment • Cooler truck has now arrived at IP office (located near purpose-hall) • Must allocate at least one room for women and children, at least in the Muslim areas. Activities on livelihoods and education can be started. It was observed that there is a clear segregation of men and women in the fishing communities. • Women and the elderly usually involved in lagoon fishing - need to ensure that the multi-purpose hall can be equally accessed by them • Collection of disaggregated data on Fisheries Cooperative members 	
<p>FISHERIES</p> <p>Fish Market, Thirukkivil</p>	<ul style="list-style-type: none"> • Project completed at time of visit • Signboard in place • Toilet provided, no door • Security situation may affect the use of the fish market 	<ul style="list-style-type: none"> • Water tower not in place at time of visit; it is a priority, especially as vast quantities of water needed in fish market for hygiene and cleaning • Ensure that women have equal access to selling fish at the market 	
<p>FISHERIES</p> <p>Flake Ice Factory and access road, Thirukkivil</p>	<ul style="list-style-type: none"> • Both completed • Generator problems at flake ice factory • Good connection between access road and flake ice factory • Signboards present at site 		
<p>STRONG PLACES: CELSS Organization, Nintavur</p>	<ul style="list-style-type: none"> • Provide loans • 870 Members; 47 have received loans so far 	<ul style="list-style-type: none"> • Participation of women in meetings takes away time away from their daily work. Have requested notice if they cannot attend future meetings. Perhaps compensation/transportation costs can be provided for attending meetings. • Staff not aware of domestic violence laws and what to do about rights violations. Staff of CBOs can be trained on rights 	

BATTICALOA DISTRICT			
<p>FISHERIES</p> <p>FCS building with marketing and anchorage, Kankeyanoodai</p>	<ul style="list-style-type: none"> • Opening ceremony held on 7th July 2006 • Only men present inside the building during the ceremony 	<ul style="list-style-type: none"> • Not clear if the women can use the building. Suggest to hold a meeting with the women to find out their opinion on if/how they would like to use the community centre. 	<ul style="list-style-type: none"> • Possibility of using the ground nearby to set up a small park for children
<p>FISHERIES</p> <p>FCS building Puchakerny, Batticaloa</p>	<ul style="list-style-type: none"> • Start date January 2006 Completion date August 2006 • Building for Fisheries Services Society (136 members) - building to be used for shop, office and meeting room • No signboards at site • Local beneficiaries working on project; 2 masons and 3 labourers • Skilled labourers receive 1,200 rupees per day; unskilled 600 rupees a day • Security situation affecting availability of labour and transport of materials. Limits on distance for fishing 	<ul style="list-style-type: none"> • Request made to Field Office for visibility signboard and community notice board • CARE NGO building permanent houses in location, early construction phase 	
<p>FISHERIES</p> <p>FCS building, Kathiravely, Batticaloa</p>	<ul style="list-style-type: none"> • Construction delayed due to cheque disbursement problem • Foundation complete; bricks made locally, materials transport continues to be a problem • IDPs from Trincomalee have sought shelter at a school nearby 	<ul style="list-style-type: none"> • Possibility to link the IDPs to CBOs or other NGOs through STRONG PLACES 	<p>Follow up on cheque disbursement issue</p>
GALLE DISTRICT			
<p>MED-RLF</p> <p>Partner-Epitamulla Fisheries Cooperative</p>	<ul style="list-style-type: none"> • Beneficiaries - affected persons, majority female beneficiaries • Regaining of lost livelihoods, but commendably, many have also embarked on new ventures (mushroom cultivation, net mending etc.) • Predominantly women in the management of the cooperative • Beneficiaries are aware of the project and have good working rapport with Field Office personnel 	<ul style="list-style-type: none"> • Some of the ventures will benefit from better market linkages. E.g. is it possible to link the women producing coir products with the Crafts Council? • Certain ventures could benefit from more capital; recommend determining start-up capital on a case-by-case basis without keeping to the maximum ceilings in each case • Document and publicize progress of beneficiaries - particularly as gender empowerment tool for larger community • Link partner to STRONG PLACES? 	<ul style="list-style-type: none"> • One of the more sustainable RLF projects. It is clear that the partner organization - the Epitamulla Fisheries Co-op – is aware, motivated and committed • Continued engagement with partner in phase 2

<p>MED</p> <p>Devinuwara, Matara</p> <p>Micro-credit for Tsunami-affected Persons</p> <p>Partner – Devinuwara MPCS</p>	<ul style="list-style-type: none"> • A number of beneficiaries have embarked on lucrative ventures • <i>Some confusion with partner about precise interest rate.</i> 	<ul style="list-style-type: none"> • Overall impression was that that particular MPCS was not the most motivated. Also recommend clarifying the confusion on interest rates at the earliest • Here too, some ventures would benefit from higher capital. • Document and publicize progress of beneficiaries - particularly as empowerment tool for larger community (e.g. the accomplishments of the young man making dashboards for three-wheelers was very impressive) • Establish a community consultation/information mechanism that brings all beneficiaries of MFI together. Field Office could perhaps facilitate such a meeting inviting beneficiaries who are visibly benefiting from sub-projects and share experiences with others. 	<ul style="list-style-type: none"> • Review partnerships with MPCs on case-by-case basis
<p>MED</p> <p>Assistance for Vegetable Cultivation</p> <p>Partner - Ukwatta Farmer's Organization</p>	<ul style="list-style-type: none"> • Considering that many recovery interventions failed to look at farmers as tsunami-affected, the project focus on affected farmers is both unique and useful • Beneficiaries are aware of the project and have good working rapport with Field Office personnel • Community participation and consultation • <i>Sustainability after UNDP exits?</i> 	<ul style="list-style-type: none"> • Appears to be some disgruntlement among some beneficiaries about their entitlements under the project - however it seems that the partner is justified in its action. Recommend a stronger dialogue between partners and beneficiaries - with UNDP Field Office mediation - to clear tensions • Establish stronger link-up with market linkages of MED • Introduce appropriate irrigation system i.e. lift and/or trickle irrigation systems, to reduce the efforts and energy of manual labour for watering which eventually result in higher income due to efficient water management 	<ul style="list-style-type: none"> • Working on agricultural and inland fisheries with same communities in phase 2 • The access road be developed enabling farmers to transport their inputs as well as products easily. This will bring higher results to the intervention already recording good results. Can this be done as a recovery generation 2 under MED or infrastructure? • Look at existing UNDP sub-projects (successful examples) concerned with livelihood irrigation projects in north of country for guidance
<p>FISHERIES</p> <p>Construction of 2 Fish Markets - Beruwela</p> <p>Partner - Beruwela Pradeshiya Sabha (PS)</p>	<ul style="list-style-type: none"> • Physical construction only just begun • Affected fishermen • <i>Role of the PS?</i> • Were local residents consulted in selection of sub-project? 	<ul style="list-style-type: none"> • Information mechanism is important for sharing progress and costs with community (e.g. community bulletin boards) • It appears that the fishermen insist on this particular location, though the police have their reservations on account of traffic congestion • Include proper waste disposal system both for waste water as well as solids 	<ul style="list-style-type: none"> • Process of selecting infrastructure projects should be better assessed

<p>FISHERIES</p> <p>Construction of domestic toilets – Balapitiya</p> <p>Partner – Balapitiya PS</p>	<ul style="list-style-type: none"> • Community labour • Education programme on health practices 	<ul style="list-style-type: none"> • The beneficiaries appear to need more awareness on health, waste disposal etc. • The quality of work somewhat defeats original purpose of effective sewage and septic facilities • Some disgruntlement among beneficiaries on the standard of toilets and pits, though hard to ascertain which ones specifically, given that many development actors were involved in same venture in this area 	
<p>FISHERIES</p> <p>Construction of drainage canal - Kalutara</p> <p>Partner - Kalutara UC</p>	<ul style="list-style-type: none"> • <i>Role of the PS?</i> • <i>How was particular project chosen?</i> • Very difficult to ascertain tsunami recovery/development relevance of this project. Given that affected persons will not be occupying the temporary shelters for too long, it is hard to make a case that this project will benefit those persons. 	<ul style="list-style-type: none"> • Information mechanism is important for sharing progress and costs with community (e.g. community bulletin boards) • It appears that the fishermen insist on this particular location, though the police have their reservations on account of traffic congestion • Include proper waste disposal system both for waste water as well as solids 	<ul style="list-style-type: none"> • The system of government referred projects needs to be re evaluated. If a project is so referred, UNDP should have other mechanisms in place to verify usefulness and impact on communities
<p>MED</p> <p>Coir Industry for women</p> <p>Partner - Hikkaduwa Small Industries and Small Industries' Development Society</p>	<ul style="list-style-type: none"> • Beneficiaries - all female beneficiaries • Extremely poor • Flexibility to work on own time • Provision of workspace and improved work-spaces (e.g. tables for weaving) 	<ul style="list-style-type: none"> • Beneficiaries will benefit from improved market linkages 	<ul style="list-style-type: none"> • Coir products appear to be time-consuming, labour intensive and comparative to time and labour, don't yield too much profit. Is it possible to think of supporting alternative or supplementary livelihoods in these cases?
<p>HOUSING</p> <p>Repair of damaged houses - Kalutara</p> <p>Partner - Diriya Foundation</p>	<ul style="list-style-type: none"> • Community labour • Several beneficiaries suffer from illness or disability 	<ul style="list-style-type: none"> • There appears to be potential for linking-up partner with STRONG PLACES 	

