International Federation of Red Cross and Red Crescent Societies

Community Based Disaster Risk Reduction Study - Latin America and the Caribbean

Key determinants of a successful CBDRR programme in the LAC region

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International Federation of Red Cross and Red Crescent Societies

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Contents

Appendices

Appendix A

Terms of reference for the LAC CBDRR study

Appendix B

Example semi-structured key informant interview template

International Federation of Red Cross and Red Crescent Societies

Community Based Disaster Risk Reduction Study - Latin America and the Caribbean
Key determinants of a successful CBDRR programme in the LAC region

Appendix C
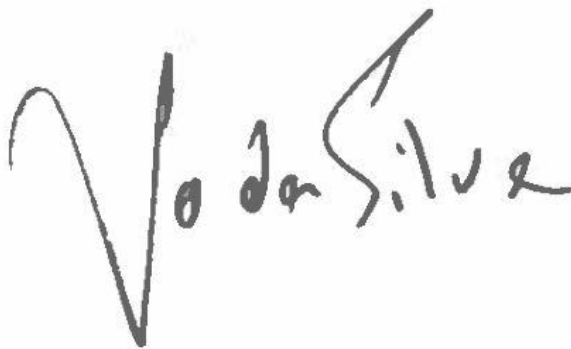
List of key informants interviewed

Acknowledgements

On behalf of the study team I would like to thank the IFRC for giving Arup International Development the opportunity to undertake this study in Latin America and the Caribbean, and to build upon the work completed during the first phase of the CBDRR study in South/Southeast Asia. Our special thanks go to Mohammed Mukhier (IFRC CPRR), Nathan Cooper (IFRC CPRR), Chris Staines (IFRC CPRR) and Nelson Castaño (IFRC) for their technical and procedural support throughout.

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We would finally like to thank all those who participated in the review workshop in Geneva, in March 2013, whose comments and feedback have been helpful in finalising this report.

Jo da Silva,

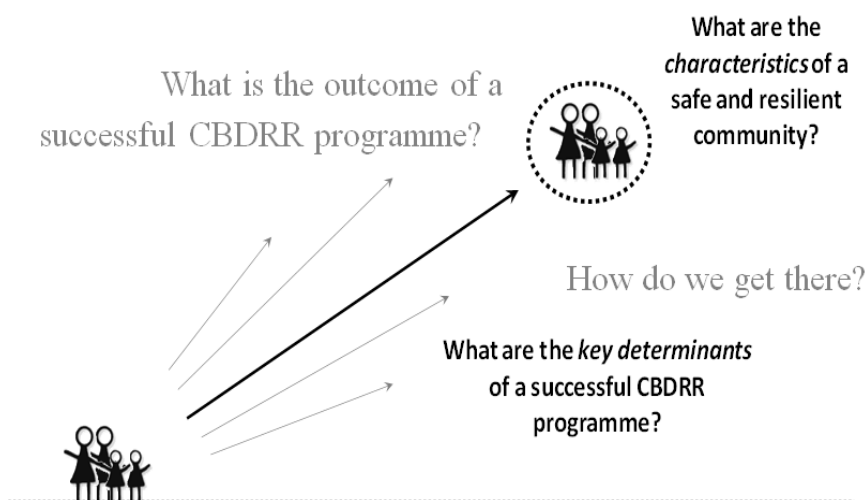Director, Arup International Development

On behalf of Arup International Development's study team:

Jo da Silva, Braulio Morera, Flora Tonking, Caroline Cage, Imran Bhaloo, John Twigg, Elizabeth Parker, Victoria Maynard.

Executive summary

In a world witnessing unprecedented shocks and stresses, strengthening community resilience is recognised as an essential component of sustainable development. Having undertaken numerous community-based disaster risk reduction (CBDRR) programmes designed to strengthen community resilience, the Red Cross Red Crescent movement (RCRC) recognises that further evidence is needed in order to define resilience at a community level. This evidence will help demonstrate the desired outcome of a CBDRR programme – a safe and resilient community – and will also help to identify the factors that contribute to successful CBDRR programmes (see Figure 1 below).

Figure 1: Outcomes and pathways of CBDRR programmes

Following on from Arup International Development's (ArupID) study of RCRC CBDRR programmes implemented across South/Southeast Asia, as part of the IFRC's Tsunami Operation (TO) following the 2004 Indian Ocean tsunami, the IFRC commissioned ArupID to replicate the CBDRR study in a second region – Latin America and the Caribbean. The purpose of this study was:

- To identify the *characteristics of a safe and resilient community* as well as the *key determinants of a successful CBDRR programme*, based on analysis of programmes run in three countries in the region; and

- To determine to what extent the findings of the TO study could be considered globally applicable, and hence useful for scaling-up programming efforts.

This report details the findings of the research undertaken in 2012 in Latin America and the Caribbean, examining the **key determinants of a successful CBDRR programme**.

The findings of the report are based on a methodology which combines desk-based research (in the form of a meta-analysis of RCRC programme documentation) and fieldwork (key informant interviews, focus group discussions and community workshops). These data collection methods allowed the analysis of multiple CBDRR programmes run in three countries in the LAC region: Colombia, Guatemala and Saint Lucia. (These particular countries were selected by the IFRC to represent the variation in national society characteristics and also their operational contexts.)

The meta-analysis of 16 Red Cross Red Crescent (RCRC) programme evaluations and final reports revealed a number of lessons learned or recommendations in relation to the design and implementation of community-based disaster risk reduction (CBDRR) programmes in the Latin America and the Caribbean (LAC) region. A total of 24 key lessons learned and recommendations made within these reports were collated, analysed and grouped under five key themes relating to different aspects of the design and implementation of CBDRR programmes that emerged from the process.

During fieldwork trips to the three study countries, further information around key determinants of successful CBDRR programmes was gathered from a series of key informant interviews and focus group discussions – with RC staff and volunteers, government actors, and community leaders and members – and also an exercise within community workshops. The key determinants identified by interviewees and workshop participants were also grouped and analysed before a shortlist of 19 key determinants was developed from this primary research.

Comparing and integrating the primary and secondary research findings, 9 final key determinants were developed, grouped under three key factor areas:

- Stakeholders: the motivation/capacity of, and relationships between, the community and its leaders, RCRC movement partners, other NGOs, government actors and the media.

- Programme design: programming approaches which increase the likelihood of its success and sustainability.

- Programme implementation: programme activities and processes which increase the likelihood of its success and sustainability.

The key processes and interventions which contributed to these key determinants, and thus ultimately the success and sustainability of CBDRR programmes, were discussed in relation to three phases of programme management: before the programme; during the programme and after the programme. A collection of case studies is also used to illustrate each key determinant.

A comparison of the TO and LAC studies indicate that the key determinants of a successful CBDRR programme are very similar in both South/Southeast Asia and Latin America and the Caribbean. One notable difference however is that within the LAC study findings stronger emphasis was placed on the quality of relationships between the community and the RC (and other external actors), as distinct from stakeholders' motivation and capacity. Within the LAC study there was less emphasis placed on the importance of sufficient funding and time allowed to implement a CBDRR programme in the region. A new key determinant was also added – management of uncertainty – which reflects a need

to consider the unexpected and to factor contingency planning into the programme.

In response to the study's original research questions, this report's conclusion offers a final set of answers which explore the key activities and processes necessary to achieve successful CBDRR programming, and the capacity needed within the RCRC movement itself to deliver these programmes. The findings of this study stress the critical importance of fostering community ownership to achieve success and sustainability of these programmes; and it also suggests ways in which to achieve this. Cognizant of the desire to deliver these programmes successfully at scale, the report also finally presents several recommendations for future design and implementation of successful CBDRR programmes.

Recommendations for next steps

- Develop partnerships with external actors (including other NGOs, government officers, the media), to encourage their participation in CBDRR programmes.

- Establish and maintain a positive relationship between the Red Cross and target communities, particularly following the official end of the programme to consolidate gains made and ensure sustainability.

- Where sufficient capacity exists (i.e. RC staff with the relevant skills), design CBDRR programme which integrate DRR activities with additional complementary activities from other sectors; such as health, water and sanitation and livelihoods.

- Use the key determinants of a successful CBDRR programme as a framework to consider CBDRR programme design and implementation, at early programme inception stages.

- To operationalise learning from the research into key determinants of a successful CBDRR programme, we also propose the development of a guideline tool for CBDRR programming. Such a tool could provide general guidance for RCRC-wide CBDRR programmes, suggesting best practice and critical steps for programme design and implementation. It would also incorporate lessons learned on commonly-encountered challenges and propose measures for overcoming them.

Acronyms

(CB)DRR	(community-based) disaster risk reduction
CBO	community-based organisation
CDRT	community disaster response team
COCODE	*consejo comunitario de desarrollo*
COLRED	*coordinador local para reducción de desastres*
(DIP)ECHO	(Disaster Preparedness) European Community Humanitarian Office
EWS	early warning system
IFRC	International Federation of Red Cross and Red Crescent Societies
KAP	knowledge, attitudes and practices
KII	key informant interview
LAC	Latin America and the Caribbean
M&E	monitoring and evaluation
NGO	non-governmental organisation
RC	Red Cross
RCRC	Red Cross Red Crescent
SLRC	Saint Lucia Red Cross
TO	Tsunami Operation
VCA	vulnerability and capacity assessment

CBDRR programme names

BBR	Better Be Ready
CCD	Climate Change and Disasters
CCDRR	Climate Change-Induced Disaster Risk Reduction
CVRR	Catastrophic Volcanic Risk Reduction
DRCB	Disaster Response Capacity Building
ECCF	Enhancing the Capacities to Cope with the Threat of Floods in the Most Vulnerable Communities of Champerico and Retalhuleu
RTR	Readiness to Respond
RVCCG	Reducing Vulnerability to Climate Change in Guatemala (Phase 2)
SCRD	Strengthening Community Resilience to Disasters
SE	*Salud en Emergencias*
SLC	Saving Lives in the Caribbean
SRRERC	Strengthening Risk Reduction and Emergency Response Capacity

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region
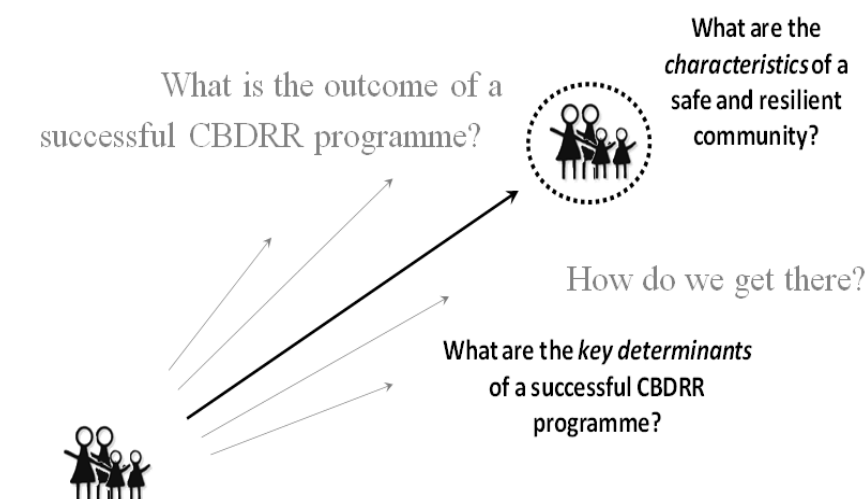
1   Introduction

In a world witnessing unprecedented shocks and stresses, strengthening community resilience is recognised as an essential component of sustainable development. The International Federation of Red Cross and Red Crescent Societies (IFRC) thus regards building community resilience as central to enabling healthy and safe living (see Box 1).

Box 1: Strategic Aim 2 – Enable healthy and safe living[1]

"Our specific contribution to sustainable development is through strengthening community resilience. This is the ability to adapt and cope with recurrent or prolonged disasters and crises, as well as with wider socio-economic changes, which enables people to protect and build on the development gains that have already been made."

Having undertaken numerous community-based disaster risk reduction (CBDRR) programmes designed to strengthen community resilience, the Red Cross Red Crescent movement (RCRC) recognises that further evidence is needed in order to define resilience at a community level. This evidence will help demonstrate the desired outcome of a CBDRR programme – a safe and resilient community – and will also help to identify the factors that contribute to successful CBDRR programmes.

Figure 2: Outcomes and pathways of CBDRR programmes

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[1] IFRC (2010) *Strategy 2020: Saving Lives, Changing Minds*. IFRC: Geneva. p. 15

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region

In November 2010, the IFRC appointed Arup International Development (Arup ID) to undertake a study of RCRC CBDRR programmes implemented across South/Southeast Asia, as part of the organisation's Tsunami Operation (TO) following the 2004 Indian Ocean tsunami. The purpose of this TO study was to identify the *characteristics of a safe and resilient community* as well as the *key determinants of a successful CBDRR programme,* based on analysis of programmes run in four countries in the region.[2]

The findings from this regional study generated considerable interest within the RCRC. However, a key question which has been raised in response to the study is to what extent its findings have global relevance. To determine an answer to this question, the IFRC commissioned Arup ID to undertake a second study of CBDRR programmes run in three countries in Latin America and the Caribbean (LAC). Historically, Latin America and the Caribbean is one of the most disaster-prone regions in the world, affected by tropical storms and hurricanes, floods, volcanoes, earthquakes, and drought. Many countries in the region have also witnessed prolonged civil conflicts and social unrest. Over the past decade, the region has also seen some of the largest emergency and recovery efforts launched by the IFRC.

The findings of this second study – identifying again the *characteristics of a safe and resilient community* and the *key determinants of a successful CBDRR programme* – would then be used to ascertain to what extent the factors that determine community resilience vary from region to region. This report details the findings of the research undertaken in 2012 in Latin America and the Caribbean, examining the *key determinants of a successful CBDRR programme*.

It should be noted that there is also potential for a third phase of work to be carried out in the Dry Regions of Africa. Findings from three regional studies would generate an improved understanding of community resilience globally, and inform the development of tools and processes that enable national societies to scale-up successful CBDRR approaches (See Figure 2 below).

1.1   Scope

This report, prepared by Arup ID on behalf of the IFRC, provides a summary of research undertaken to understand the *key determinants of a successful CBDRR programme* in the LAC zone. For the purpose of this report, key determinants have been defined as **critical factors which influence the immediate and long-term impact of a CBDRR programme**.

The findings of this LAC study are based on a combination of desk-based research, fieldwork and analysis of CBDRR programmes run in three countries: Colombia, Guatemala and Saint Lucia. These particular countries were selected by the IFRC to represent the variation in national society characteristics and also their operational contexts. The LAC study also includes research to determine the

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[2] IFRC / Arup (2012a) *Characteristics of a safe and resilient community.* IFRC: Geneva.
 IFRC / Arup (2012b) *Key determinants of a successful CBDRR programme*. IFRC: Geneva.

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region

characteristics of a safe a resilient community in the LAC zone, the findings of
which are summarised in a separate report which should be read in conjunction
with this one.[3]

Figure 2: Intended outputs of the CBDRR study
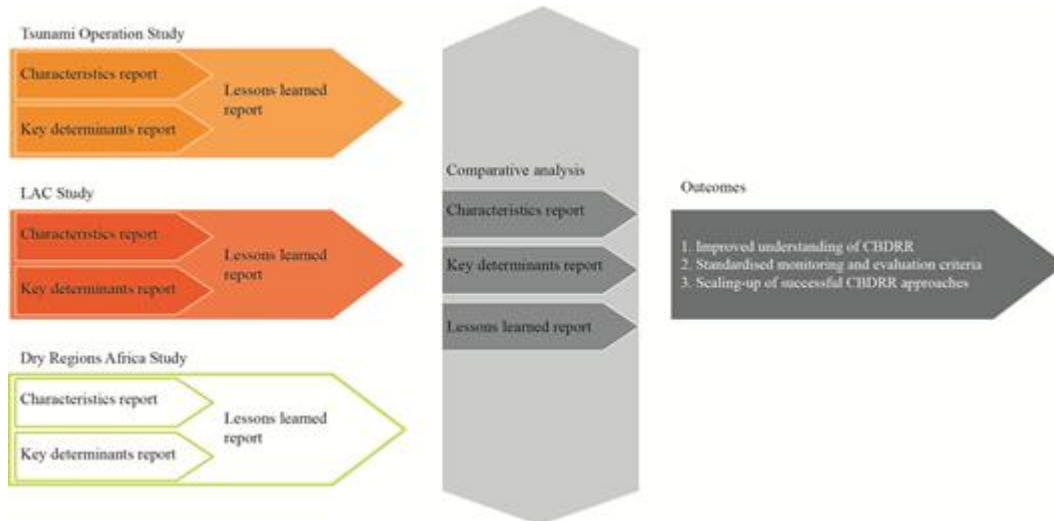
1.2   Structure of the report

The rest of the report is structured as follows:

- Chapter 2: A detailed description of the **methodology** used for the research;

- Chapter 3: Key **findings** from the desk-based meta-analysis of lessons learned
  (review of programme documentation);

- Chapter 4: Key **findings** from fieldwork carried out in 23 communities in
  three LAC countries;

- Chapter 5: A summary of the **analysis** resulting in nine *key determinants of a
  successful CBDRR programme* in the LAC zone;

- Chapter 6: Preliminary identification of **regional trends and differences**
  between the TO study in South/Southeast Asia and the LAC study;

- Chapter 7: **Conclusions and recommendations** for how these key
  determinants could be used by the Red Cross Red Crescent (RCRC
 movement).

