



UNCHS (HABITAT)



**GUIDELINES FOR
OPERATIONAL PROGRAMME
FORMULATION IN POST
DISASTER SITUATIONS**

A RESOURCE GUIDE

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Guidelines for Operational Programme Formulation in Post Disaster Situations: A Resource Guide

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Foreword

Almost on a daily basis, we are reminded of the threat posed by natural disasters. No one is impervious to the forces of nature. While we may not be able to prevent most natural disasters from occurring, we must urgently prevent the escalating loss of life, property and productivity.

The challenge has never been greater. Cities and towns have grown without proper planning or regard for the natural and physical environments upon which their sustainability depends. The poor are the most vulnerable, often having little choice but to establish spontaneous settlements in hazardous areas. In city after city, the full extent of the tragedy has been exacerbated by the problems of poorly managed urbanisation.

After a disaster, the heroic efforts made to rescue and care for survivors of calamities feature prominently in the media. But headlines typically pay little attention to preventive measures or the underlying causes. Once the humanitarian crisis fades, local communities often find themselves without the capacity to manage the process of rehabilitation without perpetuating unsustainable practices.



This guide is part of a series that draws upon UNCHS (Habitat)'s experience in the field of post disaster management and local governance. It provides a resource tool for local authorities to successfully manage and implement post disaster programmes in order to minimise the effects of future catastrophes. We at Habitat are convinced that empowering communities in human settlements everywhere is the surest way to overcome the destructive cycle of disasters.

A handwritten signature in black ink, reading "Anna Kajumulo Tibaijuka". The signature is written in a cursive, flowing style.

Anna Kajumulo Tibaijuka
Executive Director
United Nations Centre for
Human Settlements (Habitat)

Preface

This resource guide has been prepared by the UNCHS (Habitat) Risk and Disaster Management Unit (RDMU). The RDMU was established in collaboration with the United Nations Volunteers (UNV) to address the demands of disaster-prone communities by increasing UNCHS (Habitat)'s ability to support countries and communities in their disaster prevention, mitigation and rehabilitation interventions in human settlements. These activities include:

- ❖ housing rehabilitation and protection;
- ❖ settlements infrastructure, services and public facilities;
- ❖ resettlement of displaced persons and returnees;
- ❖ restoring local social structures and economy for and through settlements development
- ❖ settlements planning and management for disaster prevention, mitigation and rehabilitation;
- ❖ strengthening and rebuilding institutions and co-ordination mechanisms for disaster and settlements interventions.

RDMU builds on the experience and capacity already available in other operational agencies and aims at supporting their activities on human settlements issues through collaborative arrangements.

RDMU approach to its operations gives emphasis to the understanding of the root causes of disaster and emergency situations prior to action. The social, economic and environmental context in which communities face disaster mitigation or rehabilitation will determine the way the communities affected by conflict and other disasters are approached and brought to the path of development.

This guide is intended to provide a resource to local groups working in these post-disaster situations to enable them to better plan and manage their programmes for rehabilitation and long-term development.

Mission of the Resource Guide

Disasters, either natural or human-made, wreak havoc on every level of a society. The local authorities face the difficult task of rebuilding and rehabilitating after these disasters at a time when their own institutions and resources are under severe strain. This guide seeks to enable local groups to better plan their programmes to gain the maximum positive impact from their post-disaster programming.

The vulnerability of a population to disaster is closely related to the level of development in the society. In turn, the level of development is linked with the poverty rates of the population. Less developed societies, with higher rates of poverty, are more vulnerable to disasters. When dealing with the post-disaster situation these broader issues of vulnerability must be addressed in tandem with immediate post-disaster efforts. In order to do this, post-disaster programming must be designed with an understanding of the broader developmental framework. The emphasis on development will help to alleviate this vulnerability and will go much further in preventing such disasters in the future.

This resource guide seeks to assist practitioners, local governments to meet the challenges of post disaster reconstruction with the best possible understanding of the different issues and of the tools for identifying and adopting workable strategies. By adopting better strategic planning at the outset, it is hoped that the projects undertaken after disaster will go further in addressing these issues of long term development in the affected communities.

Why is this important? The methods and strategy behind programmes and projects have a huge impact on their rate of success. One of the characteristics of a post-crisis situation is upheaval and lack of order. The tools in this resource guide help to re-establish a sense of order in the planning of programmes. The purpose of this guide is to provide mechanisms to help create sustainable programming that will best enable communities to rebuild themselves in a holistic manner.

Who is this resource guide designed for? There are a number of different groups who can benefit from this resource guide (local and international NGO's, community based organisations, UN agencies) however, it has been designed specifically targeting the needs of local governments in post-disaster situations.



How to Use the Resource Guide



This guide can be used as a background tool in learning about programme design strategies as well as a general reference guide for practitioners in the field. This guide will outline the steps of designing programmes using the Operational Programme Formulation method.

Part A discusses the issues at hand - why projects fail or succeed - and how to address this - better programme design strategies.

Part B provides a brief introduction to the concept of Operational Programme Formulation.

Part C moves step-by-step through the Operational Programme Formulation framework.

Part D examines three main themes of post-disaster programming in terms of Operational Programme Formulation.

Naturally, the most useful way of using this guide is to follow the sections from beginning to end. However, it has been designed so that each section can be read, understood, and used independent of the others.



PART A

Issues in

Post Disaster Programming

What Affects Programme Success?



Before beginning to discuss how to design a programme strategy, there must be a better understanding of why programmes do or do not succeed in post-disaster situations. This section highlights the key factors affecting programme success.

Why is it that so many post-disaster programmes fail? This is an important question to ask, since the failure of so many of these projects means that huge amounts of resources - both financial and human power - are being misallocated. Therefore there is a need to determine the various reasons why these projects are not doing what they set out to do so that mistakes are not repeated. Put another way, what are the key ingredients for a successful project or programme?



PART A

Box One: Programme Impact

The success or failure of a project is important to scrutinise as often the result is not merely a lack of positive impact in the situation, but a negative one.

For example, a large influx of money into a community through a relief project can serve to distort prices and living conditions in the area, and can affect the power dynamics of the local populations. In the case of post-conflict situations, this can prove even more serious, when relief efforts can in fact inadvertently contribute to a continuation of the violence.

Thus, it should not be assumed that when projects fail to achieve positive results that their impact is necessarily neutral. Consequently, close attention should be paid to factors affecting project success or failure.

It is easy to say that post-disaster programmes do not succeed because they are badly designed. But what does this really indicate? There are certain components of the design that have a major impact on the programme's success. Below is an examination of these key factors.

1. Responding to the local needs: The overriding principle of any project must be that it deals with the needs of the people who have been affected by the disaster. This may sound commonsensical, yet programmes are often implemented without first consulting with local populations about what they feel their needs are. Without a clear understanding of the needs of the affected population, the relevance of the programme will be limited.

For example, in many post natural disaster situations, one of the first issues usually addressed is that of emergency shelter. There have been many cases in which pre-fabricated housing has been brought in (generally at high cost) with the intention of providing shelter to those affected by the disaster. However, many of these shelter programmes found that there was a very low rate of occupancy in the housing (often below 60%) and therefore much of this housing had gone to waste.



An example of pre-fabricated housing.

Why is this? Because of a lack of understanding of the needs of the affected groups. The operating assumption was that if there were 10,000 families left homeless by the disaster, then 10,000 shelters would adequately address the issue. This may appear logical, however by not consulting with the local groups; these organisations were unaware of other, sometimes overriding needs.

For example, the prefabricated housing is generally of a functional design, with no bearing on the cultural structural traditions of the area. In addition, the layouts of these resettlements often resemble a military barracks, and again, had no bearing on local cultural traditions. Thus, the cultural needs of the affected groups had been ignored, and there was no understanding of the connection between housing and psychological well-being.

There was also a failure to realise that many of the affected people would opt to stay with friends or relatives in the immediate post-disaster phase. In fact, many people in these circumstances, when asked, listed employment (i.e. a means of livelihood) and rebuilding of infrastructure as priorities rather than emergency shelter. Thus, the perceived need was not consistent with the actual needs identified by the affected populations.

2. Misallocation of resources: Resources in post-disaster situations are precious, and it is therefore serious when funds and manpower are diverted into projects that do not succeed. Many post-disaster projects become extremely expensive, much more so than is necessary. The result is a lack of resources for other important post-disaster relief and rehabilitation projects.

For example, in the cases discussed above, the importation of pre-fabricated housing into a disaster area is an incredibly costly undertaking. The alternative to this is to use local materials or re-use materials for damaged or destroyed buildings in the disaster area. This is not only less expensive, but it serves to stimulate the local economy, and the structures built are more likely to be of the local traditional style, therefore addressing the psychological needs discussed above.

In the planning stages of a project, understanding the broader needs of the situation in terms of resource allocation can reduce the possibility of a misallocation of those resources.

For example, after the 1985-86 floods in Bolivia the reconstruction project included research into local building techniques and materials and a testing phase to try out the techniques. The result of this planning was an increase in cost-effectiveness and a sustainable allocation of local resources.



Women carrying soil to a building site. The use of indigenous building materials is an important way of maintaining cost-effectiveness.

- 3. Understanding the situation dynamics:** This is especially important in post-conflict circumstances, but relates to all post-disaster situations. The situation in which a project is going to be implemented is not a static thing, it is always changing. There will be many factors affecting the project - both directly and indirectly - its design, implementation and outcomes. Mapping out all of these specifics - what the issues are, who the main actors are, what power dynamics exist between them, and so forth - is a crucial exercise when planning any post-disaster project.

Such a mapping exercise will facilitate a better understanding of the situation, and can illustrate both opportunities and challenges that may face the project. This exercise can be especially useful for local authorities as it enables them to step back and take a broader view of the circumstances.

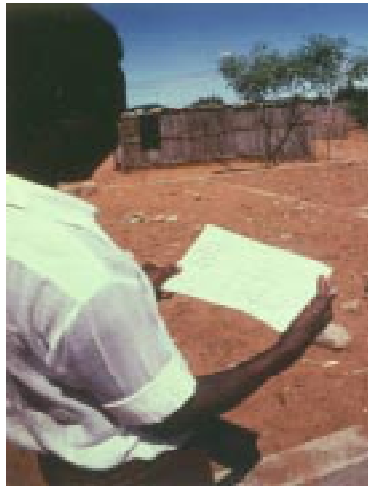
For example, in a post-conflict situation such as Afghanistan, having a clear understanding of the power balances, the local tensions and the key actors and issues is paramount when preparing programme strategy. This understanding not only provides a broader perspective on the programme's context, but will also illuminate possible barriers and opportunities. The issue of trust in Afghanistan was identified as a key concern, both among local groups and between local groups and outside organisations. With this understanding, UNCHS (Habitat) was able to plan programmes that addressed this mistrust through contracts between local groups and UNCHS (Habitat) to promote transparency, and through joint neighbourhood initiatives to rebuild trust among local populations.

4. **Short-termism:** Another reason that projects do not succeed is the failure to place the specific project in the broader context of post-disaster rehabilitation. Often, in post-disaster situations, the focus of the project can be very specific - for example, the provision of shelter or the rebuilding of roads. However, these specific issues are connected in the broader environment of the post-disaster situation and the long-term development of the area. To put it another way, a project cannot exist in a vacuum. It will affect, and be affected by, the broader context of post-disaster rehabilitation. It is therefore important that a programme be designed within this long-term context, thus building these broader goals into the project itself.

The role of local authorities in the long-term development and rehabilitation of their communities after disaster is central. The pressure on them to enact short-term solutions to deal with the effects of the disaster need to be tempered with an understanding of the longer-term issues.

Taking the emergency shelter example once again, the importation of costly emergency housing addresses only the very short-term needs of the population. The needs, identified by the affected populations pointed to a desire for long-term focused solutions. These people are concerned about their futures, even more in many cases than their immediate needs. Will they have a means of livelihood? Will they have a permanent place to live? Will their lives be better in the long-term after the disaster? How will they be living a year from now? These are the types of questions that affected communities are asking, and these are the types of questions that need to be addressed by successful post-disaster programmes, both in the short-term and long-term. Thus, the creation of programming that, for example, allocates resources towards emergency shelter could be better spent designing programmes that focus on building of earthquake or flood-proof housing with local materials and labour, thus creating a long-term preventative solution, and providing means of livelihood for some, and stimulating the local economy.

5. **Capacity vs. dependency:** The issue of dependency is particularly acute in post-disaster cases. Many projects in such situations bring in the resources (funding or expertise) necessary for the emergency relief phase after the disaster, however once the immediate need is gone, that expertise or funding goes too. This perpetuates a dependence of the affected communities on aid and relief projects, rather than fostering the development of local capacity so the affected communities may become self-sufficient.



The teaching of disaster resistant building techniques, for example, is an important way of building capacity in post-disaster situations.

Building on the previous example, by bringing in pre-fabricated housing, this project provides no technical training, no capacity building within the local communities. In addition, by importing the materials, this project does nothing to rebuild the local economy. Thus, the local community is a passive recipient in the aid process, rather than an active partner.

In the UNCHS (Habitat) programme in Northern Somalia, the primary objective of the programme was the creation of capacity within local administration to plan, implement, manage and monitor the physical reconstruction of the city. By taking a capacity centred approach, the programme addressed the causal issues behind the development of the region, and avoided the trap of aid-dependency.

6. **Accountability:** The issue of accountability is closely linked with the first factor affecting programme success - not addressing the needs of the local communities - but it does bear separate examination. When projects are not connected to the area in which they operate - i.e. not staffed by local people, no use of local resources, etc. - they also do not have to be accountable to the local populations regarding their impact. This distance helps to perpetuate the cycle of failed projects, as the lessons from each project are not passed on to the next.

The view of the affected groups as passive recipients of aid also impacts the level of accountability, as they are not seen as partners to whom the project must answer with regard to its success or failure.

In the emergency shelter example, the housing is erected, and the project staff leave the area, leaving behind the housing, but with no accountability to the local population.

Box Two:
Addressing Accountability in Post-disaster situations:
The Humanitarian Accountability Project*

The Humanitarian Accountability Project is being established in response to the need "that accountability to the rights for beneficiaries must be strengthened"

This project illustrates the need for greater accountability in post-disaster programming, and also highlights the difficulties involved in putting the theory of accountability into practice. This project is a particularly interesting example as it specifically addresses post-disaster situations.