<p>HOUSING</p> <p>Construction of new houses -Galle</p>	<ul style="list-style-type: none"> • Pilot location for AidWatch • After several delays on account of faulty soil testing and competing beneficiary lists, the construction is now underway 	<ul style="list-style-type: none"> • The AidWatch set-up under the STRONG PLACES project appears to be serving the beneficiaries well. It is useful to bear in mind the following: <ol style="list-style-type: none"> 1. Community meetings should be convened at regular intervals and spaced out across the project so as not to exhaust the mechanism and risk its redundancy 2. Interventions from senior management. Country office staff and STRONG PLACES staff etc. should be made in ways that do not undermine the capacities of the Field Office. At the end of the day, it is the Field Office that deals with the project on the ground, and they should at all times be the primary channels of information and communication for these communities and should at all times be involved and informed of interventions at all other levels. 	<ul style="list-style-type: none"> • Pilot AidWatch in other projects
<p>HOUSING</p> <p>Construction of new houses - Moratuwa</p> <p>Partner-UN Habitat and Lunawa Canal Development Foundation</p>	<ul style="list-style-type: none"> • Effective community involvement in construction - building sense of ownership and pride in the construction process • Community consultation and participation through the use of community mobilizers • Houses being built at steady pace - mid-April 2006 deadline for completion • <i>Precise role and visibility of UN Habitat?</i> 	<ul style="list-style-type: none"> • Needs of 4 women heads of households need attention (1 case of particular vulnerability) • Potential for linking some of the housing beneficiaries into UNDP MED projects • Document and publicize progress of houses - particularly as empowerment tool for larger community. Organize special event for house-warming ceremonies to coincide with the Sinhala/Tamil New Year 	<ul style="list-style-type: none"> • It appears that this project is a good case study of community participation in practice, but also highlights the role of proactive partners (the Lunawa Canal Development Foundation) and the use of community mobilizers.
HAMBANTOTA DISTRICT			
<p>MED</p> <p>Palmyra Nursery</p> <p>Partner - Palmyra Development Board</p>	<ul style="list-style-type: none"> • Beneficiaries - farm labourers and communities • Forestation • Capacity development of youth • Prevention of future disasters 	<ul style="list-style-type: none"> • Elaborate on a sustainable exit plan • Use good practices (case of Mathangaweera using Palmyra trees as fencing) as advocacy tool to promote local species 	<ul style="list-style-type: none"> • Similar project with neighbouring village(s) as a phase 2 MED project.

<p>MED</p> <p>Multi-purpose trading/training Centre - Malpathtawa</p> <p>Partner-YEIC</p>	<ul style="list-style-type: none"> • Youth focus • Encouraging women to engage in alternative livelihoods • Partner has been linked up with STRONG PLACES 	<ul style="list-style-type: none"> • Information mechanism is important for information-sharing with beneficiaries (not to mention visibility) 	<ul style="list-style-type: none"> • Focused program of capacity development for alternative livelihoods for women through same training centre as a phase 2 MED project • Focused program of training for disabled through same training centre as a phase 2 MED project
<p>MED</p> <p>Goat-rearing - Pallemalala</p> <p>Partner-JNWDF</p>	<ul style="list-style-type: none"> • Focus on widows • Community participation • Adding number of beneficiaries each year. • Training component • Partner has been linked up with STRONG PLACES • <i>Sustainability after UNDP exits?</i> 	<ul style="list-style-type: none"> • Partner needs to work harder on training and empowerment, as beneficiaries still appeared unsure, particularly about their access to markets etc. • Establish stronger link-up with market linkages of MED • Document and publicize progress of beneficiaries as gender awareness tool for larger community • Plant gliricidia as fodder for goats and use for fencing - manure, carpet and fodder 	<ul style="list-style-type: none"> • Home gardening as offshoot of project - organic vegetables as a phase 2 MED project.
<p>MED</p> <p>MFI - Hambantota</p>	<ul style="list-style-type: none"> • 40% quota for women • <i>Beneficiaries list (what is the breakdown?)</i> • <i>Selection of beneficiaries done by partner?</i> • <i>What is the community consultation/information mechanism in place?</i> • <i>Brick-making - impact on fuel wood?</i> 	<ul style="list-style-type: none"> • Establish a community consultation/information mechanism that brings all beneficiaries of MFI together. • Establish better linkages to regional Help Desks. • Use alternative energy, tissue culture etc. in certain industries. Build capacities for the above 	<ul style="list-style-type: none"> • Reserve quotas for the elderly and disabled also as a phase 2 MED project
<p>FISHERIES</p> <p>Infrastructure Development - Osuwinne</p>	<ul style="list-style-type: none"> • PNA • Community participation • <i>Role of the Div. Secretariat. How does that affect power dynamics?</i> • <i>How was particular village chosen? Dynamics with neighbouring villages?</i> 	<ul style="list-style-type: none"> • Given that initial project (roof) is no longer needed, recommend proper needs assessment with regard to rebuilding roofs of adjacent teacher's quarters with same supplies 	<ul style="list-style-type: none"> • Process of selecting infrastructure projects should be better assessed

<p>FISHERIES</p> <p>Improvement to approach road - Hambantota town</p>		<ul style="list-style-type: none"> • Information mechanism is important for sharing progress and costs with community • Put in environmental safeguards • Ensure proper drainage 	<ul style="list-style-type: none"> • Process of selecting infrastructure projects should be better assessed
<p>FISHERIES</p> <p>Irrigation tank- lhalagama, Ambalantota</p>	<ul style="list-style-type: none"> • <i>How was particular village chosen? Dynamics with neighbouring villages?</i> 		<ul style="list-style-type: none"> • Working on agricultural and inland fisheries surrounding tanks with same communities in phase 2
<p>FISHERIES</p> <p>Toilet pits and road - Kalametiya</p>	<ul style="list-style-type: none"> • Community labour • Education programme on health practices 	<ul style="list-style-type: none"> • There appears to be potential for linking Sri Rohana SSS with STRONG PLACES • The beneficiaries appear to need more awareness on health, waste disposal etc. • The quality of work on pits appears poor and defeats original purpose of effective sewage and septic facilities 	<ul style="list-style-type: none"> • Can the poor construction be rectified in a phase 2 project?
<p>FISHERIES</p> <p>Access road to Malala- Pallemalala</p> <p>Partner-JNWDF</p>	<ul style="list-style-type: none"> • Focus on affected fishermen • Partner has been linked up with STRONG PLACES 	<ul style="list-style-type: none"> • Precautionary measures for soil conservation. • Ensure drainage • Forestation 	
<p>FISHERIES</p> <p>Support infrastructure - Kirinda Harbour</p>	<ul style="list-style-type: none"> • Focus on affected fishermen 	<ul style="list-style-type: none"> • Information mechanism is important for information-sharing with beneficiaries (not to mention visibility) 	

TRINCOMALEE DISTRICT			
<p>FISHERIES</p> <p>Construction of a community centre, canteen and dormitory at Cod Bay</p>	<ul style="list-style-type: none"> • Who are the directly affected beneficiaries and who will benefit? • Vulnerable groups? • Location is questionable as not substantially hit by tsunami • No local needs assessment conducted by line ministry prior to construction; it is on the slope of a hill and close to the road • The site had changed from the first thought of site which is further below, as mentioned by the staff • NEX project criteria used lacks transparency • Cost of project extremely high, considering location and who will benefit • Contractor for project not locally based • Visibility: no signboards • Location of the sanitary pit itself is questionable and the far end of the road is recommended rather than at the front 	<ul style="list-style-type: none"> • Difficult to justify this project in terms of having any positive impact on local community or tsunami-affected peoples • Sheer cost of project needs further scrutiny, especially when put into context on similar community centres under Flash Appeal • NEX modality and criteria needs re-addressing • The excavated material at the dormitory site is piled up causing concern as it will slide on to the road with heavy rains. The same applies to the cut slope above the building, which needs reinforcement • Adequate drainage needs to be in place to avoid damaging the building • There needs to be routine cleaning of the building sites • Parthenium, a notorious weed, is plentiful near canteen site. It needs to be removed as it is a requirement by law in the country. This was mentioned to the contractors 	<ul style="list-style-type: none"> • Closer consultation with local community needed if NEX projects to continue • Future UNDP programming faces enormous costs if same selection criteria used • Dilemma on signboards: if erected, there could be a backlash due to high costs e.g. UNDP may be faced with negative publicity if directly linked to project.
<p>HOUSING</p> <p>Construction of 72 permanent houses, Vaddalikkulam, Kuchchaveli</p>	<ul style="list-style-type: none"> • Survey for 35 houses complete. Survey for remaining 37 underway • 19 foundation sites complete • 30-35 houses scheduled for completion in Aug/Sept 2006 • Brick making commenced • Labourers on site not local beneficiaries. Reason given: beneficiaries focused on main livelihood, fisheries • Visibility: signboard in place 	<ul style="list-style-type: none"> • Selected beneficiaries, met and voiced concern on delay, can only stay in temporary shelter until December 2006 • Beneficiaries also voiced concern on rumours of Oxfam suspending water in temporary shelters from June. Action: Field Office to contact Oxfam and get clarification and relate to beneficiaries • Payments continue to be slow (average one month wait). One builder provider threatening to remove sand from site unless payment received. Reason given is payments given in one sum from Colombo, hence blocks, sand and other materials are lumped together in one payment. Different providers, so each provider has to wait 	<ul style="list-style-type: none"> • More flexible approach needed on payments, separate POs for each provider should cut delays • Trees have not been cut in the Housing project during the markings, which is good and they should maintain this approach.
<p>FISHERIES</p> <p>Construction of MPCS building at Eachchilampattai</p>	<ul style="list-style-type: none"> • Huge progress, very positive in terms of physical progress in just two months • 25 local beneficiaries involved in construction • On course to be completed by April 31 2006 • Relevant project as area heavily affected by both the conflict and tsunami and severely neglected • Local residents, community groups all involved in process 	<ul style="list-style-type: none"> • Short-staffing issues at Trincomalee Field Office may cause delays as one field engineer for all projects. • Due to long distance of project from Trincomalee Field Office (3 hrs), Field Assistant cited as priority so monitoring and inspection of site can continue and avoid delays • Visibility: no signboard. A serious concern as a lot of the construction work completed • There needs to be routine cleaning of building site 	<ul style="list-style-type: none"> • Field Office communicated with Colombo for request to hire additional staff, especially a field assistant. URGENT follow-up needed • Signboard to be erected within one week after visit