Further detailed information is provided in the attached appendices.

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[3] Arup (2013) *Community-based disaster risk reduction study - Latin America and the Caribbean:
Characteristics of a Safe and Resilient Community in the LAC region*. Draft 21st March 2013.

2   Methodology

This study employs the same methodology developed for the TO study, in order to independently identify *key determinants of a successful CBDRR programme* that are contextually-specific for the LAC region, rather than test the findings from the previous study. Preliminary differences and similarities with the findings of the TO study are discussed in Chapter 6. A more detailed comparative analysis could be carried out in the future should a third phase of work be completed in the Africa region.

Figure 3: Overview of methodology for LAC study
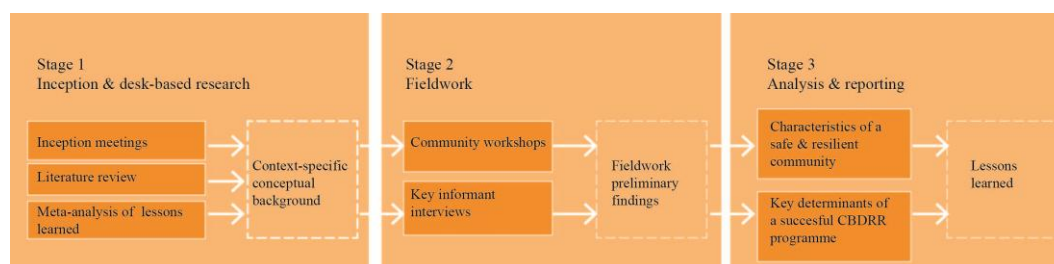
2.1   Overview

The LAC study was carried out in three stages (see Figure 3 above):

Stage 1: Inception and desk-based research

Inception meetings were held in Geneva with the Reference Group comprising representatives from the IFRC and partner national societies; also in Panama with the Implementation Group comprising representatives from the IFRC Zone office and national societies participating in the study. These meetings were used to finalise the scope of the study; to identify input documentation and determine the communities where fieldwork would take place.

Desk-based research was completed in order to understand how resilience is conceptualised and put into practice in the LAC region and identify a preliminary list of key determinants. This comprised a literature review on LAC-specific disaster risk reduction (DRR) material; secondly, a meta-analysis of programme documentation (primarily programme reports and evaluations) relating to CBDRR programmes implemented in the LAC region.

Stage 2: Fieldwork

Fieldwork was undertaken in 23 communities across Colombia, Guatemala and Saint Lucia. These communities were purposively selected to be representative of the diversity across the LAC region, in terms of context, community and content of CBDRR programme. The inception meetings, a review of RCRC CBDRR programme documentation in the LAC region, and findings from the literature

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region

review were used to inform a stratified sampling strategy and to review and update the methodology for the LAC study.[4]

Stage 3: Analysis and reporting

An inductive approach to data analysis was adopted across the study, thus themes were allowed to emerge independently from the fieldwork data (key informant interviews and community workshops), and then cross-referenced with those identified in the meta-analysis to develop a set of *key determinants of a successful CBDRR programme* in the LAC region. These were then compared with the TO study fieldwork findings. See Chapter 5 for further details of the process by which emergent themes were coded to inform preliminary lists of key determinants before the final 9 key determinants were proposed. The analysis and reporting also sought to answer specific research questions (see Box 2).

Box 2: Research questions[5]

a) What are key drivers of impact and sustainability of CBDRR interventions in the communities and conversely, what are less effective interventions and why?

b) What contributory role does VCA play in successful and sustainable CBDRR interventions?

c) Under what circumstances does VCA contribute to a successful and sustainable CBDRR and under what circumstances is it less effective?

d) Linked to both VCA and CBDRR interventions, to what degree does community ownership play a role in impact and sustainability and how can ownership be fostered and measured/monitored?

e) What minimum capacities are needed by NS's at different levels (HQ and branch) to successfully manage and implement CBDRR?

f) What are the necessary processes and components for effective RC-movement coordination to ensure demand-driven CBDRR approaches and sustainability?

g) How have CBDRR programmes engaged with vulnerable groups within communities? (Examples of such vulnerable groups might include women, the elderly, indigenous peoples etc.)

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[4] See Appendix B for more details of the research methods used and the community sampling strategy.

[5] IFRC (2012) *Terms of Reference: A Study of IFRC Disaster Risk Reduction on Latin America and the Caribbean*. IFRC: Geneva. p. 4

2.2   Data collection

The findings on the research into the *key determinants of a successful CBDRR programme* are drawn from both primary and secondary data, gathered from three principal input sources:

1. Meta-analysis of lessons learned from RCRC CBDRR programmes run across the LAC zone

2. Key informant interviews conducted during the fieldwork

3. Community workshops conducted during the fieldwork

Meta-analysis of lessons learned

The meta-analysis of programme documentation comprised a review of 16 RCRC programme evaluations/final reports, covering 14 different CBDRR programmes run by 7 national societies in Colombia, Guatemala, and Saint Lucia. All lessons learned and recommendations made within these reports were collated, analysed and grouped under five key themes relating to different aspects of the design and implementation of CBDRR programmes that emerged from the process. A short-list of key determinants was then compiled from this secondary data source. A summary of the documentation (Table 1) and the findings of this meta-analysis can be found in Chapter 3.

Key informant interviews

During the fieldwork visits to all three countries, a total of 39 key informant interviews (KIIs) were conducted: 17 in Colombia, 15 in Guatemala and 7 in Saint Lucia. Some of these interviews took the form of one-on-one conversations, whilst others involved multiple participants and were conducted as focus group discussions.

Key informant interviews were conducted with:

- Host national society staff, volunteers from HQ, branch and community levels;
- Partner national society staff;
- National and local government officers;
- Community representatives, leaders and members (including members of community-based networks and organisations).

In advance of the fieldwork, interview templates were developed to guide the semi-structured interview process. Some questions were designed to elicit specific information on the key determinants of a successful CBDRR programme. For example, what factors within the community make CBDRR programmes more or less successful?   However, key determinants were also identified from responses to less specific questions; such as, how do you identify, design and implement activities in CBDRR programmes?

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region

Interviews were conducted in either English or Spanish. Where necessary, interviews in Spanish were later transcribed into English, using the original notes in Spanish taken during the interviews and audio-recordings which were also made of the interviews. The notes from all 39 interviews were then analysed to identify key themes which influenced the impact and sustainability of CBDRR programmes.

(An example interview template can be found in Appendix B and the names of all key informants interviewed can be found in Appendix C.)

Community workshops

Community workshops were run in 23 communities across the three study countries: 10 in Colombia, 9 in Guatemala, and 4 in Saint Lucia. Each workshop included four different exercises which were designed to: develop an understanding of each community; the risks they face; and what factors, relationships or activities help the community to cope with these risks. The final exercise in each of these workshops provided primary data used to derive the key determinants. The community members reflected on what they had learned from being involved in the CBDRR programme run by the RCRC in their community, and were encouraged to suggest ways in which the RCRC could achieve greater impact, and improve the sustainability of programmes in the future.

The fieldwork methodology is described in more detail in Appendix B of the research report on the *characteristics of a safe and resilient community*.[6]

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[6] Arup (2013) *Community-based disaster risk reduction study - Latin America and the Caribbean: Characteristics of a Safe and Resilient Community in the LAC region*. Draft 21st March 2013

3   Findings: Meta-analysis of lessons learned

The meta-analysis of 16 Red Cross Red Crescent (RCRC) programme evaluations and final reports reveals a number of lessons learned or recommendations in relation to the design and implementation of community-based disaster risk reduction (CBDRR) programmes in the Latin America and the Caribbean (LAC) region. These documents evaluated 14 programmes implemented in Colombia, Guatemala and Saint Lucia, by seven national societies (see Table 1). These documents are hereafter referred to in this report by their document code, as indicated in Table 1.

The lessons extracted from these documents were analysed and grouped in relation to five themes which emerged inductively during this review of programme documentation:

- **Community**: Suggestions on ways in which to increase community participation in CBDRR programmes

- **Red Cross Red Crescent**: Recommendations relating to the need for improvements in technical capacity and intra-organisational relationships within the RCRC

- **External actors**: Lessons learned regarding the establishment and maintenance of relationships with external institutions, towards the enhancement of CBDRR programmes.

- **Programme design and management**: Possible improvements on programme design, planning, activities, monitoring and evaluation.

- **Sustainability**: Recommendations on ways in which to maximise the long-term impact of CBDRR programmes after RCRC withdrawal.

These themes relate to the common issues that were observed during programme implementation and evaluation. The resulting lessons learned suggest ways in which future CBDRR programmes could be improved.

International Federation of Red Cross and Red Crescent Societies

Community Based Disaster Risk Reduction Study - Latin America and the Caribbean
Key determinants of a successful CBDRR programme in the LAC region

Table 1: List of programmes and documents reviewed

	Programme	Location	RCRC partners involved	Document Type	Doc Code
Colombia	Catastrophic Risk Reduction in Communities Exposed to Volcano Galeras *Mar 2006 to Jun 2007*	Pasto, Nariño, La Florida	French RC, Colombian RC	DIPECHO Project Application Updated with Final Details	C1a
	Catastrophic Risk Reduction in Communities Exposed to Volcano Galeras *Mar 2006 to Jun 2007*	Pasto, Nariño, La Florida	French RC, Colombian RC	Final Project Report	C1b
	[Unknown] *Sep 2007 to Dec 2008*	Cauca, Huila	French RC, Colombian RC	DIPECHO Project Application Updated with Intermediate and Final Report Details	C2
	Disaster Response Capacity Building of Communities and Institutions Vulnerable to Volcanic Risks *Jun 2009 to Sep 2010*	Cauca, Huila	French RC, Colombian RC	Final Project Report	C3
	Strengthening the Risk Reduction and Emergency Response Capacity of the Communities, the Educational Sector and the Bogota System for Prevention and Response (SDPAE) *Sep 2007 to Dec 2008*	Bogota	Netherlands RC, Colombian RC	Final Report / Intermediate Report / Proposal for DIPECHO V Project	C4
	Climate Change and Disasters *Jul 2006 to Dec 2007*	La Guajira	Netherlands RC, Colombian RC	Final Report	C5
	Climate Change-Induced Disaster Risk Reduction *Sep 2008 to Apr 2011*	La Guajira, Magdalena	Netherlands RC, Colombian RC	Final Narrative Report	C6
Guatemala	Risk Reduction for Vulnerable Communities in Santo Domingo *Feb 2007 to Apr 2008*	Suchitepéquez	Netherlands RC, Guatemalan RC	Grant Agreement for DIPECHO V Funding	G1
	Enhancing the Capacities to Cope with the Threat of Floods in the Most Vulnerable Communities of Champerico and Retalhuleu *Oct 2008 to Jan 2010*	Retalhuleu	Netherlands RC, Guatemalan RC	Final Report	G2
	Strengthening Community Resilience Regarding the Effects of Disasters in Parcelamiento La Maquina *Sep 2010 to Dec 2011*	Suchitepéquez, Retalhuleu	Netherlands RC, Guatemalan RC	Final Report	G3

International Federation of Red Cross and Red Crescent Societies

Community Based Disaster Risk Reduction Study - Latin America and the Caribbean
Key determinants of a successful CBDRR programme in the LAC region

	Reducing Vulnerability of Communities to the Effects of Climate Change in Guatemala (Phase 2) *Apr 2008 to Sep 2009*	Chiquimula	Netherlands RC, Guatemalan RC	Final Narrative Report	G4
	Salud en Emergencias *Feb 2011 to Dec 2011*	Coatepeque, Retalhuleu, El Palmar, El Estor, Santo Tomas de Castilla	Norwegian RC, Guatemalan RC	Final Narrative Report	G5
Saint Lucia	Better Be Ready *Jul 2003 to Aug 2004*	Nationwide	IFRC, Saint Lucia RC	Final Evaluation Report on Natural Disaster Risk Management	SL1
	Readiness to Respond (Phase 1) *2008 to Aug 2009*	Nationwide	IFRC, American RC, Saint Lucia RC	Evaluation	SL2a
	Readiness to Respond (Phase 2) *Oct 2009 to Oct 2011*	Nationwide	American RC, Saint Lucia RC	American Red Cross Final Evaluation (Draft)	SL2b
	Saving Lives in the Caribbean Through Preparedness *Sep 2011 to Present*	Nationwide	American RC, Saint Lucia RC	Agreement between USAID and American Red Cross for funding (including Project Proposal)	SL3

3.1 Community

The level of community participation has a direct effect on the success and impact of a CBDRR programme. Greater community participation means that more individuals and households become aware of risk reduction methods and are therefore more resilient when confronted with disaster situations. Thirteen of the 16 programme evaluations observed that participation by community members in programme activities encouraged others in the community to become involved as well.[7] Additionally, the Strengthening Risk Reduction and Emergency Response Capacity (SRRERC)[8] and Catastrophic Volcanic Risk Reduction (CVRR)[9] programmes in Colombia noted that strong internal community relationships increased overall participation (French RC, 2007; Netherlands RC, 2009). In highly networked communities, the involvement of community leaders, teachers and parents (as activity participants or facilitators) set an example for other community members, including children, and encouraged them to take part in programme activities (French RC, 2007; French RC, 2009). In other communities, strong social and family relationships between community members furthered the dissemination and distribution of CBDRR knowledge. In the CVRR programme in Colombia for example, students of Francisco de la Villota College came to workshops with their family members and encouraged them to participate in the programme (French RC, 2007). Similarly, participants in another volcanic risk reduction programme run by the French RC in Huila and Cauca, Colombia, shared disaster plans with their neighbours to further disseminate lessons learned (French RC, 2009).[10]

The level of community participation can be affected by whether a community is in an urban or rural area. For example the final report on the SRRERC programme states that "community interactions are more participatory and collective" in rural communities and that "there are stronger connections to the land, which facilitates greater awareness of risks" (Netherlands RC, 2009:50). This evaluation from Colombia indicates that internal relationships are more cohesive in rural areas, which makes it easier to implement CBDRR programmes in rural rather than urban areas. Urban and peri-urban programmes are considered more challenging to implement due to the presence of multiple institutions and organisations, already working with vulnerable people in cities. Urban programmes "must be very attention getting and assertive in [the] identification of the needs and vulnerabilities it will address" (ibid.).

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[7] These include documents C1a, C1b, C2, C3, C4, C6, G1, G3, G4, G5, SL1, SL2a and SL 3. Please see Table 1 for full details of these documents and the programmes evaluated.

[8] The full name of this programme is Strengthening the Risk Reduction and Emergency Response Capacity of the Communities, the Educational Sector and the Bogota System for Prevention and Response (SDPAE) and it was implemented in Bogota, Colombia, by the Colombian RC between September 2007 and December 2008.

[9] The full name of this programme is Catastrophic Risk Reduction in Communities Exposed to Volcano Galeras in Colombia and it was implemented in the departments of Pasto, Nariño, and La Florida, Colombia, by the French RC between March 2006 and June 2007.

[10] The name of this programme is not stated on the evaluation. It was a DIPECHO-funded project implemented between September 2007 and December 2008.

"City life, by comparison [to rural life], has more solitary and individual social relations. There are stronger tendencies to make decisions based on survival and the need for economic resources and each person must make these decisions for themselves. Life in the city is much faster paced and relations are concentrated in time rather than space and the generally accepted common sense in the city is that time is money" (Netherlands RC, 2009:50).

Community perceptions of the Red Cross (RC) can also have an impact on community participation and ownership of CBDRR programmes. A positive impression of the RC can lead to greater acceptance of the knowledge disseminated in community workshops, while suspicion and distrust can lead to resistance. Some community members in Genoy Centro in Pasto, Colombia, and Jardin, Martillo and Venecia in Suchitepéquez, Guatemala, for example, were reluctant to trust the intentions of national societies and this limited overall participation in the initial phases of these programmes (French RC, 2007; Netherlands RC, 2008). Community leaders in Genoy Centro – a location for the CVRR programme – asserted that the RC was attempting to permanently evacuate the area, rather than temporarily relocate residents, and that programme interventions were an attempt to justify the theft of billions of public pesos on the part of the Colombian RC after a recent volcanic crisis. These leaders and several community members refused to complete an assessment survey and ostracised those who did, branding them as 'traitors', creating a reluctance to participate among community members (French RC, 2007). A report on the Risk Reduction for Vulnerable Communities in Santo Domingo (RRVCS)[11] programme in Guatemala, suggested that such issues must be pre-empted and addressed at an early stage of a CBDRR programme, through improved communication and the strengthening of bonds between the community and the project team (Netherlands RC, 2008). Initial meetings with community leaders and residents are seen to have had a positive impact on the reception of national societies (ibid.).

Community ownership can be supported by forming community emergency or disaster response teams.[12] These community disaster response teams (CDRTs) create capacity within the communities to respond to natural disasters themselves (Storey, 2004; Franco, 2007). However, the final report on the CVRR programme in Colombia, mentioned that there was a lack of clarity around the function of these teams and that they lacked established mechanisms coordinating activities (Franco, 2007). An evaluation of the Better Be Ready (BBR) programme in Saint Lucia noted that these teams were particularly successful when they were "established in each community with organised leadership and motivation" (Storey, 2004:5). These findings suggest that the mandate of CDRTs

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[11] The full name of this programme is Risk Reduction for Vulnerable Communities in the Municipality of Santo Domingo, Suchitepéquez Department, Guatemala and it was implemented by the Guatemalan RC between February 2007 and April 2008.
[12] Community emergency teams are also known as local emergency committees, emergency response teams, rural emergency teams and community disaster response teams. For consistency, all such teams will be referred to as 'community disaster response teams' in this report.

must be clarified and specified for their role in enhancing community ownership to be fully realised.

