COMMUNITY DISASTER RESILIENCE FUND (CDRF)

Operational Guidelines

DRAFT VERSION

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NAADRR

NATIONAL ALLIANCE FOR ADAPTATION AND DISASTER RISK REDUCTION (NAADRR)

Cover Image: SEEDS

Network and Convening Partners

National Alliance for Adaptation and Disaster Risk Reduction (NAADRR), launched in 2007, is a network of 170+ organizations working at the community. Its main aim is to bridge community experience of DRR and resilience with disaster management and development policies from the local to the national level. The secretariat for NAADRR is located in Delhi. Activities of the secretariat are supported by Swiss Agency for Development and Cooperation (SDC).
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Institutional Partners

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1. INTRODUCTION

The Community Disaster Resilience Fund (CDRF) has been conceived to direct funds directly to local at-risk communities to support them in initiating and scaling up effective disaster risk reduction and adaptation practices, and in developing the necessary relationships with local and national authorities for recognition and effective implementation of resilience building initiatives. The fund is also expected to demonstrate to national governments and donors the benefits of enabling community groups to plan, design, implement and appraise resilience building initiatives.

1.1 Context and Rationale

As part of implementation of the five priorities of the Hyogo Framework for Action (HFA), substantial funds are being allocated in India for developing national level institutional capacities to manage disaster risk, prepare for response and cope with emergencies triggered by natural hazards. Funding patterns betray the dominant policy perception of looking at and interacting with communities as victims and beneficiaries with hardly any investment in lasting resilience building at the community level.

The experience of channeling funds through mainstream institutions has shown that the trickle down process is confined to short term projects. The process of program design, implementation and monitoring is usually top-down and training is supply-driven, leaving little scope for at-risk communities to define priorities, agendas and contribute their own capacities to undertake DRR and resilience efforts. While there are numerous community driven practices on DRR being undertaken by organized communities and women's groups living in disaster prone areas, these initiatives are disconnected from local and national processes.

If supported adequately, community level practices that build resilience to hazards can benefit not only the affected groups, but can provide valuable lessons for NGOs and policymakers on programming for community-driven DRR.

Primary stakeholders are the poor, vulnerable and often excluded communities, who are at risk and are in urgent need of action, with NGOs playing a facilitating role. Other key stakeholders include Panchayati Raj Institutions (PRIs), National, State and District level disaster management authorities.

The goal is to promote community leadership in strengthening capabilities and resource mobilization. Starting with a funding mechanism or community fund to kick-start the process, the proposed project seeks to provide a seed fund and incentive for communities to act now to address immediate needs that reduce vulnerability, disaster risk and build community resilience. Once established, the community fund or CDRF is an instrument that is expected to attract local contribution and leverage resources from government poverty, development and infrastructure programs.

The major components are:

- Community disaster resilience fund: Provide resources for the plans of community/women's groups to reduce risk and vulnerability in their communities, in partnership with PRIs and linked to district and state development plans/processes.

- District Support Group: Promotes comprehensive communication on DRR, provides technical support and coordinates knowledge management to enhance local capacities and resilience measures.

- Local platform for DRR: Support for growth of CDRF, lobbying for inclusion of DRR and climate change concerns in development.

- Policy Advocacy: Scaling up this bottom up, pro-poor, community led resilience /DRR program at the national and state levels that scales up the district CDRF model through affirmative programming and incentives for policy makers and implementers.

2. SELECTION OF FACILITATING NGOs

NGOs are envisaged as facilitating organizations for implementing the process - starting with risk mapping, selecting women/community groups and building local capacity for utilizing the CDRF effectively. NGOs are selected through a three step process - NGO profile and application, expression of interest and orientation workshop. Selection criteria is shared with all the participating NGO representatives in a workshop, who score themselves as per the attached score sheet (annexure 1). An organization scoring more than 80 marks is automatically selected for participation in the CDRF pilot project.

Following the selection of NGO partner, a memorandum of understanding (MoU) (annexure 2) is agreed upon and signed jointly by NAADRR and NGO representatives.