<p>FISHERIES</p> <p>Reconstruction of vented causeway, Muttur</p>	<ul style="list-style-type: none"> • Project completed in January 2006 • Visible signs of a lack of maintenance by GA • The vents are inadequate for the size/width of the water way. This will cause water to be stagnant at the edges of the water course and lead to accumulated waste and causes aesthetic unpleasantness and pollution • It will also accumulate particles and help to build soil causing silting, which is already visible, further diminishing the water flow • Visibility: Signboard erected 	<ul style="list-style-type: none"> • Beneficiaries and local community perhaps need more awareness on waste disposal and water quality • Continuous maintenance is necessary if water flow is to be improved and pollution avoided 	<ul style="list-style-type: none"> • A successful project and one badly needed to connect local community. • Maintenance by GA to be followed-up by Trincomalee FO • A subsequent project may be needed to extend causeway to prepare for extra water during rainy season. • We have seen new buildings in wetland areas which do not work well with overall ecology and the environment of the area, and needs to be taken into account for future planning.
<p>FISHERIES</p> <p>Rehabilitation of fisheries access roads, Muttur</p>	<ul style="list-style-type: none"> • Local area badly affected by tsunami, and overall infrastructure improvement slow to reach area • Project completed - 2.25 km of road • Local beneficiaries employed on project • Visibly huge difference as road connects local villages 	<ul style="list-style-type: none"> • Improved access road now allows increased transportation for the reconstruction of damaged houses • People now have greater access to fishing areas 	

Remarks on Cross-cutting Issues	Ideas/Strategies for future
<p><u>AMPARA & BATTICALOA</u></p> <ul style="list-style-type: none"> • <u>HRBA</u>: Many programmes have had at least a few consultations with the beneficiaries in the design and implementation stages. However, these consultations including participatory monitoring of the projects by the beneficiaries would benefit from being institutionalised. Much more attention needs to be paid to ensuring that women are included and participate in the implementation and design of the projects. While many of the MED projects had women beneficiaries, the fisheries projects need to make an additional effort to include women in the decision-making process of how the community centres are used. Consultations can be held with both men and women on how they can both use the centres. 	<ul style="list-style-type: none"> • Training with STRONG PLACES, Fisheries and MED implementing partners on HRBA. Field Offices can hold these trainings for the partners on how to incorporate HRBA principles in their future work and how they run their organizations. • Encourage implementing partners to collect disaggregated data on the beneficiaries. • Hold community meetings with all beneficiaries/families to ensure that they are informed about the details of the project and can decide on the use of the community centre. • Link CBOs working with disadvantaged groups to the MED projects • Promote joint activities between CBOs in different areas/ethnic groups

<p><u>GALLE</u></p> <ul style="list-style-type: none"> FO has requested some capacity development for its team and partners, specifically on gender issues. 	<ul style="list-style-type: none"> Important to continue building staff capacities on cross-cutting issues, particularly of personnel like site engineers who are the most frequent points of contacts with projects and partners. Field Coordinator will continue to liaise with CO in this regard. Translate workshop reports into the vernaculars for use in the field by staff and partners
<p><u>HAMBANTOTA</u></p> <ul style="list-style-type: none"> FO has already done some capacity development for its team and partners. 	<ul style="list-style-type: none"> Important to continue building staff capacities on cross-cutting issues, particularly of personnel like site engineers who are the most frequent points of contacts with projects and partners. Field Officer (HRBA focal point) will continue to spearhead capacity development with assistance from team in Colombo. Translate workshop reports into the vernaculars for use in the field by staff and partners
<p><u>TRINCOMALEE</u></p> <ul style="list-style-type: none"> FO has requested urgent communication from Colombo and Recovery Unit on <u>additional staff</u>. Due to recent departures of project staff, capacity for monitoring and implementation faces delays unless replacements are found soon. Staff commended Recovery Unit on idea of 'focal points' and clarification on whom to contact, but stressed real tangible follow-ups need to be carried out more quickly. HRBA: STRONG PLACES DSO briefed on HR activities and in the process of distributing Housing and Fisheries leaflets, along with identifying locations in Trincomalee district for placing community bulletin boards Expressed an interest in some additional training in relation to human rights standards/principles for future projects Clarification needed in relation to CADREP. Field Office wants to know who is employed under these projects in the GA and how much is allocated for district MED: problems persist as there is a slow response to loans (interest rates vary between 6-8%). Also appears that UNDP has two different interest rates for RLF. Under the TP it is 14% and tsunami advertised locally as 8%. Community is confused. Due to huge amount of grants available following tsunami from various agencies, people unwilling to go for a loan Fisheries: cost confusion on cooler truck. Fisheries Programme Manager contacted to clarify issue Housing: modality and implementation timeline cited by staff as still a problem. Also asked what is the expectation from Colombo on when the housing project should be completed. 	<ul style="list-style-type: none"> More emphasis on DEX rather than NEX projects; cited Cod Bay project as a serious problem. Generally welcome cross-cutting issues, keen also to engage on the issue with partners, civil society groups and beneficiaries. HR Help-Desk to be developed. Communication flow between Trincomalee and Colombo needs to be addressed and done more quickly.

Remarks on existing project monitoring & reporting	Follow-up actions
<p><u>AMPARA & BATTICALOA</u></p> <ul style="list-style-type: none"> • Visibility -> There were no visibility signboards at any of project sites visited • RLF Devinuwara MPCS - confusion about the interest rate to be charged for UNDP micro-finance loan • Consideration of project outcomes -> the overall impact of the project on the wider socio-economic development and recovery of the community • Galle Field Office submits regular and comprehensive <u>monthly monitoring reports</u> for all sub-projects. However, some issues of concern expressed in January's report aired once again at the meeting on housing and fisheries projects in terms of more clear communication from Colombo required. <u>Sub-project monitoring</u> from the IPs to the Galle Field Office appears to be minimal (something that is a prerequisite in all project documents) and have asked Colombo for advice on the issue to rectify this shortcoming 	<ul style="list-style-type: none"> • Signboards should be put up at each project site (all DEX projects have a funding provision for these signs) that indicates clearly information on the donor, project budget, implementing partner and contact details of the FO. This should be the case even for the MED RLF projects for which signboards should be placed outside the disbursing partner's office. For the MED RLF projects, the boards should also include information on the total amount given to the partner to disburse and what is the maximum loan allowed per individual • Clear instructions should be passed onto all RLF implementing partners as to the permissible interest rate according to UNDP/Central Bank regulations on tsunami-related micro-finance loans. This project in particular should be carefully monitored to ensure the correct interest rate is being charged • Given that many of the Galle projects are now quite far advanced in terms of implementation, more consideration needs to be placed on looking at the overall impact of each project and not just the outputs (e.g. money disbursed, equipment purchased). This could include talking to members of the community to see how a project e.g. RLF loan, access road, has benefited their day to day lives. This could also provide an insight as to what we may have to do better in the future in terms of coverage, information and project design • Sub-project monitoring ideas/forms to be shared with Galle Field Office from Hambantota

<p><u>GALLE</u></p> <ul style="list-style-type: none"> • Monthly reports of a good standard from both Field Offices, particularly Batticaloa Field Office which also submits a bi-weekly tracking report for all sub-projects • Generally good awareness of what is expected in terms of data • Community bulletin boards sites selected, clarity on what information to be placed on boards given 	<ul style="list-style-type: none"> • Email Field Offices on next stage of Monitoring Reports, more value added data required on the 'impact' side of the projects, especially as DEX projects nearing completion and entering evaluation cycle • Community bulletin boards to be placed on sites before end of July 2006. Follow up with both Field Offices on issue
<p><u>HAMBANTOTA</u></p> <ul style="list-style-type: none"> • Lack of visibility signboards with project information at all sub-project sites • No monitoring and reporting by the IP as stipulated by the project agreements • Scarcity of baseline data in order to effectively monitor the progress in the implementation of sub-projects 	<ul style="list-style-type: none"> • Signboards (with project budget, number of beneficiaries and donor information) to be installed at all project sites. The projects have agreed to release funds for this purpose • Field Assistant to consult with colleagues and implementing partners to devise a monitoring format for the IPs, with assistance from the Monitoring Officers whenever required • Field Office to work with IPs to gather and collate all available baseline data that existed at the time of project approval in order to help develop progress indicators for the sub-projects
<p><u>TRINCOMALEE</u></p> <ul style="list-style-type: none"> • Monthly reports of a good standard from Field Office • Generally good awareness of what is expected in terms of data • Highlighted the need to focus more now on impact of project <u>as physical implementation is now ongoing and visible</u> 	<ul style="list-style-type: none"> • Share with Field Office results of Monitoring and Evaluation consultant implementing guidelines, scheduled for April

ANNEX IV: Introduction to Conflict Sensitivity¹⁵

Devanand Ramiah (2006)

Programmes and projects in areas affected by protracted conflict can have both positive and negative impacts on the political, social, and economic and security spheres within the context they operate. Conflict sensitivity is aimed at:

1. Making explicit the interaction between development interventions and conflict dynamics;
2. Minimizing ways in which programs and projects can further fuel conflicts (reduce negative impacts)
3. Anticipating in advance the risk of renewed conflict on the development interventions
4. Ensuring that new programs and projects take advantage of existing peace building and conflict prevention opportunities.