Cultural factors can reduce community participation. Six reports indicated a need to shift community attitudes towards a more proactive approach in disaster risk reduction (DRR).[13] The 2009 evaluation of the Readiness to Respond (RTR) programme in Saint Lucia, noted that the lack of a "well developed volunteer culture" was led to limited participation and appreciation of the programme (Gelfand, 2009:11). Strong Catholicism in Colombia meant that several communities targeted in the CVRR programme viewed volcano eruptions as an act of God rather than as an environmental process (Franco, 2007). The socialisation and dissemination of programme material should therefore refer to and take into account local, culturally accepted norms (Colombian RC and Netherlands RC, 2007). Changing behaviour and attitudes towards risk must be viewed as a long-term process however.

Variations in gender participation also seem to have had implications for the success of CBDRR programmes. Two evaluations from Colombia and one from Guatemala noted that women were more receptive than men to participating in CBDRR activities.[14] More women took part in workshops than men, which also resulted in the participation of children (Colombian RC and Netherlands RC, 2007; Netherlands RC, 2009; Anon., ca. 2009). In Bogota, Colombia, it was noted in the SRRERC programme that "during simulations, there was a high level of participation of women and young people" (Netherlands RC, 2009:22). The same report also mentioned that women exercised clear leadership within the household and were more invested in safeguarding their families (ibid.). Similarly, in Chiquimula, Guatemala, during the Reducing Vulnerability to Climate Change in Guatemala (Phase 2) (RVCCG)[15] programme, women showed the greatest interest in reforestation initiatives and were also more available to participate in programme activities during working hours, as men tended to be the main income-earners within the household (Anon., ca. 2009).

The Saving Lives in the Caribbean (SLC)[16] programme implemented in Saint Lucia, identified overrepresentation of men in some communities and women in others (USAID, 2011). Equal gender participation was seen to be important for the success of CBDRR programmes, because it can lead to greater overall participation, and subsequently to improved disaster preparedness for more members of the community. An initial knowledge, attitudes and practices (KAP) assessment completed in La Guajira, Colombia, prior to the Climate Change and Disasters (CCD) programme, found that only 21% of women felt confident they could handle a disaster situation, compared to 40% of men (Colombian RC and Netherlands RC, 2007). As such, equal gender participation is necessary to ensure that all community members feel sufficiently equipped to handle disaster

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[13] These include documents C1b, C2, C4, C5, G1 and SL2a.

[14] These are documents C4, C5 and G4.

[15] The full name of this programme is Reducing Vulnerability of Communities to the Effects of Climate Change in Guatemala, Phase 2 and it was implemented in Chiquimula, Guatemala, by the Guatemalan and Netherlands RC between April 2008 and September 2009.

[16] The full name of this programme is Saving Lives in the Caribbean Through Preparedness and it is currently being implemented by American Red Cross in the Bahamas, Belize and Saint Lucia, with the corresponding HNSs.

situations. Moreover, training on an equal gender basis can also improve empowerment and community ownership of programmes through the involvement of entire family units and households (Netherlands RC, 2009; Netherlands RC, 2010b).

3.2   Red Cross Red Crescent

Knowledge sharing between RCRC partners can lead to improvements in communication and joint conceptions of training within CBDRR programmes. Such improvements were noted in three reports from Colombia, as contributing to the technical preparation of RC branches and project teams (French RC, 2007; French RC, 2009; French RC, 2010). The exchange of best practice allowed project teams to foresee technical challenges and re-use tools that had previously been successful (French RC, 2010). In Colombia, during the Disaster Response Capacity Building (DRCB)[17] programme for example, the French RC's Nevado del Huila project team collaborated with the Spanish RC's Cerro Machin project team. Because the French RC team was in the second phase of project execution, they were able to pass on useful tools to the Spanish RC project team, whose project was still in its first phase. One of the tools shared was the French RC's programme beneficiaries' census database (French RC, 2010).

In Guatemala, coordination meetings between partner and host national societies and project teams sponsored by the Disaster Preparedness European Community Humanitarian Office (DIPECHO) led to the harmonisation of methodologies, materials and tools; in turn this led to a greater flow of information and communications between regional projects of both the RRVCS and Enhancing the Capacities to Cope with Floods (ECCF)[18] programmes (Netherlands RC, 2008; Netherlands RC, 2010a). The report on the Strengthening Community Resilience to Disasters (SCRD)[19] programme in Guatemala, argued that exchange activities enabled all local branches to be better prepared for disasters (Netherlands RC, 2010b). As knowledge was passed on from one project team or national society to another, it became localised and more easily accessible to adjacent communities, thus contributing to the long-term impact of CBDRR programmes and regional resilience (French RC, 2010). The DRCB report mentioned previously however noted that bi-monthly meetings between RCRC partners working on DIPECHO projects were not very effective due to the size of the country and variations in operating contexts, which minimised the frequency of and potential for dialogue (French RC, 2010).

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[17] The full name of this programme is Disaster Response Capacity Building of Communities and Institutions Vulnerable to Volcanic Risks and it was implemented by the French RC in Cauca and Huila, Colombia between June 2009 and September 2010.

[18] The full name of this programme is Enhancing the Capacities to Cope with the Threat of Floods in the Most Vulnerable Communities of Champerico and Retalhuleu and it was implemented by the Guatemalan RC between October 2008 and January 2010.

[19] The full name of this programme is Strengthening Community Resilience Regarding the Effects of Disasters in Parcelamiento, La Maquina, Suchitepéquez and Retalhuleu, Guatemala and it was implemented by the Guatemalan RC between September 2010 and December 2011.

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the Caribbean

Key determinants of a successful CBDRR programme in the LAC region

"Different activities were developed at community and institutional level, through methodologies of easy understanding, in which active participation of direct beneficiaries was observed, thus improving their understanding and knowledge on their principle risks and vulnerabilities. This allowed increasing of capacities, especially for decision-making in emergency situations." (Netherlands RC, 2010b:65)

Weak relationships between RCRC movement actors can limit the physical reach of CBDRR programmes. The evaluation of the BBR programme in Saint Lucia noted that "the relationship between the International Federation and the National Society was not as good as expected" (Storey, 2004:29) and that as a result the programme was merely informational (ibid.). Conversely, strong intra-RCRC relationships at national and international levels can augment the long-term impact of CBDRR programmes, while also ensuring high-level support as lessons learned become embedded at all levels (French RC, 2010; Guatemalan RC, 2011). A report on Guatemala's *Salud en Emergencias* (SE) programme stated that regular cross-organisational communication ensured buy-in from directors of national society branches (Guatemalan RC, 2011). During the Climate Change-Induced Disaster Risk Reduction Programme (CCDRR)[20] programme in Colombia, the maintenance of contact between national and local levels was seen to have increased the involvement of the RC on regional and political debates about climate change and led to "the exalted position of the Colombian RC and its role in raising awareness, providing information on the effects of potential for action with regard to climate change" (Netherlands RC, 2011:11).

Box 3: Inter-RCRC relationships were developed and maintained by…

- Coordination meetings between RC partners (donors, national societies and local branches) at regular stages of the programme (Netherlands RC, 2008; Netherlands RC, 2010a)

- Coordination meetings between RC societies working on projects sponsored by the same donor, to encourage transparency and information flow (Netherlands RC, 2010a)

- Maintenance of regular contact at all times between national level and local partners (French RC, 2010; Netherlands RC, 2011)

- Regular exchange exercises between stakeholders for knowledge sharing purposes (Netherlands RC, 2010b)

- Coordination on programmes and post-programme evaluations between national societies (Franco, 2007; French RC, 2010; Netherlands RC, 2011)

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[20] The full name of this programme is Climate Change-Induced Disaster Risk Reduction Programme in Colombia and it was implemented by the Colombian RC in La Guajira and Magdalena, Colombia between September 2009 and April 2011.

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region

**Branch capacity to implement CBDRR programmes is also a critical factor
in their short and long-term success.** Seven evaluations noted that the
strengthening of technical capacity led to better programme implementation.[21] It
also improved the management of community leaders and members (Storey,
2004; Colombian RC and Netherlands RC, 2007; Netherlands RC, 2008;
Netherlands RC, 2009; Netherlands RC, 2010b; Guatemalan RC, 2011;
Netherlands RC, 2011). This, in turn promoted the active participation of all
stakeholders (Netherlands RC, 2008). However, it was also noted that technical
capacity should supported by experience of working within the specific context of
operation if a programme is to be successful (Netherlands RC, 2009:50).

Box 4: Host national society capacity can be built by…

- Increasing human resources and therefore technical capacity and promotion of
  programmes (Netherlands RC, 2011); invest in training of staff (Storey, 2004)

- Implementing CBDRR training strategies and promote activities that collectivise
  institutional capacity (Netherlands RC, 2011)

- Involving all levels of the RC in capacity building (Guatemalan RC, 2011)

- Decentralising the national society, i.e. empowering branches to effect growth
  (Netherlands RC, 2011)

- Ensuring internal communications are coherent and planned, not sporadic
  (Netherlands RC, 2011)

- Establishing internal cooperation agreements (Netherlands RC, 2011)

- Encouraging active participation of all staff in creation of external communications
  (Netherlands RC, 2011)

- Allowing transfer of capacities between local institutions (Netherlands RC, 2011)

3.3   External actors

**Partnerships with local governments can ensure support and maximise the
national and local level impact of CBDRR programmes**. Programmes in
Colombia exhibited the highest level of engagement with government institutions.
The strong relations between the Colombian RC and public institutions resulted in
the inclusion of humanitarian considerations within the Colombian government's
information, education and communication strategy (Netherlands RC, 2011).
Regular meetings between community disaster response teams and mayoral
offices facilitated local level coordination (Netherlands RC, 2009), while a 2009
campaign in collaboration with the British Council, World Wildlife Fund and the
Ministry of Environment raised awareness of CBDRR programmes at a national
level in Colombia (Netherlands RC, 2011).

In Guatemala, a National Consultative Meeting improved coordination among all
programme stakeholders and encouraged knowledge sharing, while the provision

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[21] These include documents C4, C5, C6, G1, G3, G5 and SL1.

of technical and material assistance from RC national societies to municipal actors contributed to relationship-building and programme sustainability (Netherlands RC, 2008).

Partnerships with local governments can affect the long-term impact of a programme; ensuring outcomes are sustainable and knowledge and infrastructure established remains in place long after RC withdrawal. The 2009 evaluation of Saint Lucia's RTR programme observed that coordination with government and local stakeholders improved the legitimacy and sustainability of local initiatives (Gelfand, 2009). In Colombia district governmental institutions were seen as having the ability to legally enforce earthquake resistant building standards (Netherlands RC, 2009).

Box 5: Benefits of engaging with local government

- Participation in policy-making discussions (Netherlands RC, 2011)

- Access to large-scale communication platforms, such as radio networks (Netherlands RC, 2008)

- Increase in perceived legitimacy of programme and acceptance of its initiatives by the local population (Gelfand, 2009)

- Avoidance of overlap with other organisations in the area through regular discussion of ongoing DRR efforts (Netherlands RC, 2009)

- Standardisation and acceptance of building safety standards to coincide with DRR messages (Netherlands RC, 2009)

- Increase in long-term impact after RC withdrawal (Gelfand, 2009)

Partnerships between the RC and other NGOs also enhance capacity building, by allowing greater knowledge sharing. Collaborations between the Colombian RC and the European Community Humanitarian Office (ECHO) Quito team facilitated a gathering of national actors involved in the management of volcanic risk in Ecuador, which promoted good practice in local and regional risk management. In Guatemala, support for the RRVCS programme from the Mazatenango Volunteer Ecology Group created the opportunity to use a radio show for the discussion of project and outreach matters, which provided a large-scale platform for communications regarding disaster mitigation and management (Netherlands RC, 2008). NGO partnerships are particularly helpful in urban programmes, where multiple NGOs are working with vulnerable communities. The SRRERC report from Bogota, Colombia noted that RC coordination with ECHO partners working in the area reduced the overlap between their respective programmes (Netherlands RC, 2009). Collaboration also ensured that CBDRR programmes were able to respond appropriately to the needs of communities, while also establishing mutually beneficial relationships that will benefit all stakeholders in the long term.

Partnerships established with other non-state external actors such as journalists, other media actors and educational institutions have helped CBDRR programmes to reach a wider audience. For example, the training of 29 journalists and university academics in risk reduction during the SRRERC programme in Colombia drew more participants into the programme by expanding the audience beyond its usual scope. These newly trained participants had access to communication platforms such as newspapers and university lectures, through which they could increase the reach of DRR and other RC messages (Netherlands RC, 2009).

3.4   Programme design and management

Training of community members, school teachers and RC volunteers is an important component of CBDRR programmes, as it contributes directly to building community capacity. The evaluation of Colombia's CCDRR programme noted that tools and technical material proved to be key mechanisms in disaster management, and that these should be of a high standard if the maximum possible impact of a programme is to be achieved (Netherlands RC, 2011). It was also suggested in both the CVRR and SRRERC reports that training should be inclusive of all age groups and genders to maximise impact (Franco, 2007; Netherlands RC, 2009).

Box 6: Successful community training…

- Is run at community level, i.e. physically take place within the community (Franco, 2007)

- Is illustrated with practical examples at school and community level, to allow greater understanding (Franco, 2007)

- Is conducted in small working groups at school and community level, to make learning easier (Franco, 2007)

- Includes parents and administrative personnel in school workshops (Netherlands RC, 2009)

- Uses alternative, non-classroom methods in school programmes whenever possible (Netherlands RC, 2008)

- Is regularly updated and redelivered at school, community and volunteer levels (i.e. refresher training) (Franco, 2007)

Vulnerability and capacity assessments (VCAs) are an important activity within CBDRR programmes and are noted as critical to programme success.[22] In Colombia's CCD programme report, it was noted that VCA workshops informed risk maps in each community, and they also formed the basis of community emergency plans (Colombian RC and Netherlands RC, 2007).

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[22] These include documents C4, C5, C6, G1, G3, SL1 and SL2a.

Similarly, Guatemala's RRVCS programme evaluation stated that VCA results "allowed for the identification of the needs of communities" and for the prioritisation and selection of the needs to be addressed during the programme (Netherlands RC, 2008:39). In Saint Lucia's BBR programme report the VCA was seen as "a most useful practical tool", which could be used beyond the duration of the programme (Storey, 2004:7). The 2011 RTR programme evaluation noted that VCAs create an "institutionalisation of memory", which could potentially inform housing development and other future plans (Dobai, 2011:34). This second report also mentioned that "the information gathered [from VCAs] also helped convince [people] of the importance of carrying out the family plans for homes in more vulnerable areas" (ibid.). Moreover, some evaluations recognised VCAs as being informative and useful in helping beneficiaries identify, prioritise and analyse their own risks (Storey, 2004; Netherlands RC, 2008; Gelfand, 2009; Netherlands RC, 2009; Netherlands RC, 2010b).

However, the incorporation of VCAs into projects requires increased capacity, along with leadership skills, experience and responsibility (Netherlands RC, 2009). An increase in the number of volunteers trained in VCA methodology will make programme results more permanent and embedded in communities (Netherlands RC, 2011).

The preparation of emergency plans is also critical to the success of CBDRR activities. This was noted by seven of the reports reviewed.[23] Emergency plans – and the processes through which they are developed – allow for a thorough evaluation of communities' strengths and weaknesses (Netherlands RC, 2008; Netherlands RC, 2009). Both SCRD and SE programme evaluations from Guatemala reported that emergency plans were used in simulated disaster situations. These simulations reaffirmed the importance of disaster preparedness, and also revitalised community motivations and educated families on how to manage their own risks at home and within the wider community (Netherlands RC, 2010b; Guatemalan RC, 2011).

> In Saint Lucia's RTR programme, family emergency planning processes "served the multiple purposes of increasing community participation, increasing the profile of the project and strengthening overall community preparedness" (Gelfand, 2009:11).

Micro-mitigation projects have a direct benefit to communities, by reducing disaster risk. Therefore they were seen by communities to have an immediate impact on people's lives and were also good motivators for community participation (Gelfand, 2009). Community members in Saint Lucia confirmed that micro-mitigation projects were useful in reducing disaster-related risks. The 2011 evaluation of Saint Lucia's RTR programme stated that the "Saint Lucia RC has seized the opportunity to support communities to use the information coming out of the VCA process" by carrying out micro-mitigation projects (Dobai, 2011:29). One example of a micro-mitigation project in Colombia was the

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[23] These include documents C4, C5, C6, G1, G3, G5 and SL2a.

