

# CHAPTER 6

## MODALITIES OF PROGRAMMING

### 6.1. Introduction

The programming modalities outlined in this chapter are an integral part of the DRC Assistance Framework presented in Chapter 5. The modalities relate to entry and exit criteria, targeting, modes of delivery and operational principles, and have been developed over the years from concrete field experiences and serve to assure programme quality, as well as representing DRC values. This chapter lays the basis for Chapter 7 dealing with how DRC manages its programmes in terms of planning, implementation, monitoring and evaluation of assistance activities.

### 6.2. Entry and Exit Criteria

This section describes some of the key criteria and considerations utilized by the Danish Refugee Council in determining when it is appropriate to initiate assistance activities and the conditions under which it ceases those assistance activities for conflict-affected populations.

#### 6.2.1. Entry Criteria

The DRC vision and the mandate for international activities provide the overall framework for decisions on whether or not to initiate assistance in a given area. Thus, DRC can basically consider establishing a presence whenever it – on the basis of the humanitarian imperative - can contribute to the protection of conflict-affected people and to the promotion of durable solutions to refugee and displacement problems.

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#### The Humanitarian imperative

“The Humanitarian imperative comes first – the right to receive humanitarian assistance, and to offer it, is a fundamental humanitarian principle which should be enjoyed by all citizens of all countries. As members of the international community, we recognize our obligation to provide humanitarian assistance wherever it is needed. Hence the need for unimpeded access to affected populations is of fundamental importance in exercising that responsibility. The prime motivation for our response to disaster is to alleviate human suffering amongst those least able to withstand stress caused by disaster. When we give humanitarian aid it is not a partisan or political act and should not be viewed as such”

In addition, however, new projects and programmes should preferably also meet some or all of the following key criteria:

- » Potential to utilize DRC's core competencies in a manner that adds value to assistance provision as a whole (e.g. through acting in complementarity with other like-minded organisations and through developing modes of assistance that have general applicability within the given context). Also important in this regard is the presence and availability of alternative actors and perceived gaps in their assistance.
- » Needs are of sufficient quantity to warrant the costs of setting up and developing an operational presence.
- » A clear potential for a long-term engagement with a strong, overriding focus on return, reintegration and local integration can also influence decisions to engage.
- » Considerations of whether a strong basis exists for a cross-boundary approach to analysis, strategy development, implementation, management, and networking.

In concrete terms, these criteria will be utilised whenever it is contemplated to start activities in a new area. This will also be the case when it happens on the basis of direct requests from donors or UN organisations, but obviously such requests will by themselves be an important additional factor in decision-making, in particular if they originate from key organisations and structures such as UNHCR, WFP and/or IASC/OCHA.

The above criteria should be utilized to monitor situations for entry and facilitate quick decision-making. Where DRC is already present, the criteria are also useful in expanding an existing programme into new areas and/or target groups. The decision regarding (a possible) entry falls under the authority of the Head of the International Department in consultation with the relevant Head of Section.

Once a decision has been taken to engage, DRC would often field an assessment mission followed by a detailed feasibility study to assess whether and under what conditions DRC might engage.

### 6.2.2. Exit Criteria

DRC considers Exit at different levels, as explained below:

- » general exit from an area of operation, meaning an effective end to DRC's assistance activities (e.g. recently in the case of Angola);
- » exit through the phasing out of certain operations. This often involves a shift from one DRC strategic objective to another (e.g. from relief to livelihood support and institution building); and
- » handing over responsibility for programmes or programme components to other partners, including local ones.

These are further discussed below.

### General Exit Criteria

In principle, DRC ceases its assistance activities once it determines that its presence is no longer necessary on the basis of its vision, the mandate for international activities and the humanitarian imperative. More specifically, decisions to exit are based on the following core elements:

- » Fundamental rights applicable and relevant to IDP, refugee and displacement situations are upheld and protected by capable and willing national and international institutions;
- » No renewed outbreak of violent conflict appears likely;
- » No renewed displacements are likely.

In reality, DRC's exit is shaped by a combination of complex factors that may, in addition to the criteria outlined above, also include other factors. For example, involuntary exit may arise from political pressure from authorities, lack of funding, etc. The need to build pressure on duty bearers may motivate DRC to transfer responsibility to other partners as well.

It is often useful to discuss the prospects for an overall DRC exit from a given operational area as part of the Annual Review process. For this purpose, the criteria listed above could be used to assess the relevance of continued presence of DRC in the light of the prevailing circumstances. For example, although there may be improvements in the human rights situation in general, the presence of certain groups needing protection and whose rights are being violated may dictate that DRC remains engaged.

### Phasing Out Specific Assistance Activities

Short of ending an entire operation, DRC in certain instances may opt to phase out components of its operations in favour of other activities. For example, DRC may reorient the focus of its assistance away from provision of relief to supporting livelihood activities and institution-building ones. This in essence entails shifting its focus from one DRC strategic objective to another (see Chapter 5 for a reminder on DRC strategic objectives). The box below is an example of phasing out modalities of relief operations used in the Chechnya operation.

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## Modalities for Phasing out Relief Activities in Chechnya

In the framework of the IRLR interventions (Integrated Return and Livelihood Recovery Programme), DRC makes use of the following modalities for phasing out of relief operations.

- » *Offer alternatives:* potential returnees from the villages selected and households in the villages that currently receive food relief, are systematically offered alternative assistance focusing on supporting food-security and income generation.
  - » *Community based targeting:* in certain villages and areas, DRC shift from the current targeting model (household economy criteria) to a more subjective community-based targeting model where DRC hands over (in a phased approach) the selection of the most vulnerable households to local governance structures. This process should allow for decreasing the total number of beneficiaries.
  - » *Work with local government:* DRC work with local government (jointly with other agencies) to close the “gap” between household economic criteria and government social criteria. This should allow for the fair “transfer” of the most vulnerable groups (that will always be present) from the humanitarian relief programme to the government regular social benefit programme.
  - » *Vouchers scheme:* DRC plans to introduce a Voucher Scheme as an alternative to food/NFI relief. While Voucher Schemes themselves are basically another – often more dignified - type of relief assistance, experience shows that it contributes to accelerating the process of phasing out relief. It tends to regenerate the local economy.
  - » *Overall socio-economic progress:* The overall aim of an IRLR intervention is livelihood recovery (or that households are in a positive process towards livelihood recovery). Thus, if successful, the majority of groups of households should gradually move out of the very-poor and poor categories that qualify for relief aid.
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In many settings, DRC supports community-based integrated programmes as part of its post-conflict rehabilitation and reconstruction activities. These programmes are not open-ended; instead, they gradually wind down overtime, particularly as mainstream development activities pick up steam. Measures that lay the basis for smooth exits from such programmes need to be put in place. The box below provides an example from Angola on how this can be accomplished.