The first phase of the Project is a pilot stage where test projects are designed to answer certain practical questions about the issues of accountability.

One of the key questions it examines is:

"How will such a function adapt to natural disasters versus complex emergency situations? Most importantly, how will it be able to quickly deploy in a rapid-onset emergency situation?"

*To learn more about the Humanitarian Accountability Project, visit the website at www.oneworld.org/ombudsman

7. **Quality assessment:** Without built-in assessment mechanisms, these projects cannot learn from past mistakes and determine where they have gone wrong. Evaluation can also help to avert problems in programming and point projects in the right direction if they have gone off track. A lack of evaluation mechanisms disconnects the web of post-disaster projects generally - not just from the local groups, as discussed above - but from other projects, as they cannot learn from other projects' mistakes if the lessons are not being examined and recorded.

In the emergency housing example, the pre-fabricated shelter is brought into the area, the project ends, and the project staff leave, without having assessed the level and type of impact of the project. Therefore, the lessons were not learned from the project and the mistakes will likely be repeated in the future.

How Can These Issues be Addressed?

OPERATIONAL PROGRAMME FORMULATION

These factors are all closely connected to one another, and are all related to the way in which a project is designed. The needs and capacity of the affected populations must be a top priority in project design, yet these can only be understood if there is a full comprehension of the post-disaster situation and its dynamics. This broader understanding of the situation will also help to place the project in the larger context of the long-term development and rehabilitation of the area. The project design, empowered with this knowledge, is also in a better position to assess the allocation of resources and the possibilities for mobilisation of local resources to enhance the cost-effectiveness. Finally, this understanding will allow for accurate, quality assessments of the project.

Effective project design must take each of these factors into consideration as the building blocks of a successful project. The project design provides the skeleton of the project. Without a sound design strategy, the project will be unable to overcome the obstacles described above.

Operational Programme Formulation (OPF) is a method of designing programmes that will address these issues. The OPF format emphasises the creation of project design within the larger framework of post-disaster programme strategy. It is a carefully structured, step-by-step method that will ensure that a project is created with the maximum understanding of the prevailing situation and the long-term needs and strategies. It helps build into this blueprint the capacity for accurate and effective evaluation of the project. In short, by following the OPF method, these obstacles can be overcome.

Guidelines for Post Disaster Programming

These guidelines are based on the issues and the solution that have been identified. These are useful to keep in mind when preparing post-disaster programming:

1. More than just houses...

There is a tendency after a disaster to focus on the tangible costs and to try to employ concrete solutions. Counting the houses destroyed and planning emergency shelter for that number of families may seem like a logical and measurable first step to take when facing a post-disaster situation. However, there are many more intangible issues closely linked to the provision of shelter that must be addressed. The reconstruction process has potent psychological effects on the population that cannot be underestimated.



For example, in the reconstruction projects in Afghanistan, the tangible objective was the re-establishment of basic services and the rebuilding of roads and other infrastructure. However, the issue of trust between communities was an obstacle to both the short-term and long-term rehabilitation. This was taken into consideration in project planning. One neighbourhood applied to the UNCHS/UNDP programme for assistance in removing the rubble and debris from its streets. Another neighbourhood had made an application for assistance with filling their potholes. The project design brought the two neighbourhoods together to help one another - moving the debris from the streets of one to fill the potholes of the other. The result was not only the achievement of the tangible objectives, but also the re-establishment

of trust between the two areas.

2. All Issues are Interrelated.

The importance of understanding the interrelated nature of post-disaster issues is described as:

action on any front alone is not likely to work. For example, addressing economic inequalities without widening access to political participation, or conversely, or attempting to 'educate' people to change their views of identity with changing the underlying inequalities among groups.¹

This guideline builds on the first, as it is clear that all of these issues affect, and are affected by, one another. Therefore a project cannot be designed in a vacuum. Rather, it must be built with an understanding of the entire situation, and the different factors involved.

3. Emergency is Saving Lives, Rehabilitation is Saving Livelihoods:

Using resources to administer immediate relief without consideration of the long-term effects of the disaster not only misallocates resources, but also ignores the interrelated nature of the post-disaster issues.



Studies have shown that victims list land, employment, infrastructure, and access to the means of reconstruction as their key priorities. Thus the needs identified by the affected groups point to more long-term strategies of rebuilding, and of the creation of capacity for their involvement in the post-disaster rehabilitation.

There is also evidence that the involvement of local organisations and government, and the empowering of the affected communities, is much more effective than the transplanting of outside organisations to deal with the problems. This is also closely connected to the concern over the creation of dependency on the donors in the affected society. The building of capacity, through the involvement of the affected groups in their long-term rehabilitation must be a guiding principle in any post-disaster reconstruction programme.

4. Disaster = Opportunity

In the wake of the trauma of war or natural disaster, it is natural to focus on the costs of the crisis, and overlook the opportunities that arise in times of upheaval. The crisis may bring together different groups previously at odds with one another. It may allow for women to play roles in the society that were previously off limits to them. It may allow for groups to develop preventative measures for future disasters.

For example, in post-conflict situations, many widow's groups come to play a prominent role in the rebuilding of their communities, and in so doing, increase the status of women in their societies. It may allow for groups to develop preventative measures for future disasters such as the building of earthquake resistant housing, or building of capacity among local authorities to address such crises in the future.

5. Build Capacity not Dependency

The issue of post-disaster programming must be viewed within the context of development programmes more generally, as has been discussed above. It is therefore crucial for both the sustainability of the projects, and the long-term recovery and development of the affected populations that any programmes undertaken are done so with a clear mission of capacity-building.

For example, in a post-earthquake situation repairing housing and shelter, without teaching local groups how to build earthquake resistant structures, does little for the long-term preventative capacity of the community.



Capacity, in the long term, not only ensures the sustainability of the projects, and enhances development opportunities of the communities, but it will prove cost-effective as well.

As communities become more and more able to deal on their own with the bulk of the post-disaster issues, the costs incurred by donors will

diminish.

6. Projects Should be Evaluation Centred

Projects that have no mechanisms in place for assessment of the effectiveness and impact of their interventions become isolated. They are unable to determine whether they have been successful in attaining their stated objectives, or even if they have had a negative rather than a positive impact on the situation. By neglecting evaluation, projects also condemn future projects to a level of operational blindness, as they are unable to learn from the mistakes of past projects.

Evaluations also assist projects throughout the project cycle, as they help to determine whether the project is effecting the desired changes, and if not, what can be done to put the project on track.

GUIDELINES

This page is designed as a pullout and reference for use throughout this guide, and when designing programming in the future. At each step ask the questions from each guideline to make sure that they are being followed.

1. MORE THAN JUST HOUSES...

- Are both tangible and intangible costs being addressed?
- Will there be a positive impact on the psychological well-being of the affected populations?

2. ISSUES ARE INTERRELATED.

- How does each factor affect the others?

3. EMERGENCY IS SAVING LIVES, REHABILITATION IS SAVING LIVELIHOODS

- How does the project impact the long-term development goals of the area?

4. DISASTER = OPPORTUNITY

- What opportunities can be found?

5. BUILD CAPACITY, NOT DEPENDENCY

- Are the projects and activities enhancing the capacity of the local populations?

6. PROJECTS MUST BE EVALUATION CENTRED

- Can each aspect of the project be evaluated?
- Is the evaluation system built into the project?



PART B

OPERATIONAL PROGRAMME FORMULATION

Operational Programme Formulation

The Importance of Programme Design

Design is the project's skeleton: As seen in the discussion of why projects fail or succeed, the design of a programme is central to its effectiveness, it is the blueprint of the project. All projects operate with a set structure, and to effectively design a project, the design process must also follow a set framework.

Design is a flexible and continuous process: This framework must be flexible, and allow for planning to be a continuous process throughout the project cycle, for as the situation changes, the programme must be able to change with it.

Design will shape the project's impact: Project design encompasses more than merely a determination of cost-effectiveness and timeliness. The design will shape how the project relates to the environment it is trying to change. A project does not exist in a vacuum. It is closely connected, not only to the situation around it, but to other projects and programmes, both present and future.

Design places the project in the broader development context: As has already been discussed, the long-term issue of development in disaster-prone areas is a key consideration in post-disaster planning. Successful programme design will assist in co-ordinating the short-term projects with these longer-term goals.

Design impacts funding opportunities: Local authorities in disaster prone areas are forced to cope with limited funding at the best of times, but in post-disaster situations, the resources are particularly scarce. Programme design can address this challenge as donor organisations place a great deal of importance on an effective project plan. It demonstrates that the project has been carefully mapped out with full consideration of the obstacles and opportunities.



PART B

What is Operational Programme Formulation?

Operational Programme Formulation is a method for designing programmes with maximum emphasis on the broader context of post-disaster relief and development.

The purpose of Operational Programme Formulation (OPF) is to assist practically in building a strategy for designing programming.

This is an important tool in times of stability, but is even more so in times of crisis and post-crisis. The factors affecting a society in a post-disaster situation influence one another in many ways. As a result, there is a need to look at the bigger picture in terms of strategy for the programmes to succeed.

The OPF format is designed to assist practitioners in creating strategy with the broadest and most accurate picture of the current situation. This is achieved by building a conceptual framework of the objectives, issues, problems and possible solutions to a situation. It helps to identify the needs, the capacity available to address that need, and the best methods to achieve that goal. From this point, designing of programmes that will overcome the reasons for failure outlined in the introduction can begin.

Why Use OPF?

Structure: One of the defining characteristics of a post-disaster situation is the absence of structure. The institutions and infrastructures that are normally present are either partially eroded or totally destroyed. Post-disaster planning must therefore attempt to re-establish structure in a useful way, but at the same time must operate in something of a structural vacuum. For local authorities trying to re-establish order in the wake of a disaster, having structure in their project design is particularly important.

Flexibility: The uncertainty inherent in post-disaster situations also requires flexibility in programming. The situation dynamics can change quickly and programme designs must be able to respond to these changes. OPF allows local groups to respond to these changes while still maintaining the programme structure.

Psychology: On a psychological level, this insecurity also has an effect, not only on the affected populations, but on the local practitioners attempting to deal with the issues. Creating an understandable framework within which programmes can operate will make the post-disaster period easier and make the programming more constructive.

OPF: In light of these uncertainties, OPF provides a useful framework to create strategy for programmes designed to rebuild and rehabilitate these structures. It is both structured and flexible, and emphasises an understanding of the broader issues, both of the particular situation, and of post-disaster programming.

It is important to note however, that OPF is just that: a framework. The idea is to provide a useful format for programme planning, not to superimpose general strategies onto specific situations.

Box Three:

Planning in Post-conflict and Post (natural) disaster situations:

One of the specifics that should be highlighted is the difference between post-conflict and post-disaster cases. This is an important distinction to make, as there are certain factors unique to each that will impact how the situation assessment is undertaken. The following text gives a breakdown of post-conflict and post natural disaster situations.

Post-conflict planning:

One of the key differences in post-conflict situations is the duration of the crisis. Many wars carry on for decades, and the level of destruction that they leave behind has much deeper roots than that of a quick onset disaster. The infrastructures have not only been destroyed, but the mechanisms for running them have been forgotten and/or replaced by military or military type systems.

Another issue in post-conflict cases, and perhaps the most challenging, is the issue of trust. Unlike a natural disaster, where the enemy of the people is nature, war pits neighbours and neighbourhoods against one another. This culture of mistrust is deep-seated, and cannot be expected to fade away with the end of the violence. It must be addressed and overcome. It is also not only confined to the relations among the affected populations. It will spill over to impact any outside groups that become involved in the post-conflict rehabilitation. Not only will groups be less inclined to trust outside organisations, but determining local partnerships will be much more difficult as there is the risk of alienating other segments of the population

The issue of reconstruction also becomes highly politicised in post-conflict situations. Balances of power are generally fragile and involvement in reconstruction programmes can be misused as a means to increase power.

The issue of safety is also a primary consideration in post-conflict situations. Concern over the re-igniting of hostilities, and the possible effects of humanitarian relief and development work on this less than stable balance.

Thus, the designing of programme strategy in post-conflict circumstances is much more complex than in other post-disaster situations. The rebuilding of trust will lay the foundation for long term peace in conflict affected areas, and therefore, any post-conflict programming must view this as a primary consideration. The power dynamics must be carefully weighed to ensure the project does not have a negative effect on the peace and stability of the region.

Post (natural) disaster planning:

One of the main issues that arises in the wake of a natural disaster is the need to attempt to prevent such occurrences in the future. Disaster prevention and mitigation must be foremost considerations when preparing post-disaster programmes after a natural disaster. It is for this reason that the programmes undertaken after the disaster must be co-ordinated with the longer-term development and prevention efforts in the area.

Planning for natural disasters can be more difficult than in post-conflict situations when it concerns a fast-onset disaster. Fast-onset disasters include floods, landslides and earthquakes, and are characterised by their suddenness. The planning of post-disaster programmes in the wake of such sudden destruction can be difficult as the tendency is to focus on the emergency relief efforts without giving ample weight to the long-term rehabilitation of the area.



PART C

THE OPF FORMAT

The OPF Format



PART C

Below is a brief outline of the format of OPF. This resource guide will outline each of these steps in detail to assist you in feeling comfortable using the OPF framework.

- ❖ Step 1: Overview of the situation
- ❖ Step 2: Outlining of the Programme Objectives
- ❖ Step 3: Determining Programme Strategy
- ❖ Step 4: Identification of the Principal Objective
- ❖ Step 5: Identification of the Immediate Objective
- ❖ Step 6: Identification of the Primary Output
- ❖ Step 7: Activities
 - Activity 1: Assess the needs
 - Activity 2: Assess the technical options
 - Activity 3: Implementation
 - Activity 4: Evaluation

Step One: Overview of the Situation

This overview will provide the cornerstone of the OPF format. It will act as the basis upon which objectives are decided and an implementation strategy is formulated. It is the first step in the process, as there must be a clear picture of the circumstances within which the project will operate. However, the overview should be continually reviewed and revised throughout the planning process as the situation changes.

This may appear fairly straightforward and commonsensical, but it is often more difficult than it appears. It is incredibly important to ensure that any overview of the situation is complete, taking into account all the different actors involved, the possible factors affecting the issues, the cultural considerations, and the current circumstances surrounding the problem.