International Federation of Red Cross and Red Crescent Societies

Community Based Disaster Risk Reduction Study - Latin America and the Caribbean
Key determinants of a successful CBDRR programme in the LAC region

construction of a slope-stabilised gabion system with retaining walls and an inspection box, designed to mitigate erosion issues (Netherlands RC, 2009). In Saint Lucia, micro-mitigation projects included the building of a pavement with handrail along a high-risk highway, the excavation of retaining walls on steep roads, the clearing of riverbanks and installation of drainage channels, the improvement of road access to hurricane shelters, the erecting of safety signboards by a river and the refurbishment of a building where community disaster response teams stored equipment. It was noted here that it is difficult to predict the time taken to complete these projects, due to challenges obtaining materials and the funds to purchase them. As a result, micro-mitigation projects tend to delay programme completion and often require government intervention to complete them (Dobai, 2011). It is therefore important to secure funding for such projects before construction begins. Identifying priority mitigation projects and engaging the community in fundraising is likely to facilitate this process (ibid.).

The 2009 evaluation of Saint Lucia's RTR programme stated that while micro-mitigation projects were generally "effective in addressing real needs in the community" some projects did not relate directly to priority issues identified by the adjacent VCA (Gelfand, 2009:13). Some projects were completed by contractors and not community members, which minimised community ownership and skill development (Gelfand, 2009).[24] A better approach was employed in Colombia, where a committee consisting of RCRC personnel, local authority representatives and community members was created to select projects and define their scope in accordance with community needs (Colombian RC and Netherlands RC, 2007).

Box 7: Successful micro-mitigation projects are selected and designed based on…

- The needs of the community as determined by community members and leaders (Colombian RC and Netherlands RC, 2007; Gelfand, 2009; Dobai, 2011)

- Their relation to priority issues as defined by VCAs (Gelfand, 2009; Dobai, 2011)

- Potential cost being adequate to avoid governments intervening to ensure projects are not left unfinished (Dobai, 2011)

- Feasibility and the possibility of completion within a clearly planned time-frame (Dobai, 2011)

It is important to plan sufficient time to complete programme activities and meet objectives. The importance of time planning was noted in nine reports.[25] The majority of programmes were completed on time, to a satisfactory standard; however some reports noted that more time was needed to achieve all the objectives of the programme and that a short timeline for local community

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[24] This report raised an important question, which should be considered in designing mitigation projects within CBDRR programmes: what types of mitigation projects are communities capable of implementing themselves, and what types are more suitable for external contractors/engineers etc. to undertake? Also, what scale or size of project would suggest that external support is needed?

[25] These include documents C1a, C1b, C2, C6, G1, G3, G5, SL1 and SL2b.

interventions detracted from their long-term impact (Storey, 2004; Netherlands RC, 2011).

Box 8: Project timelines can be affected by…

- Natural disasters that had an impact on travel of RC staff to visit communities (French RC, 2009)

- Seasonal/weather conditions, such as rain and harvesting of crops, which affected the timeline for local community interventions, workshops and construction (Netherlands RC, 2008)

- Bureaucratic issues relating to land rights/permits for construction (Franco, 2007; French RC, 2007)

- Lack of data leading to planning delays (Netherlands RC, 2011)

- Elections, which affected community participation and availability as well as construction activities (Netherlands RC, 2008; Netherlands RC, 2010b)

- Work commitments of community members, as a result of which community activities had to be scheduled for weekends only (Netherlands RC, 2008)

Disruption to project timelines can be minimised by…

- Developing a flexible timeline, to capture maximum use of project time in agreement with available times of the communities and institutions (Netherlands RC, 2008)

- Planning project timelines to consider scheduled events with the potential to disrupt project plans (i.e. elections) (Netherlands RC, 2010b)

- Increasing the time allowed for tasks for the purposes of flexibility and contingency negotiation (Franco, 2007)

- Scheduling follow-up meetings and visits to guarantee the effective use of resources and timely execution within pre-determined periods (Netherlands RC, 2010a)

Rigorous assessment, monitoring and evaluation processes allow a constant re-alignment and improvement of CBDRR programmes. However, three reports (one from each country) noted difficulties in assessment and monitoring due to documentation practices. Meticulous documentation of methods, progress and activities ensures that evaluations are based on the most accurate programme information (Franco, 2007; Netherlands RC, 2010a; Dobai, 2011). Better documentation practices were also suggested with regards to improving financial management, so that post-programme assessments could monitor how much was spent on each component of the programme. The use of surveys was seen as positive as it provided feedback, and the survey process also reinforced the good intentions of the RC among the communities, which in turn improved community perceptions of the RC (French RC, 2007; Gelfand, 2009). KAP studies in particular, were considered to be useful in gauging the success of a CBDRR programme. In Saint Lucia's RTR programme, it was noted that the KAP study was an important tool of the project, as it allowed "for measuring the learning of

community members over the course of the project through comparative analysis and quantitative data" (Gelfand, 2009:6).

An important consideration in programme design is the balance between standardisation and flexibility. Flexibility was encouraged in community selection and time planning. In both Colombia and Saint Lucia, communities that were not initially targeted by national societies requested CBDRR programmes after the occurrence of natural disasters, such as volcanic eruptions in Colombia and Hurricane Tomas in Saint Lucia (French RC, 2007; Netherlands RC, 2009; French RC, 2010; Dobai, 2011). Their inclusion within the target communities increased the impact and relevance of the programmes (French RC, 2007; French RC, 2010; Dobai, 2011). The unpredictability of natural disasters also points to a need for flexible time planning, as do prevailing political and security situations. In Colombia, presidential elections and campaigns often affected the availability of community members for programme participation, as well local capacity, with regards to volunteers (French RC, 2010). Similarly the DRCB programme in Belalcazar was disrupted by guerrillas; shots exchanged between police and rebel forces in the area led to a ban on travel for the project team for a period of time (French RC, 2010). Flexibility in planning workshop and community training days was therefore considered important. Conversely, standardisation was encouraged with respect to the development of project tools and methodologies. Several reports suggested that this would allow for better information sharing and more consistent use of tools by communities (Franco, 2007; Gelfand, 2009).

A CBDRR programme should include a communications strategy. Seven reports noted that poor communications around the programme's activity and purpose detracted from its success.[26] The final report on Colombia's CVRR programme cited a lack of clarity around the function of community disaster response teams and volunteers as a common issue (Franco, 2007). The same report also stated that CDRTs lacked defined mechanisms for coordinating activities and that community work tools should have been simpler to use in practice (ibid.). Guatemala's RRVCS programme report argued that "an information campaign is crucial to allow the residents to recognise their threats and risk level, the factors that exacerbate them, and actions taken to reduce risk" (Netherlands RC, 2008:88). Eight evaluations which mentioned the importance of a communications plan stated that this plan should be part of a broader programme communications strategy which is informed by consultation with key community actors. It was deemed important that messages are disseminated clearly, accurately and concisely to partners, institutions and communities (Franco, 2007; Netherlands RC, 2008; Netherlands RC, 2010b). The evaluation of the CCDRR programme in Colombia suggested that communications should be conducted in an inclusive and diplomatic manner, so that they contribute to improving impact, encouraging partnerships and disseminating key messages.

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[26] These include documents C1a, C4, C5, C6, G1, G3 and SL2a.

> **Box 9: A comprehensive communications strategy…**
>
> - Is inclusive of principal community actors in communications efforts, providing clear functions of all volunteers, staff, community members and community disaster response teams (Franco, 2007)
>
> - Is contextualised for appropriate risks, using the local language (Netherlands RC, 2009)
>
> - Uses simple and user-friendly community work tools (Franco, 2007)
>
> - Distributes communication materials with key preparedness messages (Franco, 2007; Netherlands RC, 2010b)
>
> - Completes VCA workshops and community emergency plans that reaffirm the importance of disaster management (Storey, 2004; Netherlands RC, 2008; Netherlands RC, 2010b; Dobai, 2011).
>
> - Promotes two-way information flows between communities and local institutions (Gelfand, 2009; Netherlands RC, 2009)
>
> - Contains an information campaign that explains threats and risk levels, exacerbating factors and possible actions to reduce risk (Netherlands RC, 2008)
>
> - Integrates infrastructure works into the communications plan, so that all improvements are seen as linked to disaster reduction (Netherlands RC, 2008)
>
> - Makes measured use of RC logos on materials, to demonstrate an appropriate level of organisational ownership, without compromising community ownership (Franco, 2007)
>
> - Uses wide-reaching communication platforms (Netherlands RC, 2010b)

3.5   Sustainability

Evaluations highlighted the need to ensure the long-term impact of a CBDRR programme after the withdrawal of the RC.[27] To this effect, it is important to ensure the continuity of a programme by formulating a clear planned strategy, designed to guarantee sustainability (Franco, 2007).

A sustainability strategy's primary aim should be to improve the enthusiasm of communities for CBDRR. A report on Colombia's CVRR programme noted the importance of retaining the enthusiasm of leaders and members of community-based organisations (CBOs) in ensuring that disaster preparedness is maintained after an RC exit (Franco, 2007). The CCDRR evaluation, of another programme implemented in Colombia, suggested that the active participation of community leaders will lead to community ownership and therefore, long-term applicability. It was felt that as community leaders who are directly involved in CBDRR programmes they are more likely to reinforce best practices regularly after RC withdrawal (Netherlands RC, 2011).

The design of programme activities will influence its long-term sustainability. The final report on the CVRR programme in Colombia argued that training and capacity building activities should simultaneously involve RC volunteers,

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[27] These include documents C1, C3, C4, C5, C6, G2, G4 and SL2a.

International Federation of Red Cross and Red Crescent Societies
Community Based Disaster Risk Reduction Study - Latin America and the Caribbean
Key determinants of a successful CBDRR programme in the LAC region

community leaders and CBOs, to ensure sustainability (Franco, 2007). In Guatemala's RRVCS programme, due to the development and implementation of a disaster risk reduction indicator tool beneficiaries continued to receive regular information regarding disaster preparedness (Netherlands RC, 2010a).

Long-term partnerships within the RCRC movement and with external actors can also contribute to achieving sustained impact. Four reports highlighted the positive, long-term effect of collaborations between RC partners.[28] The collaboration of the French and Spanish RC under the DIPECHO framework in Colombia (during the DRCB programme) enabled exchange of knowledge, information and best practice. This improved programme delivery and opened channels of communication so that information exchanges could continue in the future (French RC, 2010). The CCD report from Colombia also argued that collaborative ownership between the RC, CBOs and community, will ensure sustainability (Colombian RC and Netherlands RC, 2007), while the CCDRR evaluation (also from Colombia) stated that inter-institutional links and relations with communities will reinforce disaster resilience at a local level (Netherlands RC, 2011).

Box 10: Sustainability of CBDRR programmes can be improved by…

- Where it is appropriate, relocation of complete communities to ensure that community relationships are kept intact (Franco, 2007)

- Regular dissemination of refresher training to maintain relevance of training and level of skills/capacity (Franco, 2007)

- Permanence of RC staff members, i.e. not having a high level of staff-turnover (Netherlands RC, 2009)

- Provision of public funding to community disaster response teams to ensure financial sustainability (Netherlands RC, 2009)

- "Incorporation of risk reduction into public policy in accordance with cultural practices and beliefs of society" (Netherlands RC, 2009:46)

- Sharing of responsibility for early warning systems between RC partners, local institutions and community leaders/members (Colombian RC and Netherlands RC, 2007)

- Active participation of community leaders, leading to long-term community ownership (Netherlands RC, 2011)

- Regular monitoring and follow-up on execution of small-scale infrastructure works (Netherlands RC, 2010a)

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[28] These include documents C3, C5, C6 and SL2a.

Box 11: Lessons learned from meta-analysis of programme documentation

The community

1. Greater community participation increases the impact of a CBDRR programme, as more individuals and households become aware of risk reduction methods.

2. Equal gender participation in programme activities improves overall participation, and maximises community disaster preparedness and response.

3. It can be more challenging to maximise participation in urban communities due to the lack of strong social connections that are present in rural communities.

4. It is important to mitigate mistrust and suspicion of the RC by holding initial meetings with community leaders before implementing a programme.

5. The formation of community disaster response teams can improve community ownership of CBDRR initiatives, but their mandate must be clear.

6. Programme material should be sensitive to local cultural norms and recognise that changing attitudes towards risk is a lengthy and gradual process.

Red Cross Red Crescent movement actors

7. Knowledge sharing between RCRC partners allows for exchanges of best practice, which can lead to technical improvements in CBDRR programmes.

8. Strong relationships between the IFRC, host and partner national societies are necessary to support long-term impact and encourage the institutionalisation of lessons learned through CBDRR programmes.

9. RC branch (technical) capacity and experience in community engagement are both important factors in ensuring the short and long-term success of a CBDRR programme.

External actors

10. Demonstrated support from local governments lends CBDRR programmes legitimacy, and also encourages sustainability.

11. Collaboration and communication with other NGOs can contribute to capacity building measures while also preventing overlap in programme content, which allows for greater resource efficiency in programme delivery.

12. Partnerships with non-state external actors who have access to media and educational platforms, can raise the profile of the RC, leading to greater awareness of, and a wider audience for, CBDRR programme activities.

Programme design and management

13. Training of community members, school teachers and RC volunteers should be comprehensive, inclusive and interactive, in order to ensure that the maximum possible impact of a CBDRR programme is achieved

14. VCAs are a critical activity within CBDRR programmes, as they help beneficiaries identify, prioritise and analyse their own risks.

15. Emergency plans form an essential component of CBDRR programmes. During disaster simulations, such plans reaffirm the importance of disaster preparedness, while also revitalising community motivation to become familiar with disaster risk reduction.

16. (Micro)mitigation projects should respond to a community's identified needs. Sufficient funding for completion of these projects should be secured in advance of

construction work. Delivering physical mitigation projects often cause delays in programme completion due to lack of funding or resources to complete their construction.

17. Time should be allocated within the programme for collaboration and communication activities between the RC and communities, to develop a positive and sustained relationship.

18. Accurate and regular financial documentation and the use of surveys in communities should be included in assessment and monitoring processes.

19. Flexibility in community selection and time planning is essential to avoid unforeseen delays caused by natural disasters or other shocks and stresses.

20. A comprehensive communications strategy should be included in CBDRR programmes, to ensure that important messages are disseminated clearly, accurately, concisely and regularly to partners, institutions and communities.

Sustainability

21. It is important to formulate a programme strategy that ensures sustainability of programme impacts within communities after RC exit.

22. A sustainability strategy should aim to improve the enthusiasm of communities for CBDRR, because this will maximise community ownership, and therefore long-term relevance of the programme.

23. Sustainability strategies should also ensure that programme activities target all actors in a community, so that CBDRR knowledge is widely disseminated throughout a community.

24. Measures to develop and maintain partnerships within the RCRC and with external actors should be included within programme strategy, so that there is a constant sharing of knowledge, information and best practice and disaster resilience is therefore reinforced at all levels.

4   Findings: Fieldwork

Fieldwork findings were drawn from 39 key informant interviews (KIIs) and workshops run in 23 communities across all three countries.[29] Factors identified in these two fieldwork methods as having an impact upon the success or sustainability of CBDRR programmes have been grouped into four themes, which (as within the meta-analysis process) emerged inductively during the research process:

- **Community:** Ways in which the community had contributed to the success and sustainability of the CBDRR programmes.

- **The Red Cross Red Crescent and other actors outside the community:** The role of the RC, government actors, other NGOs and the media in the achievement of programme success and supporting its sustainability.

- **Programme design:** Decisions made at programme inception/design stage which promoted its success.

- **Programme activities:** Particular activities or ways of undertaking these activities which have influenced programme success and sustainability.

In total 306 factors which influenced CBDRR programme success were identified from the KIIs and Exercise 4 within the community workshops. All of these factors were coded and refined into a long-list of 75 factors. A further round of coding and grouping led to a short-list of 19 factors affecting programme success and sustainability proposed by the fieldwork findings.

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[29] Data included in this analysis chapter is referenced with details of which KII or community stated particular points. The footnotes contain details of the coded references to these KIIs and communities which can be checked against Appendix C for further details; for example, to determine whether a particular point was made by RCRC staff or volunteers or the community itself.

4.1   Community

Community cohesion and leadership was identified in both key informant interviews and community workshops as affecting the success of the CBDRR programmes run in all three countries. In Guatemala varying levels of community cohesion were noted between rural and urban areas; urban communities appear to be less cohesive due to a lack of permanent association between inhabitants and their location of residence.[30] Well organised communities enabled the implementation of programmes and ensured their sustainability – either via formal mechanisms such as community-based organisations or informal practices which demonstrated community spirit and a culture of caring for others within one's community; this factor was noted to be particularly strong in Saint Lucia.[31] Also important was strong community leadership, which encourages participation amongst community members.[32]

The level of participation and engagement of communities within the CBDRR programme is a key factor in determining programme success, particularly whether the programme activities are sustained following the ultimate withdrawal of the RC. This was positively influenced by the use of participatory tools (such as the vulnerability and capacity assessment or 'VCA' mentioned by KIIs in all three countries[33]). Considering participation at initial programme design stages ensured that all activities were planned to maximise inclusion of communities throughout all stages of the programme. Community engagement was maximised by targeting the entire community, particularly vulnerable groups, such as the elderly, women and indigenous people.[34] The inclusion of young people was highlighted in Guatemala in particular as an important way to increase participation.[35]

It was noted that participation and engagement will typically be highest where communities can perceive the relevance of the CBDRR programme to their own risk circumstances. Clear communication strategies had been used by some programmes to ensure that all members of the community were aware of programme activities; communication activities were noted as being good practice by both key informants and the communities themselves.[36] Community meetings were most successful when scheduled to maximise attendance, i.e. when they were held at times which are convenient for the majority of community members. One key informant based in Guatemala proposed Saturday evenings as suitable times for community meetings here, as people were not working or at church.[37]

One key informant interview in Colombia proposed that a further key determinant of the programme's success was a community's cultural or historic ties to risky areas.[38] For example, even if a significant risk (such as

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[30] KII: F
[31] KIIs: MfST, HP; Communities: Plateau, Entrepot
[32] KIIs: EA/RMS, DR; Communities: Las Americas, Granada
[33] KIIs: TG, SCB, DOL, ACD, MK, HP
[34] KIIs: STO, AAC, JMD, DOL, RV/ES, MK, AMG; Communities: Santa Rosa, Plateau
[35] KII: EA/RMS
[36] KIIs: LA, JdL, ACD, STO; Communities: Bexon, Entrepot
[37] KII: MS
[38] KII: GdJM

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region

regular flooding or landslides) exists to threaten a community's safety, the
community members may overlook this risk and remain in the risky area if the site
holds strong cultural significance for them. A key example from Colombia was
the refusal of one community (Mapachico) to relocate its settlement from the side
of an active volcano, because the community had lived there for many years and
the site was noted as being part of their cultural heritage. Within such a context, a
CBDRR programme's success may be limited by a community's reluctance to
take key steps to reduce their vulnerability to a prevalent risk.