A word of caution before explaining the tool in detail: This tool is formulated to give guidance for conflict sensitive programming; therefore it is intended more as a compass that provides direction than a definitive road map. It is important not to get boxed in by the tool, but rather to use it creatively or adapt it to suit the context and particular need of each program and project. The golden rule of conflict sensitivity is that it needs to be conducted as a brainstorming process involving the stakeholders whenever possible and not as a one off internal exercise. In this sense, it is not about producing reports but rather about creating participatory and inclusive processes aimed at raising collective awareness of key conflict issues and translating into programming throughout the program cycle.

How to use this tool

The objective of this tool is to serve as a practical instrument to better understand the linkage between development and conflict by:

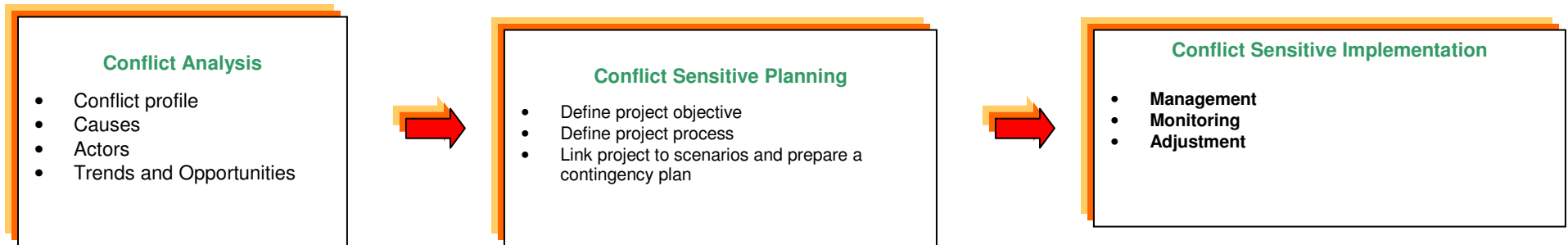
- Raising explicit awareness of conflict sensitivity
- Providing a framework to mainstream conflict sensitivity into the TP projects

This tool is divided into 3 stages, and it is possible to use the methodology separately. However, there is no substitute for conflict analysis of the context in which the projects will be implemented. Conflict analysis can be conducted with the communities in order to decide on the project activities, by for example incorporating it into a Participatory Rural Appraisal (PRA) or separately. The conflict sensitive Planning and Implementation stages will include the project staff, managers and partner whenever possible. Part of the planning and implementation is an update of the conflict analysis, which should involve the community members.

This tool is to provide a framework for conflict analysis and some preliminary guidance on how to link the conflict analysis with project planning and implementation.

¹⁵ Adapted from the, UNDP Guide to Conflict Development Analysis prepared by the Bureau for Crisis Prevention and Recovery (BCPR), Conflict Sensitive Approaches to Development, Humanitarian Assistance and Peace building: a resource pack by Africa Peace Forum, International Alert, Saferworld, Consortium for Humanitarian Agencies, Center for Conflict Resolution, Forum on Early Warning and Early Response, 2004.

THREE STAGES OF CONFLICT SENSITIVITY



THE “WHAT” AND “HOW” OF CONFLICT ANALYSIS		
WHAT TO DO	HOW TO DO	WHAT IS IT
Understand the context in which you operate	Carry out a conflict analysis	Conflict Analysis
Use this understanding to avoid negatives impacts and maximize positive impacts	Link the conflict analysis with the programme cycle/work plan of your project	Conflict Sensitive Planning
Close monitoring of the interaction between your project and the context	Implement, monitor and evaluate your project in a conflict sensitive fashion (including redesign if necessary) by updating the conflict analysis regularly	Conflict Sensitive Implementation

CONFLICT ANALYSIS

The purpose of conflict analysis is to provide an analysis of the situation in a given context, in particular, from the perspective of identifying conflict causes and dynamics. Key steps of in conflict analysis are given below with a few guiding questions. For analysis purposes this is divided into 4 steps, in reality these are closely linked and should be viewed as a whole.

Conflict analysis can be conducted at different levels for example, national, sub national, regional etc. For the purposes of Transition Programme, the analysis needs to be focused at a local level, however this cannot be entirely divorced from the rest. In addition to the local, the analysis will explore conflict causes or actors operating at the international, regional and national levels.

Conducting a conflict analysis itself can be sensitive, therefore needs to be carried out in a conflict sensitive manner. It is therefore important to show respect for people's ownership and feelings, to include a wide range of actors and perspectives, and to be transparent about the goals of the exercise.

Step I - Conflict Profile

This is the development of a shared picture (broad snapshot) of the current situation, which will serve as a basis for the analysis of conflict causes, actors and trends.

- What kind of local conflict are we dealing with in the project area?
- What are there consequences?
- When did it start? How did it develop over the last years?
- What phase of the conflict are we in?
- Where does the conflict take place? Territorial issues?

Step II - Conflict Causes

This aims to identify conflict causes, including the root and proximate causes, in order to see how the TP projects can help address at least some of the conflict causes.

- What are the underlying structural/root causes?
- What are proximate causes? [More visible/recent conflict manifestations]

Step III - Actor Analysis

Actor analysis focuses on key actors, which can be individuals, groups and institutions, engaged in as well as affected by conflict.

- Who are the parties to the conflict? What are their positions, interest and capacities?
- What/who are the local capacities for peace and conflict transformation?
- What are the local peace initiatives, or traditional conflict resolution mechanisms available?

Step IV - Trends and opportunities

This will identify potential triggers and flashpoints as a well as look for opportunities for peace building. Identifying the local capacities for peace is important to bring in a peace-building element to the project and capitalize.

- How does the conflict presently develop? What factors contribute to peace?
- What positions do the intended beneficiaries have towards the conflict?
- What are the conclusion of this analysis in selection of partners, beneficiaries and staff?

CONFLICT SENSITIVE PLANNING

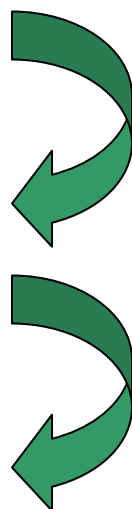
Conflict sensitive planning is directly linked to the conflict analysis. It is a process of ensuring that the project does not increase the likelihood of violent conflict, but rather serves to reduce the potential for existing conflicts, by establishing linkages between the various program components and the findings of the conflict analysis.

Define intervention objective: Conflict analysis (and in particular the analysis of key conflict causes) can be used to define the objective of an intervention, without any pre-conceived notion. In most cases the TP will have a pre determined programme and conflict analysis will be used to plan it in a conflict sensitive way.

Define Intervention Process: This involves having a clear and conflict sensitive selection criteria for whom, where and when.

- Who: Project beneficiaries, project staff, and operational partners
- Where: Geographical areas (provinces, district, etc) to support
- When: Timing and length of interventions

Link Project Scenarios and prepare contingency planning: Careful contingency planning is important to minimize ill conceived responses when quickly changing contextual environments through up difficult situation.



E.g. TP plans to build a well in village A. At present the people from village A are using a well in village B, which is 3 miles away. While being inconvenient to people from A, the well in B creates a social and physical space for interaction between the two villages, which has two different ethnic groups. Building a well in A while bringing water closer to people in A, disturbs the existing natural mechanism for relationship building. Conflict sensitive planning would attempt to undo this impact, by proposing for example a common children's park (lets assume it's a need identified by both villages) along with the well, so that the children's park creates an alternative social space. If it is not the mandate of TP to build parks, then you can coordinate with another agency, which has a mandate.

E.g. Conflict analysis in a particular context might identify tensions between the returning IDP's and the original population in village A. Majority of the returnees are from a higher caste, while the others stayed back because they were too poor to run. In such a context, the project planning would have to ensure sensitivity in, hiring of staff, choosing of local partners, selecting beneficiaries etc –what does this mean, in concrete terms? The project has also to find common mechanism for information sharing in relation to the project in a transparent manner, for instance through certain actors identified in the analysis like village leaders or a temple committee and other meetings to keep the beneficiaries informed of decisions.

E.g. In a particular region the local government elections may be scheduled for the month of July, previous elections have a history of violence in this context. During the planning process the work plans should make contingency plan for the month of July what does this mean? Start the project at a later stage if the project has not started yet; How to relate with newly elected officials when the preparation for the project has been done with other counterparts, etc...

E.g. Deteriorating conflict dynamics may mean access to a project site becoming unavailable. The contingency plan should be prepared to deal with such a situation or it will result in snap decisions that can harm the project, beneficiaries and even staff.

CONFLICT SENSITIVE IMPLEMENTATION

Conflict Sensitive implementation involves close scrutiny of the operational context, and the interaction between conflict dynamics and the projects, including through regularly updating the conflict analysis.

Refer back to conflict analysis in order to implement your project in a conflict sensitive fashion: In most cases time would have elapsed between the planning and implementation stages, therefore the conflict analysis needs to be reviewed and updated.

Set up project: Assessing of plans of operation, Negotiating project contract issues and access to sites, co-ordination, security, etc.

Implementation, monitor and adjust the project: Conflict is inherently dynamic, and therefore the operational environment will change overtime; in order to implement a conflict sensitive process, it is therefore important to monitor and readjust the programme as necessary. The adjustment may be to the programming (meaning?), contingency plans, renegotiating ground rules, adopting an advocacy role and even denunciation.