3. SELECTION OF CBOs/WOMEN/COMMUNITY GROUPS

CDRF is meant exclusively for community groups, which may include Self-Help Groups (SHGs) of women, marginalized groups, mahila mandals, Youth Clubs, Common Interest Groups, farmers/fishermen federations etc. Eligibility criteria for community groups to apply for the facility are as follows:

- A formal organization registered and recognized as a legal entity authorized to receive and manage funds for development ends or an informal group with good local credentials willing to accept and use funds through a supportive formally recognized local entity.
- A track record of 2-3 years of undertaking community based work involving people in analysis, planning and action.
- Location in a hazard prone, particularly multi-hazard prone, area preferably with identified disaster risks.

The CDRF pilot encouraged applications from women's groups, as women are the major stakeholders in the resilience building exercise in their capacity as community leaders and disaster managers.

3.1 Process of Selection

Process of selection will have the following steps:

- NGO partner organizes a series of consultations with women/community groups identified on the basis of their hazard risk profile, their willingness to participate in CDRF, and expressed commitment to propose ideas for action.
- NGO partner makes a short list of identified potential women/community groups for participation in the final selection process.
- List of identified community groups along with their work profile and their proposed ideas is communicated to NAADRR and project implementation partners-SSP and Knowledge Links.
- A CDRF grant selection committee (CGSC) is formed and is represented by community leaders having significant experience of DRR and resilience building initiatives (preferably from the participating states), heads of NGOs, nominated representatives from SSP and Knowledge Links, NAADRR representative, and invited disaster management experts.
- A knowledge fair on DRR is organized for the purpose of final selection of women/community group: short listed/invited women/community groups set up their kiosks/stalls for presenting their ideas to the members of the selection committee i.e. CGSC.
- CGSC makes the final selection during a three day event: the first day is for setting up the stalls and CGSC members to make informal visits to these stalls for preliminary interaction with visiting women/community members; the second day is the day for more formal presentation and discussion of their ideas by the visiting groups before CGSC, final selection results are announced on the third day.
- A tripartite agreement between selected women/community group, facilitating NGO and implementing support organization working on behalf of NAADRR is signed to implement the winning idea for each CDRF sub-project.

4. MANAGEMENT SYSTEMS AND PROCESSES

CDRF pilot project is conceived as a multi-stakeholder project to promote community led DRR and adaptation initiatives. This is to be done by providing small grant facility to community for innovative ideas in community resilience building. Learning from this pilot is envisaged to feed into national and state disaster management policies and programs in India on the one hand and; into the Global Disaster Resilience Facility with similar objectives on the other. Following is the suggested operational arrangement for designing and implementing the pilot.

4.1 Roles of Stakeholders

Agreed stakeholders and their respective key roles are as given in the following table.

Serial No.	Stakeholder	Key Role
1	UNDP	Funding and global learning support
2	NDMA	Policy endorsement and support at the national level and promotion with the State/local level
3	CDRF Advisory Group	Feeding lessons and recommendations emerging from local CDRF experiences into state and national level programs.
4	NAADRR	Overall project implementation and evidence based policy advocacy, Project planning, implementation, management and technical assistance, Capacity development and knowledge management, Communications and policy advocacy
5	District Support Group	Promotes comprehensive communication on DRR, provides technical support and coordinates knowledge management to enhance local capacities and resilience measures
6	NGOs	Facilitation, support and scale up community led DRR efforts by leveraging resources from poverty reduction and development programs.
7	CBOs/Federations	Fund management at the local level and utilize to address their priorities.
8	CDRF Committee	Community Fund Management
9	Social Audit Teams (women SHGs and others)	Community oversight of the sub-projects

Table 1: Stakeholders and their envisaged roles

These roles indicate only the primary responsibility of the stakeholders. It is envisaged that stakeholders would contribute to the design, implementation and monitoring the project to the best of their experience, skills and resources. There would be mechanisms for strategic advice, project implementation and monitoring, capacity building and technical assistance, continuous sharing and learning as part of a larger knowledge management initiative.

National Support Group (NSG)

NSG structure reflects the project partnership between civil society organizations, the government and the UN systems. The group would be chaired by member of the National Disaster Management Authority (NDMA) and will include members from the UNDP and NAADRR and others on the basis of their background and expertise in policy program matters, as also their interest and commitment to various aspects of community resilience building and development sectors that may include housing, health, agriculture, communication, water and sanitation, energy, infrastructure etc.