**The establishment of disaster response and risk reduction community-based
organisations (CBOs) encouraged participation, and built community
capacity to respond to shocks and stresses**. Within this study these disaster-
related CBOs were referred to as community disaster response teams (CDRTs) in
Saint Lucia in particular, and elsewhere community emergency teams, or simply
health teams or community teams. The Guatemalan Red Cross worked with
existing COLRED or COCODE teams rather than forming new CBOs to perform
this community disaster response/risk reduction function. The establishment of
these disaster response/risk response CBOs appears to be a key outcome of a
CBDRR programme.

Box 12: Characteristics of a successful community disaster response team (CDRT)

- A cadre of people confident, organised and ready to respond within communities in the
  event of a disaster.[39]

- Members chosen in consultation with the community,[40] with consideration given to
  retention of CDRT members, i.e. whether members will remain in the community in a
  year or more's time/beyond the end of the programme.[41]

- Holds regular meetings, not just in response to a disaster (or, for example, during
  hurricane season in Saint Lucia).[42]

- Where possible, is registered as a legally recognised group;[43] this supports the
  organisation's sustainability following the end of the programme.

- Is developed from an existing community-based organisation, such as the COLRED in
  Guatemala,[44] or is developed as a new group which cooperates with the existing
  organisation(s).[45]

**The relationship between the community and the RC was noted as having a
significant impact upon both the immediate and long-term success of
CBDRR programmes**. In key informant interviews conducted in Colombia and
Guatemala in particular, the level of trust with which the community viewed the

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[39] KIIs: TG, RL, LA, TM; Communities: Pelechua, Maria Auxiliadora, Las Americas, Santa Rosa,
Granada, C-12, Dennery
[40] KIIs: TG, CAMD, JdL
[41] KIIs: MS, STO
[42] KIIs: RV/ES, STO
[43] KII: TG
[44] KII: RV/ES
[45] KIIs: TG, EA/RMS

Red Cross correlated with the extent of community engagement and support for the programme. This was evidenced by a willingness to volunteer and contribute time to programme activities.

One key informant interview in Guatemala, noted that the Red Cross was the most highly respected NGO working in the country, thus communities favoured working with the RC over other NGOs.[46] In communities where the Red Cross had a negative reputation communities were unwilling to participate in its programmes. For example, attitudes towards the RC were negative in Mapachico community where the Colombian Red Cross had previously worked with young children, whom had been spoken to without adults present. Other reasons for negative perceptions of the Red Cross were associated with a feeling that the organisation had not provided sufficient relief items during previous disasters, or delivered what it had promised in the past.[47]

Box 13: Ways for the RC to develop a positive relationship with target communities

- Undertaking a visit to the community before the programme begins to discuss the programme with the community (including its leadership), to introduce the RC, and to learn about the community's circumstances.[48]

- Developing a full knowledge of each community's unique characteristics and 'idiosyncrasies', by regular communication with and visits to the community.[49]

- Managing community expectations ensures that all activities discussed at the beginning of the programme can be completed and all outputs can be delivered/outcomes achieved.[50]

- Encouraging a process of mutual learning, i.e. a two-way process of knowledge exchange between the RC and the community; and avoiding a patriarchal relationship.[51]

- Maintaining a relationship with the programme's disaster response CBO/the community following the formal end of the programme. (Communities in Saint Lucia demonstrated a good ongoing relationship with the SLRC and clear volunteer records were maintained to plan refresher training.)[52]

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[46] KII: ACD
[47] KIIs: JdL, FAS, EA/RMS
[48] KIIs: JdL, FAS, ACD
[49] KIIs: AC, FAS, MK, ACD
[50] KIIs: RV/ES, STO, ACD, EA/RMS
[51] KIIs: ACD, DOL, JdL; Community: Las Americas
[52] KIIs, MK, JGC, JdL, SDG, TM, ACD; Communities: Villa Nueva, Mapachico, Lomas Arriba, Santa Rosa, Sabana Grande, Granada, C-12, Santa Maria, Linea B4.

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region

4.2   The Red Cross Red Crescent and actors outside the community

The capacity of the Red Cross national society (both at HQ level and within its branches, where they exist) was cited as a key determinant of success by key informant interviews with those who had worked on programmes across all three countries. Factors which contributed to the capacity of a RC national society included number of members of staff, the skills of these staff members, integration and cooperation between departments and the existence and activity of RC branches.

Box 14: A RC national society with sufficient capacity to implement a successful CBDRR programme has…

- An appropriate number of staff members in the programme team to avoid staff being over-worked.[53]

- Staff members with the necessary skills to design, implement and manage a CBDRR programme; such skills include working in community-based, participatory manner, as well as those in communication for example.[54]

- The ability to work in an inter-departmental manner, to support integrated programming approaches, i.e. when multiple programme elements are included, such as DRR, health/first aid, food security etc.[55]

- Where possible, a number of branches to support HQ operations. If these branches exist a clear and open line of communication and coordination is necessary between HQ and branches, to ensure sharing of resources and lessons learned.[56]

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[53] KIIs: DF, TG, HP
[54] KIIs: MK, SCB, FAS, EA/RMS, ACD, F, DR
[55] KII: ACD
[56] KIIs: CAMD, JdL, AC

The relationship between the host national society (HNS) and the partner national society (PNS) affects the success of CBDRR programmes too, according to several key informant interviews. Positive relationships between these two RC actors are based upon an equal partnership, and involve a two-way flow of information, particularly with respect to monitoring and financial management.[57] The SLRC reported that it was frustrated by delays resulting from the American Red Cross having to approve even minor budget changes; even though responsibility for programme financial management rests with the SLRC. RCRC reviewers of an earlier draft of this document expressed concerns that, in some cases, the PNS may influence the type of programme the HNS implements; however, little evidence of this was found in the inter-RCRC relationships observed in the LAC study countries. Instead, the type of programme implemented – and the components involved – was typically dictated more often by the capacity and skills of the HNS.

Key informants and communities both noted the importance of establishing and maintaining partnerships with non-RC external actors. Relationships with government actors, both local and national, were considered critical for the success and sustainability of CBDRR programmes implemented in all three countries.[58] Support from government actors was seen in some cases as providing legitimacy for the programmes, and also for reinforcing action within communities following the end of the programme and the withdrawal of the RC. For example, Guatemalan communities and key informants identified cooperation with local external bodies, such as the COLRED committees and COCODEs in matters relating to disasters and more general development issues respectively, as important for achieving programme success.[59]

Working with in-country partners with relevant regional knowledge (i.e. NGOs) can provide immediate support for the programme, as well as supporting its sustainability, by ensuring the community can obtain support from another partner following the RC's withdrawal. During the workshop, Bexon community in Saint Lucia mentioned how working with media actors could support dissemination of disaster awareness information, and alert more people to the activities occurring within the CBDRR programme. However it was also noted – again in Saint Lucia, although within a key informant interview[60] rather than the community workshops – that the coordination of multiple motivations and agendas of different stakeholders can create challenges in a programme's decision-making processes.

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[57] KIIs: AC, RL, MK, EA/RMS
[58] KIIs: CAMD, AC, EA/RMS, ACD, RV/ES, STO; Communities: Entrepot, C-12
[59] KII: RV/ES; Communities: Linea B4, San Francisco La Cocona
[60] KII: HP

International Federation of Red Cross and Red Crescent Societies

Community Based Disaster Risk Reduction Study - Latin America and the Caribbean
Key determinants of a successful CBDRR programme in the LAC region

4.3 Programme design

In all three countries, good programme planning was considered critical for successful implementation and leading to the desired CBDRR programme outcomes.

Box 15: Actions or processes to be undertaken at early planning stages

- Undertake stakeholder analysis exercise to map potential partners who can support a CBDRR programme, and to understand existing institutional relationships.

- Creation of an exit strategy, linked to government actors and structure that can support the programme activities following RC withdrawal from the community.[61]

- Ensuring that a single programme does not contain too many activities, which would over-stretch the capacity and resources of the national society.[62]

- Creation of a realistic programme schedule, with sufficient flexibility to allow programmes to run continuously rather than in a 'stop-start manner'. The effect of seasonal weather hazards should be considered in developing this schedule. [63]

The overall length of programme is important for the programme's success. A timeframe of 2-3 years was considered the minimum necessary for the implementation of a CBDRR programme in the LAC region, beginning with the initial community visit stage.[64] **The allocation of sufficient funding was also noted as a key determinant of a CBDRR programme's success**.[65] Sufficient financial resources should be allocated to complete all planned activities, with a suitable allowance made for flexibility and contingency in the case of unexpected events which disrupt progress. Funding may also be needed to train staff and volunteers. (These two key determinants were identified by key informant interviews but not community workshops.)

Key informant interviews provided several specific examples of unforeseen or external events beyond the control of the community and/or the Red Cross, which had an impact upon the success of CBDRR programmes. Such external shocks had both positive and negative impacts on CBDRR programmes. Negative shocks identified included national financial and political changes, such as the introduction of Value-Added Tax (VAT) in Saint Lucia, which affected programme budgeting by increasing costs,[66] and a change of government in Guatemala,[67] which altered the approach to disaster response, and the relationship between the government and the RC (e.g. one politician may give greater or lesser importance to investment in disaster response, or different aspects of disaster response so that the RC was forced to change their approach to align with the

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[61] KIIs: AC, SCB, CAMD, RV/ES
[62] KII: RL
[63] KIIs: FAS, JMD, SCB
[64] KII: JdL
[65] KIIs: EA/RMS, RV/ES, RL
[66] KII: RL
[67] KII: ACD

focus of the state at that time). Interestingly, the occurrence of disasters (both natural and socially-induced) was seen as having both negative and positive impacts on CBDRR programmes. The actions of armed individuals and conflict were also mentioned in one key informant interview in Colombia as delaying a programme's planned activities.[68] Conversely, in Saint Lucia and Colombia, the occurrence of natural disasters was also seen as having been a positive factor which reinforced the need for and relevance of CBDRR programmes (as well as available funding to implement them) within the affected communities.[69]

A further key determinant identified by key informant interviews across all three countries, as well as by community workshops run in Saint Lucia and Colombia, is the balance between standardisation and flexibility.[70] Flexibility is an important component of programme design as it allows activities to be tailored to the risks and vulnerabilities in each community specific context; to ensure its appropriateness and effectiveness in response to the community's needs and priorities. The focus should be on programme quality (i.e. maximising the impact within a smaller number of communities) rather than quantity (implementing fewer, less tailored activities in a wider number of communities). A suggestion was also made in a key informant interview in Guatemala that the RC should continue to work in the same areas in any new phases of CBDRR programmes to consolidate gains made and ensure ongoing support for target communities.[71]

4.4   Programme activities

Programmes had a greater likelihood of success when community selection was undertaken through consultation with communities themselves. During this process identifying the relevance and degree of community support for the programme is critical as both influence participation. In Colombia and Guatemala, key informants stated that communities were selected based primarily on vulnerability and needs assessments,[72] although in Colombia this process had been supplemented by conducting meetings with community leaders.[73]   In Saint Lucia and Colombia, communities had self-identified, i.e. asked the RC national society to run a CBDRR programme in their community.[74] This was thought to be due to the community witnessing a programme being run in neighbouring community, and then recognising the relevance of CBDRR within their own context as well.

Inclusion of additional (i.e. non-DRR) elements within a CBDRR programme were identified in both key informant interviews and community workshops as critical factors for programme success and sustainability. Integration within programmes allowed inclusion of elements addressing livelihoods, food

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[68] KII: SCB
[69] KIIs: AC, TG, HP
[70] KIIs: SCB, MK, FAS, ACD; Communities: Pelechua, Entrepot
[71] KII: AC
[72] KIIs: JdL, FAS, RL, TG,
[73] KIIs: AC, JdL
[74] Communities: Bexon, Pajaro

security, education on human rights and welfare issues, and health. Key informants and communities in all three countries noted the particular importance of first aid training – which was applicable to both disaster events and smaller-scale accidents.[75] Such elements were seen to build community resilience to a range of shocks and also longer-term stresses, developing new skills and coping mechanisms within communities.

Training community volunteers was a further key determinant of CBDRR programme success, in all three countries. Building skills throughout the programme which then remain within the community following RC withdrawal empowers the community to act, prepare and feel capable and confident to face shocks and stresses. However a sufficient number of volunteers must be trained within each community in order to prevent volunteers feeling overwhelmed.[76] For example, in Dennery, Saint Lucia, less than 20 community volunteers completed CDRT training, despite this CDRT being expected to respond to events affecting a settlement with a population of 11,000 people. Including community leaders in training was considered good practice by key informants in, as it reinforces the relevance of the programme.[77] Training should also be relevant to the particular risks or disasters which the community is likely to experience. Refresher training can help to consolidate learning, ensuring the sustainability of increased community capacity, and also to continue to develop skills.[78] The SLRC keeps detailed volunteer records to ensure that volunteers and CDRT members received the appropriate refresher training courses at suitable intervals; e.g. every year or every three years depending on the content of the training.[79]

Mitigation activities, **including construction of physical mitigation measures (such as a handrail along a busy road in Saint Lucia and the maintenance of drainage systems in Colombia) as well as simulations and stockpiling relief supplies, should be included in programmes to ensure long-term risk reduction**. Like training, mitigation activities are most effective when they are relevant to the community risk context; the VCA had been used to determine this (i.e. what sort of mitigation measure was most needed) in communities in Saint Lucia.[80] They should also be fit for purpose and maintained to ensure their sustained utility. An example of community mitigation measures in response to the presence a nearby volcano was shared in one key informant interview (in which members of the affected community were involved) conducted in Mapachico, Colombia, illustrating the critical nature of these factors. Prior to the CBDRR programme in the community, an early warning system (EWS) had been installed in the community and a refuge had also been built by local authorities near the community as an evacuation. However the community stated that the early warning system was oversensitive and would trigger false alarms, leading to evacuation when the community did not need to leave their homes. The refuge

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[75] KIIs: GdJM, SCB, H, ACD; Communities: Bexon, Plateau, Entrepot, Santa Maria, C-12, Granada, Santa Rosa
[76] KIIs: STO, GdJM; Communities: Dennery
[77] KII: LA
[78] KIIs: DOL, DM, RSR, RL; Communities: Villanueva, Maria Auxiliadora, Mapachico, Lomas Arriba, Santa Rosa, Sabana Grande, Granada, C-12, Linea B4, Bexon, Plateau, Dennery, Entrepot
[79] KII: RL
[80] KII: RL

did not appear to have been maintained since its construction in 2004, thus community members were reluctant to evacuate there in times of danger as conditions inside were squalid and cold. This resulted in communities ignoring the EWS and also refusing to evacuate when volcanic risk was threatened.[81]

Continuing monitoring and evaluation (M&E) was identified as critical to programme success by key informant interviews conducted in all three countries. At programme inception, collecting baseline data allows progress to be measured during and on completion of programmes.[82] Initial assessments of each community have also been used to provide understanding of the context of CBDRR programme implementation. Throughout the programme implementation ongoing M&E processes were used in most programmes to track progress within the community.[83] Sharing lessons learned throughout the programme, communities and branches, was stated to be good practice to allow avoidance of noted problems where possible.[84] RCRC reviewers of an earlier draft of this report also recommended that the Red Cross agrees milestones and targets with the community, in order to support the community in sustaining action following the end of the programme.

There were concerns that community risk reduction tools such as vulnerability maps or disaster plans do not remain relevant without ongoing review and updates. **One key informant interview specified the critical need for disaster plans to be reviewed regularly to keep them relevant**.[85] It was recommended that this review process was continued by the community following RC withdrawal from the community, preferably on an annual basis.

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[81] KII: GdJM
[82] KIIs: AC, EA/RMS, JdL
[83] KIIs: SDG, SCB, FAS, AC, DOL, EA/RMS
[84] KIIs: FAS, DR; Community: Bexon
[85] KII: LA

International Federation of Red Cross and Red Crescent Societies

Community Based Disaster Risk Reduction Study - Latin America and the Caribbean
Key determinants of a successful CBDRR programme in the LAC region

5   Analysis

The meta-analysis of lessons learned and fieldwork (KIIs and community workshops) identified 605 factors which contributed to successful delivery and/or long-term sustainability of CBDRR programmes. These factors were analysed in a spreadsheet which grouped similar factors in relation to three key themes:

- **Stakeholders**: the motivation/capacity of, and relationships between, the community and its leaders, RCRC movement partners, other NGOs, government actors and the media.