This is often a good step to be taken collaboratively, gathering information and views from the different organisations working in the area and with the affected populations wherever possible.

Conducting a thorough overview of the situation will in itself begin to address some of the challenges identified. It will facilitate an understanding of the situation dynamics, and will also increase the capacity for accurately assessing the needs of the local population. The issue of accountability is also affected by the process of creating a situational overview as the process itself will help to connect the programme to the local community.

There are a number of sub-steps involved in creating an overview of the situation. Below is an examination of each of the main factors for a complete situational assessment.



STEP ONE

Assessing the Disaster: In order to understand the circumstances of a post-disaster situation, there must be an understanding of the type and magnitude of the disaster. This is generally the first step taken in post-disaster planning, yet it is crucial to remember that it is only one step, and an understanding of the disaster itself does not give a complete picture of the post-disaster situation.



For local authorities, this is an opportunity to build an index of the tangible costs of the disaster - lives lost, houses damaged or destroyed, level of damage to basic infrastructure (roads, sanitation, water etc.). It will assess the condition of the local environment, including any industrial hazards in the area.

This will provide a concrete backbone in the process of determining programme objectives, outputs and technical options. However, it should be considered in close connection with the other factors in this overview as they represent many of the intangible issues that will arise as a result of these tangible costs.

The type of disaster will have a major impact on the type and level of damages to the affected populations. For example, in a post-conflict situation, where the disaster has been a long and drawn out one, the erosion of necessary infrastructure, and the skills needed to operate it, will be much more severe than in a fast onset disaster, such as a flood or an earthquake. As chronicled in Box Three, there are many key differences between post-conflict and post-disaster situations, and these characteristics must be identified at the outset of a post-disaster programme.

Identification of the Key Actors: This is a crucial step as an understanding of the important actors gives an insight into the dynamics of the situation. These actors may have changed from the pre-disaster situation, as the disaster may bring previously unrecognised groups to the forefront.

It is important to identify those groups that will benefit from the programme at an early stage in order to ensure the fullest possible participation of these groups. This is also important as the programme should be run through an existing institution wherever possible. Identifying the key actors, who may include relevant institutions, will assist in this process.

These actors will change depending upon the particular issues involved in the programme. For example, the important actors in terms of economic infrastructure can be very different than those involved in social programmes.

Below is a short description of some of the main actors in post-disaster situations, and the issues and opportunities identified with each one.

❖ Local Government - The local government is extremely important in post-disaster situations as it is generally one of the best-equipped institutions, but unlike central government, it is better able to be directly responsive to local needs. Thus local government is more accountable to the population than the national government can be.

However, local government may be limited, especially in post-conflict situations, where the government itself can be a source of mistrust within the population. The credibility of the government is therefore a key consideration, and if it is found to be absent, taking steps to re-establish it should be a primary consideration.

It is also important to understand the dynamics between local and central government - if there are any feelings of competition over regional resources and so forth.

❖ National Government - The national government is a key institution, especially in terms of mobilising resources within the country itself. One of the limitations of the central government however, is that it can often be distanced from the local needs of the population, and may not allow enough delegation of responsibility to its local actors in the region. For example, often central governments will disburse resources to their local ministries, without building capacity among these institutions. Thus, the resources were not as effective as if they had focused on creating capacity so that they could delegate the responsibility for the issues to the local governments.

The issue of credibility again arises in terms of the central government when dealing with post-conflict situations. Again, re-establishing credibility is a primary consideration, but the focus should initially remain with the local government.

❖ Community Based Organisations (CBO's) - CBO's encompass women's groups, trade unions, and any broadly based organisation within the local community. They are generally less institutional than government structures, which can prove to be an advantage in post-disaster situations. When other institutional structures are failing, the informal structure of community organisations can mean that they are more adaptable.

CBO's are incredibly important, as they represent a broad grassroots base within the local population. They can be more accountable than local government, however, they can also be representative of a particular interest in the community.

❖ Non-Governmental Organisations (NGO's) - NGO's are usually the most visible in post-disaster situations, as they are the first outside agencies to become involved in the relief and rehabilitation efforts. Many NGO's, like CBO's, have the advantage of being less institutional than government and bilateral/multilateral agencies. NGO's will often work in partnership with local government or CBO's, which allows for both flexibility in their programming, and accountability to the local population.

❖ Multilateral/Bilateral Agencies - The importance of such agencies stems primarily from the amount of resources (both financial and technical) that they are able to bring into post-disaster situations. Generally, these agencies will operate in partnership with the local or central government. Though these agencies are able to bring a great resource base to a post-disaster situation, they often suffer from a lack of accountability to the local population.

❖ Beneficiaries - The affected populations should also be considered as a key actor in the post-disaster stage, rather than as passive recipients. Including the local populations as active partners in the post-disaster programmes will help to ensure that their needs are as fully met as possible, and that there is a sense of ownership of the projects among the stakeholders. Understanding the capacity of the beneficiaries is also important for developing successful programme strategy.

In each particular situation, there will be a different combination of actors and dynamics. The above outline gives a brief idea of some of the main actors that will be involved in most post-disaster situations. It is crucial to examine each specific situation, considering the above categories, and determine how they affect the situation, what their strengths and limitations are, and what dynamics exist between them. With this understanding the strengths of these local groups can be maximised, and obstacles arising from these dynamics can be avoided.

Institutional Mapping: By mapping out the landscape and identifying the key actors, an institutional map of the situation is already coming to light. Institutional mapping will entail making an inventory of the institutional actors in the region, and then creating a profile of each organisation that answers the following questions:

- ❖ How long has the organisation existed?
- ❖ What is the organisational structure?
- ❖ What is the organisation's mandate?
- ❖ What are the organisation's general activities?
- ❖ Who does the organisation work for? (government, private enterprise, grassroots, etc.)
- ❖ Which other organisations does it work with or have ties to?

Using these questions as a guideline, a map can be created with profiles of the key institutions, and a view of how they operate in relation to one another. This mapping exercise is important for understanding the environment in which the programme is going to operate. This map can be used to identify possible weaknesses in the institutional environment, and will help to determine in advance possible obstacles to programme implementation. This will also help in identifying some of the possible needs of the population and will help determine potential local partners.

Box Four: The Importance of Community Participation:

When identifying the local actors, possible project partners must also be specified. There will be beneficiaries identified for the programme, those groups who will benefit directly from the project outputs. However, the project will require the participation of many of these groups in order to be successful.

Why is community participation so important for a programme's success? The reasons are outlined below:

- ❖ Provides a communication channel and ensures that the needs of the local community are being heard and addressed by the programme
- ❖ Reduces social tensions in post-conflict areas
- ❖ Allows for a different approach to the issues - i.e. a community based perspective rather than a financial or technical one.
- ❖ Assists in trust-building between local groups and government, between local groups and the implementing agency, etc.
- ❖ Promotes a sense of collective identity in the local population
- ❖ Creates a feeling of ownership of the project by the local population
- ❖ Encourages transparency in programming
- ❖ Facilitates public exchanges between different social and political groups in the community.

Hence, it is extremely important to involve the local community at all levels of programme formulation. The encouragement of transparency is a key tool in establishing trust with the affected populations, particularly in post-conflict situations.

Local ownership of the programme ensures that the people have a stake in the programme's success. Involving the community will also enhance the understanding of the current situation - the dynamics between groups, the cultural undertones, and so forth.



The issue of local participation, of consulting with the affected groups, will be mentioned time and again throughout this guide. It is a very important issue to keep in mind, and is a benchmark of any successful post-disaster project.

Mapping out the Territory: Defining the territory of the programme is very important for a number of reasons. It identifies the most useful framework in which to undertake the programme (i.e. at the national, regional, or municipal level). It helps in identifying the key actors (see previous section). It will facilitate an understanding of the power dynamics at work. It will also help to set boundaries to a programme to avoid the programme taking on too broad a mandate.

Especially in post-conflict situations, the scope of the territory of a specific project can be a political issue. It is therefore important to determine clear boundaries at the outset. Defining the territory will also help identify who the key actors will be. For example, a project focusing on the reconstruction of sanitation services in a town or city will deal primarily with municipal governments, whereas a project encompassing a district would deal with regional or national governments as well.

The scope of the territory for a project will depend on the resources (time, funding, human power) available for the project, the needs of the affected area, the political situation, the existing infrastructure, as well as other factors that will arise while conducting the assessment.

For example, to plan a project to build flood resistant housing in low income areas, it may be decided, based on needs, to focus primarily on rural areas rather than both rural and urban areas. Resources might further limit the project to a particular district, while the lack of existing infrastructure in the area might make determine a focus on only one set of villages. In such a defined territory it might be easier to adequately train locals in the techniques of flood resistant construction, thereby making the project more sustainable and building local capacity.

Assessment of Needs: The situational assessment is being conducted in order to determine the objectives of a possible programme. This assessment would therefore not be complete without a thorough understanding of the needs of the affected populations.

As seen in the example of emergency housing in Part A, when the needs of the local communities are ignored or assumed, this in itself can lead to project failure. Therefore, an appraisal of the needs must be conducted at the outset, and mechanisms put into place to ensure that the project does in fact address these needs when it is implemented.



Needs assessment is not always an easy factor to accurately determine. The best way to establish the needs of the affected population, naturally, is to ask them. However, this is not so simple. Interviews and discussions with local populations is difficult and time consuming, even more so in areas in crisis. It is therefore unlikely that needs identified by each

person affected by the disaster could be accurately ascertained through such interviews. It is therefore necessary to have a strategy for needs assessment.

The determination of needs in a post-disaster situation will operate on several levels:

- ❖ **Overall Objectives:** It is important to assess the overall needs of a population in the wake of a disaster to decide what types of programmes should be implemented in a broad sense.

- ❖ Specific Objectives: It is then necessary, once the overall goals of the programme have been established to meet this broader set of needs, to look more closely and assess the more specific needs. This will help to determine what the more specific goals of a project will be.
- ❖ Outputs: Once this is decided and the more practical outputs of the project are being considered, it is again important to evaluate the needs in this specific context.

Thus, the issue of needs assessment will arise throughout each step of the programme design. This is also important as a continual focus on the local needs will ensure that the needs identified in the first stage remain relevant as the project design progresses.

Assessment of Opportunities: The purpose of creating a situational overview for project planning is to help demonstrate how a project should best proceed through the identification of the problems and the various avenues for action. This would involve a picture of the damages and needs of the affected groups, but it would also include a perspective on the opportunities afforded by post-disaster situations.

In the upheaval after a disaster, new partnerships can be formed. The changes and acute needs brought on by crisis can help to relax traditional limitations on certain segments of the population (for example women or ethnic minorities) and allow them greater access within the society. These changes can serve to empower local groups and allow connections and strategies to emerge. These opportunities should be identified and capitalised upon.



Case Study: Conducting a Situation Assessment: The Case of Kyrgyzstan

The Republic of Kyrgyzstan is a land-locked country in central Asia suffering from a number of natural disasters, most commonly landslides.

In 1995 numerous landslides killed 115 people and drove 27,000 from their homes. In order to plan for relief and rehabilitation programmes for these areas, a situational assessment of the Kyrgyz Republic and the affected areas must be undertaken.

Assessing the Disaster - The landslides in the regions of Jalal-Abad and Osh affected a great many people, as much of the population lives in areas prone to landslides. Therefore, the 27,000 displaced persons were not the only consideration in assessing the scope of the disaster. Of those 27,000, many had their houses destroyed, and many fled the area as it was unsafe to remain. As the area is predominantly rural, the impact on agriculture and the means of livelihood for the affected populations was severe. The weather conditions in the region are also severe, and therefore in this case some form of temporary shelter should be considered a priority.

Mapping the Territory - The Jalal-Abad and Osh regions were the hardest hit in the disaster, and remain at the highest risk of further landslides. 75% of the populations of these regions live in areas at high risk of landslides.

Identifying Key Actors - The national government of Kyrgyzstan's Ministry on Emergencies and Civil Defence (MECD) is the chief institutional body dealing with disasters at the national level. The Ministry of Architecture and Construction (GOSTRY), also a national ministry, operates through regional and local offices and is also central to the reconstruction process. The local authorities are also very important as they are the autonomous bodies with control over their own budgets, and are elected by the local populations.

Institutional Mapping - The main weakness of the Ministry of Architecture and Construction is the delegation of tasks to the local levels without the requisite resources, both technical and financial. The Ministry also does not have the budget necessary to fund the reconstruction programmes as they currently stand. The agreement between national and local governments is that the local governments will bear some of the reconstruction costs, however this has not happened as of yet.

Assessment of Needs - The first need identified by the local communities was a reestablishment of their means of livelihood. Resettlement issues are not only related to construction of houses, they are much more concerned with jobs and employment, means of livelihood, socio-cultural values, and the role of the state as it gradually changes from provider to facilitator and enabler. The role of local government becomes much more important because they are given considerable authority for the development of their own areas and communities. The biggest challenge for the local government today is how to finance their development programmes including resettlement and rehabilitation of families affected by natural disasters in their respective areas. In the existing context, local authorities have to depend heavily upon central administration for their budget, and it is found that the actual amount received by the local government is greatly reduced from the traditional level of expenditure.



TOOLS

Below are four exercises to assist in creating an overview of a specific post-disaster situation. The first exercise focuses on analysing the project territory and actors through an examination of these two factors in combination. The second exercise focuses on creating an understanding not only of the actors involved, but of the dynamics between them. The third and fourth exercises are more general, and are designed to help assess the situational overview without leaving out any important factors. These exercises build upon the situational assessment just discussed, but each goes about it differently in order to help tackle the assessment from all angles.

It is important to use these tools in association with local groups wherever possible, as this will assist in building partnerships and understanding between the implementing organisation and other actors in the community.

TOOLS



Identifying the Actors - The Actors' Dynamic Exercise

This exercise helps not only to identify the actors involved in the current situation, and those that will have the greatest level of impact on the project, but it also identifies the dynamics between various actors, and between the actors and their environment. This is crucial as it is inaccurate to view the actors as passive components of the overall environment, rather they should be seen as dynamic factors with great influence over the direction of the project.