E.g. Project X would have been planned for implementation in January 2004. But the actual implementation may begin in June, by which a local election could have taken place or tensions between two communities could have increased because of an isolated incident, which would involve a change in context.

E.g. The TP works with fisheries cooperatives to give micro credit. During monitoring you find that the president of the board has contested local election under a particular party. This may hamper the credibility and neutrality of the partner organization in the eyes of the community and beneficiaries, therefore requiring renegotiation with the individual and the partner organizations.

E.g. The TP project in village A, is constructing houses for the poorest of the poor. But due to positive signals on the peace front, there is a massive unplanned return of IPD;s to village A, who can be categorized well below the current beneficiaries, which will entail adjustments to the project (such as? Adding these beneficiaries to the project in addition to the initial planned target groups, etc).

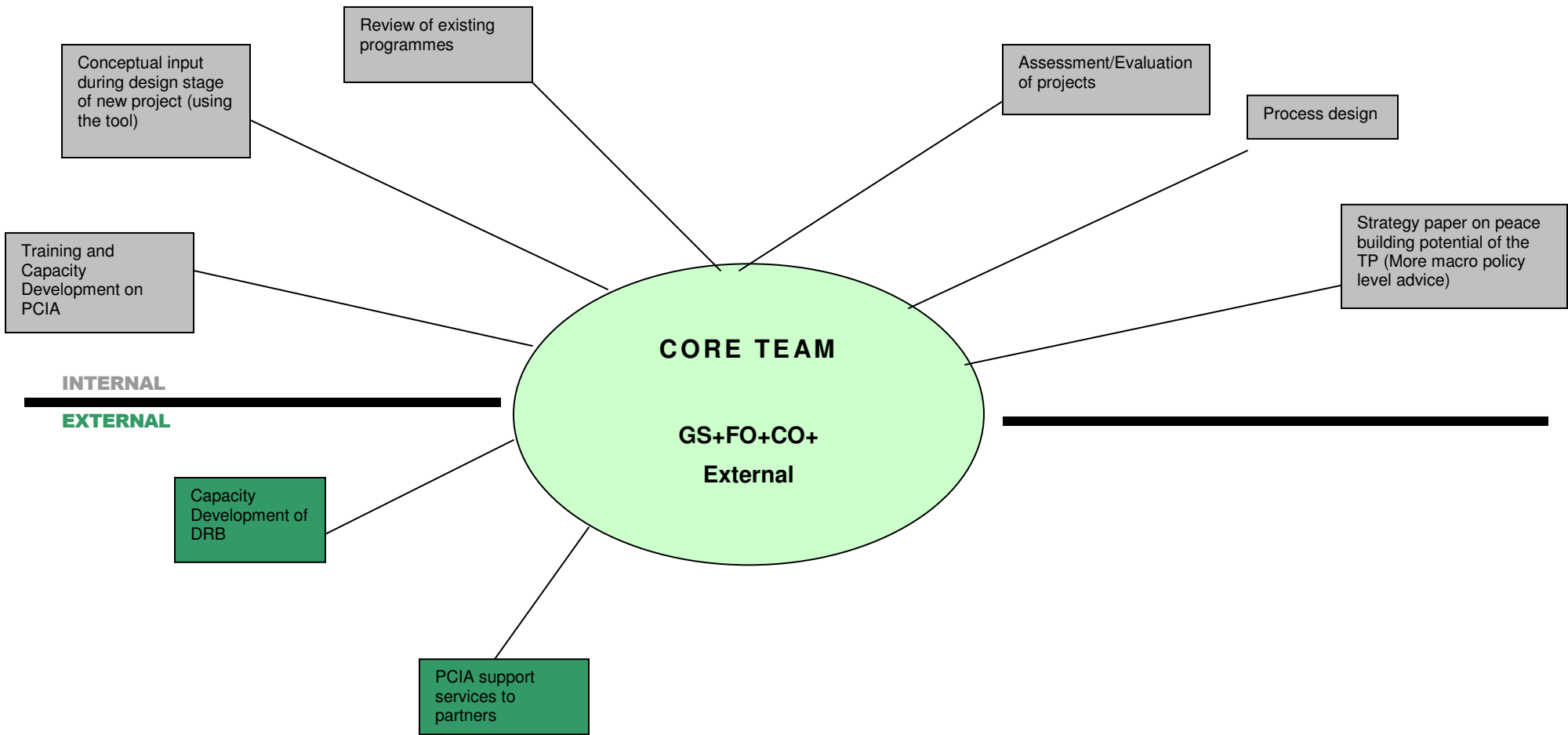
ANNEX V: Integrating Peace and Conflict Impact Assessment into the Transition Programme, UNDP Sri Lanka

Devanand Ramiah (2006)

Thinking forward on PCIA issues - Strategy

In order to minimize the negative impact on conflict and to understand the linkages between development and conflict, with a view to increasing the impact of development on conflict positively, the transition programme needs to build both internal and external capacity on conflict peace impact assessment. Further to the preliminary discussions with the TP on the issues of mainstreaming Peace Conflict Impact Assessment into programming, the following are tentative steps that can be undertaken to operationalize the concept.

Activity	Methodology	Comments	Budget
Awareness raising for the TP staff on Peace Conflict Impact Assessment	<ul style="list-style-type: none"> • Half day training at Gower Street • Half day training in field offices 	This sessions can be designed to be a two way process, in which the input of the staff can feed into our thinking.	
Modifying the CDA developed by BCPR in consultations with the TP staff to cater to the programme needs of TP.	<ul style="list-style-type: none"> • Identifying a core group • Modify the tool to suite TP needs in consultation with the core group • Test the tool in the field 	The initial work on this needs to be done at the CO with input from BCPR and then we need to consult the field staff, choose a focus group and test it.	
Establishing the process for PICA and institutionalizing it at the TP	<ul style="list-style-type: none"> • Putting in place a PCIA committee consisting of TP staff, CO staff and <i>even external partners</i> • Drafting a TOR for the committee • Establishing systems and process for the committee to assess new projects at concept state. • Further in-depth training for the members of the core group if needed. 	This needs to be championed internally at the TP with support from CO. I would also suggest that the PO play a hands on role in case of human resource constraint	
Training and building the capacity of the DRB to do the PCIA for projects that come before them, this can even be a substitute for field level teams on PCIA.	<ul style="list-style-type: none"> • Set up a process within the DRB • Training can be external, or the capacity of the TP core group can be developed for them to do the training internally 	This will involve an assessment of the role of DRB and work in partnership with other agencies like UNHCR/ADB	
Conceptual review of the existing projects of TP	<ul style="list-style-type: none"> • The existing projects can be reviewed and flash points can be highlighted • Potential positive intervention can be highlighted • In consultation with the core team, necessary safeguards can be incorporated 	This is a more desk bound exercise, which will look at all the programmes from a conflict prevention/ peace-building lens and give brief recommendation.	
Field Assessment of the existing programmes	<ul style="list-style-type: none"> • Choose 3-5 programmes that are active based on pre determined criteria (not arbitrarily) • Do an internal assessment/evaluation • Draft a lessons learnt for TP 	We can choose projects based on geography or thematic area and conduct an assessment on PCIA. The reports can be used as: <ul style="list-style-type: none"> - Quality control - Planning purposes etc 	



ANNEX VI: Framework for Livelihood Analysis¹⁶

Gender division of labour

Phases of production cycle in the coastal areas	Economic activities related to livelihood (<i>Productive Role</i>)		Non-economic activities related to livelihood (<i>Reproductive role: sustenance of family, sustenance of community, collective activities</i>)	
	Men	Women	Men	Women
Fishing				
Rough season (April- September)				
Regular/Normal season (October- March)				
Agriculture				
Wet season				
Dry season				
Phases of hazards				
Preparation for prevalent disasters in the area (cyclone, floods, drought etc.)				
During disaster/emergency situations				
Post disaster situation – rebuilding livelihoods				

Gender-based assessment of access to and control of resources

Resource	Access		Control		Ownership	Remarks
	Men	Women	Men	Women		
Beach area (for processing and drying fish, for collecting coastal items)						
Grazing land						
Forest area						
Mangrove area						
Lagoon area						
Limestone/ seashell/coral collection						
Land for cultivation/other productive activities						
Water resources (wells, tanks, streams)						
Ditches for processing coconut husks						
Savings (formal/informal)						
Credit (formal/informal)						
Assets (household-such as tools, animals)						
Assets (personal-such as jewellery)						
Skills and knowledge related to production resources (including legal aspects)						

¹⁶ Adopted from: Ariyabandu M.M, Wickramasinghe M, Gender Dimensions of Disaster Management, a Guide for South Asia, 2004, ITDG South Asia Publication

Gender-based capacity assessment

Specific skills and capacities	Women	Men	Remarks
Productive activities			
Re-productive activities			
Community activities			
Disaster preparedness			
Emergency response			
Risk management			
Other general skills			
Potential for skill development			

ANNEX VII: Monitoring for Gender Sensitivity and Inclusion¹⁷

Madhavi Ariyabandu (2006)

I. Indicators to determine participation and benefits accessed by women and men with specific focus on women

1. To determine women's participation in project assessments

- 1.1 Women's organizations, women in leadership roles (e.g. teachers, midwife, healer, female representatives of religious institutions, etc.) are identified, initial rapport built for planning the assessment of the village/community/selected location
- 1.2 The assessment team (project team-national NGO, local NGO, others) comprises of both men and women
- 1.3 Village/community assessment conducting plan reflect measures for consulting women (time plan considers when women are available for consultation, methods of collecting information is sensitive to local cultural specificities of consulting women such as organizing specific focus groups)
- 1.4 Consultations in the village have included contributions of different categories of women; young, old, low caste, disabled, politically, ethnically and religiously marginalized

2. To determine women's participation in project planning

- 2.1 Women belonging to different categories take part in the project planning exercises (participation in planning meetings, alternative measures taken to ensure the contribution for those who cannot take part in meetings due to social, political and religious reasons, mobility issues)
- 2.2 Priorities of both women and men are clearly identified and included in the analysis
- 2.3 Action plan clearly specifies the responsibilities of men and women, division of labour, benefits to be derived
- 2.4 Clearly specified skill development activities for women are included in the plans (technical, management, leadership, and communication skills)
- 2.5 Measures taken to ensure participation of women in general skill development programmes
- 2.6 Decision-making mechanisms for project planning and implementation include women representatives of different categories, ensures the balance of women and men
- 2.7 Decision-making mechanisms identified by the project management team are sensitive to the time availability, places of meeting, and unconventional ways of contribution of women members

3. To determine women's participation in project implementation

The project implementation mechanisms ensure:

- 3.1 Women's participation reflects their priorities (ref 2.2), reflects their engagement in non-stereotypical activities, not limited to contribution with labour
- 3.2 Accessibility of the resources enabling women's participation (information, skills, tools, equipment, cash etc.)