- **Programme design**: programming approaches which increase the likelihood of its success and sustainability.

- **Programme implementation**: programme activities and processes which increase the likelihood of its success and sustainability.

Nine key determinants of a successful CBDRR programme emerged through this process of inductive analysis (see Table 2).

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region

Table 2: Data sources of key determinants of a successful CBDRR programme in the LAC region

	Meta-analysis of lessons learned	Key informant interviews	Community workshops (Exercise 4)
Stakeholders			
The motivation and capacity of RCRC stakeholders, the community, community leaders, and external actors	X	X	X
The quality of relationships between the RCRC, external actors and the community	X	X	X
Programme design			
The level of community ownership of the programme	X	X	X
The level of integration of the programme		X	X
An appropriate balance between standardisation and flexibility in the programme design	X	X	X
Management of uncertainty		X	
Programme implementation			
Allocation of sufficient resources (i.e. time and finances) to complete all planned programme activities	X	X	
The level of community participation in the programme	X	X	X
Effective programme delivery and management	X	X	

Stakeholders

1. **The motivation and capacity of RCRC stakeholders, the community, community leaders, and external actors**

The successful implementation of a CBDRR programme relies on an effective partnership between the community and the RCRC. Therefore the motivation of both, at all levels (i.e. NS HQ and branch), is a key factor in determining success. Also important are capacities in NGOs, government actors or the media that can be mobilised to support the programme, and to continue to support the community following the end of the programme and RC withdrawal.

A national society may recognise the value of a CBDRR programme and be highly motivated, but without sufficient staff members or volunteers at branch level the likelihood of a successful programme is significantly reduced. The support and engagement of the community is fundamental, given the central role that it plays implementing programme activities. Moreover the community is central in ensuring knowledge is retained and activities are sustained in the future.

A CBDRR programme is more likely to be successful if…

Before the programme:

- Communities already have some understanding of their risks and vulnerabilities and believe that a CBDRR programme can help them address these.

- Communities have strong levels of social cohesion, including a spirit of volunteerism and a willingness to help one another.

- Communities (and other actors who work with them) do not practice any form of social exclusion or discrimination.

- There are low levels of crime and violence within the community.

- Communities have links with external actors, such as government officials or other NGOs, are willing to support their efforts to reduce risk.

- National and local disaster management and/or risk reduction systems exist within government structures and policy.

- RC national societies have sufficient human resources (i.e. number of staff members and appropriate skills) and experience to design and implement CBDRR programmes.

- RC national societies have active branch organisations.

During the programme:

- Local (and national government actors where appropriate) are identified, engaged with and are willing and able to participate in the CBDRR programme activities.

- Media actors disseminate DRR information and lessons learned from the CBDRR programme.

International Federation of Red Cross and Red Crescent Societies

Community Based Disaster Risk Reduction Study - Latin America and the Caribbean
Key determinants of a successful CBDRR programme in the LAC region

After the programme:

- External actors are able and willing to support the communities in ongoing DRR activities following official RC withdrawal.

- CDRTs are willing and able (i.e. have sufficient time and resources) to sustain their activities following the withdrawal of the RC.

Box 16: Capacity of the Saint Lucia Red Cross (Saint Lucia)

The SLRC has implemented CBDRR programmes in approximately 20 communities across the island of Saint Lucia, since 2005. It focusses on the delivery of DRR activities in each of the communities in which it works, and does not integrate additional elements such as health or livelihoods. The SLRC employs three full-time staff members and two programme staff members. Permanent members of staff acknowledged that communities would benefit from integrated programme elements, due to the range of risks they face, but reported that their current low staff numbers, and in particular the absence of other sector technical skills (such as social issues), prevented them from being able to deliver these additional elements.

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2. The quality of relationships between the RCRC, external actors and the community

The existence of partnerships between stakeholders clearly influences the success of a CBDRR programme. However, it is not sufficient that partnerships simply exist – they need to be of good quality, based on mutual respect between actors and a commitment to sharing information and lessons learned for the mutual benefit of all stakeholders.

There are however multiple relationships which can affect the success of a CBDRR programme. These include those between:

- RCRC movement actors (i.e. between the PNS and HNS)

- The RC and the community

- Local government actors and the community

- NGOs and the community

- Media actors and the community

Particularly important is the community's perception of the Red Cross and their willingness to work with them. Where positive relationships exist or have been established as a result of a CBDRR programme between a community and a local

government authority, there will be a greater likelihood of this relationship continuing beyond the end of the programme (and the withdrawal of the RC); thereby increasing the likelihood that the programme will be sustainable. Local government may then be able to support the community's future activities; either by provision of funding or by helping the community to integrate its own priorities within local development activities.

A CBDRR programme is more likely to be successful if…

Before the programme:

- The community has respect and a positive regard for the RC; often as a result of previous successful programmes/activities run by the RC in the community.

- The community does not suffer from 'participation fatigue'; having participated in previous programmes which they do not feel has resulted in positive outcomes.

- A positive relationship based on mutual respect and two-way learning is established between the RC and the target communities.

- There is a culture of communication between organisations and individuals involved in disaster response and risk reduction; i.e. relationships already exist before the programme begins.

- RC branches are in regular communication with RC HQ, and there are established systems for coordination.

During the programme:

- Regular communication is maintained between the RC and the community.

- RC branches and RC HQ maintain regular communication and coordinate their work in relation to the programme objectives.

- The formation of a dependent relationship between the RC and the community is avoided; the RC should not be expected to solve all the community's problems, instead it should be recognised as a facilitator in the community's empowerment and capacity building.

- Efforts are made to engage the media, to disseminate key messages on DRR and lessons learned during the programme.

After the programme:

- Relationships between community and external actors/RC are sustained following the end of the programme; to enable follow-up visits, continued funding and refresher training etc.

Box 17: Participation fatigue and lack of an ongoing relationship and its effect on community relationships with the RC and other actors (Pelechua, Colombia)

In Pelechua, Colombia, it was noted that the community had 'participation fatigue'. A number of NGOs and other external actors had worked with the community previously, but the community felt they had seen no positive outcomes. Consequently, some members of the community were reluctant to attend another community workshop where the benefit of doing so was not evident, particularly as the RC had not engaged with them since the programme. In communities where an ongoing relationship with the RC had previously existed but not been maintained, community members felt the RC no longer cared about them.

Programme design

3.   The level of community ownership of the programme

The greater the level of community ownership of a CBDRR programme, the greater likelihood there is that the programme will not only be successful but also sustainable. If a community has a high level of programme ownership it will be less reliant on external actors (including the RC) for response during disasters or to tackle other issues within the community. If there is a high level of community ownership, the community will feel empowered to prepare for and respond to disasters, and also to take steps to reduce its risks. Community ownership should be considered right at the beginning of the programme's design/inception stage, to ensure that it can be encouraged and sustained throughout the timescale of the programme, and also following its end.

A CBDRR programme is more likely to be successful if…

During the programme:

- Tools and systems used to implement the programme are simple and clear enough to be adopted and used directly by community members. They should also be provided in contextually appropriate languages/formats to facilitate the community taking ownership of them.

- A VCA is completed by the community, so that the community takes responsibility for the information on its risks and vulnerabilities, from the start of the programme onwards.

- Responsibility for community assessment following a disaster event rests with the community itself, rather than on the RC/external actors.

- Programme activities (including mitigation measures) are based on the findings of the VCA, and designed and developed with input from communities.

- Communities are engaged through existing CBOs, such as mothers groups, church groups, agricultural cooperatives etc.

- Community-based disaster response organisations are formed within communities. Where possible, these should be registered as legally recognised groups to ensure their sustainability following the end of the CBDRR programme, and also to encourage their accountability.

- The community is empowered to seek external support from local authorities and funding bodies to undertake local development/disaster risk reduction activities.

After the programme:

- Community-based disaster response organisations are able to maintain activities within the community without direct RC support, and can continue fundraising to ensure their sustainability.

Box 18: Community ownership of the CBDRR programme (Plateau, Saint Lucia)

Due to the limited number of SLRC staff (examined in Box 12) and the absence of RC branches within the country, the CBDRR programmes implemented in Saint Lucia are designed for maximum community ownership. The first activity completed within the community is the establishment of a community disaster response team. The members of this team are responsible for completing initial community assessment and mapping exercises, and undertaking the VCA. In Plateau, the community was also instructed in how to apply for funding to develop mitigation projects as well. Using this knowledge and the information gathered during the community assessment, the community itself identified potential projects and developed a proposal for the installation of a crash barrier in front of a crevasse – the site of several road accidents.

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the Caribbean

Key determinants of a successful CBDRR programme in the LAC region

4. The level of integration of the programme

Integration of a CBDRR programme refers to the incorporation of activities and outcomes relating to other sectors, such as livelihoods, health, water and sanitation and shelter. This allows the specific needs of a community to be addressed with greater impact. Programme resource efficiency may also be improved as multiple interventions are conducted in an integrated manner, avoiding duplication of effort. Communities also gain wider knowledge of their multiple risks and vulnerabilities and the relationships between them, which can improve the programme's impact in the long-term and beyond the RC's withdrawal.

A CBDRR programme is more likely to be successful if…

Before the programme:

- The programme is designed to complement DRR activities with other sector activities, such as health, food security and livelihoods, to better respond to the individual needs of a community.

- The community recognises interrelationships between factors affecting its risks and vulnerability; for example, an awareness of the effect which poor water quality caused by flooding can have on community health.

During the programme:

- Initial community assessments (often VCAs) consider a range of risks, vulnerabilities and needs within each community, and the results of these assessments are reflected in programme activities.

- Training is delivered to community volunteers in an integrated manner, i.e. individuals receive training in multiple sector skills and understand the relationships between multiple risks.

- Mitigation measures/activities implemented within the programme address multiple risks; i.e. they provide holistic approaches to reducing vulnerability.

- DRR activities are combined with or support livelihoods, food security and health activities where possible, to ensure that the community's basic needs are met; either by incorporating additional elements within the CBDRR programme or by working in partnership with other organisations providing these elements/standalone programmes.

- Communities feel that the interventions within the programme reflect their own priorities for action, as defined by the initial community assessment/VCA.

After the programme:

- Integrated refresher training is provided for volunteers and CDRT members.

Box 19: Integration of health in DRR programmes (San Francisco la Cocona, Guatemala)

Health interventions had been integrated into DRR programmes in several communities in Guatemala. In San Francisco la Cocona, Guatemala, a hygiene element was included within the *Salud en Emergencias* programme. Latrines were constructed, a health committee formed, and hygiene training was provided. Community members reported that they were very happy with the latrines that had been built. They also expressed greater confidence with how to keep themselves and their families clean, maintain hygiene standards in the home, and how to chlorinate their water to clean it before drinking. Health elements were included in this programme as government healthcare provision across Guatemala is noted to be poor, and during disasters such as flooding communities may experience increased health risks, such as water-borne diseases.

5. An appropriate balance between standardisation and flexibility in the programme design

Whilst there may be a desire within the RC to standardise programmes to be able to work in multiple communities, and to scale up CBDRR programmes, this desire should be balanced with the practicalities of implementation in multiple locations and the need to respond to the requirements of individual communities; this requires flexibility within the programming approach. A bottom-up approach to developing CBDRR programmes is critical, allowing VCAs completed in each community to inform the activities carried out.

A CBDRR programme is more likely to be successful if…

Before the programme:

- An effort is made by the RC to understand the specific characteristics/contexts of each target community; this contextual analysis can be developed during the baseline assessment of each target community.

- Focus is placed on the quality and appropriateness of interventions and activities rather than the quantity, i.e. there is a commitment to depth of engagement and greater impact in a smaller number of communities, rather than on an extensive breadth of engagement which may create less impact across a wider number of communities.

- The RC focusses on delivering activities which use its core competences, and does not try to tackle all the risks and vulnerabilities a community may identify.

During the programme:

- Programme interventions/activities are designed in response to the needs identified by the target communities during completion of the VCA.

- Programme activities are designed to take advantage of and provide support for ongoing local development initiatives/activities in the area.

Box 20: Tailoring of programme elements to community-specific needs (Pelechua, Colombia)

Residents of Pelechua noted that their community had seen a significant growth in its population since the first inhabitants moved to the area 40 years earlier. Increasing community size has increased pressure on limited supplies of drinking water in the community, and the community frequently experienced water shortages. When the CRC began its CBDRR programme in Pelechua, the community's identification of this water shortage as a key stress informed the programme activities. The CRC provided a new borehole within the CBDRR programme, to reduce the risk of water shortage within the community.

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6. Management of uncertainty

Unlike many of the other key determinants, the occurrence of unseen events is far harder to plan for or to mitigate. The inability to predict or control the occurrence of such events increases the potential risk which they pose for communities and also for the RC and its external partners too. Such events may have positive effects as well as negative effects. For example, a natural disaster occurring during a programme may disrupt planned activities, but it may also encourage communities to participate in the programme by reinforcing its relevance within their lives. Or a change in political party or actor(s) could either increase or decrease formal recognition of the role of the RC in disaster management. As highlighted within the meta-analysis of lessons learned (and also the planning of the fieldwork for this study), the presence of armed guerrilla groups can disrupt existing programmes, and also make it challenging to plan and implement new programmes in certain areas; due to the threat to personal security of RC staff and volunteers.

Despite the inherent uncertainty surrounding them, the possibility of such events should at least be considered by the RC before implementation of a CBDRR programme begins. This should prevent unforeseen factors severely disrupting the programme's activities and timeframe should they occur during the programme.

A CBDRR programme is more likely to be successful if…

Before the programme:

- A risk register is completed to note potential risks and assess their likelihood; appropriate mitigation measures should then be taken.

- Budgets are designed with / can be altered to incorporate contingency funds in the event of unexpected costs.

During the programme:

- There are no external economic or political shocks which affect the CBDRR programme; such as a change in nation-wide taxation or the introduction of a new disaster management policy.

- There are no natural disasters in the programme implementation area.

- In the event of an external shock the programme's activities and timescale are reviewed and affected communities involved in the programme are assessed for impact.

- The occurrence of a disaster reinforces the need for CBDRR in the target communities, and encourages community to participate in the programme.

7. **Allocation of sufficient resources (i.e. time and finances) to complete all planned programme activities.**

CBDRR programmes can be delayed or disrupted unless adequate funds are available when they are required. Budgets should be allocated for all planned activities, and efforts should be made to ensure that no activities remain incomplete at the end of the programme. Similarly, sufficient time should be allowed to ensure that all activities are implemented and completed effectively; this includes formation and training of CDRTs, community assessments (initial completion and follow-up/revisions) and development of any mitigation activities.

A CBDRR programme is more likely to be successful if…

Before the programme:

- Budgets and timeframes are developed jointly by both PNS and HNS, taking account of any contextual circumstances which may affect financial management or programme implementation.

- There is an efficient and swift system established for transferring funds between PNS and HNS, and also HNS HQ and branches.

- Roles for financial management and monitoring are clearly defined and understood.

- At least three years are allowed for the design and implementation of a CBDRR programme.

- Additional time is scheduled for communication activities, such as initial community sensitisation visits, dissemination of programme messages, follow-up visits etc.

During the programme:

- Resources/funds are distributed to branches quickly and efficiently.

- Any short-falls in funding or unexpected costs are noted as soon as they occur.

- 'Top-up'/extension funding is obtained to complete programme activities; this may be secured from the PNS or a government fund for example.

- Progress of activities is monitored against the programme's plan of action or schedule and activities are rescheduled if necessary.

Box 21: Addressing long-term stresses in short-term programmes (Linea B4 and C-12, Guatemala)

The CBDRR programme implemented in both Linea B4 and C-12 communities in rural Guatemala was successful in increasing community awareness of disaster response measures. However, it did not address the lack of medical facilities which was the communities' key concern, with significant implications for community resilience. The CBDRR programme was implemented across a limited timescale (Linea B4 over 6 months, and C-12 over 10 months) during which there was insufficient time to deliver more holistic interventions in these communities. In other communities where programmes had longer timescales, health training has been delivered as part of programme activities, and other interventions were carried out to address health issues.

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Caribbean
Key determinants of a successful CBDRR programme in the LAC region

Programme implementation

8. The level of community participation in the programme

The higher the level of community participation the higher the likelihood of the programme's sustained success will be. Community ownership (see key determinant 3 above) can be encouraged through designing the programme to maximise community responsibility for activities. Community participation in practice however relies heavily on the community itself recognising the value of the programme and thus being keen to engage with the RC and the programme's activities.

A CBDRR programme is more likely to be successful if…

Before the programme:

- Community sensitisation visits are held in potential target communities, to explain the purpose and relevance of the programme and to allow the RC to begin to understand the characteristics of each community.

During the programme:

- Meetings and training sessions are held at times chosen to maximise attendance of community members.

- CBDRR programmes include activities that contribute to community preparedness; raising awareness, stock-piling relief items, undertaking mitigation measures etc.

- Community disaster response teams remain active in the absence of disasters and meet all year round rather than only in disaster 'seasons', i.e. during hurricane season in the Caribbean.