Step One: Actors -

- .. Identify the key actors
- .. Determine the balances/imbbalances among private/ public, local/ regional/national actors
- .. Determine why these balance/imbbalances exist - i.e. due to absence or over-representation, concentration or distribution of the actors or mitigating factors.

Step Two: Factors -

- .. Identify the key factors
- .. Determine the balances/imbbalances among private/ public, local/ regional/national
- .. Factors
- .. Determine why these balances/imbbalances exist

Step Three: Dynamics -

- .. Identify the time frame for the project
- .. Determine the influence of the key actors and factors on the time frame
- .. Analyse the expected dynamics (i.e. causes and constraints)

At the conclusion of this exercise, you should have a better view of the dynamics of the situation: what a realistic timeframe will be, what actors and factors will affect the implementation of the programme within this time frame, and how best to deal with these constraints, should they arise.



Analysing the Territory and its Actors

What are the aims of this exercise?

- To determine and characterise the forces that influence the territory, existing or possible synergies, and existing or possible opposition
- To identify the capacity for joint management and the respective competencies in such a manner that activities can be carried out and a positive local dynamic can be fostered during project execution. This helps to strengthen local institutions and therewith local management capacity for the medium- and long-term
- The analytical combination of
 - A. key factors that influence the evolution of the territory
 - B. conditions at a local and national level; and
 - C. core ideas of the programme proposal, which need to be linked closely with the formulation of strategic initiative, as well as the use of basic resources.

MAPPING THE PROJECT TERRITORY

| DESCRIPTION OF THE TERRITORY | DYNAMICS OF THE TERRITORY |
|---|---|
| The basic characteristics of the territory | The dynamic between the key actors |
| <ul style="list-style-type: none"> • Population • Life Expectancy • Infrastructure • Economic activities • Mapping | Institutional Actors - <ul style="list-style-type: none"> • Local groups • Associations • Central Administration • Economic Organisations • Churches |
| | Leaders - <ul style="list-style-type: none"> • Political • Administrative • Economic • Interest Groups |

OBSTACLES AND POSSIBILITIES

- What are the risks?
- What are the opportunities?

CAUSAL FRAMEWORK:

- What factors have influenced the present situation?
- Why does the territory look the way it does?



Situation Dynamic Checklist:

This checklist is designed to help define the underlying political, economic and social context of the situation, and assists in determining the best allocation of resources under the circumstances.

Such a framework is best used in collaboration with local groups and government, and is useful as both a process and a final product.

1. What is the prevailing situation?
 - a. What is the prevailing social environment?
 - b. What is the prevailing political environment?
 - c. What is the prevailing economic environment?
 - d. What is the prevailing security environment?
 - e. What have been the significant recent events (i.e. the return of IDP's) and how have they affected the prevailing situation?
 - f. What has been the government response?
 - i. Policy?
 - ii. Governance?
 - iii. Infrastructure?
 - iv. Economy?
2. What are the prevailing risks? (in a post-conflict environment)
 - a. Are there realistic political arrangement in the works to end the conflict?
 - b. Is the security such that an atmosphere conducive to reconstruction activities is possible?
 - c. Is the role of external assistance at present playing a positive role in ending the violence and tensions?
3. What is the planned programme response?
 - a. What are the programme objectives, the principal and immediate objectives?
 - b. What are the programme areas specifically in need of outside support?
 - c. What framework presently exists to achieve the programme objectives? (i.e. what institutional framework (if any) is in place for the provision of food, shelter, sanitation services and so forth?)
 - d. What are the budget requirements and how will it be allocated?

4. What are the prerequisites for programme success?
 - a. What are the basic components necessary for programme success?
 - b. How will successful implementation be measured? (indicators, etc.)
 - c. What is the current capacity level of the community and local groups with regard to the programme?
 - d. Has the role of women in reconstruction been considered and emphasised?
 - e. How can short-term and long-term objectives be co-ordinated?
 - f. How can dependency be avoided?
 - g. Are the resources available to cover the total project costs?
 - h. What obstacles (if any) are foreseen?



Anatomy of a Post-Disaster Situation:

This exercise is more concerned with creating a picture from the perspective of the disaster itself. Thus, instead of focusing on the situation, and then relating that assessment to the disaster, this focuses on assessing the disaster and letting that inform the perspective of the situation.

The landscape of a post-disaster situation, regardless of the causes, contains a number of similarities: breakdown of social, political and economic order, human losses, physical devastation, emergence of new sites of power, new linkages between different groups, and so forth. The listing below provides a general template for the major factors in a post-disaster situation.

1. Human losses
2. Physical destruction of essentials - water, housing, sanitation, roads and other infrastructures
3. Breakdown of social, economic and political structures
4. Appearance of new strategies to deal with the emergency and reconstruction process
5. New distribution of power among remaining actors, emergence of new powers in the community (women's groups etc.)
6. Environmental degradation and the effects on local natural resources
7. Industrial hazards and risk of technological disaster

Use each of these headings to catalogue the costs of the disaster (both tangible and intangible) as well as the opportunities that have arisen from the disaster. This exercise should help to summarise and bring together all the information gathered for the situational overview into a usable model.

Step Two: Outlining of Programme Objectives

Based on the situation overview, it must be asked, what should this project, realistically, achieve? What changes to the present situation would be desirable?

For example, if designing a programme to re-establish basic infrastructure for affected populations after an earthquake, it would be necessary to lay down what the desired effects of the project would be. These can range from providing access to safe drinking water for all affected communities to ensuring that the project is sustainable and builds upon local resources.

When determining the programme objectives, there is a need to lay these out in a clear format, not only to ensure that the objectives are recorded and understood by the project staff, but to create a usable record for the local population, which will encourage transparency and accountability in the project. This is crucial as a good relationship between the different groups involved in a project will have a serious impact on the project's success. This also helps to avoid any unrealistic expectations on the part of the local communities.

Results Based Management Systems:

Results Based Management (RBM) is a way of designing and managing programmes which emphasises the objectives of the programme rather than its specific components.

By designing a programme using RBM, the evaluation focuses on the achievement of the objectives. In so doing, RBM shifts the evaluation focus from the rules, processes and procedures of a project, and puts them in the broader context of the overall objectives of the programme.

What are the basic principles of RBM? There are three key elements in designing an RBM strategy:



STEP TWO

- 1) An ongoing and systematic collection of relevant information based on pre-arranged indicators: (see following section for details on indicators)

This is important to consider when deciding on programme objectives as they will determine which types of information should be collected and what changes or effects of the programme will give an accurate indication of whether the programme is succeeding. This information must be collected regularly and in a systematic way that is consistent to ensure a complete and impartial picture of the programme results.

- 2) A clear understanding of the project goals and direction:

Having a clear vision of programme objectives is important to ensure that these objectives are being met. If they are not explicit and at the forefront of the programme implementation, the programme will be less successful at achieving them.

- 3) Mutually understood mechanisms for reporting performance:

Again, this consistency is very important so that all the evaluations are conducted in the same manner and all the conclusions can be usefully compared.

RBM sets out five key components to the project cycle, and highlights the importance of each in the evaluation process. These five components are inputs, activities, outputs, outcomes and impacts.

- ❖ Inputs are the primary resources put into a project (manpower, finances etc.).
- ❖ Activities will be affected by the inputs allocated for the project. For example, the amount of time designated for a project would determine the number of training workshops on earthquake proof construction that could be held.
- ❖ Outputs will be the direct results from the activities. Using the above example, the output resulting from the workshops would be the number of people trained in the workshops.
- ❖ Outcomes from the project are the broader results, which also stem from the activities. Again building on the same example, the outcomes of the workshops would be the building of local capacity in the field of earthquake proof construction, and a better ability for mitigating such disasters in the future.

- ❖ Impacts of a project take the outputs and outcomes and look at what the actual effect of these has been to the situation. In the example, the impacts of the project would be the level of disaster mitigation that was in fact achieved as a result of the workshops. This is an important step, as it would be possible to design this project, to carry out the workshops, have trained the local populations, and to assume that they were now in fact building earthquake-proof housing. If that is not the case, then the impact of the project would not measure up to the project objectives and the project would not have succeeded. However, if a project had not been examined in terms of impact, it could be mistakenly assumed that the project had been a success.

Thus, the RBM system highlights the primary objective as the central focus of programme management and evaluation. This is a useful strategy as the primary objective is intended to guide the programme. At the evaluation stage in the OPF format, it will become clear how helpful RBM is in connecting the evaluation to this objective.

TOOLS



Terms of Reference:

Preparing the Terms of Reference (TOR) for a programme or project is an important process, not only because it clearly outlines the parameters of the programme, and provides this framework in a useful manner to the local populations, but it is also a useful exercise in clarifying the programme boundaries, objectives and strategies.

It is important to establish a set of guidelines for preparing TOR's to ensure that the format remains consistent from project to project, thereby making it easier for different groups to reference past TOR's and compare them with current projects.

TOR's must be specific - statements such as "fulfilling development objectives" for example, are too broad. Instead, the TOR should focus the project objectives into a precise workable format.

The key issues and priorities of the project should be clearly stated in the TOR. This helps to outline the needs and expectations of the actors involved in the project.

TOOLS

Below is an example of the Terms of Reference of the UNCHS Habitat project in Bangladesh after the 1998 floods.

UNITED NATIONS CENTRE FOR HUMAN SETTLEMENTS (Habitat)

Terms of Reference of the Shelter Assessment Mission:

Background

Bangladesh has suffered a new event of flooding that has affected more than 30 million people in 52 Districts. As in previous cases, national authorities and the international community have striven to provide a rapid response to the emergency needs of the population. Discussions on the post-flood rehabilitation phase have started now that the waters are receding. It has been concluded that detailed needs assessments should be made in the various sectors concerned, including urban and rural shelter and infrastructure.

UNCHS (Habitat) has been requested to lead the Local Consultative Group on Shelter, one of the 17 identified sectors for post-flood rehabilitation.

This will not be the last time that Bangladesh is affected by severe flooding. Its location and the pattern of land and water resources management within and outside the country makes this almost a certainty. Focusing post-flood rehabilitation strategies on the simple reconstruction of shelter, infrastructure and services will only set the stage for a new disaster and become a wasteful use of resources, as post reconstruction efforts have clearly shown.

Thus, in addition to attending immediate needs of the population and the national economy, present rehabilitation programmes should incorporate elements to prevent or mitigate the devastating effects of future floods. However, this is not an easy task in the shelter and human settlements sector:

- v Whilst people require immediate response to the rehabilitation needs, appropriate settlements planning and management for disaster mitigation require changes that can only take place in the medium-term.
- v Flood control and watershed management strategies have only weak links to settlements management and the latter has no control over the former.
- v Settlements development is driven by forces that go beyond those considered by traditional urban-planning and management instruments.
- v Financial resources are chronically scarce.

The present mission will have to reconcile these apparently conflicting demands and come up with a rehabilitation strategy that attends short-term needs in a pragmatic manner; that is feasible; and that lays the foundation for disaster vulnerability reduction in rural and urban settlements.

Guidelines for Operational Programme Formulation in Post Disaster Situations

Tasks

1) Assessment of damages:

- ❖ Overview of flood and cyclone hazards in the country and evaluation of the factors contributing to the relative magnitude of the present event.
- ❖ Type and nature of the damages caused to shelter, infrastructure and services.
- ❖ Rapid analysis of the risks faced by urban and rural settlements (infrastructure, shelter and services) to floods and cyclones and its main causes. Assessment of the vulnerability of urban and rural settlements to the present floods and to future events of similar nature.
- ❖ Assessment of damages by sub-sector and type of works.
- ❖ Assessment of the capacity of government institutions, local authorities, communities and non-governmental organisations for the implementation of rehabilitation works.
- ❖ Assessment of the strengths and weaknesses of local institutions and other organisations
- ❖ Assessment of local resources available for the implementation of rehabilitation activities.

2) Setting priorities for rehabilitation activities:

- ❖ Definition of criteria for the identification of priority rehabilitation needs, including the impact of their attention on the prevention and mitigation of disasters.
- ❖ Identification of priority rehabilitation needs for the attention to rural and urban areas. Rehabilitation activities would include the attention to reconstruction of infrastructure, shelter and services; restoring and strengthening the capacity of national institutions and local authorities to implement rehabilitation programmes; and enabling the mobilisation of capacities available in the communities and NGO's.
- ❖ Grouping of priority rehabilitation needs in the immediate/short-term, medium-term and long-term.
- ❖ Contrasting of rehabilitation needs with existing settlements development plans and programmes of the Government and external support agencies.

3) Implementation strategy:

- ❖ Definition of implementation targets.
- ❖ Identification of sources of funds, funding mechanisms, and mobilisation of other rehabilitation inputs (to be developed in conjunction with other experts participating in the mission).
- ❖ Definition of delivery mechanisms (institutional, NGO's, community participation, etc. These elements will be developed in conjunction with other experts participating in the mission.
- ❖ Measures to improve disaster prevention and mitigation at the local level and capacity/skills development activities.
- ❖ Partnership arrangements for the implementation of rehabilitation activities.

1) Project/Programme proposals:

- ❖ Drafting of an appeal for the funding of immediate rehabilitation activities in urban and rural areas.
- ❖ Formulation of project profiles and of a settlements rehabilitation programme as required.

Outputs:

- ❖ Report on findings and rehabilitation strategy
- ❖ Project profiles
- ❖ Inputs to UN consolidated appeal



Memorandum of Understanding (MOU)

An MOU is another important tool when outlining programme objectives, as it clearly lays out the expectations of the project and the project partners. It is a type of contract between project partners which formalises the relationship and provides a structure for the partnership. It is a much more formal document than the Terms of Reference, and often deals more with the protocol of the relationship between the partners. This can include financial requirements, legal requirements, service provisions and expectations, reporting and any other issues pertaining to the particular programme.

It also acts to enhance project transparency by providing documentation outlining the expectations and objectives that is accessible to the local organisations. This is particularly useful for projects which seeks to provide funding or services to local organisations. Often there exists heightened expectations by local groups of assisting agencies. It is therefore useful to lay out exactly what will be provided and what will be expected in return in order to avoid this confusion as much as possible.

When dealing with the structure of a project, an MOU is also useful as a means by which to standardise reporting and evaluating mechanisms.

The following is an example of an MOU between UNCHS (Habitat) and the Department of Humanitarian Affairs concerning post-conflict reconstruction in Iraq.