The primary role of National Support Group would be to offer strategic advice and support on the following:

- Design and implementation of the project.
- Emerging opportunities for consolidation of DRR gains and new policy initiatives.
- Linkages with the development ministries in the central and state governments.
- Policy learning requirements.

National Support Group would meet every quarter i.e. four times in a year. There could be special meetings as per any requirement with the approval of the chairperson of National Support Group.

The NDMA is the government partner supporting this initiative by receiving recommendations for institutionalization of community led and PRI supported processes. The NDMA will encourage the state and district disaster management authorities to join hands with the NGOs to support and scale up community led DRR efforts by leveraging resources from poverty reduction and development programs.

National Support Team (NST)

NST will be headed by a Project Team Leader and Task Team Leaders to handle different project streams selected (from among the core members of NAADRR - SSP, Knowledge Links and SEEDS currently and later others). The primary task of NST would be to make sure that the project is implemented as Project Operational Strategy developed through a consultative process and ensuring its efficient and effective implementation would be the responsibility of NST.

Specific functions of NST would include:

- Undertaking a rapid hotspot study to identify most hazard prone districts in India
- Holding district and state level consultations for final identification of the project districts
- Getting a Project Operational Strategy prepared
- Facilitating the selection of CBOs to be given the project grants
- Overseeing project implementation functions
- Undertaking capacity development and knowledge management activities
- Undertaking communication and advocacy initiatives
- Ensuring the development of monitoring and learning protocols
- Creating systems and mechanisms for learning and knowledge management
- Coordinating with National Support Group , NDMA, NAADRR and other stakeholders

NST would meet every month to review the progress and realign implementation strategies and plans as per emerging requirements.

District Support Team (DST)

DST will be set up with NGOs, eminent local researchers, facilitated by field coordinators identified and engaged to coordinate the day to day functions of related project at the district level across all the districts in a particular state or across states as per requirement. These functions would include:

- Undertaking community consultations across selected districts and villages for designing the project and selection of vulnerable communities according to criteria.

- Planning and undertaking preparatory activities related to selection of CBOs for project grant.

- Organizing the actual selection event and facilitating grant disbursal for capacity building.

- Recruiting community facilitators and engaging in supportive supervision.

DST would function under the overall guidance and supervision of NST. These would be key institutional mechanisms for project planning and implementation to begin with, though some more mechanisms related to monitoring, learning and knowledge management may be developed as per requirement.

4.2 Operational Mechanism for CDRF Grant Disbursal

Fund disbursal under CDRF is done as per an agreed payment schedule on the basis of performance milestones. The steps would be as follows:

1. Following the signing of the MoU, based on the report received from the partner NGO on preliminary community consultations held, 20% of the grant money will be released. This report will include the list of women/community groups consulted; hazard including climate related hazards, vulnerability, capacity and the resultant risk profile of communities consulted; community's idea/s on a community fund; suggested areas of intervention.

2. 20% of the grant amount will be released on submission of detailed sub-project CDRF proposals prepared by or on behalf of the concerned community group (duly ratified by them) will contain project goals; project timeline; proposed activities; budget allocation; methods of implementation and; means of monitoring and evaluation of the project.

3. 20% of the grant amount will be released after the final selection of CDRF recipients, which will be some women/community organization/group such as self help groups, livelihood cooperatives, water and sanitation committee, etc. A tripartite agreement between, NAADRR, NGO partner and selected women/community organization will be the condition for the disbursal of this installment.

4. 20% of the grant amount would be released after submission of satisfactory interim progress report on the sub-project under implementation. This will be exactly half way through the agreed project time line by NGO and community partners.

5. Final installment of 20% will be released on submission of satisfactory final report after the completion of all planned project activities and all the agreed deliverables.

NGOs will be responsible for making direct transfer of funds to communities through an established community organization. NGO will meet bi-monthly with community to facilitate accounting and financial management/budgeting process and to compile information on how funds are being used for purposes of reporting to NAADRR.

In the case of CDRF pilot initiative in 2008-2009, the payment to selected community groups through facilitating NGOs was made in two installments only.

5. RESULTS FRAMEWORK AND MONITORING METHODOLOGY

The structured learning and monitoring objectives will be developed in active consultation with institutional partners UNDP, NDMA and locally with the partner communities, CBOs/ women's groups, PRIs and the NGOs for the purpose.