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## Exit Strategy in the Angola Programme

In Angola, the focus was on communal capacity development, income generation, linking to other actors and selected capacity interventions at the institutional level, along with measures to strengthen sustainability of interventions. As part of the process of winding down its assistance activities, the DRC exit strategy took the following into consideration:

- » The rehabilitation interventions are intended as time bound interventions aimed at bringing people on a path towards sustainable livelihoods, not sustainable livelihoods per se.
- » No interventions in a community will have a duration of more than 1-2 years and interventions that cannot be completed within the programme period, will not be initiated.
- » Investments of significant resources in advocating the DRC strategy with a view to ensure complementarity and support by other agencies

A successful exit assumes that government and other agencies are prepared and capacitated to take over. The monitoring of these therefore are critical for the programme

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## Handing Over to Other Partners

In other settings, DRC may initiate and develop activities that are eventually handed over to another partner. Such a transfer of responsibility can take a variety of forms as detailed below:

DRC may for example:

- » transfer responsibilities to a government counterpart institution with the aim of mainstreaming a new approach it has developed and/or piloted over a number of years, and during which sufficient progress has been made to warrant scaling up and institutionalization. This is what transpired in the case of Farmer Field Schools (FFS) in Angola and parts of Northern Uganda where the FFS approach was integrated into the mainstream agricultural extension services after several years of piloting by DRC;
- » hand over responsibility of a sector to a UN-agency (e.g. initial support to WAT-SAN could be handed over to UNICEF) or its involvement in a micro-credit programme could be handed over to an existing micro-credit institution. DRC may have stepped in to provide critical initial support in the absence of other actors, whose presence and comparative advantages now makes it unnecessary for DRC to continue its engagement for that particular sector;

- » hand over of some programmes to a local partner DRC has been working with, and where the partner in question is deemed to have the requisite capacities (and values) to deliver the assistance needed; and/or
- » create a new NGO (on the basis of former DRC staff when a programme closes), which will assume responsibility for the continuity of operations no longer deemed appropriate or necessary for DRC to be involved in.
- » **Annex B23 provides some guidelines for local hand over of programmes, while Annex B24 sets out the process for creating a local NGO.**

The above examples of various exit modalities are provided as a guide; the prevailing situation should dictate the most appropriate measures and processes to take.

### 6.3. Targeting

In accordance with the vision of the Danish Refugee Council “...no displaced person must be without help when it comes to finding protection and durable solutions.” With this as a starting point and reflecting also the DRC mission and mandate for international activities, the target groups should be within the following broad categories:

- » All conflict affected populations: Refugees, Returnees, IDPs, “Remainees/ ”Stayees” (i.e. those who have not returned, locally integrated or resettled), host populations; and
- » Institutions and organisations (at national, regional and local levels; government, local authorities and civil society).

However, within this overall framework, prioritization must obviously take place since resources and capacities are not without limits. In doing so, the following issues are to be factored in:

- » How does the rights-based approach influence/inform DRC targeting decision?
- » How do other considerations factor when targeting – e.g. with respect to types of assistance, sectors etc.?

These issues will be discussed in the following section as they are of key importance in targeting. However, from the outset it should be stressed that primary importance should be given to organisation’s vision, mandate for international activities, humanitarian principles and the rights-based approach as the guiding principles.

### 6.3.1. Targeting with a Rights-Based Approach

Targeting based on the Rights Based Approach is fundamental for the Danish Refugee Council. To recall, the five RBA core principles are: expressly apply international human rights legal framework; empowerment; participation; non-discrimination & vulnerable groups; and accountability.

For illustrative purposes, the various ways in which three of the five the principles of the RBA are utilized in targeting decisions are outlined below:

- » **Principle 1: Expressly apply and refer to international human rights legal framework.** The selection and prioritization of problem(s) and thereby the objectives and target groups for interventions are closely and explicitly linked to rights violation(s). The interventions and resulting solutions are therefore aimed at facilitating and enhancing the protection, respect and fulfilment of the right in question and in particular the duty-bearers' ability and obligation to protect, respect and fulfil the rights of people.
- » **Principle 3: Participation.** The right to participation implies that we consult people or undertake participatory assessments and planning regarding what are the most urgent problems to address. There are lots of challenges to participation: Who are the people? Whose voice? Whose rights? Who represents the people? A particular challenge may be faced in getting rights-holders to participate in the process of identification, prioritization and advocacy of needs, in particular in an emergency/conflict situation, and in situations where people/right-holders may not have an expressed interest in participating.
- » **Principle 4: Non-discrimination and vulnerable groups.** The non-discrimination principle asserts that no one can be denied the exercise of their human rights on the basis of specific characteristics, such as race, religion, gender, nationality, birth or other form of status. Adhering to the principle of non-discrimination implies that we address, as a priority, discrimination (and thus target groups of people who are being discriminated) and protect vulnerable groups. The question of who is vulnerable will be determined by the issue/context and the corresponding international legal standards. The principle of non-discrimination and priority to vulnerable groups could however, under certain circumstances, appear to be conflicting as a focus on vulnerable groups may imply potential discrimination against other groups. Nonetheless a focus on vulnerable groups is necessary in many contexts where DRC operates.

DRC focuses on delivering durable solutions, and in providing assistance it ensures that the needs of vulnerable groups are met.

- » See Annex B25 for further elaboration on DRC target groups and Annex B35 for the DRC Stakeholder Analysis Tool.

The Box below is a case example of community-based targeting for vulnerable groups used by the DRC North Caucasus programme and reflecting the above principles.

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### **Case Example on Community-Based Targeting of Beneficiaries**

#### Danish Refugee Council Russian North Caucasus Programme

##### *Background*


Since 1999, DRC has been implementing a large relief program of food distribution to IDPs and residents affected by the conflict in Chechnya. However, with the stabilization and gradual improvement in general conditions in North Caucasus, DRC has been moving in the direction of reducing the numbers of relief beneficiaries and encouraging local governments and organisations to take greater responsibility for their most vulnerable residents. A key tool in this effort has been the community based targeting procedure for selecting program beneficiaries, in use since the spring of 2007.

##### *Procedure and System put in place to address problem*

The main challenge faced by the programme was to shift the responsibility for beneficiary selection from DRC to the local communities while at the same time ensuring that it would continue to target the most truly vulnerable with for direct food distribution or cash transfers. However, community-based targeting turned out to be a viable strategy. It involved:

- » The establishment of a broad-based, gender-balanced committee with representatives from religious communities, local NGOs, social services, local government, and programme beneficiaries – and with DRC as a facilitator and observer.
- » The committee was tasked with the development of beneficiary criteria and with the consequent selection of beneficiaries – and it updates these on every 2-3 months. Minutes of meetings are recorded and published.

##### *Main Achievements*

- » Beneficiary numbers were reduced from 60,000 to 23,000 in three months
  - » There seems to be broad consensus among involved communities that the beneficiary selection process is fair, transparent and well functioning.
  - » Because of its apparent success, other organizations have started showing an interest in the model.
  - » DRC NC believes it is a model to promote in other DRC programmes
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### *Potential Problems*

- » One or a few members control the process: In most communities there are powerful and influential people and groups to whom others defer, so there is a risk that these leaders will manipulate the system to their own advantage.
- » Authorities take control of the process: In some communities, government authorities may insist on assuming a controlling role in the work of the committees, and it may be difficult to resist that.
- » Committee process breaks down: For committees to function effectively, their members must understand and agree to work within the agreed procedures. If many do not, then the committee will not function well.
- » Committee members lose interest: People sometimes agree to serve on committees without appreciating the nature of that commitment, so they may lose interest once they realize what is expected. However, as the committees control the distribution of benefits to people in a community; members normally maintain their interest in its work.
- » Committee loses credibility in community: If the actions of the committee are not seen as fair and transparent, then the community will lose faith in its decisions.