**Memorandum of Understanding
between
The Department of Humanitarian Affairs
and
The UN Centre for Human Settlements (Habitat)

For the Implementation of the Shelter
and Resettlement in Northern Iraq**

Whereas, the Security Council authorised the sale of Iraq Petroleum and petroleum products for the purpose of inter alia, the financing of the export to Iraq of medicine, health supplies, foodstuffs, and materials and supplies (hereinafter humanitarian supplies) for essential civilian needs in Iraq, in accordance with Security Council Resolution 986 of April 14, 1995 (SCR 986), and subsequent resolutions on the matter;

Whereas, SCR 986, in its paragraph 8(b), entrusts the United Nations Inter-Agency Humanitarian Programme with special responsibilities in the Iraq Governorates of Arbil, Dihouk and Suleimaniyah;
Whereas, the United Nations and the Government of Iraq concluded a Memorandum of Understanding dated May 20 1996 on the implementation of SCR 986 (the MOU).

Whereas, the Security Council Committee established by resolution 661 (1990) concerning the situation between Iraq and Kuwait (the 661 Committee) adopted procedures to be employed by it in the discharge of its responsibilities as required by paragraph 12 of the SCR 986 (661 Procedures), which Procedures provide further details on the export to Iraq of humanitarian supplies;

Whereas, the United Nations Department of Humanitarian Affairs (Hereinafter referred to as DHA) with is entrusted with the authority to oversee the implementation by the United Nations Inter-Agency Humanitarian Programme of its responsibilities pursuant to SCR 986 and UNCHS (Habitat) have agreed to co-operate in accordance with the provisions of the present Memorandum in the implementation of relevant provisions of SCR 986, the MOU and the 661 Procedures.

Now; Therefore, DHA and UNCHS (Habitat) have agreed as follows:

Article One - Legal Context

1. This Memorandum sets out the terms and conditions under which DHA will provide funds to UNCHS (Habitat) to carry out the services and activities as herein provided, including procurement, transport and distribution of humanitarian supplies and related support including observation activities where applicable in connection to the implementation of paragraph 8(b) of SCR 986. The activities under this Memorandum are under Phase I of SCR 986.

Article Two - Services to be provided by UNCHS (Habitat)

2.1 The Distribution Plan submitted by the Government of Iraq to the Secretary General of the United Nations in accordance with the MOU establishes the framework for the services to be provided by UNCHS (Habitat), the details of which shall be agreed between DHA and UNCHS (Habitat).

2.2 UNCHS (Habitat) shall procure the humanitarian supplies agreed by DHA following the clearance, in each case of its application, by the 661 Committee. Applications shall be submitted to the 661 Committee through DHA in the form attached hereto as Annex I. UNCHS (Habitat) shall also implement related non-supply activities (construction) which represent a large component of the shelter and resettlements activities to be executed under MOU.

2.3 All procurement and non-supply activities carried out under this Memorandum by UNCHS (Habitat) shall be in accordance with the Financial Regulations of the United Nations and the Financial Rules of UNCHS (Habitat) and the United Nations Office in Nairobi (UNON). Personnel shall be engaged and administered in accordance with relevant staff regulations and rules of the United Nations. Upon completion of the services required under this Memorandum, UNCHS (Habitat) shall not dispose of any equipment, supplies and property financed with the funds provided by DHA under the present Memorandum without obtaining DHA's authorisation.

2.4 UNCHS (Habitat) shall enter into contract with individual contractors and firms and procure consultancy services, as required, for the implementation of non-supply activities as agreed between DHA and UNCHS (Habitat). UNCHS (Habitat) shall make the arrangements it deems necessary to meet all payments due to such contractors and consultants.

2.5 UNCHS (Habitat) shall ensure that all customs and registration documents, licenses and operating permits are obtained in an orderly and timely manner in order to avoid delays at the port of entry.

2.6 UNCHS (Habitat) shall provide appropriate storage and maintenance services, and shall be responsible for making all transportation arrangements, for the humanitarian goods and other related assets procured (whether by UNCHS (Habitat) or the Government of Iraq), in accordance with customary industry standards.

2.7 UNCHS (Habitat) shall maintain an inventory of all property procured in accordance with the Memorandum. In the event of loss of, or damage to, such property procured in accordance with this Memorandum, UNCHS (Habitat) shall, as soon as practicable, provide DHA copies of all relevant reports relating to the loss of such property.

2.8 UNCHS (Habitat) shall provide monthly progress reports on the services provided during the preceding month. The progress report shall be submitted with the current inventory of property.

Article Three - Funding for the Programme

DHA shall place at the disposal of UNCHS (Habitat) a maximum of USD _____ for the services to be provided by UNCHS (Habitat) in accordance with this Memorandum. The sum specified herein shall cover, inter alia, direct costs specifically incurred in connection with the implementation of the programme, including the procurement of humanitarian supplies, transport, the insurance provided for in Article 5, and the implementation of related non-supply (construction) activities in the field. The above sum shall not include administrative and programme support costs incurred by UNCHS (Habitat) which are discussed below. Any further allocations from subsequent resolutions shall be governed by the conditions of the present Memorandum after its ratification by DHA and UNCHS (Habitat).

3.2 DHA shall place at the disposal of UNCHS (Habitat) a maximum amount of USD ____ to meet UNCHS (Habitat) operational and administrative costs, including observation and logistical activities for the period of 1 July to 31 December 1997. Such costs shall include salaries and benefits for the staff providing administrative support to the programme in Iraq, as well as the costs related to the establishment and maintenance of the office or offices in Iraq, including equipment thereof, and vehicles used by administrative staff to carry out their functions in support of the programme. Additional funds will be made available to cover UNCHS (Habitat) operational and administrative costs after December 1997 as agreed with DHA.

3.3 DHA shall also place at the disposal of UNCHS (Habitat) a sum equivalent to four and a half (4.5) percent of the amount specified in paragraphs 3.1 and 3.2 hereof to cover programme support costs when humanitarian activities (construction) are implemented, by UNCHS (Habitat). The term "programme support costs" as used herein is intended to cover the costs of the services provided to the programme by UNCHS (Habitat) headquarters.

3.4 UNCHS shall not make any commitments beyond, or assume any liability in excess of, the funds available to UNCHS (Habitat). DHA and UNCHS (Habitat) shall consult on a regular basis to review the activities of the programme carried out by UNCHS (Habitat) and the funds available to UNCHS (Habitat). In the event the funds available are insufficient to meet the required services, the activities to be funded may be reduced, suspended or terminated by the DHA, in consultation with UNCHS (Habitat).

Article Four - Financial Reporting and Accounts

4.1 UNCHS (Habitat) shall maintain accounts, records and supporting documentation relating to the services provided under this Memorandum, including funds received and disbursed by UNCHS (Habitat) in accordance with the Financial Regulations of the United Nations and the Financial Rules of UNCHS (Habitat).

4.2 UNCHS (Habitat) shall furnish to DHA monthly reports of expenditures incurred under this Memorandum. The reports shall follow the standard formats provided in Annex III. UNCHS (Habitat) shall also provide DHA with regular audited financial statements prepared in accordance with the Financial Regulations of the United Nations and the Financial Rules of UNCHS (Habitat).

4.3 UNCHS (Habitat) shall apply the United Nations operational rate of exchange for all transactions relating to the implementation of the Memorandum. All financial accounts and the statements shall be expressed in United States dollars.

4.4 Following the completion by UNCHS (Habitat) of its responsibilities under the present Memorandum, any balance on the Special Accounts shall be held by UNCHS (Habitat) until all commitments and liabilities incurred in the implementation of the programme have been satisfied and the programme activities brought to an orderly conclusion. Balances remaining following the payment of outstanding liabilities shall be returned to DHA.

4.5 UNCHS (Habitat) shall retain any bank interest earned or accrued on the Special Account as miscellaneous income.

Article 5 - Insurance/Liabilities

5.1 UNCHS (Habitat) shall be responsible for the services performed in accordance with this Memorandum and shall handle any dispute or claim arising from or in connection with the provision of such services, including disputes or claims from third parties, and shall defend and hold DHA harmless.

5.2 UNCHS (Habitat) shall ensure that it is covered by appropriate insurance against risks and liabilities arising from or in connection with the provision of services under this Memorandum.

Article 6 - Miscellaneous Provisions

6.1 This Memorandum may be terminated by either Party by 60 days prior written notice to the other Party, and, in any event, this Memorandum shall terminate when the funds specified in Article 3 are no longer available. Upon termination of this Memorandum, UNCHS (Habitat) shall consult with DHA with respect to the disposition of any remaining goods. UNCHS (Habitat) shall close the accounts relating to the services provided hereunder as soon as practicable after the termination of this Memorandum.

6.2 This Memorandum may be modified by written agreement signed by both parties.

6.3 All disputes between the Parties arising out of, or in connection with, the implementation of this Memorandum shall be settled amicably through consultations.

6.4 This Memorandum shall enter into force upon signature with retroactive effect from 15 April 1997, and shall continue in force until terminated under Article 6.1 above.

The duly authorised representatives of the Parties have affixed their signatures below:

Step Three: Determining Programme Strategy

Once the general programme objectives have been reached - it has been decided what changes in the post-disaster situation are desirable - the best path for attaining these objectives must be established.

Before deciding on a programme or project strategy it is important to consider the implications of the possible solutions, in terms of likely impacts, opportunities that could be seized, and trade-offs between choosing one strategy over another.²

In order to find the most promising strategy for accomplishing the programme objectives, all the possibilities must be examined and those less feasible discarded. This process must be undertaken in a structured manner in order to ensure that all avenues have been explored equally.

The process must address various questions about how realistic each strategy is (for example, are the resources available sufficient to undertake the strategy), and what the possibilities are of success.

In order to screen the various strategies, a number of key considerations must be weighed against each candidate:

- ❖ Impact - Identify the potential implications of the choice (positive and negative). These may include the ramifications on the power balances within the communities, effects on the local environment and so forth.
- ❖ Feasibility - Measure the overall feasibility. What are the chances of success?
- ❖ Sustainability - Determine the sustainability of the particular strategy.
- ❖ Risks - Assess the risks involved in each particular strategy.
- ❖ Opportunities - What are the particular opportunities in the post-disaster situation that can best be capitalised upon by using a particular strategy?
- ❖ Trade-offs - It is important to understand the different pro's and con's with each strategy, and realise that there are likely to be unwanted effects with each strategy.



STEP THREE

Determining the best possible strategy will rely heavily on the situation overview undertaken in Step One. Once the best possible path has been decided, the project design can move on to identifying the immediate objectives that will serve to achieve the overall objective in the context of the chosen strategy.

Step Four: Identification of the Principal Objective

The principal objective is the overriding aim of the project. This objective will be based on the needs identified in the situation overview in Step One. This objective will correspond with the programme objectives, but will be specific to each project.

For example, the provision or re-establishment of basic infrastructure to affected populations would be an overriding objective. The principal objective is usually broad, and does not focus on the practical components of a project. Rather, it is the guide, a statement about the overall change that the project is attempting to effect.

Why is this important?

Project Guide: The overall objectives serve as the guide for the project. They will determine what practical measures are undertaken, what outputs are expected, and how relevant the project is to the post-disaster situation.

Clarity, Transparency, Accountability: When determining project objectives, it is important that they are laid out clearly and accessibly to ensure that they are understood and accepted by all project staff and local partners. Creating a usable record for the local population will encourage transparency and accountability in the project. This is crucial, as a good relationship between the different groups involved in a project will have a major impact on the project's success. This also helps to avoid any unrealistic expectations on the part of the local communities.



STEP FOUR

Case Study: Using Planning to Build Trust in Afghanistan

In the post-conflict atmosphere in Afghanistan, trust is a rare commodity. The war has left the population with a strong psychological legacy of fear. In such circumstances, outside organisations coming in wanting to help arouses suspicion among the local population.

Understanding that the local people were going to be wary of any outside intervention, regardless of the good intentions, the UNCHS/UNDP programme chose to involve them directly in the planning stages. They drew up contracts with local groups indicating exactly what they expected in exchange for their assistance.



This designing of an exchange basis for the programme and the transparency involved helped to establish trust between the outside organisations and the affected communities as well as helping to identify the principal objectives in an environment of greater local participation.

The building of trust in post-conflict situations should be an overarching goal of the reconstruction programming. Thus, this emphasis on trust issues not only helped UNDP/UNCHS to better implement their programmes, but it helped begin to rebuild trust within the affected communities.

TOOLS

TOOLS



Planning Assumptions Exercise -

Aim of this exercise: This exercise is designed to break down the process by which the primary objective was reached. By laying down the assumptions that led to the objective, process can be examined and it can be determined whether these assumptions are accurate, and therefore whether the foundation on which the objective rests is a stable one.

For example, if the primary objective was to rebuild municipal institutions in a post-conflict situation, the assumption would be that there remained a level of legitimacy for the local government that would make this rebuilding worthwhile.

Based on the objective identified in this step, list in the following box the assumptions made by the planning staff that led to this objective being reached.

| <u>Assumptions:</u> |
|---------------------|
| 1. |
| 2. |
| 3. |
| 4. |

Step Five: Identification of Immediate Objectives

Once the principal objective has been outlined, it is necessary to define immediate objectives that will serve more practically in achieving the principal objective. It is likely that a project will have more than one immediate objective. These objectives may be directly connected to one another, or may serve quite separate functions in the achievement of the overall goal.

Once the overarching goal of the project has been determined (Step 2), that aim must be broken down into its key components. These will become the immediate objectives. It is important to view these objectives in the context of the larger whole. Each of the specific objectives will have its own role in furthering the overall objective, however, they will also affect one another, and must therefore be viewed as a collective as well as individuals.

Immediate objectives should encompass the following characteristics:

- ❖ They should be specific
- ❖ They should be practical
- ❖ They should be components of the principal objective
- ❖ They should complement one another
- ❖ In combination, they should serve to achieve the principal objective

Immediate objectives should also clearly answer the following questions:

- ❖ What is the desired change and where will it take place?
- ❖ What is the desired magnitude of the change (i.e. for quantifiable objectives, the percentage of change etc.)
- ❖ What is the timeframe for the change?
- ❖ What specific populations will be affected?