¹⁷ Ariyabandu M.M, Green Coast project- Monitoring for gender sensitivity and inclusion (Draft), 2006.

- 3.3 Men and women get equal pay for contribution with labour and other forms of contribution
- 3.4 Arrangements made for child care and/or acceptance of accompanying children when women contribute
- 3.5 Sensitivity to the time availability, nature and place of activity appropriate and acceptable to women

4. To determine women's participation in project monitoring

- 4.1 Women representatives take part in identifying and developing project outcome monitoring indicators
- 4.2 Women representation is ensured in collecting monitoring and evaluation information
- 4.3 Monitoring information collection samples ensure information collection from women beneficiaries, office bearers

5. Women's participation

General indicators:

- 5.1 Women representation, men/women ratio of representation in office bearer positions in project-related committees, CBOs, other decision-making bodies
- 5.2 Women are represented in the project implementing local partner organization/NGO
- 5.3 Project outcomes reflect women's priorities and perceptions on project outcomes from their viewpoint
- 5.4 Number of women, men /women ratio, young/old women ratio in participation in planning, labour work, assessment and monitoring teams, decision-making teams
- 5.5 Ideas/priorities identified by women representatives (community, local partner organizations) have been included in the project proposals

II. Indicators to determine women's access and control of resources

- 1. Status and issues concerning women's access and control of main resources is documented in the baseline relating to the local social economic and political reality (in the village, community assessment see 1.1 above)
- 2. Local/community women's perception of access and control of resources
- 3. Project plans contain clear actions (series of actions, time bound) to address the issues identified and listed under point 1 above.
- 4. Tools, technologies, techniques, approaches used improve the status of access and control of resources for women
- 5. The number of women who derived benefits in terms of:
 - o Accessing income generation options
 - o Skill development
 - o Interactive opportunities leading to improved social mobility resulting in specific outcomes (such as contact for obtaining loans, improved social status, membership in societies, higher social acceptance, influential power for community development, higher self-esteem etc.)
 - o Increase of asset ownership and access to physical assets (e.g. bicycle, radio, fridge, savings, bank account, joint ownership of physical assets)
 - o Representation in decision-making bodies/authorities on natural resources
 - o Representation in local councils/local government bodies

ANNEX VIII: Gender Analysis Checklist for Crisis Prevention and Recovery¹⁸

Extracts from the UNDP Sri Lanka Gender Mainstreaming Tool and Manual -Gender Analysis Checklists As Tools for Gender Mainstreaming, UNDP Sri Lanka (November 2006)

Crisis prevention and recovery

1. Situation analysis, Needs assessment and Problem identification

Does the analysis answer following questions and follow the process?

1.1. Definition of target group

- Is the project intervention aimed at the target group of both men and women?
 - Then who are the most vulnerable target groups even between the crisis and disaster affected population?
 - Has there been sex disaggregated data generated of the target communities?
 - Is vulnerability analysis made based on sex disaggregated data and diversity (in terms of degree of damage/effect by the crisis, physical location, socioeconomic strata, loss of livelihood means etc) mapping report of the target population?

1.2. Gender needs/Interests/roles

- Did project/program need assessment look into the special or different problems and needs of women and men in the target constituency? Have both men's and women's needs in the project sector been defined?
- Have the needs identification process went into deeper analysis about the specific and special needs of different strata of women and men in the intended population? Like, which men and which women in the target are more vulnerable than others in the same target group as for example, children, adolescents girl, elderly, widow, single mothers, destitute, landless /homeless, physically disables etc.)
- Are women's needs in the project/program the same as those of men? If different what are the differences, physical needs like house, special and separate bathing and toilet facilities, reproductive/ maternity health services, day care centres, primary school, food, clothing, machines jobs, justice, access to rights, status, entitlements etc)
- Has the prioritization of needs been based on emergency survival needs like water and sanitation, food security, health care facilities, clothing, household items, maternity support and baby care/ day care facilities, crop seeds, etc)
- Has there been identification of the main sources of livelihood for women and men?
- Are needs and problems of women different from those of men, particularly in terms of social support, services, employment, and means of subsistence for survival? For example, relocated women might face greater difficulty than relocated men in re-establishing markets for home industry produce or small trade items if they are constrained by lack of mobility or by illiteracy.
- What are the practical implications of the different roles and status of women and men in the project area for the feasibility of the project and its effective design?
- For the problem identified, how does the project accommodate the identified different roles and needs of women and men?
- For the problem selected for the project intervention, how does this problem affect women and men differently?

¹⁸ Checklists adapted from Overholt, Anderson, Cloud and Austin, Gender Roles in Development Projects, Kumarian Press, Connecticut, 1985.

1.3. Participation

- Were women and men of project/program involved in conducting the needs assessment, and were the women and men of the community asked for their opinion on their needs and problems?
- Did the project ensure representation and presence of women from different socio economic groups in all meetings as process and methods of project formulation?
- Did it also ensure that meetings/consultations are organized at a time when women find it convenient to attend, so that maximum participation can be ensured? Were venue and time for the meetings set based on discussions with the targeted women?
- Did the project mobilize female facilitators or work through women's groups, local women's organizations or networks (formal or informal). Did it also involve women in the identification of affected and most vulnerable population?
- Have cultural, social, religious, and other constraints on women's potential participation been identified?
- Have local women's organizations been consulted?

1.4. Potential Impact

- Has there been any assessment of the project/program in terms of how might the project affect women as their heavy work burden, relative lack of access to resources and opportunities, lack of mobility and participation in the development process, lack of education and qualification needed for formal sector jobs?
- How might the project affect women? Will women directly benefit from all project components?
- Is there any assessment made in terms of how would the project/program *contribute to long-term strategies to achieve gender equity*? Is the project/program likely to have the same positive and negative effects on women and men?
- Are women visible in the project or is the chosen intervention strategy likely to overlook women in the target group, for instance because of heavier workload, cultural beliefs and practices, more domestic location and mobility restrictions and lack of skills are they just going to be unskilled labour in resettlement and constructions or they will also have say at all levels and aspects of the project/program?

2. Project/program formulation phase

2.1. Goal and objectives

- Do the project/program goal and objectives make clear that project benefits are intended equally for women as for men?
- Does the objective of the project/program clearly articulate gender equity as crosscutting theme
- Does the project have explicit objectives of fulfilling basic needs like shelter, health services, food security, livelihood security as emergency response and women's empowerment, strengthening poor communities as long term prevention measures?

3. Implementation stage:

3.1. Access to and control over resources and benefits

- Do project terms and conditions overcome the legal impediments that keep women from owning or accessing land, entitlements of house, taking out loans, joining cooperatives, selling products, or receiving payments? Which of these resources do women and men each have decision-making control to (can decide when and how to use)?
- What resources do women and men each have access to and use that related to the project/project? And what resources do they have a little or no access to?
- If women's rights to property are currently unequal, can the project increase women's equity? (For example, if new land arrangements are proposed, can the project require that the title be held jointly by the man and the woman in a household and exclusively by women in female headed households?)
- Will project activities lead to women's access to use of and control over
 - Land and ponds, trees/timber
 - Seed and fertilizer
 - Poultry/livestock
 - Credit
 - Production enhancing, time and labour saving technology
 - Extension services
- Will the project activities divert women's productive efforts from food production and subsistence farming? Will new place and technologies displace women's traditional income-earning labour?
- Will project activities or outcomes increase women's workload resulting to decreased productivity and control?

3.2. Ensuring women's participation

- Do the planning assumptions (at each level of the planning framework or logical framework, for example) adequately reflect the constraints on women's participation in the program?
- Do the project inputs identify opportunities for female participation in program management, in the delivery and community management of goods and services, in any planned institutional changes, in training opportunities, and in the monitoring of resources and benefits?
- Are measures adopted to ensure participation of women at all levels of implementation and monitoring activities in an equitable manner?
- Are there any alternative measures at place if in case women are not been able to participate decision making, like they be involved through advocacy measures within the project, such as a community development component? Is there any scope for NGO involvement if such a component is feasible as for example, women's NGOs to be contracted to mobilize women to participate in the project?
- Is the project equipped enough to overcome the mobility problems that would hamper women's participation?
- Does the project include any proactive measures or motivational components to encourage women to participate?
- Does the project ensure women's involvement in preparation and review of reconstruction and rehabilitation plans?
- Does it also ensure women's involvement and participation in implementation and monitoring?