### 6.3.2. Other Factors Influencing Targeting

Apart from the principles that emanate from RBA, targeting may also be influenced by a whole range of other considerations, related to e.g.

- » **Sectors of intervention:** Some sectors of intervention lend themselves to particular targeting criteria. While distribution of relief items typically is based on relatively simple targeting criteria such as degree of vulnerability, other sector interventions may be more refined. That, for instance, is often the case with micro finance activities where the business potential and overall repayment capacity impact on beneficiary selection.
- » **The activities of other humanitarian actors:** The scope for linking DRC interventions with complementary operations by other agencies and avoiding duplication, is another factor that must be considered. Complementarity can be in terms of geography (by selecting areas with needs that are uncovered by other agencies) or sectors (by seeking to work in the same area as agencies that offer activities in sectors that are not covered by DRC).

» *The nature of interventions:* The criteria for selection of target areas as well as beneficiaries are heavily influenced by the nature of the intervention; Typically, single-sector interventions such as distribution of food and non-food items will cover a wide area and a high number of beneficiaries, based on relatively simple selection criteria. In contrast to this, integrated programmes covering several sectors typically focus on smaller areas, and adopt more refined and targeted criteria in terms of both area selection and when identifying particular groups within communities as the target for specific activities within a comprehensive area-based programme. This is illustrated in the case below from West Africa and is further discussed in the following section on modes of delivery:

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### Selecting the communities, activities and beneficiaries for DRC programmes – Examples of Targeting Criteria used in West Africa

In the West Africa operation, most interventions are community-based, and the first step in selection of communities for interventions is Community Profiling (see for instance the IDP profiling tool in Annex B16). Community profiling provides baseline data on a large number of communities within the geographical areas of intervention and the following criteria are used for selecting communities for the profiling exercise:

- » Located in DRC area of operation
- » Knowledge/reports of presence of population of concern
- » Knowledge/reports of protection gaps
- » Knowledge/reports of humanitarian needs
- » Accessibility

The stakeholders involved in this selection process is DRC (including local staff who may have important knowledge), Local Authorities (who has knowledge – but be aware of biases), and the Humanitarian Community in the area.

Based on the outcome of the profiling, some communities will be selected for Community Action Planning (CAP) processes, which form the basis for designing integrated interventions, while others will be selected immediately for different Sector Interventions. The selection criteria for both are:

- » Presence of population of concern: Villages with a presence of IDPs, refugees, returnees, ex-combatants, children associated with armed forces will be preferred.
  - » Protection concerns: Villages with protection concerns such as high level of SGBV, presence of persons without proper documentation, large pres-
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ence of vulnerable groups (female single-headed households, elderly, un-accompanied minors, disabled) will be preferred.

- » Intra-/Inter-communal conflicts: Generally villages with ongoing conflicts will be targeted, however, for agricultural interventions villages with ongoing conflicts over access to land may be excluded.
- » High malnutrition levels
- » High morbidity and/or mortality
- » Lack of access to basic services
- » Low yield food production history
- » Lack of livelihood opportunities
- » Willingness of community to participate: Villages must show a willingness and commitment to engage in the project/activity design and implementation and to contribute towards e.g. construction projects with inputs and labour.

In addition, specific criteria are typically utilised when targeting individual sector interventions. Examples on this include:

#### *Food Security, Agriculture and Income Generation*

Seeds & tools distribution and Pest Management (Extensive Interventions)

- » Communities: Low food production, remote but accessible, pest problems
- » Individuals: Status (aim that 40-50% of beneficiaries should be persons of concern), vulnerability (carefully considered as vulnerable persons should be included, but may not have capacity to participate in activity), has access to farmland

#### *Small-scale Infrastructure*

Labour-intensive Road & Bridge Rehabilitation – Extensive Interventions

- » Communities: Importance of infrastructure for livelihood opportunities
- » Individual: Status (aim that 40-50% of beneficiaries should be persons of concern)

#### *Construction of latrines and hygiene promotion – Intensive Interventions*

- » Individual: Status (aim that 40-50% of beneficiaries should be persons of concern), vulnerability (include vulnerable community members), large number of children.

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Other humanitarian organisations have also established their own criteria to determine assistance. For example, Save The Children utilizes Household Economy Criteria to determine vulnerabilities and needs

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As can be seen, there are many considerations to take into account in targeting. Programmes are therefore encouraged to adapt the criteria to the context they are working in to ensure that targeting is effective and fulfils the vision, mission and mandate of the Danish Refugee Council.

## 6.4. Modes of Delivery

The Danish Refugee Council provides assistance to conflict-affected populations in a variety of ways, as determined by the context in which it is operating and other factors. For simplicity, these modes of delivery can be categorized in two main types:

### 6.4.1. The Intensive and Extensive Modes of Delivery

One way of describing the manner in which assistance is delivered is to distinguish between an intensive and an extensive mode of delivery. Whereas the extensive mode refers to distribution of a relatively simple type of aid to a large group in a wide area, the intensive mode covers more complex, integrated forms of assistance, delivered within a restricted area and to a smaller group of recipients.

Typically, the intensive mode of delivery consists in multi-sector, integrated programme delivery that obtains in community rehabilitation programmes. This mode of delivery is used in a displacement setting, to meet the needs of both the displaced and the host community, and in durable solutions settings with the aim to create the conditions for sustainable return and/or integration.

The intensive mode of delivery classically involves an integrated community-based approach aiming to place conflict-affected populations on a path to achieving sustainable livelihoods and through that to minimize their dependence on humanitarian assistance. Typically, DRC's integrated community-based interventions will support:

- » Physical rehabilitation of community infrastructures: e.g. water and sanitation facilities, low cost school construction, rural infrastructure (feeder roads), health posts, and other small scale infrastructure;
- » Restoration and development of economic activities: e.g. agriculture and other income generating activities;
- » Capacity-building in broad sense: e.g. strengthening community-based organisations and local authorities to sustain development initiatives;

» Initiatives related to human rights and reconciliation.

The programmes of DRC may include all or a combination of the above depending on the situation. Often, physical rehabilitation activities can be used as entry points to build trust, which can then be followed by more intensive participatory community-based approaches.

Integrated community-based interventions are by nature resource-intensive for which reason they have to be limited to a selected number of communities, in contrast to e.g. relief assistance that is typically provided to a larger population group in a wider area. In undertaking community-based interventions, it is therefore important to engage other actors (other agencies, Government, etc) with a view to securing their support in complementing DRC's efforts, in terms of covering both additional sectors in the same area where DRC works and other geographical areas where there are similar needs. Wherever possible, this should be done in ways that ensure that all actors work on the basis of a common framework, such as district plans or similar instruments for promoting local development.