Having clearly stated objectives will make the development of indicators and the evaluation of the project easier and more accurate.



STEP FIVE

For example, if designing a programme to re-establish basic infrastructure for affected populations after an earthquake, it would be necessary to lay down what the intended effects of the project would be. These can range from providing access to safe drinking water for all affected communities to ensuring that the project is sustainable and builds upon local resources. It would then be necessary to define the time in which it was expected that the access to drinking water was to be re-established, what the target population was, and so forth.

The rebuilding of housing, and the repairing of access roads would comprise two separate immediate objectives, both part of the overriding aim of providing shelter and infrastructure to affected populations. Again, the situation overview will be very important in assessing immediate objectives that have the greatest likelihood of success.

TOOLS



Planning Assumptions Exercise:

This exercise, from Step 2, is an important one at this stage as well, however the type of assumptions that will be identified will be different. Here the focus will be on more practical assumptions, such as the number of displaced persons in an area, the percentage of women and children affected, the timeline of required assistance, and so forth.

Based on the objective identified in this step, list in the following box the assumptions made by the planning staff that led to this objective being reached.

TOOLS

Assumptions:

Objective One -

1.

2.

3.

4.

Objective Two -

1.

2.

3.

4.

Once these assumptions have been determined, you can work backwards, using the situational overview, to ensure that these assumptions are still correct.

Step Six: Identification of Primary Outputs

It is in this step that the planning starts focusing in on the specific practical steps to achieving the principal objective. Outputs indicate the concrete steps that need to be taken in order to accomplish the principal goal. Mapping these out provides the logistical blueprint of the project.

Once the primary outputs have been identified (there are likely to be more than one of them) the planning will move into the more action-oriented stage of the project design. The outputs will act as a guide in determining the specific needs of each aspect of the project.

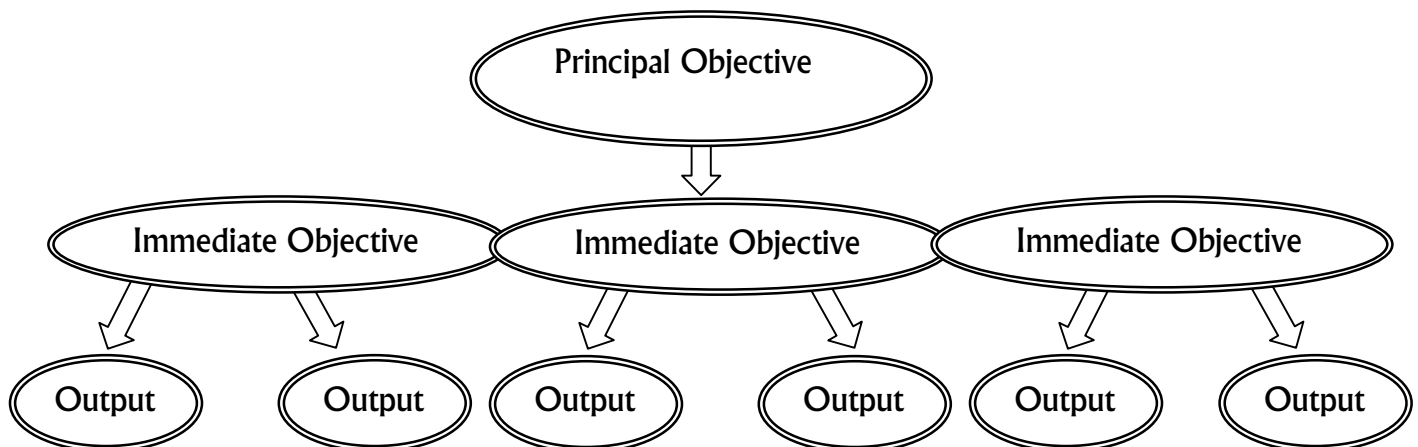
For example, to design a project for the resettlement of Internally Displaced Persons (IDP's), the resettlement would be the overarching goal. One of the specific goals would be the safe return of these groups to the area to be resettled. To safely return these people to the area, the access roads must be rebuilt. Thus, the rebuilding of the roads would be a primary output of the project.

It is important to have a perspective on the relationship between the objectives and the outputs before moving on. This table illustrates the relationship between these three steps.



STEP SIX

Table One: The Relationship Between Principal Objectives, Immediate Objectives and Primary Outputs



TOOLS

TOOLS

In order to implement the project, the immediate objectives must be broken down into their practical components, the primary outputs. To assist in determining the primary outputs, the following exercise provides a format for examining the immediate objectives both in the broader context of the principal objective, and in the more immediate context of the post-disaster situation.



Building a Work Plan:

The preparation of a detailed work plan at this stage will assist in clarifying the conceptual framework around which the programme will be designed. It is important to continuously document the programme design process to ensure that the objectives and the strategy are clear and are agreed upon by all members of the project staff. Preparation of a work plan that will be revised throughout the process is one such method for maintaining clarity and consensus throughout the planning stages.

Introduction -

- ❖ Brief overview of the particular post-disaster situation
- ❖ Placing of the particular programme within the context of this situation
- ❖ Breakdown of the institutional framework of the project
- ❖ Support maps, charts or graphs where necessary.

Programme Strategy Overview -

- ❖ Primary objective
 - .. Statement of objective
 - .. Placing of the objective in the broader context of post-disaster planning
 - .. Planning assumptions associated with the primary objective
- ❖ Specific objectives
 - .. Statement of objectives
 - .. Planning assumptions associated with specific objectives
- ❖ Implementation strategy
 - .. Primary outputs
 - .. Justification of implementation plan (i.e. why this route and not other alternatives)
- ❖ Programme Scope
 - .. Territory
 - .. Timeframe
 - .. Budget
- ❖ Evaluation Mechanisms



Project Design Checklist:

The following checklist was designed by the Monitoring and Evaluation Unit of UNCHS (Habitat), and provides another useful framework to ensure coverage of all the important factors when preparing the project documents:

CHECKLIST:

1. Is the project clearly related to the organisation's overall mandate?
2. What institutional objectives does the project document address? Have the capacity building needs been assessed?
3. How is the project related to the programme objectives?
4. Are the strategic variables (point of entry, beneficiaries, partners, technologies, time frame) clearly defined?
5. How has the problem been identified and what empirical evidence of the problem is there? Is the problem to be addressed by the project adequately analysed and is it clearly formulated? Is the problem originating from "in country felt needs" or was it the product of external "initiatives"?
6. Have the directives been clearly identified? Were they involved in the project design? Are the objectives relevant to their concerns, priorities and needs? Have the needs, concerns and role of special groups (youth, elderly, vulnerable groups etc.) been adequately covered?
7. Were both women and men involved in the planning of the project and in what ways? Does the project (in both the planning and implementation stages) take into account the needs and roles of women as well as men and in what ways?
8. Have all strengths and weaknesses of the institutional environment in which the project will be operating been considered? Are there any other important factors that may significantly affect project success?

- .. Have the feasibility of the project or programme been considered at the divisional level from the following perspectives:
 - .. Availability of resources/inputs/management fees/overheads;
 - .. Can the objectives be realistically achieved (time frame);
 - .. Have alternative project strategies and implementation arrangements been considered;
 - .. Are the adopted strategies and implementation arrangement the best options to achieve the objectives;
 - .. Are activities and outputs expressed in verifiable and quantifiable terms and do they realistically lead to the achievement of the objectives;
 - .. Is there a work plan that clearly indicates the time frame within which the outputs and activities will be completed?
 - .. Have appropriate performance and corporate indicators been incorporated to measure the extent to which objectives will be achieved;
 - .. Have evaluation activities and related funding been included in the project document;
 - .. What is the appropriateness of benchmarks and of monitoring, reporting and evaluation mechanisms;
 - .. What are the relationships with other on-going or pipeline programmes and projects and have these relationships been considered and adequately analysed?
 - .. What measures have been considered to ensure the sustainability of the project?
1. How will the project assure that an equitable number of women and men are included among the project team (staff and consultants)?
 2. Can project activities make use of best practices knowledge, expertise and experience, especially of best and good practices from the region and subregion where the project is located?
 3. How will the project evaluate its experience and convert this into a best practice and/or case studies that can be circulated and diffused nationally, regionally and globally?
 4. Has sufficient attention been given to replicability possibilities and to awareness-raising and public outreach activities? Has sufficient funding for outreach activities been included in the project document?
 5. What are the implications of the project with regard to the involvement and participation of partners, such as local authorities. NGO's/ CBO's and the private sector? Have all potential partners at the international, national and local level been clearly identified and their possible contribution taken fully into consideration?

6. Have potential areas of co-operation with donors and other programmes active in the same sector or sub-sector been fully considered?
7. What will be the follow-up to the project in the next biennium and have specific provisions been made in the project/programme design to ensure post-project sustainability?
8. Has the project clear development potential and is it likely to attract public and private investment, especially in its future expansion?
9. How have performance indicators been incorporated in the project, including:
 - .. **Policy Indicators** relating to the overall development objective of the project or programme and the overall mission of the centre, which is to promote policy reforms consistent with UN agendas and the plans of action;
 - .. **Capacity-building indicators** focusing on the impact of services which are intended to build capacities and the degree of success in meeting the strategic objectives of the organisation;
 - .. **Knowledge-building indicators** which measure project or programme contribution and service to knowledge in a particular field for the benefit of immediate partners as well as on post-disaster reconstruction in general;
 - .. **Input indicators** which measure the organisational efficiency in providing required inputs and services under each project and programme and serve as internal delivery indicators.
10. Have lessons learned from projects with similar objectives been incorporated, particularly lessons learned from the evaluations of projects and programmes in the same country and/or region? Has there been a search for such lessons?

Case Study:

Principal Objectives, Immediate Objectives and Primary Outputs - The Case of Iraq

Project Background: The UNCHS (Habitat) project in Iraq came about as a result of the Security Council Resolution 986 outlining the provision of humanitarian assistance to Iraq to be funded by the sale by Iraq of petroleum and petroleum by-products.



Principal Objective:

The objective of the UNCHS (Habitat) project in Northern Iraq is to arrest further deterioration and to improve the living conditions of internally displaced persons and families in precarious shelter conditions in rural and urban settlements of the Governorates of Dohuk, Erbil and Suleimaniyah, and to enable their permanent settlement through the provision of humanitarian assistance to rehabilitate housing, infrastructure, services and other essential infrastructure.

Immediate Objectives:

1. The resettlement of approximately 2,500 families in their villages of origin.
2. Rehabilitation of basic infrastructure, services and shelter.
3. Support of income generating activities.
4. Capacity building

Primary Outputs:

The primary outputs in this programme will include:

- ❖ the repairing of access roads and bridges in order to facilitate the return of the displaced families;
- ❖ the re-establishment of waste disposal services and the building of permanent and semi-permanent housing to address the rehabilitation of basic infrastructure, services and shelter;
- ❖ the encouragement of use of local businesses and resources to support income generation;
- ❖ involvement of local groups in the programme to promote capacity building within affected communities.

These are not the only outputs that would be associated with this project, however they give an indication of the type of outputs that would result from these objectives.

Step Seven: Activities

Once the principal objectives, immediate objectives and primary outputs have been determined, the basic skeleton for the project is in place. The following activities serve to flesh out the project design, and move it from the design to the implementation stage.

Activity 1: Assessing the needs



This is the beginning of the practical preparation for the project design. The assessment of needs will involve surveys of the affected areas and consultations with the local populations in order to define project priorities, assess the damage, identify key players in the issue, and determine the possibilities for local technical support.

Assessment of needs in a broader sense should have already taken place in Step One, however in this activity, the focus is on the more immediate needs related to the project. This assessment will help to decide what the outputs (concrete actions) will be. This activity will also help to ensure that, when progressing in the project design, the needs defined in the situational assessment are still relevant.

For example, if designing a project to rebuild municipal infrastructures after a conflict, there will be a need to ascertain what areas have been the most affected by the war, which areas are deemed the most essential by the local population, which areas are still functioning at some level, and so on.

Activity 2: Assessing the technical options

This will again involve a narrowing down of the practical issues to the technical needs of the project. This will include determining the possible limitations of the project in terms of the technical inputs available to the project, both from outside sources, and from the local population. This information will assist in building the logistical framework of the project.

For example, when planning the reconstruction of sanitation facilities, assessments must be made about the volume of delivery, the level of damage to distributors, generators and storage tanks, the water quality, operating costs, and the technical capacity of local partners. Based on this assessment determinations can be made about a realistic timeline, budget and scope for the project.



STEP SEVEN

For example, when planning the reconstruction of sanitation facilities, assessments must be made about the volume of delivery, the level of damage to distributors, generators and storage tanks, the water quality, operating costs, and the technical capacity of local partners. Based on this assessment determinations can be made about a realistic timeline, budget and scope for the project.

Activity 3: Implementation

This again will involve consultations with local populations, project partners, and institutions identified in Activity 1. Implementation is an ongoing process, as the project will have to be flexible enough to adapt to the changing environment. In light of this, project implementation is one of the most challenging activities. It is at this point that the design theory of the project is tested in practice. If a project is well designed, and all of the preceding steps have been followed carefully, the transition to the implementation phase should be relatively straightforward. However, there will almost always be unexpected issues that arise during implementation



Implementation of post-flood reconstruction in Nepal.

Activity 4: Evaluation

This is a key part of the project, and should not be viewed as a final step, but rather an ongoing process in the evaluation and re-evaluation cycle of a project.

Preparing for the evaluation of a project is especially important in the planning stages, as the inclusion of indicators in the programme set-up will enable accurate and relevant evaluations both ongoing and at the end of the project cycle.

The companion guide to this one, *Guidelines for Evaluation in Post-Disaster Programmes*, examines the issue of evaluation in detail, and take the reader through a series of steps to help design evaluation-centred projects.

What is evaluation? Evaluation is a way of learning from projects and programmes - what is working, what has failed, and what can be done to ensure that the project has the most positive impact on the situation.

It is important not to view evaluation as a top down judgement of the project. Instead, it is a collaborative process that enables those involved to learn from the mistakes and successes of the project. It is important that it be collaborative, as broad input of project staff, partners and beneficiaries will ensure the most accurate assessment.

Evaluation must be a guiding principle in project design. Mechanisms must be in place to facilitate an accurate evaluation at various stages of the project cycle.