- The community undertakes monitoring and evaluation exercises - updating risk maps and disaster plans to ensure these key documents/plans stay relevant – and disaster simulations where appropriate.

- Sufficient numbers of RC volunteers are trained to cover the community size and area.

- Once trained, RC volunteers remain within the community after receiving training (rather than leaving the community and reducing community capacity).

- Community/local leaders, health professionals and teachers are trained as DRR volunteers to reinforce the importance of the programme in the eyes of the rest of the community.

- Volunteers are selected/suggested by local leaders or chosen during a community assembly, to ensure that those selected are recognised community members who are known by and thus will encourage participation of others.

- Volunteers are selected to ensure a balance in representation of gender, age, social groups etc.

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region

After the programme:

- Volunteer management records are kept up-to-date.

- Volunteers receive refresher training to ensure their skills remain suitable for the community's risk context.

Box 22: The need for positive and sustained relationships between communities and the RC (Punta de Palma, Guatemala)

Difficulties were experienced in meeting with community members in Punta de Palma community. The community emergency teams formed during the CBDRR programme had not continued meeting once support from the RC ceased. The attendance of the LAC study workshop was low, and attendees showed limited enthusiasm in participating. The workshop was held during the day, which meant that few community members were able to attend because they were working. Those that attended were mostly women, many of whom brought their children, who demanded their mothers' attention, drawing their focus away from the workshop exercises.

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9. Effective programme delivery and management

Any CBDRR programme should be closely monitored and reviewed throughout its timescale to ensure that any issues likely to cause implementation challenges or delayed are identified, and where possible mitigated, as soon as possible. Responsibility for overall M&E typically rests with the RC (in some cases, shared between the PNS and HNS, and in others solely with the HNS), however some processes and data-collection exercises are often used to develop community ownership of the programme, by placing the responsibility on the community instead. Baseline data should be collected at the start of the programme, to allow measurement of programme progress. All stakeholders involved should be engaged and responsive to the realities of operation, as well as committed to acting efficiently and effectively to support programme implementation.

A CBDRR programme is more likely to be successful if…

Before the programme:

- Baseline assessments are completed by the RC in all communities as part of the community selection process, to provide data to use in progress monitoring and final evaluation assessments.

- HNS and PNS agree and clearly communicate roles and responsibilities for M&E processes. (Where applicable, roles and responsibilities of the community for M&E should also be clearly outlined and communicated.)

- An exit strategy is planned within the programme timeframe, and includes handover of programme activities to the community itself or other organisations which can support the community following RC withdrawal.

During the programme:

- Ongoing monitoring of programme progress against desired outcomes / indicators, including financial status, occurs.

- There is frequent communication between the RC and the community, so that issues or implementation challenges are noted and responded to as soon as they arise.

- Community expectations are managed to reflect what is possible given capacity, time and funding constraints.

- Lessons learned are shared throughout the programme, between communities and similar CBDRR programmes in the area/country.

- The exit strategy is clearly communicated to the community from the beginning of the programme's implementation.

After the programme:

- The RC undertakes follow-up/monitoring visits to the community, to demonstrate ongoing support for community activities, and also to assess the sustainability of the long term impact of the programme.

Box 23: Effective RC management of CBDRR programmes (Retalhuleu RC branch, Guatemala)

In Retalhuleu, Guatemala, a baseline survey was used to select communities for inclusion in the CBDRR programme, based on their vulnerability as well an assessment of their existing needs and access to services. The RC branch undertook awareness-raising activities to share details of the project scope, and provided clarity over what could be expected to be achieved at each stage. This helped to manage community expectations. Following the end of the programme, the RC branch staff and volunteers meet the community emergency teams every year and communicate with them regularly by phone to monitor ongoing activities within the communities.

Box 24: *Key determinants of a successful CBDRR programme* **in the LAC region**

Stakeholders

1. The motivation and capacity of RCRC stakeholders, the community, community leaders, and external actors

2. The quality of relationships between the RCRC, external actors and the community

Programme design

3. The level of community ownership of the programme

4. The level of integration of the programme

5. An appropriate balance between standardisation and flexibility in the programme design

6. Allocation of sufficient resources (i.e. time and finances) to complete all planned programme activities

7. Management of uncertainty

Programme implementation

8. The level of community participation in the programme

9. Effective programme delivery and management

International Federation of Red Cross and Red Crescent Societies

Community Based Disaster Risk Reduction Study - Latin America and the Caribbean
Key determinants of a successful CBDRR programme in the LAC region

6   Regional trends and variations

A comparison of the TO and LAC studies indicate that the *key determinants of a successful CBDRR programme* are very similar in both South/Southeast Asia and Latin America and the Caribbean (see Table 3).

Table 3: Comparison of *key determinants of a successful CBDRR programme* in South/Southeast Asia and LAC regions

TO study		LAC study	
Stakeholders	The motivation and capacity of the community and community leaders	Stakeholders	The motivation and capacity of RCRC stakeholders, the community, community leaders, and external actors
	The motivation and capacity of the RCRC stakeholders and the strength of partnerships between them		
	The capacity of external actors and the strength of partnerships with them (government, NGOs, private sector)		The quality of relationships between the RCRC, external actors and the community
Programme design	The level of community participation and ownership of the CBDRR programme	Programme design	The level of community ownership of the programme
	The level of integration of CBDRR programmes with other sectors		The level of integration of the programme
	An appropriate balance between standardisation and flexibility in the programme design		An appropriate balance between standardisation and flexibility in the programme design
			Management of uncertainty
			Allocation of sufficient resources (i.e. time and finances) to complete all planned programme activities.
Programme management	Having sufficient time to complete CBDRR programmes	Programme implementation	The level of community participation in the programme
	Having sufficient funding for and financial management of CBDRR programmes		
	Having adequate assessment, monitoring and evaluation procedures		Effective programme delivery and management

International Federation of Red Cross and Red Crescent Societies

Community Based Disaster Risk Reduction Study - Latin America and the Caribbean
Key determinants of a successful CBDRR programme in the LAC region

The key differences between the findings of the two regional studies are as follows:

In the LAC region stronger emphasis was placed on the quality of relationships between the community and the RC (and other external actors), as distinct from stakeholders' motivation and capacity. Communities and RC/external partners in all three countries commented on the importance of the quality, not simply the existence, of interrelationships between DRR stakeholders and their individual motivations and capacities.[86] Of particular significance was the relationship between the community and the RC, which influenced programme success during implementation, and sustainability of the programme's impact following its completion. This particular relationship was not discussed or highlighted in the TO study key determinants.

One new key determinant added as a result of the findings of the LAC study is 'Management of uncertainty'. Uncertainty refers to a category of external factors which have an impact on programme success but are beyond the control or prediction of those involved in designing and implementing a CBDRR programme. Key examples shared in six key informant interviews from all three countries included changes within political parties which affected how the RC operated within wider national disaster management systems; economic changes which influenced budgets and programme costs; and the occurrence of natural disasters, which can disrupt the implementation of a programme, but can also reinforce its relevance by reminding communities why disaster risk reduction activities and awareness are necessary. Findings from the meta-analysis of lessons learned suggested that the presence of armed rebel groups in programme areas could also disrupt programme implementation. It is assumed that a large-scale human-induced disaster, such as a civil war, could also have a similar effect on programme implementation as a natural disaster; however this was not directly evidenced by the data collected. Whilst natural disasters may be more easy to predict and prepare for – hurricanes for example, typically occur during a designated season in the LAC region, and can be tracked using meteorological data – preparing for political or economic shocks can be harder. A lack of precedent also makes it more difficult to predict the impact that such shocks will have within individual communities. This is a key observation from the LAC study which should be considered within future programme design.

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[86] Quality was linked to the frequency of communication, i.e. how often actors met or spoke, as well as whether relationships were sustained over longer periods of time. Relationships which were maintained on the basis of mutual respect between actors were also seen to be of a high quality; rather than relationships where one actor was felt to be more powerful, or less willing to listen to and learn from the other.

The LAC study results placed less emphasis than the TO study on the importance of sufficient funding and time being allowed to implement a CBDRR programme in this region. Only one key informant interview in Colombia mentioned that a minimum of 2-3 years was needed for successful CBDRR programme implementation. Five key informants across all three countries mentioned sufficient funding to implement a CBDRR programme as affecting its success however. Neither of these key determinants of programme success was mentioned by any of the communities. (This has resulted in the two separate key determinants from the TO study being combined into one key determinant in the LAC study – 'Allocation of sufficient resources (i.e. time and finances) to complete all planned programme activities'.)

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the Caribbean

Key determinants of a successful CBDRR programme in the LAC region

7   Conclusions

The LAC CBDRR study sought to answer a number of research questions in relation to identifying *key determinants of a successful CBDRR programme* in the LAC region (see Box 25).

Box 25: Research questions

    a)   What are key drivers of impact and sustainability of CBDRR interventions in the communities and conversely, what are less effective interventions and why?

    b)   What contributory role does VCA play in successful and sustainable CBDRR interventions?

    c)   Under what circumstances does VCA contribute to a successful and sustainable CBDRR and under what circumstances is it less effective?

    d)   Linked to both VCA and CBDRR interventions, to what degree does community ownership play a role in impact and sustainability and how can ownership be fostered and measured/monitored?

    e)   What minimum capacities are needed by NS's at different levels (HQ and branch) to successfully manage and implement CBDRR?

    f)   What are the necessary processes and components for effective RC-movement coordination to ensure demand-driven CBDRR approaches and sustainability?

    g)   How have CBDRR programmes engaged with vulnerable groups within communities? (Examples of such vulnerable groups might include women, the elderly, indigenous peoples etc.)

The findings of the study – drawn from both the meta-analysis of programme documentation and fieldwork undertaken in Colombia, Guatemala and Saint Lucia – indicate a number of conclusions, and responses to these research questions.

The key 'drivers' – referred to throughout this report as determinants or factors – of successful impact and sustainability of CBDRR programmes are summarised in Box 26 below. These determinants fall under three key areas of programming:

- The stakeholders that are involved in the programme / involved in supporting the participating communities;

- The design of the programme itself; and

- The implementation of the programme.

Box 26: Key determinants of a successful CBDRR programme in the LAC region

Stakeholders

1. The motivation and capacity of RCRC stakeholders, the community, community leaders, and external actors

2. The quality of relationships between the RCRC, external actors and the community

Programme design

3. The level of community ownership of the programme

4. The level of integration of the programme

5. An appropriate balance between standardisation and flexibility in the programme design

6. Allocation of sufficient resources (i.e. time and finances) to complete all planned programme activities

7. Management of uncertainty

Programme implementation

8. The level of community participation in the programme

9. Effective programme delivery and management

These key determinants do not suggest any surprising factors which influence CBDRR programme success and sustainability. Rather they reinforce common good practice of community-based development programming. They also identify a common challenge of successful integration of such programmes; the RCRC movement appears to struggle to integrate multi-sector elements within its efforts to build community resilience. This finding reflects challenges also identified within another research study which Arup ID recently completed for the Danish Red Cross. This study examined the national society's experiences in integrated programming and developed a tool to guide design and implementation of future integrated programmes.[87]

A more detailed discussion of the key processes and interventions in both the programme design and implementation stages of CBDRR programmes can be found in Chapter 5 above.

Both the meta-analysis and fieldwork results highlighted the critical nature of the VCA in achieving successful CBDRR programmes. As tools for data collection, VCAs can provide key information about each individual community, and its characteristics and risk profile. This contextual information should be used as the driver to inform all programme activities. For example, information understood as a result of a VCA should be used to determine what sort of mitigation measures would be most appropriate for a community. Not only does the VCA inform the RC and the community about the community's vulnerabilities, but it also allows

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[87] Arup (2013) *Integrated Programming Study – Designing and implementing successful integrated programmes*. Arup: London.

the community to identify the most significant vulnerabilities. Thus the VCA should also be used as a tool for prioritising action.

Encouraging the community to undertake the VCA process itself also fosters community ownership of local information. This ownership can support the sustainability of the programme, as discussed further below. Therefore the VCA loses its efficacy and relevance if it is not completed by the community. It should be noted however that undertaking a VCA may require capacity building within the community, and training in completing a VCA is necessary to ensure that the process is completed as accurately as possible by volunteers within the community.

With the critical nature of the VCA and other participatory tools in mind, the role of community ownership is extremely important in ensuring the success and sustainability of a CBDRR programme. The higher the level of community ownership of both the activities and the knowledge created during CBDRR programmes, the greater the likelihood the programme will have a positive impact upon community resilience. Also, higher levels of community ownership of the programme foster greater community capacity and motivation to sustain activities following the withdrawal of the RC at the end of the programme.

Fostering maximum community ownership should be considered right at the start of the programme design and inception phase. This was positively influenced by the use of participatory tools like the VCA. Community engagement was maximised by targeting the entire community, particularly vulnerable groups, such as the elderly, women and indigenous people. Participation and engagement appear to be highest where communities can perceive the relevance of the CBDRR programme to their own risk circumstances.

Successful management and implementation of CBDRR programmes by RC national societies requires the following minimum capacity and skills:

- An appropriate number of staff members in the programme team to avoid staff being over-worked.

- Staff members with the necessary skills to design, implement and manage a CBDRR programme; skills such as working in a community-based, participatory manner, as well as those in communication for example. Similarly, if a CBDRR programme contains a specific health or watsan element, staff members with technical skills in these areas will be needed to help design and implement these programme elements.

- The ability to work in an inter-departmental manner, to support integrated programming approaches, i.e. when multiple programme elements are included, such as DRR, health/first aid, food security etc.

- A number of branches to support HQ operations, where possible. If these branches exist there must be a clear and open line of communication and coordination between HQ and branches, to ensure sharing of resources and lessons learned.

To ensure demand-driven CBDRR approaches and sustainability, programmes should be designed with the specific needs of the target communities in mind.

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the
Caribbean
Key determinants of a successful CBDRR programme in the LAC region

Clearly however, with the aim of implementing CBDRR programmes at scale, there needs to be an appropriate balance between standardisation and flexibility. Overall programme elements (i.e. DRR, health, watsan) can be informed by a general overview of grouped community characteristics (i.e. characteristics of more than one community) but the individual activities (particularly mitigation projects, where applicable) in each community should be informed by the contextual specificities of that community.

Many of the communities which participated in the fieldwork cited undertaking the VCA and disaster plan mapping exercises as crucial to better understanding their community; both in terms of the physical characteristics and the social structures and groups living within it. Community members who had completed these exercises were able to inform the fieldwork teams, when questioned, where the most vulnerable people lived in their communities, and how they would be helped in case of an emergency. This appears to be a key awareness-raising activity facilitated by the implemented CBDRR programmes.

Clear communication strategies had been used in some programmes to ensure that all members of the community were aware of programme activities; communication activities were noted as being good practice by both key informants and the communities themselves. Community meetings were most successful when scheduled to maximise attendance, i.e. when they were held at times which are convenient for the majority of community members. Members of CDRTs which participated in the fieldwork appeared to represent a mixture of ages and genders, and one community which participated in the fieldwork represented an indigenous minority.

7.1   Recommendations

From the findings of this CBDRR study in the LAC region we recommend further actions that can be taken to improve the likelihood of a CBDRR programme's success and sustainability. These supplement those recommendations made in the TO study report.

Box 26: Recommendations for next steps

- Develop partnerships with external actors (including other NGOs, government officers, the media), to encourage their participation in CBDRR programmes.

- Establish and maintain a positive relationship between the Red Cross and target communities, particularly following the official end of the programme to consolidate gains made and ensure sustainability.

- Where sufficient capacity exists (i.e. RC staff with the relevant skills), design CBDRR programme which integrate DRR activities with additional complementary activities from other sectors; such as health, water and sanitation and livelihoods.

International Federation of Red Cross and Red Crescent Societies   Community Based Disaster Risk Reduction Study - Latin America and the Caribbean

Key determinants of a successful CBDRR programme in the LAC region

- Use the key determinants of a successful CBDRR programme as a framework to consider CBDRR programme design and implementation, at early programme inception stages.

- To operationalise learning from the research into key determinants of a successful CBDRR programme, we also propose the development of a guideline tool for CBDRR programming. Such a tool could provide general guidance for RCRC-wide CBDRR programmes, suggesting best practice and critical steps for programme design and implementation. It would also incorporate lessons learned on commonly-encountered challenges and propose measures for overcoming them.

Appendix A

Terms of reference for the LAC CBDRR study

Terms of Reference: A Study of IFRC Disaster Risk Reduction in Latin America and the Caribbean

1. Background

Upon completion and presentation of findings of the Tsunami Recovery Program Disaster Risk Reduction (TRP DRR) study carried out in 2010-11, the Disaster Risk Reduction Working Group - including key technical resources within the Federation network- identified a need to expand and diversify the evidence-base for community risk reduction programming in other regions. The group recommended that a similar and contextually relevant study would be carried out in Horn of Africa, Latin America and the Caribbean regions. These regions were identified because of their well known vulnerabilities to disaster risks and the fact that these regions have seen some of the largest emergency and recovery efforts launched by the Federation in the past decade.

In addition to the opportunity for learning and integrating lessons from these regions, it was deemed important to validate and test the global applicability of the findings of the TRP DRR studies particularly in relation to the study identifying a set of characteristics of resilient communities and one which identified key determinants and critical factors for successful CBDRR programming.