» Annexes B26 provides an example of an integrated community-based approach used by DRC Sri Lanka.

Community-based interventions invariably involve usage of participatory mechanisms that serve to strengthen community involvement in selection of priorities with the aim of strengthening local ownership and sustainability. Examples of this are found in the DRC programmes in Uganda and West Africa where DRC has used participatory processes aimed at formulating and implementing Community Action Plans (also called Community Development Plans).

» For inspiration, case examples from the programmes in Uganda and West Africa are to be found in annexes B28, B29, and B30).

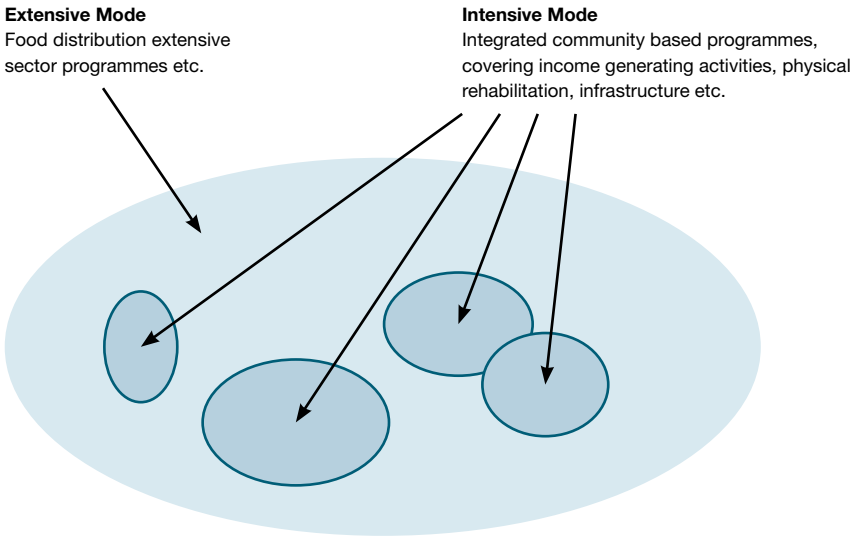
The extensive mode of delivery is often employed in cases where there is wide programme coverage, usually involving a single sector. Furthermore, it is applied in all types of situations where DRC is involved – i.e. during acute crisis, displacement as well as durable solutions. Typically, DRC utilises the extensive mode when becoming engaged in distribution of food and non-food items, as has been the case in Northern Caucasus and in the Balkans. However, it may also be the case in other sectors, e.g. when DACAAR developed a Water and Sanitation programme covering most of Afghanistan. Another example is the extensive support that was provided towards reconstruction of private housing in Bosnia.

Facilitation of decision making of displaced people with regard to return or local integration is yet another, yet somewhat particular, example of the extensive mode of assistance delivery. The main instruments used in this are: Go-and-See-Visits, Go-and-

Tell-Visits, and related information measures. This applies to both refugees and IDPs, as well as in the case of repatriation of refugees in Denmark to their home country.

Even in the extensive mode, the use of crosscutting operational principles, such as participation, is of importance. However, the intensity with which they can be implemented will obviously be lower than in the case of the intensive mode of delivery. The following figure depicts the difference between the intensive and extensive modes of delivery:

Figure 6.1: Extensive and Intensive Modes of Delivery



The key features of the extensive and intensive modes of programme delivery are summed up in the matrix below.

Table 6.1: Key Features of Extensive and Intensive Modes of Delivery

Purpose	Extensive	Intensive
<i>Coverage</i>	Wide coverage; Targets a wider area and more people	Low coverage; targets a smaller area, with fewer people
<i>Typical Interventions</i>	Extensive intervention involving a single sector: <ul style="list-style-type: none"> <li>• Food Relief</li> <li>• NFI</li> <li>• WES</li> <li>• School rehabilitation</li> <li>• QIPs</li> <li>• Support to informed decision making</li> </ul>	Integrated programmes typically involving: <ul style="list-style-type: none"> <li>• Multi-sector interventions;</li> <li>• Training of beneficiaries</li> <li>• Capacity development of organisations and institutions</li> <li>• Community empowerment</li> </ul>
<i>Needs</i>	Implemented to address a single need for a large population group	Implemented to address several/multiple needs.
<i>Cost</i>	Cost per beneficiary low	Cost per beneficiary is high (therefore fewer beneficiaries)
<i>Scope of impact</i>	Narrow: focus on one need	Wide: focus on overall contributing to improved livelihoods and overall community development
<i>Programme complexity</i>	Low; typically single sector interventions	High: Typically integrated interventions involving several sectors
<i>Timespan</i>	Short-, medium and sometimes even long-term	Medium term: 1-3 years, sometimes longer-term
<i>Beneficiary involvement</i>	Often low; based on large scale needs assessment, and uniform programme models	Often high; based on extensive community consultation on all phases of the intervention
<i>When to use</i>	<ul style="list-style-type: none"> <li>• When a particular need is to be addressed urgently and/or is critical for achieving a sustainable solution</li> <li>• When DRC has sufficient and unique competence and capacity that can meet specific sectoral needs at a larger scale</li> </ul>	Whenever it is possible to plan and implement long-term community-based activities in support of self reliance and sustainable livelihoods, typically either in protracted displacement situations or when supporting durable solutions (i.e. local integration and/or return and integration)
<i>Examples</i>	Somaliland/Somalia, Angola, North Caucasus, Sri Lanka, Iraq, Darfur (Nerity/Jebel Marra), Afghanistan	Somaliland/Somalia, West Africa, Angola, Abkhazia, North Caucasus, Sri Lanka, Darfur (Zalingi), Afghanistan

### 6.4.2. The Direct and Indirect Mode of Delivery

Another way of describing the approach to delivery is to distinguish between assistance provision directly to conflict affected population groups or through other actors. DRC operates with both as reflected in the following table.

Table 6.2: Direct and Indirect Modes of Delivery

Direct Implementation	Indirect Implementation
<ul style="list-style-type: none"> <li>• DRC does it all, either by itself or in part through sub-contractors<sup>1</sup>.</li> </ul>	<ul style="list-style-type: none"> <li>• Through sub-contractors</li> <li>• Through partners – local and INGOs</li> <li>• Through government agencies</li> </ul>

Direct implementation is utilised as a mode of delivery when local capacities are incapable of, or unwilling to provide the required protective services to conflict affected population groups. Indirect implementation, on the other hand, typically comes into play when DRC considers this to be a preferable approach. This may be because of a dearth of operational capacity in situ. However, usually the decision to implement through other actors is linked to capacity building objectives. It is i.e. done with the stated aim of strengthening the ability of local actors to provide services to conflict affected people.