A system of community monitoring and learning would be devised and put in place following consultations with partner communities and NGOs. Monitoring and evaluation of the project throughout its implementation and at the end of the project period will occur based on a set of criteria defined and sharpened by the community and based on their identified needs and vulnerabilities and the priorities as defined by them.

In addition to measuring the progress and success of projects on the set of community identified criteria, Project Management Team will provide a few basic measures on which the district NGO is expected to report during project implementation.

Regular project monitoring would have two components: E-reports as per a given format for data generation and compilation; field based periodic reviews by a monitoring cum social audit team using tools like Report Cards to assess community resilience constituted by NAADRR for the purpose.

Some of the key learning /monitoring parameters would include:

- Level of participation of women in agenda setting and decision making.
- Level of participation of the poor and marginalized in agenda setting and decision making.
- Nature and extent of engagement with local authorities and government.
- Production of knowledge and evidence based policy notes and case studies .
- Lessons learnt around processes/ models for replication.

Specific monitoring indicators would be developed in consultation with stakeholders, particularly communities, PRIs and NGOs. But some of them may relate to the following:

- Target population directly benefiting from the project (including numbers).
- Population indirectly benefiting from the project.
- Community capacities built for risk (hazard, vulnerability and capacity) assessment, prioritization and intervention under the project.
- Specific risks or vulnerabilities targeted/ reduced as a result of the project.
- Mechanisms for sustaining the initiative beyond the project period.
- Local learning networks for horizontal spread of project activities in project districts.

Community monitoring and learning component would be the key driving mechanism of the project monitoring and evaluation system design.

6. GENERATING LEARNING AND MANAGING KNOWLEDGE

Generating learning and sharing it with a wider audience including policy makers and program managers has been a major focus of the CDRF pilot initiative in India. This was done using the following mechanisms:

- Multi-stakeholder consultation, brainstorming, and review workshops involving community groups working on CDRF, facilitating NGO partners,implementationsupportorganizations working on behalf of NAADRR.

- Preparation of state profiles based on primary data generated through participatory learning methods such as focus group discussion (FGD), transect walk with community people, participant observation, and community immersion programs. Community immersion programs could not be undertaken as intended and were limited only to day interactions with community members.

- Preparation of case studies by facilitating NGOs and implementation support organizations (SSP and Knowledge Links) from NAADRR with the help of community groups.

- Critical reflection sessions with community groups to be organized for further harvesting of learning.

A robust knowledge management system has to be worked out to generate ideas and insights to feed into proposed policy advocacy initiatives.

7. POLICY ADVOCACY

CDRF policy advocacy strategy includes sharing of lessons learnt and case studies of innovative practices in community resilience building at national, regional and global platforms. The global and regional events where some of the early learning has already been shared include Second Session of Global Platform for Disaster Risk Reduction in Geneva in June 2009 and Mitch+10 Conference in Guatemala in July 2009.

National Disaster Management Authority (NDMA) in India has consistently supported the implementation of the initiative by helping form institutional linkages to sustain and scale up the initiative at the national level.

8. CDRF EXPERIENCE SO FAR

The CDRF pilot initiative is envisaged to yield valuable policy insights that could inform national level DRR policy making and programming in India and elsewhere, including being the precursor to the launch of a global initiative for building community resilience to disasters and climate related catastrophes.

The NDMA support to the CDRF initiative in india has been critical in forging connections with the concerned district and state disaster management authorities and for advocating for the role of women and community groups in DRR linked to development and poverty reduction programs.

Implementation of the CDRF project has been undertaken by the National Alliance for Disaster Risk Reduction and from the NAADRR core group, Swayam Shikshan Prayog (SSP) and Knowledge Links, acted as the technical support and knowledge development partners.

From 2008, the Community Disaster Resilience Fund was implemented in India across eight states in 88 villages across 11 districts. Across Assam, Bihar, Orissa, Andhra Pradesh, Tamil Nadu, Gujarat, Rajasthan, and Uttarakhand, eight NGOs with a strong track record in working with vulnerable communities were selected to facilitate and co-develop the resilience plans with communities. The NGOs facilitated risk and resource assessment, capacity building, local advocacy and linkages and ensured transfer of funds to communities and monitored and reported on progress.