3.3. Communication and Extension

- Do the information and extension services reach women?(e.g., visual and popular methods to reach illiterate women and rural women)
- Is information about project activities provided directly to women as well as men?
- Is a separate or special communication strategy developed to ensure that project messages reach women (e.g., a woman-to-woman information service or the use of local women's groups)?
- Are project messages both culturally appropriate and designed to promote gender equity?

3.4. Empowerment, capacity and institutional building

- Does project have gender sensitization, basic human right, women's right, violence against women and gender-planning training in built in the implementation phase including for executing agency staff?
- Are there training tailor made to address both practical and strategic gender needs of women? Is there training identified to women to address their strategic gender needs and increase their influence and control over decision making (e.g., training in the maintenance and repair of equipments, electronic devices, automobiles etc)?
- Is there training identified to women to address their strategic gender needs and increase their influence and control over decision making (e.g., training on several non conventional themes like confidence building, negotiation skills, collective bargaining, financial management, maintenance and repair of equipments, electronic devices, automobiles etc)?
- Do project include training in small-business management, accounting and entrepreneurial skills, and marketing, in support of rural women's income-generating activities?
- Are there provisions for women to be trained separately from men to ensure that they receive and benefit from training? Will training be scheduled for times and place that suit and fit women are other responsibilities?
- Will these activities increase women's opportunity, technical skills, qualifications and experience as farmers, agricultural professionals, producers, owner and managers of business, leaders, trainers, and field facilitators?
- Are there potentials for supplementary inter-sectoral training and programs involving health, social development, and education agencies?
- Are there provisions of training to be included in the project to offset changes in production affecting women's role, or to increase women's equity in and benefits from the productive system as well as their productive skills?
- Is the project likely to precipitate changes in lifestyle in the client population, such as increased incomes following a shift from subsistence to cash production?
- Does the project have mechanisms to ensure gender equality activities and results systematically? For example requirements in TORs, gender equality indicators, gender sensitive monitoring and evaluation systems, collection and documentation of sex disaggregated data, gender committee etc).

3.5 Productivity

- Do women contribute to the household economy? How? What is their income level prior to the crisis or displacement? What are the activities from which they earn incomes? Are the income sources been affected? Does the project ensure their livelihoods? Are the women being thrust into a cash economy from their traditional subsistence economy?
- Will the project activities divert women's productive efforts from food production? What about food security?
- Will new technologies displace women's traditional income-earning labour?
- Will project activities or outcomes increase women's workload resulting to decreased productivity?
- Is there any activity to upgrade skills of women to have greater access to job market and increase productivity?
- Does the project have activities to link women to self-help groups and microfinance?
- Is there any provision at place to link women to any existing employment schemes of the government?
- Does the project recognize the fact that women's productivity is largely determined by her load of reproductive work load and addresses the issue e.g., by providing day care centres etc
 - Providing day care facilities serves multiple purposes
 - Cares for the crucial 0–6 age group
 - Allows mothers to go out to work.
 - Provides potential self-employment to women in the community

4. Monitoring and evaluation stage

- Are project performance indicators disaggregated according to gender?
- Are there indicators to measure progress in achieving benefits for men and women?
- Are there indicators developed to define the benefits to women and men.
- Are sex-disaggregated data collected to monitor gender impact?
- Is project ensuring the participation of women in monitoring and evaluation?

ANNEX IX: Disaster Risk Reduction Checklist for Recovery¹⁹

Analysis and Assessment

Hazard Assessment

Refer to existing risk profiles such as disaster inventory systems or hazard zonation maps or undertake a participatory risk assessment with communities in order to identify and demarcate hazard-prone areas (natural disaster- and conflict-prone) when planning recovery interventions.

Vulnerability Analysis

Identify the prevailing or consequential economic, social, political and physical conditions that increase the exposure of communities to hazard threats. Are vulnerable populations going to be re-settled in hazard-prone areas such as flood plains, areas of water scarcity and landmine risk? What sorts of environmental conditions increase exposure? If possibilities for relocation do not exist, how can risk be mitigated? Are houses in hazard-prone areas constructed using safe construction techniques? What livelihood options are available to communities in hazard-prone areas? How does income poverty impair the ability of communities to cope and recover from disasters?

Capacity Analysis

Identify human resource, material/physical, and institutional capacities of duty-bearers and claim-holders to implement recovery programmes. Do Disaster Management Committees exist at various levels? Have they been trained in crises response? Have they developed recovery plans? Are resource inventories available? What capacities might require specific strengthening to implement necessary recovery activities?

Livelihood Recovery

- ▶ Build resilience to disasters and reduce economic vulnerability of small enterprise owners by preparing business continuity plans with a focus on markets, productive assets, stock and transport.
- ▶ Offer life and non-life insurance options with pre-paid premiums to small enterprise owners and workers in risk prone areas.
- ▶ Members of savings and credit schemes and micro-finance institutions create a separate contingency fund that could be used to offer fresh loans in the aftermath of a disaster to promote speedy recovery.
- ▶ Agreement with micro-finance institutions to reduce interest rates or increase grace periods for loan repayments in the aftermath of a disaster.
- ▶ Cooperative owned ice plants insured and fishermen's boats and nets registered and insured.
- ▶ Fishing boats equipped with basic safety measures such as torch light, long distance whistles, life jackets, and radios.
- ▶ Alternative livelihood options explored to support communities whose livelihoods are highly dependent on natural ecosystems such as agriculture and fishing and could be at risk from recurrent floods, droughts, landslides, storms and high winds. For example, coastal natural

¹⁹ The checklist is an output of a 'Recovery Review' that was undertaken in August 2006, by the Regional Centre in Bangkok, aimed at assessing the extent to which disaster risk reduction had been integrated into the Recovery Programme.

resource funds can be launched whereby communities invest in protection/restoration and conservation and gain from taxes paid by tourists.

- ▶ Alternative livelihood options explored to support communities where disaster and/or conflict (creation of buffer zones or high security zones) has necessitated that people move away from homes and, therefore, from their livelihoods.
- ▶ All livelihood options take into consideration environmental sustainability and do not induce risks. For example, deforestation on hill slopes lead to erosion and cause earth slips.

Housing

- ▶ Staff and inspectors managing and monitoring housing projects trained on hazard analysis with respect to housing settlement location (food/landslide/cyclone/tsunami-prone areas) and made aware of disaster-resistant construction techniques.
- ▶ Prior to construction an environmental impact assessment carried out in collaboration with the Central Environment Authority.
- ▶ Masons trained in appropriate construction techniques for various housing types in food-prone areas, e.g. the plinth area of an earthen house can be strengthened through cement stabilization or a brick perimeter wall, walls can be chemically treated, cross braces can be used to strengthen walls, and aerodynamic roof forms can be adopted to render rooftops wind resistant.
- ▶ Demonstration/model house constructed with all safety features incorporated that can be used for awareness and training purposes.
- ▶ Contractors ensure that building materials are not substandard and that quality is assured.
- ▶ Minimum safety standards of building by-laws/codes are adhered to.
- ▶ Home owners provided with information on possibilities for insurance.
- ▶ Access to micro-finance for the reconstruction of a durable house with technological improvements incorporated provided to low income households as well as to local suppliers of building materials.
- ▶ Structures in place to identify compensation criteria, share information with communities regarding entitlements, and oversee compensation distribution to communities at risk.
- ▶ Encourage families to prepare household disaster preparedness plans.

Community Infrastructure

- ▶ Training in safety measures/safe construction techniques and certification for workers who are building this infrastructure. Engage affected communities in building minor infrastructure through cash for work projects, thus reducing economic vulnerability and sharing knowledge of risk reduction
- ▶ When constructing minor infrastructure, designate certain schools/community halls as safe shelters to serve evacuation needs. Train vulnerable communities on early warning dissemination and the identification of safe routes and evacuation procedures. Erect sign posts along safe routes to access these safe shelters

Capacity Development

- ▶ Capacity development of duty-bearers (Government and civil society) to provide communities at risk with accurate and timely information on the following:
 - ✓ Nature and scale of the potential disasters they may face
 - ✓ Possible risk mitigation measures that can be taken such as improving drainage, constructing retaining walls, and tree planting
 - ✓ Early warning and evacuation
 - ✓ Where to access basic services in the event of a disaster
- ▶ Capacity development of government officials, NGOs and communities to carry out environmental impact assessments and community based risk assessments.
- ▶ Technology/knowledge transfer to government officials, NGOs and communities on factoring risk reduction into reconstruction, livelihoods programs, and restoration of ecosystems affected by disasters.

Capacity development of institutions to update national, provincial, district and divisional disaster management plans to reflect current needs and priorities for recovery.

ANNEX X: Environmental Management Tool

The Environmental Management (EM) process is targeted to ensure the adoption of environmental issues during the development of new projects and environmental mainstreaming in the implementation of on-going projects. It will assist project designers/proponents in determining whether the potential environmental implications of a proposed activity take full advantage of the opportunities offered by the environment as well as the constraints to be faced when executing activities. This approach encourages the formulation and implementation of environmentally sound activities and, when necessary, alternatives that promote lasting, resource-conserving development. The proposed EM process has been adapted from UNDP's Handbook and Guidelines for Environmental and Sustainable Development (1992).

The following are the main elements of an EM system:

- ▶ An Environmental Strategy
- ▶ Benchmarks from which to measure performance
- ▶ An action plan
- ▶ An implementation system in the form of manuals, procedures, awareness building and training
- ▶ A performance monitoring system
- ▶ A reporting system

INTEGRATING EM INTO PROJECT CYCLES

For environmental mainstreaming to take place, it is imperative that environmental and sustainable development considerations be integrated throughout activities. Special sections on the environment in project documents will not suffice, as they may not integrate environmental and development concepts adequately. This integration is best carried out by systematically introducing the appropriate principles and throughout the Project Cycle (refer to Box 1).