Typically, such efforts target the private sector, civil society and/or government agencies as follows:

- » Private sector activities: Supporting the private sector can be a key input in overall reconstruction efforts in post-conflict situations, for which reason it may be decided to utilise private contractors as much as possible, e.g. in engineering works. Typically, contractors are selected on the basis of criteria related to competence and capacity – not only with regard to the present but also the future. Hence, it should be a key point to promote sustainable improvements in overall private sector capacity, meaning also that commercial orders may be accompanied with technical support and coaching.
- » Civil society activities: This mode is built on the presumption that civil society is an indispensable part of nation-building in post-conflict situations. The focus is typically on NGOs operating more or less in the same sectors or with the same target groups as DRC itself. Selection criteria include mission, mandate, objectives, capacities with regard to management and finance, staff etc. Activities often include a combination of direct capacity building (e.g. through training courses, coaching etc.) and provision of grants that enable the recipient organisation to provide direct assistance to final beneficiaries, i.e. conflict affected population groups.

- » Government agencies: The focus is typically on supporting institutions to perform critical functions, both in terms of service provision, legal and physical protection etc. (i.e. as duty bearers). Typically, such activities are designed to empower and enable target institutions to take up their actual responsibilities vis a vis a given population, thereby enabling DRC to reduce its role as provider of direct assistance. Therefore, targeted agencies and institutions are usually within sectors that are of direct relevance to DRC's ongoing activities. Apart from this, selection criteria include an assessment of the willingness to actually perform as intended once the capacity is in place.

To sum up with respect to the various modes of delivery outlined above: It is important to bear in mind that:

- » the types of assistance delivery are not to be compartmentalized; they complement each other, and programmes will often use a combination;
- » DRC also uses other ways of delivering assistance that do not fit into the above categorization. These include its policy/advocacy work, return monitoring, survey activities and others; and that
- » consideration should be given to the importance of participatory approaches being used to the greatest extent possible, irrespective of the mode of delivery.

### 6.4.3. Remote Management of Programmes

High levels of insecurity and instability, and a great degree of unpredictability of violence characterize some of the humanitarian contexts where DRC operates. This can frequently lead to hostility towards humanitarian workers, and specifically restrict or curtail access for international staff as their continued presence could jeopardize provision of assistance and the lives of local staff. In such extreme cases, it is often prudent to relocate international staff to neighbouring countries, and thus to initiate remote management of the programmes. Under such circumstances, the local staff would assume responsibility for direct, operational management and implementation.

The DRC Iraq programme is a classic example of remote management, which became necessary as the security situation in that country deteriorated between 2001 and 2004, with no encouraging signs that the situation would improve soon enough. As a result, the programme has developed systems and processes for managing the programme remotely from Amman, Jordan and Kuwait.

Full details of the process and system of remote management of the Iraq programme are presented in Annex B32 and could be of use for other DRC programmes that may find themselves in similar situations in the future.

However, it goes without saying that the decision to engage in long-term remote management is one that needs to be carefully considered. Only if there are very strong strategic and/or humanitarian reasons should such an approach be considered.

## 6.5. DRC Operational Principles

DRC is a demand-driven organisation and its assistance activities are based on local needs, and informed by a broad contextual analysis of factors at local, national and global level. The “lens” used in determining its interventions is the rights-based approach. This section outlines the nine operational principles of DRC, namely: Participation; Capacity development; Gender; Advocacy; “Do No Harm”; Collaboration with Local Partners; Complementarity; General Replicability of Methods and Programmes; Sustainability and Environment.

### 6.5.1. Participation

Participation is a broad field, that has been extensively written on with many excellent manuals on the subject that can be consulted, among which are the references mentioned at the end of this section. It is therefore not the intention to repeat all that is commonly known. The objective here is to outline (a) the reasons why DRC considers participation to be important to its assistance activities and (b) the issues that DRC staff has to take into account when designing a strategy for participation. Ideas for actual participation methodologies are provided in DRC’s Participation tool.

#### The Normative Framework

”Far more than a set of tools, participation is first and foremost a state of mind, according to which members of affected populations are at the heart of humanitarian action, as social actors, with insights on their situations, and with competencies, energies and ideas of their own.”<sup>2</sup>

The idea and practice of seeking participation by the beneficiaries of DRC’s work is well established within the organisation. But it is more than just a principle of good intentions. DRC has also formally obliged itself, by signing up to international standards, to ensure that

- » “Ways shall be found to involve programme beneficiaries in the management of relief aid.”<sup>3</sup>
- » “The disaster-affected population actively participates in the assessment, design, implementation, monitoring and evaluation of the assistance programme.”<sup>4</sup>
- » “Members involve beneficiaries in the planning, implementation, monitoring and evaluation of programmes and report to them on progress, subject only to serious operational constraints.”<sup>5</sup>

- » “The agency shall enable beneficiaries and their representatives to participate in programme decisions and seek their informed consent.”<sup>6</sup>

In other words, subject only to serious operational constraints<sup>7</sup>, in DRC programmes

- » We must always seek participation by those affected by our work
  - during all stages of the project cycle (see participation tool);
- » We must report to them about the programme’s intentions and progress
  - and seek their consent to our work with and for them.

### The purpose of participation

Participation can be described by way of its purpose:

- » Instrumental: As a (short-term) means to achieve a project result - for instance, by contributing local inputs like sand and labour for the construction of a school,
- » Transformational: As a (long-term) end in itself as development of capacity of rights-holders and duty-bearers (see Rights-based approach in chapter 4) to close actual protection gaps and withstand future emergencies. See example below,

...or by way of a continuum, according to its intensity:

Table 6.3: Different Types of Participation

Continuum	Modality, relevance, occurrence in DRC
Non-participation	Very exceptional (like airdrops of relief)
Information to beneficiaries	Always. About DRC, its intentions and progress
Information from beneficiaries	Necessary for project design, planning and evaluation
Consultation	Always. Obtaining opinions about the intervention and seeking consent, within the confines of DRC’s accountability framework
Contribution from beneficiaries (labour, materials or assets)	Always, with exception of acute emergencies or especially vulnerable people (even here, a small or token contribution may be possible)
Collaboration on equal terms	Possible with capable partners
Unconditional support/full ownership	Seldom. Assumes a situation where DRC’s mandate may no longer be needed.

While the instrumental purpose of participation is essential in order to obtain relevant, effective and efficient project results, it follows from DRC's Assistance Framework in chapter 5, that the transformational purpose of participation must also be always considered. Often, it is possible to design beneficiary and stakeholder participation in a project so that it serves both the instrumental and the transformational purpose. In the example of the school project, a local committee of parents and teachers may accept responsibility for both the construction and later the running of the school. In that way, the participation also becomes transformational.

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### **Example: Transformational Participation**

In Kosovo, NGO partners are involved as responsible for the dialogue & reconciliation component of DRC's multi-sectoral return project. This is seen, i) to further enhance the capacity of the NGOs, ii) to establish links between the NGOs and the returnees and between the NGOs and the municipalities, and iii) to promote the visibility and future role of NGOs. Hence, the participation does not only ensure the project's dialogue & reconciliation component but also builds local capacity to address future problems after the closure of the project.