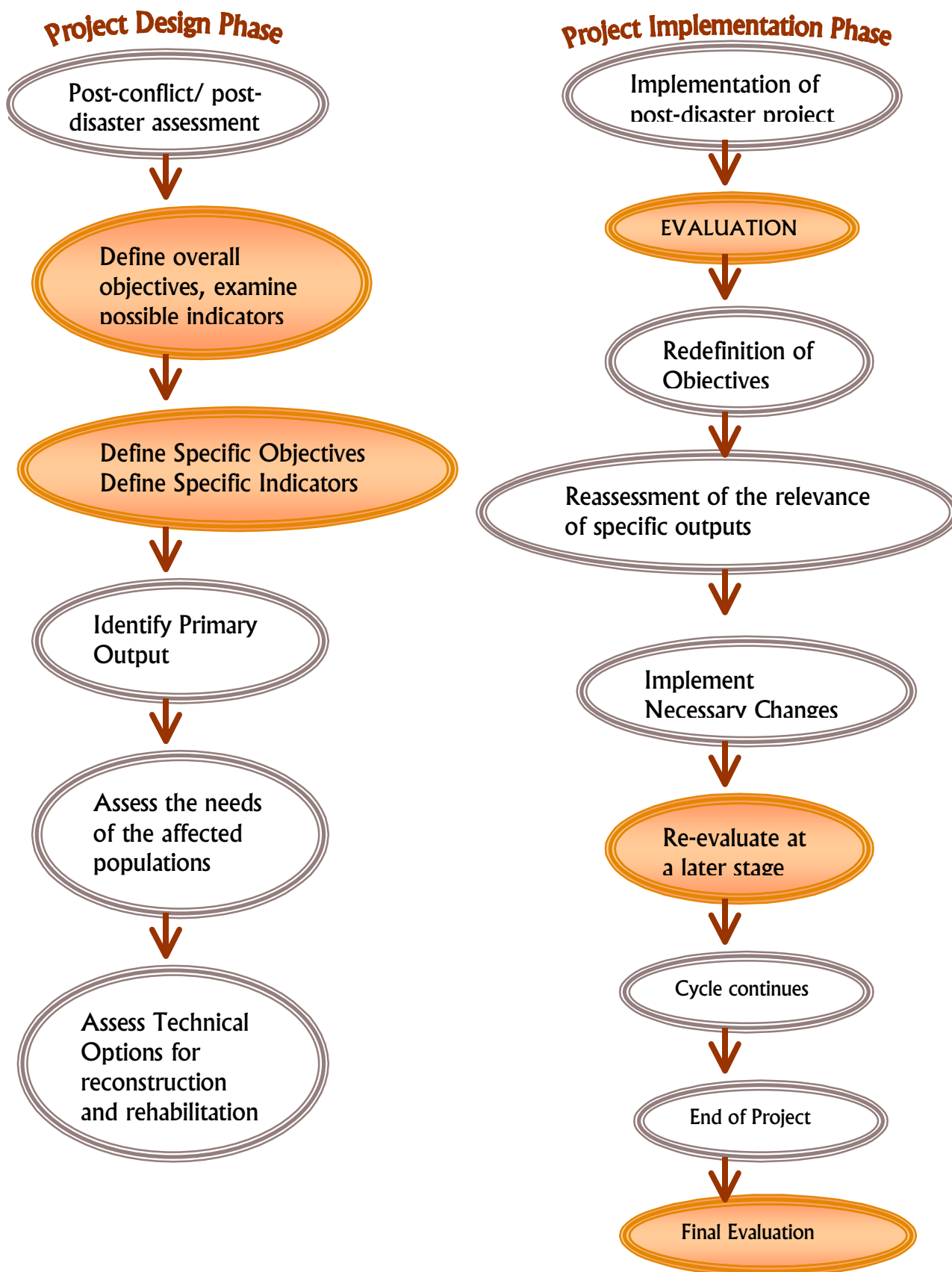
The development of objective-oriented programmes is an integral part of designing a successful planning strategy:

monitoring and evaluation are of little value if a programme or project does not have clearly defined objectives and appropriate indicators of relevance, performance and success. Any assessment of a programme or project, whether through monitoring or evaluation, must be made *vis-à-vis* the objectives, i.e. what the interventions aim to achieve. Indicators are the critical link between the objectives and the types of data that need to be collected and analysed through monitoring and evaluation. Hence, the lack of clarity in stating the objectives and the absence of clear indicators will limit the ability of monitoring and evaluation to provide critical assessments for decision-making, accountability, and learning processes.

Hence, the indicators form a key component of the RBM strategy of objective-oriented evaluation.

It is also important to understand that evaluation is not something that happens once, at the end of a project. The table on the following page illustrates the place of evaluation in the project cycle.

Table One: Evaluation as Part of the Post-Disaster Project Cycle



Exercise: Putting the OPF in Context

The Northern Iraq Project

This description gives the background to the UNCHS (Habitat) project for shelter and resettlement in northern Iraq. After reading through the project report, answer the questions using the OPF steps discussed above as a reference guide.

Project Description

The Memorandum of Understanding between the Secretariat of the United Nations and the Government of Iraq on the implementation of Security Council Resolution 986 (1995) states that the GOI undertakes to effectively guarantee equitable distribution to the Iraqi population throughout the country of humanitarian supplies with the proceeds of the sale of Iraqi petroleum and petroleum products. GOI presented the United Nations Secretary-General in July 1996 with a Distribution Plan to implement the provision of the above Resolution. For the three northern Governorates, namely Dohuk, Erbil and Suleimaniyah, the procurement and distribution of humanitarian supplies is the responsibility of the United Nations Inter-Agency Humanitarian Programme.

Recognising the special needs of the population in the three northern Governorates, a provision has been made in the Plan. Under its shelter and resettlement activities, the programme aims at providing materials and supplies to rehabilitate and construct basic infrastructure and other back-up services in rural areas. The programme gives special attention to improvement of the living environment of displaced persons in urban locations and temporary shelters.

The objective of the project is to arrest further deterioration and to improve the living conditions of internally displaced persons and families in precarious shelter conditions in rural and urban settlements of the Governorates of Dohuk, Erbil and Suleimaniyah, and to enable their permanent settlement through the provision of humanitarian assistance to rehabilitate housing, infrastructure, services and other essential facilities.



EXERCISE



The prospected outcomes are:

The resettlement of near 2,500 families in their villages of origin (approximately 50 villages) through the rehabilitation of basic infrastructure, services, shelter and other essential infrastructure in support of income generation activities, as well through capacity building to ensure adequate operation and maintenance of the rehabilitated facilities.

Minimum shelter and basic services and amenities to approximately 3,000 internally displaced families living under precarious conditions in abandoned public buildings, camps and derelict housing.

Improved living conditions of approximately 20,000 families in townships and urban/semi-urban settlement through the provision of humanitarian assistance to rehabilitate basic infrastructure, shelter and other essential facilities.

Rehabilitation of basic infrastructure, services, shelter and other essential facilities to support income-generating activities for near 6,500 families in growth centres (approximately 130 centres) both in their villages as well as in the centres that provide them with some of these services. The objectives will also be achieved through the implementation of capacity building activities to ensure the adequate operation and maintenance of the rehabilitated facilities.

The strategy for project implementation:

According to the project document, the experience gained in the implementation of post-disaster humanitarian and rehabilitation programmes and the evaluation of the activities carried out in northern Iraq in recent years are to provide contribution to outline the main elements of strategy for the programme:

Communities will participate in all stages of programme implementation through consultations and the provision of labour and material inputs to be defined in a case basis. Resources will be made available for this purpose.

The co-ordination links will be established with de facto local authorities for programme implementation.

Prior commitment will be requested from communities and the local authorities to provide the required resources (labour and materials) to adequately manage the rehabilitated infrastructure and services.

Building the capacity of the local authorities will be promoted through participation of their technical cadres in programme activities and by supporting rehabilitation of essential mechanical plant and equipment.

Priority areas of intervention and activities will be selected in close co-ordination with UN agencies in order to avoid duplication and to make better use of the limited resources.

Priority will be given to the implementation of such activities that tend to consolidate existing resettlements and that contribute to the sustainability of the settlement and their services. Access roads, basic infrastructure and other essential infrastructure to support productive activities, such as irrigation channels, belong to this category.

Maximum use will be made of local experts and subcontractors for the implementation of programme activities in co-ordination with the local authorities.

Transparent and competitive processes will be applied to the selection and supervision of experts, consultants and subcontractors.

When possible, the programme will subcontract with qualified international organisations and subcontractors consolidated groups of activities (design, implementation, community organisation and capacity building) in order to enable an integrated approach to programme implementation and achieve a faster execution rate.

Monitoring and evaluation systems will be established to support programme management to introduce corrective measures, and to assess the impact of the programme on the affected communities.

Close co-ordination linkages will be established with UNOHCI and other UN agencies in the field and at headquarters level.

UNCHS (Habitat), mindful of the possibility of negative effects on the development process in northern Iraq, has specifically asked the consultant to review policy objectives in relation to post-conflict rehabilitation programmes, especially on issues regarding re-building communities, strengthening local capacities and attention to the basic needs of the population. Moreover, the consultancy is expected to make critical comments in this regard and propose a revised set of development and peace building objectives that should be considered in the execution of rehabilitation projects.

The project document requires the Core Team to monitor and supervise the rehabilitation works and to put in place a system to evaluate implementation performance as well as to assess the impact of the programme on the beneficiary communities and to collect data for this purpose. It is anticipated that the evaluation will capitalise on the efforts made by the Core Team and that the indicators will be applied accordingly.

The project document further prescribed support to the strengthening of community organisations to enable their effective participation in all stages of project implementation, as well as in follow-up operation, maintenance and income generating activities. Since doubts have surfaced concerning a sufficient and tangible involvement of the communities in the project, the evaluation team should make a stringent use of the indicators in an attempt to gauge their involvement in an otherwise supply driven project.

The large influx of money into the local economy could not only distort prices and living conditions, but could enable those in power to access profits generated by front man contractors of the project. Given the history of the region it cannot be ruled out that such profits be invested in the purchase of arms thus defeating the official rationale of the project. The evaluation should pay particular attention as to whether the project has an impact on peace building or, by contrast, if inadvertently it may have contributed to the resurgence of armed conflict.

Questions:

1. Identify the Primary Objective of the project
2. Identify the Immediate Objectives of the project
3. Identify the Primary Outputs of the project
4. What barriers to project implementation are identified in the above description?
5. Does this project description address all the issues affecting project success?
 - a) Responding to local needs
 - b) Allocation of resources
 - c) Understanding situation dynamics
 - d) Long-term vision
 - e) Building capacity
 - f) Accountability
 - g) Quality assessment

Why or why not?

6. What is the evaluation strategy of the project?
7. What do you foresee as obstacles to the project? Risks?



PART D

Using OPF

Part D: Using OPF

This section is designed to help conceptualise OPF in a practical framework. Three key areas of post-disaster programming have been selected through which the methods of using OPF can be better illustrated. These three areas are:

- ❖ Providing Shelter and Infrastructure: The provision of basic infrastructure in an affordable manner to populations affected by disaster.
- ❖ Rebuilding Institutions and Social Fabric: The maintenance or re-establishment of an institutional framework as part of the rehabilitation process.
- ❖ Revitalising the Economy: The creation of conditions that will encourage productive economical activities as a part of the rehabilitation process.

Why these three areas? These apply generally to most post-disaster situations and are therefore a useful building block. Using the following format, specific issues can be inputted based on the particular circumstances of each case.

Each of the next three sections will discuss briefly the importance of each area, and then look at creating an OPF strategy.

Providing Shelter and Infrastructure



Providing shelter and infrastructure is not as simple as counting the houses lost and building replacements. There are many other issues to consider in the reconstruction of shelter. Many relief projects suffer from misallocation of resources, and end up helping far fewer people simply because they didn't properly plan out the shelter needs in the communities in which they were operating.



PART D

As discussed in Part A, the format of rebuilding houses after disaster has often been to develop cheap, easily transportable prefabricated housing, which can be quickly erected, yet has no bearing on the traditional styles of housing of the region. Often these houses are erected in barracks-style encampments, which the survivors find isolating and alien. As a result, many of these projects find that the occupancy rates of this housing is below 60%. Thus, the connection between the tangible issues - that of providing shelter for the victims - and the intangible issue of the psychological well-being of the survivors becomes clear.

In refusing to occupy housing that makes them feel alienated, the communities have sent a clear message that their psychological well-being is not only as important as their physical, but that the two are inextricably linked.



In another example, many initial relief efforts focus on clearing away of rubble and debris in order to re-open roads, re-establish access to water and sanitation systems. Yet much of the “rubble” that gets destroyed in this process is useful local material that can be easily salvaged to help in the rebuilding of shelter.

In the planning of projects dealing with providing shelter and infrastructure, it is also vital to consider the long-term effects of the programmes. It is easy, when dealing with a concrete emergency situation such as the need to house thousands of people, to focus on the immediate, and not be aware of the long-term effects of your actions. Especially with the limited amount of resources available for rehabilitation programmes, there cannot be a division between short-term and long-term projects.

For example, in the provision of shelter, often the first response is to provide temporary shelter (in the form of the prefabricated housing discussed before, or in other ways). However, many victims in post-crisis situations have expressed a preference to establishing plans to rebuild permanent or semi-permanent housing as a priority over temporary emergency shelter. It has also been noted that many of these temporary shelters end up housing the affected populations for much longer than is generally anticipated, and end up becoming de facto permanent housing. Naturally, issues such as these depend upon the specific situation, however it is important to be aware, not only of the long-term implications of the project, but also of the wishes of the community.

Therefore, in the provision of shelter and infrastructure, the primary objective would be:

Principal Objective I: To provide basic infrastructure in an affordable manner to populations affected by conflict

It must then be asked, once this objective has been determined, what are the more specific goals needed to lay out in order to achieve this objective?

- .. *Immediate Objective I.a: To provide basic water and sanitation to populations affected by conflict.*



The provision of water and basic sanitation services would be one of the primary goals of a project seeking to re-establish shelter and infrastructure.

What outputs would be necessary to achieve this specific goal?