ENVIRONMENTAL CHECK LIST

To ensure that proper consideration has been given to the environment, a checklist serves as a reminder to those participating in activity implementation. These specific questions should be answered to facilitate the process of assessing whether the environmental dimension has been included. It should identify issues of concern, causal links, responses to challenges and process.

ENVIRONMENTAL OVERVIEWS

An Environmental Overview (EO) is an assessment tool that forms the basis for an Environmental Management Strategy. The aim of this short document is to provide basic information on the present environmental situation of the area or project. It will also include an assessment of how the environment might be altered if the project is implemented. This tool is the simplest instrument, which can be used to determine whether a proposed activity is being designed and implemented within an environmentally sound and sustainable approach. An Environmental Overview should:

- ▶ Identify the main environmental opportunities and constraints that the implementation of the project could bring about;
- ▶ Suggest alternatives to the project design that would take better advantage of potential environmental opportunities and/or mitigate likely environmental disturbances associated with the project; and
- ▶ Identify areas of uncertainty regarding modifications to the environment, as well as those potential social and economic conflicts that might arise if environmental changes are introduced in the project area.

The responsibility of preparing EOs belongs to those who are proposing the project (project proponent). In order to improve accuracy, it is essential to incorporate information about the characteristics/functions of the local environment and participatory development techniques that take advantage of grassroots knowledge. The EO outlines in Box 3 present simply a menu of options on data to be included. All sections will not apply to all projects. An EO should, and will for projects that lack any environmental factors or potential environmental components, be limited to an outline with an explanation as to why it is not applicable.

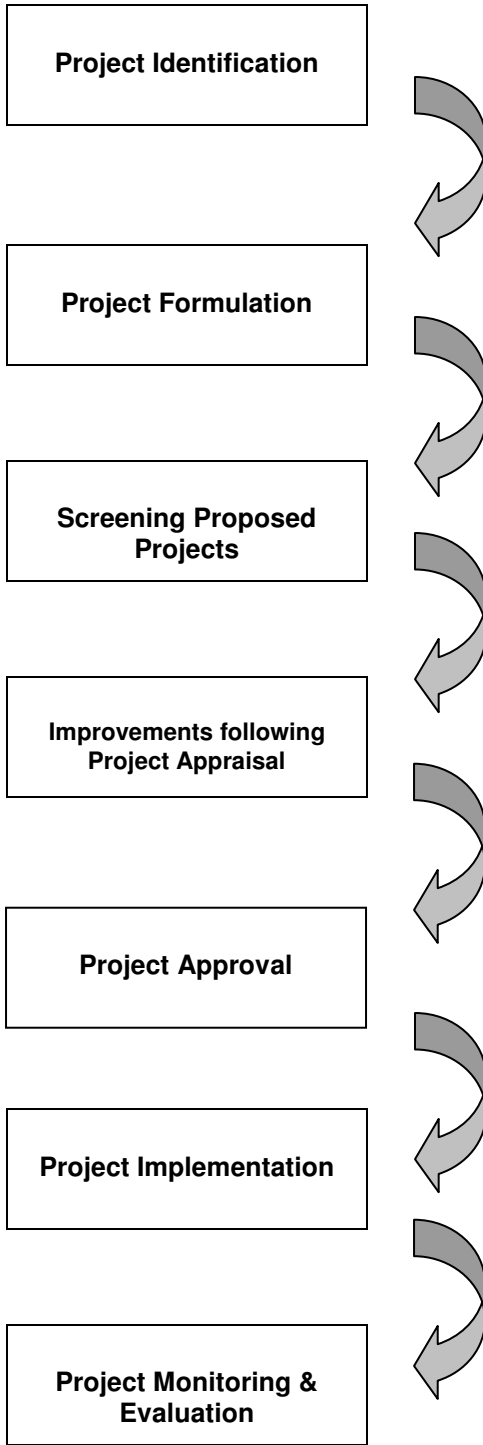
ENVIRONMENTAL MANAGEMENT STRATEGY

An Environmental Management Strategy (EMS) is necessary if the project needs to eliminate or mitigate potential negative environmental impacts, or to make better use of opportunities based on EO. It is recommended that the projects that fall within environmentally sensitive areas and activities, livestock, farming and fishing practices, activities dealing with resources management, infrastructure and industrial development, urbanization, land development and waste management (Box 4) should be subjected to further environmental considerations. The EMS (Box 5) should be prepared by those proposing the implementation of a project. It should be able to answer the following questions:

- ▶ How to improve the environment or mitigate its disturbance
- ▶ When at what time, through the life of a project, this will be done
- ▶ Who will be accountable for implementing and monitoring environmental activities
- ▶ How long before the results will be seen
- ▶ What is required in terms of experts, information, institutional and financial support for integrating environmentally sound and sustainable development principles within a proposed development activity?

Box 1

Integration of EM into Project Cycle



Project identification includes clarification of the outcomes, determination of external technical and/or financial assistance for the implementation of the projects and matching projects with existing resources. The environmental aspects of a project must be among the criteria in project identification.

Before the project formulation the EO of the project (Box 3) should be prepared to be used as a guide for the project document.

The purpose of appraising projects is to determine if the project is appropriate for recovery. On the environment side, the EO should be part of the appraisal checklist, and an environmental checklist (Box 2) for this purpose is given.

According to the conclusions of the screening process, improvements should be followed and if necessary an EMS should be incorporated into the revised project.

Ensure the “steps” 1-4 have followed the procedures outlined in guidelines prior to approval.

Ensure that EM is present in all stages of implementation. If the project has an environmental component, the project advisors and executing agents should be competent to ensure EM.

Monitoring and evaluation must refer specifically back to the EO and, the EMS (if present). Unanticipated negative and positive environmental impacts should be noted. Alternatives should be proposed to improve the environment further and to modify the project if it has not achieved the stated environmental objectives.

BOX 2

Environmental Checklist	Yes	No
1. Has an EO been prepared for the project?		
2. Does the project document include precise actions to protect and conserve the environment?		
3. Have the sources of environmental impact (positive and negative) been properly identified in the project document?		
4. Have those who will be affected by the environmental impacts been properly identified?		
5. Does the project document include environmental mitigation measures?		
6. Have the potential conflicts of interest that might arise been properly addressed in the project document?		

BOX 3

Preparation of Environmental Overviews

Menu	Description
Brief description of the natural environment	Describes land and/or water ecosystems and that characterize the project area including agricultural land to represent untapped environmental opportunities or areas of particular environmental concern. Describes living resources (fauna and flora) in the project area that represent particular concerns and/or opportunities for the environment.
Main environmental issues	Three main important issues to the project area including topics on quality of life of the local population, natural hazards, fragile ecosystems, role of children and women, overcrowding, etc.
Economic policies, incentives and regulations to protect the environment	Lists any prevailing national or local economic policies and regulations in the project area that affect the quality of the environment.
Environmental management	Describe the capacity of the people and institutions working in the project area to cope with their environmental problems to achieve appropriate level of management including legal and regulatory, main environmental actors and stakeholders, and capacity to deal with environmental issues.
Major environmental impacts associated with the project implementation	Identifies the potential impacts, both positive and negative, that the implementation of the project may have upon the natural environment
Alternatives for project design	Discuss the possibility of altering the project design (technology, project objectives and methodology of implementation) to take better advantage of the opportunities offered by the environment in the project area, and to mitigate and eliminate the environmental disadvantages that the project might create.

BOX 4

Environmentally Sensitive Areas or Activities

- Activities leading to encroachments on tropical rain forests, wetlands, mangrove forests, coral reefs, coastal zones or other vulnerable areas
- Activities changing natural vegetation and/or the habitats of wildlife species, or in areas inhabited by endangered species
- Activities in legally declared protected areas
- Ecologically fragile areas
- Areas subject to desertification, arid and semiarid zones, drylands
- Ecotourism activities
- Areas of unique conservation, historical, cultural, archaeological or aesthetic interest
- Areas of particular social significance (habitats for nomadic people or indigenous populations)
- Areas where pre-established pollution limits have been exceeded or where activities would lead to pollution

Livestock, Farming and Fishing Practices

- Sustainable agriculture
- Activities leading to soil erosion or in soil-conservation areas
- Integrated pest control or pesticide use/management
- Agroforestry and/or afforestation
- Activities leading to increased grazing
- Introduction or modifications of new crops or livestock
- Introduction of new species where there is limited knowledge of the ecological functions of the local ecosystem
- Biotechnology
- Activities with the possibility of exceeding carrying
- Controlled breeding and exploitation of fish or shellfish carried out in marine or inland waters or in artificial ponds

Activities Dealing with Water Resources

- Water management including the management of inland wetland ecosystems
- Irrigation and flood control
- Hydroelectric
- Groundwater
- Health and sanitation

Infrastructure and Industrial Development

- Large infrastructure and urbanization
- Energy generation
- Mining (land and water)
- Activities leading to conflicts over use of resources
- All industrial development
- Activities causing emissions to soil, water and air and/or that may endanger the environment
- Activities demanding considerable increases in consumption of raw materials (water, land, fossil fuels)
- Activities creating major changes in landscape
- Activities creating risks of accidents that could have serious consequences for local people or the natural environment
- Occupational safety and training
- Activities that introduce immigrant labour and change local social fabric

Urbanization, Land Development and Waste Management

- Human settlements (housing, office, commercial buildings)
- Land-use planning or road building
- Activities leading to accumulation of waste and creation of unwanted disposal sites
- Production, transport or storage of hazardous wastes

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