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### **Aspects to Consider**

All DRC programs and projects must consider the following aspects in order to determine their optimal participation strategy in the situation:

» Participation: Potential positive effects:

- Supports, or is even a precondition for, a rights-based approach;
- May reveal capacities and vulnerabilities that would otherwise remain unrecognised and therefore untapped or unaddressed;
- Demonstrates respect and sustains dignity of the beneficiaries in the eyes of themselves and of others;
- May support programme quality (realism and relevance of goal, target group and methodology; efficiency (save costs); and effectiveness (ensure the desired result));
- Helps establish the project indicators and helps measure progress against them;
- Strengthens sustainability of the intervention, because the beneficiaries will protect and maintain its results;
- May improve the security for DRC;

- May provide indirect access to no-go areas for DRC (but security for beneficiaries must be considered);
  - Builds the participants' capacity and sense of responsibility to cope with future adverse situations and/or link with long-term development; and
  - May improve the protection of beneficiaries by giving them confidence and voice to represent themselves.
- » Participation: Potential challenges and risks that must be addressed, bypassed or ameliorated:
- The beneficiaries of a project seldom constitute a homogeneous group and therefore may necessitate different participation methodologies;
  - Overlooking the most vulnerable because the mode of participation discriminates against their involvement;
  - Stigmatisation or discrimination of beneficiaries by being identified as 'vulnerable';
  - Participants' bias may undermine DRC's impartiality (That aid is given irrespective of race, creed, etc.) and independence (not taking side in a conflict);
  - Security risks for beneficiaries under a conflict-scenario, by being perceived as providing sensitive information or identifying with DRC, or just by becoming visible;
  - Security risks for DRC personnel;
  - Raising expectations, or having to answer for unfulfilled expectations raised by others!;
  - Overlapping participation or inconsistent participation methodologies with agencies in the same area;
  - Lack of flexibility in the project framework does not allow for the process and outcomes of genuine participation;
  - Scepticism or even resistance by local culture or structures;
  - Inadequate DRC staff commitment or competence to practise participation in the context of local culture and norms for engagement (note: even authoritarian cultures normally have traditional ways of consultation and representation);
  - Urgency. But even in the initial stage of an emergency it is necessary and normally also possible, at least, to consult;
  - Time economy is not only a matter for DRC but also for beneficiaries and stakeholders who are giving their time for participation at the expense of spending it on alternative means for survival;

- Seasonal constraints: Consider for instance agricultural peak seasons that determine both availability and sense of relevance; and
- Costs.

» Other aspects that must be considered:

Communication is a key to good or poor participation. Consider the effects of your non-verbal communication:

- Get away from the city, office, hotel, 4x4, taxi, airport and tarmac – and get as close to your target group as possible;
- Listen to and discuss with the target group; and
- Learn from them.

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### Example: Participation by Representation

For the implementation of a community driven development programme in Somaliland, DRC insists on the establishment of Community Development Committees (CDCs). The CDCs have representation from all groups within the community (women, youth, ethnic minorities, elders, men) and are tasked with the day to day communication with DRC and the actual implementation of the community development plans which have been developed through a participatory process with the entire community (facilitated by DRC). The representatives have been selected by each of their groups and need to consult with their groups when important decisions have to be made. They also must inform their groups of the work carried out in the CDC.

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Participation by representation: Depending on the urgency, nature and size of an intervention, participation may only be possible through representation. The following aspects must then be considered:

- » Whether existing representative structures can be used, or new structures must be established in order to complement existing structures for the sake of ensuring representation of all affected groups;
- » Legitimacy in the eyes of those represented; and
- » Will and capacity to speak for, and feed back to, all (beneficiaries seldom constitute a homogeneous group).

If it is deemed necessary to establish additional or new means for representation, consider

- » A risk that they may be perceived as divisive (careful consultation with existing structures may lessen this risk);

- » Our actual ability to establish means for representation that meet the criteria above;
- » Special facilitation may be needed to prompt participation by people used to exclusion; and
- » Cost and sustainability.

Defining participatory indicators: Beneficiaries' opinions of what will constitute a success of an intervention are obviously important for defining its indicators, but they may also be the only realistic way of measuring impact in situations where it is not possible to establish a baseline prior to the intervention.

The most common methods for ensuring participation and seeking informed consent are presented in the Participation tool. See also the section on Targeting above.

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### **Selected Reference Material on Participation**

- » [Guide to the HAP Standard \(See Annex F5\)](#)
  - » [The Sphere Handbook \(See Annex G1-G9\)](#)
  - » [Impact Measurement and Accountability in Emergencies: The Good Enough Guide, OXFAM 2007](#)
  - » [ALNAP: Participation by Crisis-affected Populations Practitioners Handbook ANLAP Global Study, 2003](#)
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### **6.5.2. Capacity Development**

Capacity development has increased in prominence in humanitarian circles and has been the focus of many conferences and workshops, and numerous books and publications, outlining a multitude of tools, models and strategies for enhancing capacities. This section of the Handbook will therefore not attempt to digest and present all this information. The aim is to define the way DRC understands and applies capacity development, state the reasons why the concept is important to the work of DRC, and to provide a framework on how to approach CD to serve as a guide for staff.

DRC regards “capacity” as referring to the abilities, skills, understandings, attitudes, values, relationships, and behaviour that enables individuals, organisations and institutions to achieve their objectives over time. Hence, capacity development is focused on improving the ability to acquire, strengthen and maintain these capacities.

Underpinning this definition of capacity and capacity development is the need to understand it from three dimensions:

- » Individual capacity development – related to development of skills of individuals in the short or long-term, e.g. through training, practice and exposure;
- » Organisational strengthening: related to the strengthening of organisational processes (e.g. planning, financial management systems, etc) through training, advise, organisational reform etc.; and
- » Improving the institutional environment through incentives, adequate policy frameworks, etc.

Of equal concern are also the concepts of capacity creation, capacity utilization and capacity retention. Many efforts are often made in creating capacities at the individual or organisational level, but with scant regard as to questions:

- » Are these capacities effectively utilized?
- » Are the capacities retained over time?

A comprehensive understanding of capacity development is important if these efforts are to be successful and have lasting impact, particularly for humanitarian interventions that are by nature of a shorter-term duration than development interventions.

The importance DRC attaches to capacity development stems directly from the adoption of a rights-based approach. Thus, this is one of the key instruments in strengthening the ability of the responsible parties – the duty bearers -, be they local and/or national government institutions, civil society organisations and/or individuals, to meet the needs, demands and rights of the stakeholders for whom they were established and to whom they are accountable.

Capacity development is important to all aspects of DRC's work; whether in acute crisis, displacement or durable solutions context. The targets for DRC capacity building interventions may vary, however, but the approaches can be largely similar and should be borne in mind in the early stages of programme conception and design.

A simple framework or typology of capacity development interventions is presented in the table below. It distinguishes between a functional approach, which essentially is technical in nature, and a political approach, where measures that impact on power and relations are at the centre.