The Federation (ONS, PNS, IFRC) has been implementing community disaster management projects in communities in the Caribbean since 2003. A striking characteristic of the Caribbean is its high vulnerability to the effects of natural disasters, such as hurricanes, flooding and drought, as well as to the impact of climate change affecting lives and livelihoods. In many countries in the region the Red Cross movement is the only active disaster management outside of government. The ability of the Red Cross to work with communities in the region to reduces risks and prepare for disasters coupled with the capacity to respond during emergencies is well noted and documented.

After a comprehensive review and re-examination of CBDM implementation in the region, the "Caribbean Disaster Management Strategic Framework 2009-2014" was developed.
The objective of the framework is to "enhance the capacity of Caribbean Red Cross National Societies to mitigate and respond to the adverse effects of climate change and natural disasters" The strategy identifies a core set of community-based disaster management (CBDM) activities to be implemented across all Red Cross CBDM projects in the region. The focus is on building community resilience recognising that community members themselves are first responders and that in each community, capacity and resources already exist. Development and training of community disaster response teams (CDRT), community disaster planning, early warning systems, and simulation exercises are examples of key programmatic activities in countries such as Haiti and St. Lucia among others. A recent case study of St. Lucia's CDRTs demonstrated the impact of these community-based resilience building investments.

The IFRC's experience in Central and South America working on disaster and risk management with vulnerable communities spans from the 1990s. After hurricane Mitch, the IFRC and the National Societies of Red Cross in the Americas region pursued a closer collaboration with national and local governments, communities, and organisations on the implementation of an integrated risk management strategy supported by the response capacities of the National Societies of Red Cross and aiming to reduce vulnerabilities to disasters. A number of well evaluated projects such as EU's DIPECHO programme have supported the IFRC to "*increase*

operational capacity and strengthen cooperation through the exchange, documentation and application of experiences, best practices and lessons learned" in Central America through creation of disaster management Regional Reference Centres focused on institutional preparation of NSs (CREPD) and community disaster education activities (CRREC). DIPECHO support in South America has focused on orienting and strengthening volunteer management in emergencies through the National Societies and the Civil Defence systems in the Andean countries. Disaster risk reduction programming in the Americas zone are supported through a multitude of donors and partners working multilaterally or bilaterally including the America Red Cross, Canadian Red Cross, French Red Cross, Finish Red Cross, German Red Cross, Netherlands Red Cross, Norwegian Red Cross, Spanish and Swiss Red Cross as well as DFID and DIPECHO and NORAD.

A running thread throughout these efforts has been the aim to leave behind communities that are stronger and safer to withstand future disaster risk. While building community resilience has been at the heart of all the recovery and development projects in health, water and sanitation, construction or livelihoods, a number of projects have also directly focused on reducing people's vulnerability to natural hazards. For example, in 2011, the Guatemalan Red Cross has worked with 15 communities (15,000 people) in high risk areas, supporting them in the development of risk reduction plans. These activities have been performed with the financial support of the projects funded by the DIPECHO VII Action Plan with support from the Netherlands Red Cross and Spanish Red Cross. Community activities in risk reduction also include micro-projects, equipment and community emergency plans. The Paraguayan Red Cross, in response to increasing levels of incidence in dengue in 2010-11, reached 60 neighbourhoods from 9 districts, a population of approximately 19,455 persons through a preventive health campaign that included house-to-house visits; prevention communication; mobilization, equipping and training of community action groups (mingas). The successful creation and involvement of Mingas now confronts the challenge of sustaining the necessary participation and interest for a long-term change.

Along side these efforts, since 2006 the IFRC has aimed to mainstream disaster risk reduction within its wider area of work. This mainstreaming initiative has focused on three key axes: 1) improving the understanding of DRR concepts and commitments, 2) increasing the scale of DRR investments, and 3) measuring results of IFRC DRR investments. The work on improving DRR understanding has resulted in a *Framework for community safety and resilience (Framework)*. The *Framework* provides a strong foundation on which all IFRC programmes, projects and interventions in DRR can be created, developed and sustained.

This framework has not only been promoted within the National Societies of the Americas and Caribbean, but it has also been gradually adopted and incorporated by several Partner National Societies in the region in their bilateral programming, particularly the Canadian Red Cross, Finnish Red Cross and the Norwegian Red Cross. The Global Alliance on DRR is one of the main components of this reference framework, and its adoption has allowed streamlining terminology and gradually standardizing the use of common methodologies in multilateral and bilateral programmes.

Efforts to measure the results of our DRR work have lead to several multi-country evaluations and development of standard indicators for more robust development of baselines and monitoring of DRR projects. The missing link in measurement of DRR investments has been at the outcome level leading to a need for a robust set of indicators on what constitutes a "safe and resilient community".

The current study will contribute to wider DRR progress outlined above, contributing to developing and improving our global programming and activities and guiding scale-up of such programs.

2. Purpose and Study Objectives

The purpose of the study is to **validate** the characteristics of resilient communities and key determinants of successful programs identified in the TRP CBDRR study. As such the study will validate and expand the evidence base for CBDRR within the IFRC, seeking to identify similarities and differences between geographical regions related to such programming. In addition, the study will identify and document lessons learned in implementing at scale CBDRR projects to strengthen community safety and resilience in the Americas and Caribbean region.

The four specific objectives of the study are as follows:

a) Building on research findings of the TRP DRR study, validate key determinants for a successful CBDRR intervention *("determinants")*including critical factors and conditions under which CBDRR interventions in the region have a greater probability of success. What are the most effective interventions and services within the context of key determinants, critical factors and conditions, with a specific focus on sustainability of actions and impact? Research on key determinats will include a meta-analysis of lessons learned from all existing CBDRR projects in the region since 2005.

b) Building on the research findings of the TRP DRR study, identify and prioritize a limited set of characteristics of safe and resilient communities ("*characteristics*"). What do communities perceive as the most important characteristics needed to be safe and resilient? Is there a set of such characteristics that are common across all communities despite being located in different countries and settings? How do communities rank changes in these characteristics, and how have RCRC interventions contributed to these changes (positive or negative)? How can/do the determined indicators and their changes over time reflect shifts in community attitudes and behaviours towards risk?

c) A lessons learned report capturing lessons learned for the design and implementation of future at scale CBDRR implementation.

d) Compare and contrast the above findings with those of the TRP and HoA DRR studies identifying unique regional characteristics and determinants. Are some characteristics of a higher order of priority in some regions compared to others? Also identify the salient common characteristic and determinants across these regions, thus contributing to refinement of IFRCs global DRR program.

e) A systematic collation of data to allow for easier future research.

Agreement on a limited set of *characteristics* will allow for evidence-based research on what elements of CBDRR projects helped achieve these within implemented CBDRR projects. As outlined above, the *characteristics* will become part of the standard for measuring DRR outcomes (impacts) at the community level over time. Similarly, *key determinants* of successful CBDRR (and lessons learned report) shall inform the design of future CBDRR programming, especially with regards to the Global Alliance on DRR.

3. Scope and Methodology

The scope of the study will be Federation-wide (i.e. covering PNS/ONS projects) and will take into account all CBDRR projects carried out since 2005, which stimulated many changes in the way disaster management and risk reduction have evolved in the region within the National Societies and the Federation.

Based on several criteria including concurrence of the National Society, experience of the National Society with long-term CBDRR programs, presence of and relationship with movement partners, external partners, five representative countries have been selected for this review reflecting the diversity of the sub regions. They include: Paraguay, Colombia, Guatemala, Haiti and St. Lucia.

The study will investigate only community-based disaster risk reduction programmes. It will not include schools-based DRR programmes or DRR components of programmes in other sectors (e.g. Shelter/WATSAN) (except where these have been run within the targeted fieldwork communities) or DRR activities at regional/national level (capacity building/EWS/advocacy etc). For ease of reference the acronym CBDRR will be encompass different branded approaches with the IFRC such as CBDP, CBDRM, CCA.

A desk study will build on the literature review already carried out for the TRP DRR study, expanding this to existing literature on *key determinants* and *characteristics* contextualized for the region. Characteristics will be developed drawing on this review (supplanted by the literature review already completed as part of the TRP DRR study) and a sample of communities where programs have been implemented.

In addition both qualitative and quantitative analysis will support identification of *key determinants* of a successful CBDRR projects, including critical factors and conditions under which CBDRR interventions have a greater probability of success. Key findings from the analysis will be summarised in way that enables practitioners to easily adopt the learning.

Research questions for the *key determinants* of a successful CBDRR project include:

a) What are key drivers of impact and sustainability of CBDRR interventions in the communities and conversely, what are less effective interventions and why?

b) What contributory role does VCA play in successful and sustainable CBDRR interventions?

c) Under what circumstances does VCA contribute to a successful and sustainable CBDRR and under what circumstances is it less effective?

d) Linked to both VCA and CBDRR interventions, to what degree does community ownership play a role in impact and sustainability and how can ownership be fostered and measured/monitored?

e)What minimum capacities are needed by NS's at different levels (HQ and branch) to successfully manage and implement CBDRR?

f) What are the necessary processes and components for effective RC-movement coordination to ensure demand-driven CBDRR approaches and sustainability?

g) How have CBDRR programmes engaged with vulnerable groups within communities? (Examples of such vulnerable groups might include women, the elderly, indigenous peoples etc.)

4. Expected Outputs

The study outputs will be as follows:

1. A study inception report detailing scope and key questions, methods (data collection tools, key informants, key documents), sampling, process outline and workplan.

2. A research report that arrives at a set of *characteristics* (no more than ten) that define a safe and resilient community in the region. This will include a desktop literature review which builds on the literature review already carried out for the TRP DRR study, expanding this to existing literature on Characteristics contextualized for the region.

3. A research report that identifies *key determinants* of a successful CBDRR project, including identification of the most effective interventions and services (also in terms of sustainability) in the context of these *key determinants*, as well as minimum NS capacity requirements at HQ and branch levels. This will include a meta-analysis of lessons learned from CBDRR projects.

4. Two workshop(s) with the reference group 1)inception; 2)presentation of draft reports. Two workshops with the implementation group (IFRC Zone and HNS DM staff for 1)field work preparations and logistics; and 2) to discuss results.

5. Participate in global or regional RCRC or external forums to disseminate and discuss the results of the studies (TRP, HOA, and LAC).

6. A report to compare and contrast findings on *characteristics* and *key determinants* of the LAC and TRP studies. In addition, to aid practitioners in measurement of their project outcomes, 3-5 measurable indicators per characteristic (drawn from obtained IFRC data, sector or cluster indicators) is to be provided. This will further assist the IFRC to sharpen its overall performance measurement framework.

7. A lessons-learned report combining lessons learned from the TRP and LAC studies drawing on primary and secondary research of characteristics and key determinants with a focus on how to design and implement at scale CBDRR.

8. The study will systematically compile and produce on a CD-ROM all primary data collected during fieldwork as part of the research.

9. Timeframe

The study will be implemented from June 2012 – April 2013.

10. Study Management

The study will be guided by a Reference Group comprised of key stakeholders and technical experts from the IFRC and its member National Societies (details can be found in *"Terms of Reference: Reference Group for Disaster Risk Reduction (DRR) Study in Latin America and the Caribbean"*). This will be a time-bound reference group to feedback and guide the various stages of this study.

It is envisioned that this reference group will be from existing advisory and coordination structures already established in the region rather than establishing a new or parallel structure. The IFRC Community Preparedness and Risk Reduction Department (CPRR, Geneva) will chair the Reference Group and will be an intermediary channel communications between the Working Group and the consultancy. CPRR Department will provide budgetary support and manage all contracting issues related to the consultancy.

Appendix B

Example semi-structured key informant interview template

B1   KII template: Red Cross HQ staff

General
Name:
Role (Organisation):
1.   How long have you worked for the RC?
2.   Can you describe what programmes you work on within the RC?
3.   What is your experience of working with/on CDBRR programmes?

Understanding CBDRR programmes
4.   What is the typical purpose/objective of a CBDRR programme?
5.   How are communities selected for CBDRR programmes?
6.   How do you select participants within communities? (volunteers, CDRT members, etc.)
7.   How do you design a CBDRR programme? What tools do you use?
8.   What is the role of the VCA?
9.   How do you identify, design and implement activities in CBDRR programmes?
10.   How do you monitor and evaluate CBDRR programmes?

11.	*What happens when a CBDRR programme finishes? What happens within the community/the RCRC?*

Understanding scale and success

12.	*Of the CBDRR programmes you have experience of - which programme or community do you think was most successful and why?* *Programme:* *Community:*

13.	*What do you think defines a successful project, i.e. indicators of success?*

14.	*What contributed to or determines the success of the project?*

15.	*How does the RC structure / procedures and mechanisms / capacity influence the success of a programme?*

16.	*What factors within the community make CBDRR programmes more or less successful?*

17.	*What external factors (i.e. not RC or community) make CBDRR programmes more or less successful?*

18.	*What things are needed for a NS at branch/national level to be successful in managing and implementing a successful CBDRR programme?* *Branch:* *National level:*

19.	*What makes a CBDRR programme sustainable?*

20. **Is there anything else you have learned about CBDRR programming that you would like to share with us/think is important?**

Appendix C

List of key informants
interviewed

C1 Key informants interviewed during fieldwork

Name(s)	Role(s)	Organisation / community	Fieldwork country	KII Code
Gloria de Jesus Menez (with other community members)	Red Cross Coordinator	Mapachico community	Colombia	GdJM
Ane Arias Capera	Communal Board Treasurer	Villa del Rio municipality	Colombia	AAC
Jose Guillermo Cualtero	Community Emergency Team Leader	Maridor community	Colombia	JGC
Torio Uriana	Community Chairman	Pajaro community	Colombia	TU
Jorge Mario Deluque	Community Action Committee President	Pelechua community	Colombia	JMD
Edwin Hernandez Parra	Pentecostal Church Pastor	Pelechua community	Colombia	EHP
Camillo Andres Martinez Diaz	Relief Coordinator	Colombian Red Cross (Villa del Rio, La Guajira)	Colombia	CAMD
Juan de Luque	Volunteer	Colombian Red Cross (Riohacha, La Guajira)	Colombia	JdL
Andres Caranza	Relief Director	Colombian Red Cross (Tolima)	Colombia	AC
Samuel Douglas Garcia	Volunteer	Colombian Red Cross (Riohacha, La Guajira)	Colombia	SDG
Sandra Cantor Bello	Project Coordinator	Colombian Red Cross	Colombia	SCB
Don Ricardo (with other community members)	Community Leader	Mapachico community	Colombia	DRi
Herbierto	Older Adults Network President	Rafael Uribe Uribe community	Colombia	H
Various community members	Disaster Community President and community members	Las Americas community	Colombia	LA
Fermin Agualimpia Soliz	Doctrine and Protection Coordinator	Colombian Red Cross (Tomaco)	Colombia	FAS
Danisa Ortega Lilio (with other community members)	Staff member	Guatemalan Red Cross	Guatemala	DOL
Teodoro Martin	Disasters Committee Chair	Lomas Arriba community	Guatemala	TM
Various community members	Representatives of vulnerable	Santa Rosa community	Guatemala	VHSR

		households			
Maria Silvia	COLRED President / Health Centre Community Facilitator	Sabana Grande community	Guatemala	MS
Salvador Perez Rames	Community member	San Francisco La Cocona community	Guatemala	SPR
Anna Maria Garcia	Community member	San Francisco La Cocona community	Guatemala	AMG
Eddy Asenceo, Rose Maria Salazar	Delegation Director and Health Services Coordinator	Guatemalan Red Cross (Retalhuleu)	Guatemala	EA/RMS
Julia Chikba	Vulnerable community member	Punta de Palma community	Guatemala	JC
Carlos de Paz	Local Authority Association President / COLRED Member	Granada community	Guatemala	CdP
David Mendes	COLRED and COCODE President	C-12 community	Guatemala	DM
Riquelmer Secundino Ramirez	COCODE President	Linea B4 community	Guatemala	RSR
Alexei Castro D.	Staff member	Norwegian Red Cross	Guatemala	ACD
Rolando Valdez, Eli Sagastume	Volunteers	Guatemalan Red Cross	Guatemala	RV/ES
Francisco	Field Technician	Guatemalan Red Cross	Guatemala	F
Divan Ruano	Regional Coordinator	DIPECHO	Guatemala	DRu
Emerias Garcia	Brigade Commander	Pasquilla community	Guatemala	EG
Juan Francisco Contreras Ramirez	Community Chairman	Villanueva community	Guatemala	JFCR
Dawn French	Director	National Emergency Management Office (NEMO)	Saint Lucia	DF
Marianna Kuttothara	LAC Programme Officer	American Red Cross	Saint Lucia	MK
Hubert Pierre	Disaster Coordinator	Saint Lucia Red Cross	Saint Lucia	HP
Terrencia Gaillard	Director General	Saint Lucia Red Cross	Saint Lucia	TG
Rita Louis	Finance and Administration Officer	Saint Lucia Red Cross	Saint Lucia	RL
Mrs Atherton, Mrs Hughes	Acting Permanent and Deputy Permanent Secretaries	Ministry for Social Transformation, Local Government and Community Empowerment	Saint Lucia	MfST
Jahto Mahal, Cha Cox-Jules, Miguel Trim	Social Transformation Officers	Ministry for Social Transformation, Local Government and Community Empowerment	Saint Lucia	STO