The NAADRR is a network of over 170 civil society organizations committed to facilitating a community driven process on DRR and resilience. The NAADRR has set up a Project Advisory Group with its institutional partner, the National Disaster Management Authority of India. This acts as a mechanism for feeding lessons and recommendations emerging from local CDRF experiences into state and national level programs.

At the local level, the fund is managed by CBOs/ federations and utilized to address their priorities. Most of the fund managers are women's SHGs. The process starts with risk mapping, identification of vulnerabilities, local capacities and resources. These exercises generate awareness on vulnerabilities, build consensus around proposals for building resilience and act as the baseline against which communities can measure progress as they move forward.

The CDRF effort has spawned a range of activities such as construction of uplifted water facilities and toilets in flood prone areas; eco shields and shelter belt to protect coastal areas; insuring livestock; seed banks and fodder banks. Other priority areas for action identified by community and women's groups include - access to health services, drinking water and toilets during disasters, reducing soil erosion and ensuring food security, sustainable livelihoods and incomes to reduce community vulnerability to disasters and weather threats.

ANNEXURE 1

Score Sheet for NGO Self Selection

Name of the Organisation:			
Registration details including the year:			
Selection Criteria	**Total Score**	**Score Achieved**	**Remarks**
1. Expressed belief in communities' capacity to undertake resilience building and risk reduction initiatives on their own. (Number of on-going projects with the organization following a women empowerment and community led approach)	20		
2. Expressed commitment to invest in the implementation of CDRF on the ground in terms of additional (unpaid) time and resources. (10 to 20% of the CDRF money received)	20		
3. Substantial experience (3-5 years) of undertaking community based/led disaster risk assessment and implementing disaster risk reduction (DRR) programs/projects.	15		
4. Significant (that has led to some identifiable results) experience of engaging with local authorities/governments on development and DRR issues.	15		
5. Adequate capacity to undertake community consultations and help community partners come up with and present their ideas for which they need funding. (Number of staff trained in PRA/PLA and other participatory methodologies)	15		
6. Proven ability to monitor community programs, generate learning, and document the processes and results involved. (Nature of documents produced)	15		
Total	**100**		

ANNEXURE 2

Memorandum of Understanding between NAADRR and NGO Partner

This memorandum of understanding (MoU) between NAADRR and (name of the NGO) is signed on 10th December 2008 to implement community disaster resilience fund (CDRF) sub-project/s with communities facing disaster risk in the work area of Unnati. It is agreed that in selection of community groups to work with, special efforts would be made to identify primarily women groups such as self help groups (SHGs) of women, mahila mandals etc; groups other than that of women would be chosen only in rare cases and with very good reason to support it.

The responsibilities of the NGO partner would include:

- Undertaking community consultations with a focus on women groups using participatory methodologies in some sample communities with known hazards and related disaster risks.
- Making a short list of at-risk-communities as potential CDRF recipients.
- Helping short-listed communities come up with innovative ideas for resilience building and disaster risk reduction (DRR).
- Preparing the short-listed communities for presenting their ideas for selection during the knowledge fare organized for the purpose.
- Accompanying the invited women/community groups to the knowledge fare.
- Facilitating the participation of women/community group representatives in knowledge fare.
- Helping selected NGOs plan and implement CDRF as per agreed time line by providing required training and technical assistance.
- Ensure participatory monitoring of planned CDRF activities and their results on a regular basis.
- Help document the process, write field notes and case studies and make it available to NAADRR, SSP and Knowledge Links for wider dissemination
- Helping the women/community governments engage with local authorities/governments for mainstreaming DRR into development programs and projects at the local level.