Table 6.4: Approaches to Capacity Development

	Predominantly Functional Approach	Predominantly political approach
<i>Interventions targeted at internal systems (push-strategies)</i>	<ul style="list-style-type: none"> <li>• Change of systems, structures, procedures and technology</li> <li>• Skills training</li> <li>• General management training</li> <li>• Technical assistance in these and other areas</li> <li>• Etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Promotions, firing</li> <li>• Targeted support to “champions” of change/group of reformers</li> <li>• Performance-based benefit to key staff</li> <li>• Organisational development processes</li> <li>• Etc.</li> </ul>
<i>Interventions targeted at external stakeholders and factors (pull strategies)</i>	<ul style="list-style-type: none"> <li>• Output or performance-based budget allocations</li> <li>• Change of resource endowment</li> <li>• Change in formal/legal mandate</li> <li>• Introduction of supervisory agencies</li> <li>• Etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Building or maintaining coalitions of external stakeholders strong enough to impose change</li> <li>• Building up user pressure for accountability</li> <li>• Support to advocacy and lobby groups</li> <li>• Training of politicians, journalists</li> <li>• Etc</li> </ul>

From the framework above, it can be seen that capacity development can take place through:

- » Push strategies: by directly promoting change in the inner workings of an organisation;
- » Pull strategies: by promoting changes in the environment, thereby forcing or providing incentives for an organisation to change its internal system.

Many of the capacity development activities DRC often engages in, are internal push strategies with a strong focus on the functional approach. Nonetheless, approaches that integrate the political approach may be critical for success.

The definition and scope of capacity development outlined above will help staff select the most appropriate entry points. However, it is important to stress that many local organisations have existing capacities that need to be understood and utilized instead of ignoring these and attempting to build capacities. It is therefore advisable to undertake comprehensive capacity assessments prior to embarking on capacity development activities.

- » See Annex B33 for a Capacity Vulnerability Analysis Tool and Annex B35 for a Stakeholder Analysis Tool.

### 6.5.3. Gender

Gender refers to the differences between females and males throughout the life cycle. As such, age also plays a significant role. Gender is about the difference in roles, power, resources and access to resources in any culture.

Over the years, there has been much confusion about the use of terminology and the concept of gender. “Gender” is not only about women and girls. Moreover, gender is not restricted to e.g. issues of reproductive health or sexual and gender-based violence. In short, gender is about acknowledging the different needs and capacities of girls, boys, women and men and creating opportunities for equal enjoyment of rights by women, girls, boys and men.

#### Why Does Gender Matter?

Gender matters. Women and men very often respond differently to violence, crisis and conflict. Gender roles change across age and over time. Women and men bring different issues to the table. Women and men, girls and boys have different needs and different capacities and these are bound to change in a conflict and/or displacement situation. Likewise, relations between men and women will change and hence also power dynamics.

As the example below illustrates, conflict and displacement situations are very likely to create new vulnerabilities but also new opportunities and capacities, gender roles may change and so will the relation between females and males.

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#### Serbian Refugees in the Former Yugoslavia

When Serbian refugees began arriving in Serbia from Bosnia and Croatia during the war, the majority were women. In refugee centres, the women developed new forms of social interaction because they had to take care of themselves and their children in the absence of their husbands. This took place in a female-dominated atmosphere where new networks were created. When the men caught up, tension and disputes emerged. The men arrived in their uniforms, marked by war and with no possessions and few means for employment and were met by their wives’ new and independent ways of handling daily life. Gender roles had clearly changed as women had become far more assertive. Aid programmes therefore had to target men and women carefully with their activities while the new gender roles were being negotiated.

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It is on this background that DRC recognises gender as one of the primary organising principles of any society and thus also that conflicts tend to bring about fundamental changes in the relations between men and women, their respective roles and access to resources, with potentially positive and negative effects.

Therefore, DRC seeks to ensure that men and women have equal access to programmes. This means that gender aspects should be considered in DRC projects under all 3 scenarios - be it the acute crisis, the displacement or the durable solutions scenario. When doing so, it should be done with a view to ensure that programmes:

- » Benefit both men and women;
- » Recognise and utilise their respective capacities;
- » Recognise and take into consideration their special needs;
- » Support positive changes in gender relations, i.e. changes in terms of greater gender equality; and
- » Avoid undermining women's decision making capacities, and increasing their work load.

In doing so, DRC bases its work on fundamental human rights and international recognised instruments.

It is the responsibility of DRC management at all levels to ensure that DRC's gender tool is being used and that the DRC minimum requirements are being adhered to.

- » Please refer to Annex B15 for DRC's Gender tool and an elaboration of DRC's minimum programming requirements.
- » Annex B36 provides guidance as to how DRC relates to the Convention on the Rights of the Child.
- » Annex D13 contains UNHCR's new handbook for the protection of women and girls.

Gender mainstreaming is the strategy and approach applied in many DRC programmes that do not specifically target men or women but rather communities/groups affected by displacement, e.g. IDPs, host communities, returnees etc. When we do not specifically target men or women, boys or girls, it is of great importance that the choice of strategy and intervention is still based on a thorough analysis of the different impact, needs and capacities of women and men, girls and boys. However, gender targeted actions addressing the specific needs of individuals/groups within an affected population may also be called for. Civilians are increasingly becoming targets of violence. The number of civilian casualties in war is on the increase and the majority of them are women and children. Therefore, targeted actions may be relevant and necessary and will often target women and/or children (girls & boys) acknowledging that women and children are specific targets of violence and abuses in times of conflict. Likewise, that women and children are often the once left behind in the communities during conflict and immediately after.

## DRC Minimum Requirements

DRC's minimum requirements reflect that gender must be considered throughout all the different stages of the project cycle from planning and analysis over implementation to monitoring, evaluation and reporting. Details are as follows:

1. Programme Documents, including the Strategic Programme Document (SPD)
  - The target group vulnerability & capacity assessment/analysis distinguishes between women & men
  - The discussion of strategy options is gender-sensitiveIndicators are disaggregated for women and men, except when it is obviously irrelevant to do so
2. Monitoring
  - All project beneficiary data collection and statistics are disaggregated on women and men, respectively (and girls and boys, if applicable)
3. Reporting
  - In the Quarterly Report to HQ, a brief sub-section on Strengthening of gender aspects will indicate the measures to be taken to strengthen gender aspects during the next quarter, covering as a minimum those measures taken in terms of item 1 and 2 above
4. The Annual Review
  - Gender aspects, as a DRC operational principle, are explicit in the generic ToR for the Annual Review
  - The Annual Review will conclude how the programme will strengthen its gender analysis and strategy

### 6.5.4. Advocacy

Like capacity development, advocacy is a key instrument in strengthening the ability and willingness of local and/or national government institutions, civil society structures and individuals in the specific context to take up their humanitarian responsibilities – thus promoting a transition from conflict to sustainable peace and normality. In short, DRC advocacy focus on supporting government, civil society and communities meet their obligations vis-à-vis conflict-affected people, through means such as information, communication, training, capacity building, and other actions.

Advocacy can take different forms. Advocacy can be indirect or implicit messages. Gathering information on a particular issue or being present in a meeting can in itself send an indirect advocacy message that DRC is concerned about the situation or a particular issue. Moreover, DRC's mere presence as an international humani-

tarian NGO in a meeting can lend valuable support to national or local actors that advocate on a specific issue.

Advocacy can also be direct messages conveyed in an informal, discrete or confidential manner aimed at e.g. persuading responsible authorities to meet their obligations vis-à-vis displaced populations or mobilising other stakeholders to advocate for solutions to a particular problem. Persuasive, discrete advocacy can be very efficient, for instance with authorities who are not interested in having their shortcoming exposed in public but nevertheless not completely unwilling to discuss such problems.