- a. Output: Water
- b. Output: Sanitation and waste disposal

Once the key outputs have been determined, the planning moves on to assessing the needs and the technical options in order to have a better picture of how these outputs will be implemented.

The process of determining the needs, the technical options, the implementation and the evaluation, will have to be done separately for each project output. Below is an examination of the activities that would follow once water had been decided upon as one of the main outputs.

Output A - Water

Activity One - Assess Needs:

- Population survey
- Identify and assess existing arrangements
- Consult with local authorities
- Consult with the affected population

Activity Two - Assess Technical Options:

Determine basic strategy, considering:

- Option One - Piped Systems
 - What is the volume of delivery?
 - Damage to distribution network?
 - Damage to generators?
 - Condition of storage tanks?
 - Damage to pumps?
 - Water quality?
 - Operating costs?
 - Capacity of technical partners?
- Option Two - Shallow Wells
 - What is the volume of output?
 - Accessibility?
 - Water quality?
 - Seasonal fluctuations?
 - Damage to wells?
 - Damage to hand pumps?
 - Community capacity?
- Assess the technical options for emergency interventions:
 - Identify priority groups/those at risk
 - Identify optimum sites
 - Identify labour force/implementing partners
 - Design system
- Assess the technical options for interim settlement:
 - Identify priority groups/those at risk
 - Identify optimum sites
 - Identify labour force/implementing partners
 - Design system
- Assess the technical options for permanent solution:
 - Identify areas of resettlement
 - Identify priority systems/existing facilities
 - Identify and consult with implementing partners
 - Design repairs

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Activity Three: Implementation

- Identify the optimum technical options based on activity 2.
 - Consult with the affected population
 - Assess scale/source of operational costs
- Specify potential implementing partners
 - Define and negotiate implementation strategy
 - Agree on lines of responsibility
 - Establish supervision arrangements
- Specify sources of materials
 - Negotiate prices
 - Agree on timetable for deliveries
- Seek and assess competitive bids
- Sign subcontracts
- Establish systems for monitoring
- Establish a timetable for hand-over of equipment

Activity Four: Evaluate

- Assess the impact of interventions
 - In terms of speed/ time of provision
 - In terms of skills improvements
 - In terms of sustainability/cost recovery
 - Against beneficiary expectations

- *Immediate Objective I.b:* To ensure adequate access to homes and services in areas of origin/exile for populations affected by conflict

The issue of especially vulnerable populations would be a factor that would have been identified based on our situational overview. In order to achieve the overall objective of providing basic affordable infrastructure services to affected populations, it must be ensured that these persons are able to access the services.

Therefore, the outputs would be:

- a. Output: Repaired/upgraded roads and bridges
 - b. Output: Other services
- *Immediate Objective I.c:* To provide adequate shelter to populations affected by conflict
 - a. Output: Emergency shelter
 - b. Output: Semi-permanent housing
 - c. Output: Permanent (re)settlement

- .. *Immediate Objective* I.d: To provide adequate conditions for those working in institutions involved in the rehabilitation process.
 - a. Output: Ministries and technical institutions
 - b. Output: Public buildings - schools, hospitals etc.

What picture then, at the end of this exercise, emerges of the project? It has been clarified that the key areas of strategy are:

- ❖ Providing water and sanitation
- ❖ Providing access to IDP's
- ❖ Providing adequate shelter
- ❖ Providing reasonable working conditions for those working in institutions involved in the rehabilitation

In light of the project strategy that has just been prepared, it should now be examined in terms of the guidelines identified in Part A.

Rebuilding Institutions and Social Fabric

While damage to shelter and infrastructure is often the most immediately visible evidence of the impact of a disaster, support for social and institutional recovery might in fact be more urgently required, even if these issues are less tangible to outsiders. In the above example, the problems of prefabricated housing as a method of providing shelter to disaster victims was discussed. This example also serves to illustrate the importance of the social networks. The need for a sense of social cohesion is never higher than at the time of a disaster.

This is especially important in post-conflict situations, where the social networks have been strained by the fighting. Focusing on rebuilding of this social infrastructure must be of primary consideration in such cases, as the mistrust that exists as a result of war will have a deleterious effect on any projects undertaken in the area. To design a project with broad local participation, it is important that the groups being worked with not only trust the implementing organisation, but also trust one another, and are able and willing to work together constructively.

It must also be ensured that the project is contributing positively to the social fabric of the society - i.e. not altering the power balance in favour of one group over another - and this is best achieved by being aware of these issues at the outset of the programme design.

Principal Objective II: To maintain and re-establish an institutional framework as part of the rehabilitation process

The re-establishment of the institutional framework will not only assist in the broader implementation of concrete reconstruction goals, such as the provision of sanitation and so forth, but it will also begin to rebuild social cohesion within the affected communities. In order to achieve this objective however, it needs to be broken down into more practical components:

- ***Immediate Objective II.a:*** To provide support to institutions working for post-conflict rehabilitation
By supporting local groups working for post-conflict rehabilitation, the project will progress towards the overall goal above, and will promote sustainability and capacity within the local communities. Below are some of the institutions to be targeted.
 - a. Output: Line ministries and technical departments
 - b. Output: Local government and municipalities
 - c. Output: Co-ordination framework for UN activities
 - d. Output: Co-ordination framework for NGO activities
 - e. Output: Community-based/neighbourhood organisations

Revitalising the Economy

It is important in times of disaster that the programmes dealing with the post-disaster recovery do not foster dependence. Though it is perhaps inevitable that people affected by disasters are initially treated as victims, it is important to remember that these groups rarely lose their ability for a degree of self-sufficiency.

Emergency programmes, by their very nature, tend to encourage the affected population to depend upon external assistance, at least in the early stages of an event. There are rarely resources to perpetuate this relationship for long, so it is important to consider a timetable and mechanism for withdrawal within any assistance strategy. Although often deemed too sensitive an issue to discuss with populations which may have recently suffered adversity, experience suggests that the will for self-sufficiency is strong.

It is necessary to identify and exploit the potential within the community to use skills or resources that are at hand. This not only makes the best use of limited external assistance, but also reduces the risk of external dependency.

This is also an important consideration for local organisations and governments using this tool, as the redevelopment of their economic potential must be a key priority.

The use of local labour and resources can have a huge impact on the rebuilding of the economy from a very early stage in the programming. An interesting example of stimulating the local economy comes from the UN Industrial Development Organisation (UNIDO) projects in the former Yugoslavia. UNIDO responded to a request by UNICEF to improve the nutritional content of the biscuits that were being provided to conflict affected children. UNIDO worked with a local biscuit manufacturer to enrich their product with proteins vitamins and minerals. After viewing the situation in the region, UNIDO further proposed that the manufacturer make alterations in their packaging to extend the shelf life of their biscuits and facilitate the stockpiling of foodstuffs as the situation in the region remained uncertain. By empowering a local manufacturer to improve production, UNIDO managed to assist in a relief effort (i.e. ensuring the adequate nutrition of affected children) as well as boosting local enterprise.

Principal Objective III: To create conditions that will encourage productive economic activities as a part of the rehabilitation process.

The encouragement of economic activities in a post-disaster situation is a crucial objective in the long-term context of development and rehabilitation.

- *Immediate Objective III.a:* To encourage small scale business enterprises involved in housing rehabilitation

There are a great number of possibilities for local economic initiatives within the reconstruction process - through assisting pre-existing local businesses get back on track by providing contracts and materials.

- a. Output: Building materials and infrastructure components

- *Immediate Objective III.b:* To create employment in infrastructure repairs and shelter provision.

The local communities afford a great deal of unskilled labour that can be of great use in the reconstruction process.

- a. Output: Employment in shelter and infrastructure programmes

- *Immediate Objective III.c:* To make available affordable finance for investments in housing and infrastructure.

Being able, financially, to rebuild after disaster is one of the main obstacles facing these families. Many of them do not have enough savings, and their assets are often destroyed or damaged as a result of the disaster. Therefore the setting up of micro credit programmes will enable these groups to rebuild and begin to re-establish their livelihoods.

- a. Output: Finance programme

Using These Frameworks

Breaking down the OPF strategy into these three categories makes the conceptualisation of post-disaster programming more simple. Post-disaster programming must address certain needs and issues to be successful. These were outlined in Part A of this manual. To briefly summarise, successful post-disaster programming must:

- ❖ Have a clear understanding of the dynamics of the post-disaster situation
- ❖ Address the needs of the affected population
- ❖ Address both long and short term needs
- ❖ Build capacity among the local populations

The three categories outlined in this section deal with each of these issues, and provides a useful framework when preparing programme strategy.

Providing Shelter and Infrastructure - deals with the more immediate and tangible concerns of post-disaster programming

Rebuilding Institutions and Social Fabric - addresses more long-term concerns about rehabilitation of communities after disaster and the concerns over capacity building within the local communities.

Revitalising the Economy - deals with the issues of capacity building, the needs of the affected communities and long-term recovery of the area.

These categories are also interrelated, and each will affect the others throughout programming. For example, revitalising the economy will have a positive effect on the rehabilitation of institutions within the community to deal with post-disaster rehabilitation as it will enable some of these institutions to begin operating on a larger scale.

Creating a Project Document Based on OPF:

The creation of a project document is a useful exercise as it lays out the project in terms of the components of the OPF framework, and provides a standardised record of the project.

What are the key components of a project document?

The following tasks comprise an outline of the necessary components of a project document as defined by the *UNDP Programming Manual*:

Task 1: Understanding the current situation, context and baseline

Task 2: Defining a vision and the problems to be addressed

Task 3: Identifying alternative strategies

Task 4: Selecting the most promising strategy

Task 5: Defining objectives and outputs

Task 6: Using the logical framework

Task 7: Determining activities

Task 8: Specifying inputs

Task 9: Determining the management arrangements

Task 10: Specifying indicators for monitoring and evaluation

Task 11: Identifying external factors and risks

Task 12: Specifying prior obligations

Using the Logical Framework in Programme Design:

The Logical Framework, or “logframe” is a method of structuring project documents that takes all aspects outlined in the OPF framework into consideration, and helps to ensure consistency among them. It is a useful format to be familiar with, as many donor agencies now require project proposals and reports to be submitted to them using the logframe template.

The following table illustrates the logframe matrix for project design, which lays out all the components of the project and their relationship to one another.

| | PROJECT STRUCTURE | INDICATORS AND VALUES | MEANS OF VERIFICATION | ASSUMPTIONS AND CRITICAL FACTORS (RISKS) |
|------------------------|-------------------|-----------------------|-----------------------|--|
| Wider objective or aim | | | | |
| Immediate Objective(s) | | | | |
| Outputs | | | | |
| Inputs | | | | |

Each column in this matrix addresses a critical component in project design. The objective when using the matrix is that each box will provide an explanation based on the two corresponding factors.

- ❖ The first column, Project Structure, will outline the steps identified in Part C, thus building a logical hierarchy of the composition of the project.
- ❖ The second column will assess the principal and immediate objectives, outputs and inputs in terms of the indicators chosen to measure them
- ❖ Column three addresses how and where the data for these indicators will be gathered for each stage of the project cycle.
- ❖ The final column is designed to address the assumptions, external factors and risks involved with the different aspects of the project that are necessary for project success, or that could cause project failure.



APPENDICES

Glossary of Terms

| | |
|------------------------------|--|
| Accountability | Accountability refers to the level at which a programme or project is responsible to the local populations. For example, if their needs are not being met, to what extent will the programme be re-evaluated to address this change? |
| Capacity | The knowledge, resources and skills required to perform a particular task or function. |
| Capacity Building | The process through which individuals or organisations develop the knowledge resources and skills needed to undertake particular functions. |
| Development | The long-term growth, institution and capacity building of a community for the betterment of the quality of life of the population. |
| Disaster | A disaster is defined not by the event itself, but by the effect that it has on people's lives. A disaster causes physical destruction, and both physical and emotional hardship for the affected population. |
| Disaster Mitigation | Disaster mitigation refers to the steps taken to minimise the risks of disaster. |
| Disaster Prevention | Disaster prevention refers to the elimination of risk from disaster, rather than a minimisation of risk. |
| Disaster Preparedness | Disaster preparedness refers to the building of readiness to deal with the disaster and the risks associated with it. |
| Effectiveness | The extent to which a programme achieves its stated objectives. |
| Evaluation | The process that seeks to determine as systematically and objectively as possible the relevance, effectiveness and impact of activities carried out in light of their objectives. |

| | |
|-----------------------|---|
| IDP's | Internally Displaced Persons refers to populations that have been forced to relocate from their places of residence as a result of the disaster. They differ from refugees as they remain within their own country. |
| Impact | A measure of the changes in awareness, perception or situation brought about by the activity undertaken. In the immediate context, it refers to the extent to which the produced outputs are accepted and utilised by the intended users. In the longer view, it includes the effects of such utilisation on the problem addressed and on the intended beneficiaries. |
| Indicator | Indicators are signs measuring the changes resulting from a project or programme in order to determine the success of the project or programme. |
| Inputs | Goods, services, personnel and other resources made available for the purpose of producing an activity's outputs. |
| Objectives | The stated aims of a project or programme, the results that the programme seeks to achieve. |
| Outcomes | The results of a programme relating directly to the stated programme objectives, and resulting from the programme outputs. |
| Outputs | Outputs refer to the specific results yielded from the practical inputs to a project. The number of local staff trained, or number of reports written, would be examples of project outputs. |
| Programme | A programme differs from a project in that it is generally broader in scope, and may include a number of specific projects as part of the means to achieve its overall goals. |
| Project Cycle | The project cycle refers to the life of the project, through its design phase, to implementation, evaluation and so forth. |
| Rehabilitation | Rehabilitation refers to the longer-term assistance in post-disaster situations. |

| | |
|-----------------------|---|
| Relevance | The degree to which the programme targets the causal issues in a post-disaster situation and remains valid within the context of the post-disaster situation. |
| Results | Results refers broadly to the effects of a project or programme. A composite of the outputs, outcomes and impact of a project or programme. |
| Stakeholders | Stakeholders refers to those groups directly involved with the project - beneficiaries, project staff and local project partners, for example. |
| Sustainability | The sustainability of a project or programme refers to the ability of the institutions, systems and individuals benefiting from the project to continue to operate once the project ends. |
| Transparency | This refers to the sharing of information and conducting of the project or programme in an open and accessible manner. |

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