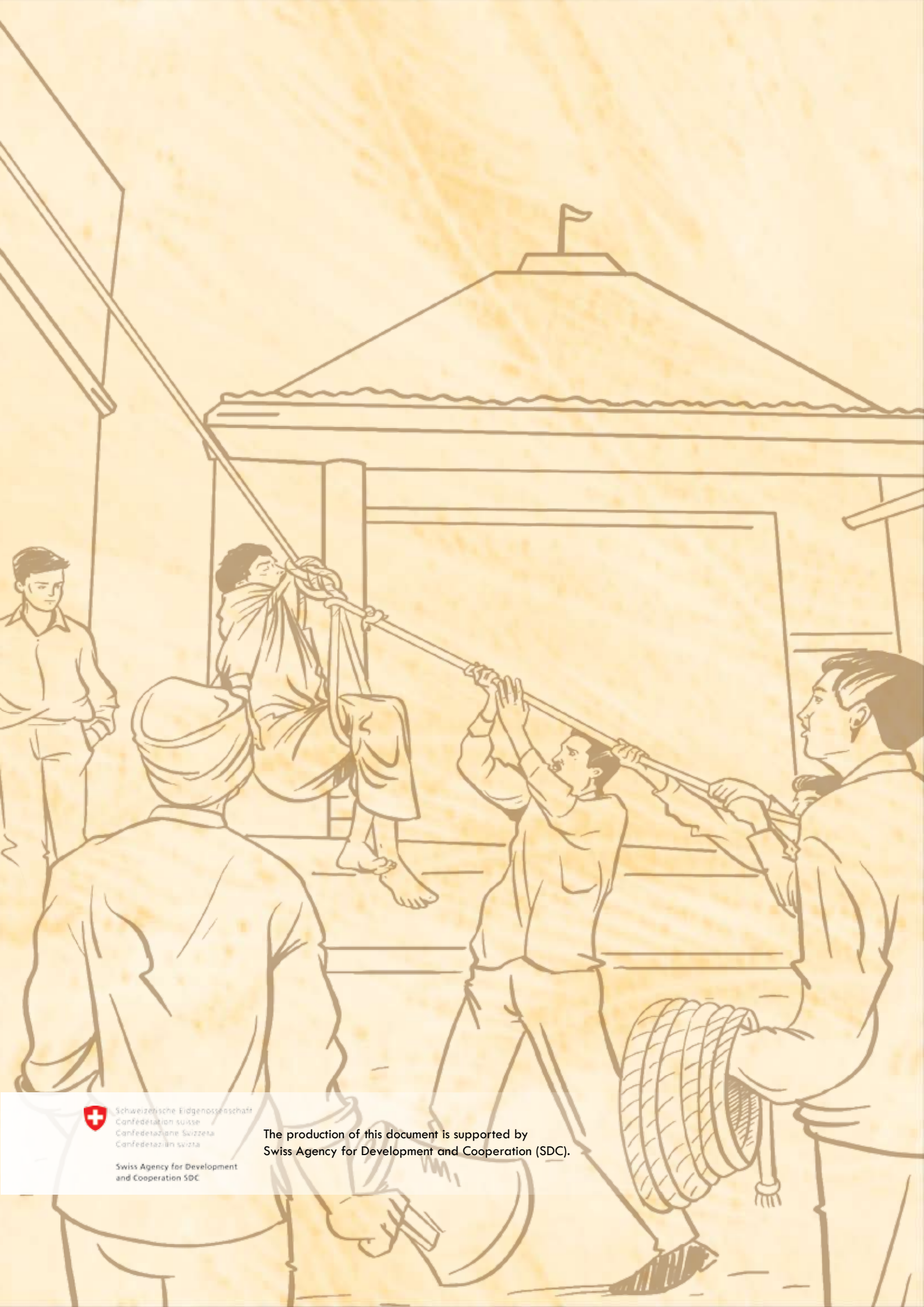
SSP and Knowledge Links on behalf of NAADRR would provide all the required information to the NGO partner upfront, as also in response to expressed demand anytime during the implementation process. There would be an assigned NAADRR representative for the NGO partner, who would be in regular touch with them and assess and respond to their demand for information and guidance.

NAADRR representatives would make periodic visits to the partner organization, their sub-project field area, and the partner communities. SSP would ensure the timely disbursement of funds as per the performance based payment schedule shared with NGO and community partners in advance. Knowledge Links would provide all required help with training, capacity development, generation of learning and knowledge management.

Both the parties express their commitment to work in a spirit of mutual trust, respect, cooperation to implement CDRF sub-project/s as an initiative aimed at ensuring disaster risk reduction through women empowerment and community resilience building on one hand and learning and knowledge sharing on the other

Prema Gopalan
Executive Director
Swayam Shikshan Prayog
NAADRR

Name
Chief Executive
NGO Partner



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