Finally, there are direct and public advocacy messages and communication – including public denunciation of e.g. the actions of a certain authority. This can be a very efficient approach but also one that has to be considered carefully given the high risk of repercussions. Often, it can be advantageous to undertake joint direct advocacy with other like-minded organisations or stakeholders as such an approach will make it more difficult for the authorities to engage in forms of repressive action.

It is evident from the above that it is essential to conduct a stakeholder analysis prior to an advocacy initiative. Thus, it is crucial to understand the stakeholders involved in a particular problem, their motivation, interests, positive and negative (potential) influence on the problem and not least their relations to one another. In short, one needs to know the answer to questions such as: Who are the “supporters”, who the “reformers”, who are particular opposed to the problem being addressed and what is the hierarchy like – who decides over who? All stakeholders have sensitivities/vulnerabilities and points of leverage. It is important to identify and analyse these before advocacy activities are implemented.


» Please refer to Annex B35 for a Stakeholder Analysis Tool.


Advocacy carried out by country programmes is normally of an operational nature only and as such fully aimed at supporting the achievement of the country programme objectives. Responsibility for advocacy of a more global nature rests fully with DRC Headquarters.

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### **Joint advocacy on the situation in Somalia**

In October 2007, there was serious escalation of fighting between the Transitional Federal Government (TFG), supported by Ethiopian troops, and armed opposition groups in Somalia. It resulted in the displacement of more than 203,000 Somalis on top of the 450,000 that had already fled violence and on-going insecurity in Mogadishu during the year. Rampant insecurity was





preventing aid agencies from providing the urgently needed assistance, at a time when needs were increasing rapidly.

Apart from seeking to reach people around Mogadishu with relief assistance and getting donors to fund these efforts, DRC and other international NGOs decided to join hands in an advocacy campaign, directed first and foremost at the European Union. The campaign consisted in a series of messages that were conveyed by letter to relevant government ministers and also used in public information work in Europe. The focus was on bringing pressure on the TFG in order to improve humanitarian access as well as to push for a cessation of hostilities. Furthermore, it was a key ambition to get the international community to introduce a far stronger element of accountability in its relations with the TFG given the government's total failure in protecting its own citizens and in facilitating humanitarian assistance.

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#### 6.5.5. Do-No-Harm

The minimum aim of DRC programmes in terms of impact is to “do no harm”, i.e. to strive towards ensuring that the activities implemented at least have no negative impact on the conflict in question, nor on direct and indirect beneficiaries. At best, DRC programmes will strengthen existing reconciliation efforts through promoting confidence building between rivals.

“Do no harm” points to the fact that aid in some instances has been found to actually worsen conflicts:

- » Wars have been intensified due to competition over the external supplies provided;
- » Aid agencies who negotiate with warring parties have legitimised the power struggles; and
- » Material aid has strengthened the ability of aggressors to continue fighting.

It is important to seek to avoid these negative side-effects of programmes already at the planning stage. Instead, DRC shall strive to promote positive side-effects by supporting local capacities for peace. This entails analysing which groups are most motivated to end conflict (“connectors”) and how to support them in this process. And also, to identify capacities for war and how to decrease their role (through “dividers”).

- » Connectors: In all wars, there are people who interlink the fighting groups. These capacities for peace are often less visible than the fighting forces in the midst of a conflict. Capacities for peace can signify institutions as well as relations,

attitudes and interests. Connectors are often women and older people, but this is definitely not always the case. Always consider the particular local context.

- » Dividers: Dividers create or maintain tensions in society. Dividers are capacities for war, which emphasises that not all the local capacities are worth strengthening. War capacities also cover both institutions, relations and values. Men and youth are often dividers because of the benefits it entails for them to fight or because they have acquired irreconcilable attitudes through years of conflict. In some settings, however, women, older people or religious leaders may just as well promote antagonistic attitudes.

If programme staff work with the idea of dividers vs. connectors, they will over time automatically view planning through these lenses. See the box below for an example from Darfur.


### ”Good enough practice”

#### DRC Darfur case – programming inspired by the Do-No-Harm approach

The aim of the DRC Darfur Programme is to promote the protection of and provide life-saving and livelihood assistance to the conflict-affected population in the region. The programme focuses predominantly on the conflict-affected population living outside of camps in the rural areas, and to a lesser extent on the displaced living in camps. The programme seeks to stabilize the communities and enhance the capacity for community self-protection. The main activities implemented include various protection activities, distribution of food and NFIs; agricultural/horticultural support to sustain livelihoods; rehabilitation and reconstruction of schools; community development projects and various social activities including literacy & skills training. Through the various activities, the programme reaches approximately 200,000 beneficiaries.

The International relief operation in Darfur has mainly focused on providing protection and assistance to the displaced people living in camps (which in itself is a huge challenge). However, many Darfurians feel that the humanitarian assistance is skewed towards the displaced living in the camps, while other conflict-affected groups receive little or no support. Among the “Arabic” groups there is the feeling that only the “African” groups are being given assistance, while their needs are not considered. At times, this is stated as a reason for looting “African” groups.

DRC is one of the few agencies mainly focussing on the conflict-affected living in the rural areas. A core operational principle of the programme is the inclusion of all the communities in a given area living in both “African” villages



and “Arabic” Damras, and, to some limited extent, also the nomadic “Arabic” Farik communities passing through the area seasonally.

As part of the attempt to stabilise a given area, DRC promotes and facilitates the creation of Community Councils (which build on traditional structures of governance). The aim of this approach is to establish common ground, build on connectors and diminish dividers between the groups in the communities, while enhancing recognition of key differences in needs and attitudes. The Community Councils elaborate Community Action Plans, which cover issues such as livelihoods activities, schools, social activities, environmental degradation. These Community Action Plans, which stipulate activities that benefit both the “Arabic” and “African” groups, form the framework for the DRC implementation of activities with the communities in the area.

It appears that this approach improves relations between the groups in the locations concerned, and as a consequence it enhances the protection and livelihoods of involved communities. In many locations there has been a discontinuation of payment of “protection money”, and generally very limited new displacement. The approach expands the humanitarian space, as security in the area is a precondition for DRC to operate and implement the activities that all groups prioritise (e.g. rehabilitation of a shared school).

Needless to say, this approach has its limitations when external “spoilers”, i.e. bandits/militias pass through the area, and it can in no way substitute the overall provision of general security through political initiatives, such as a tangible peace process. However, the rural-based protection activities, which can conceptually be understood within the Do-No-Harm framework, might prove to be a crucial element in sustaining any future peace agreement and be a de facto precondition for the return of the displaced once the protection climate permits.

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### 6.5.6. Collaboration with Local Partners

Closely linked with both capacity development and participation is the practice of collaboration with local partners. In many situations, DRC attempts to involve existing local organisations as collaborative partners in programme activities. In addition to seeing collaboration with local partners as a critical factor in strengthening the readiness of these to take over activities, the aim of DRC’s collaborative approach is to enhance access to and utilization of local skills and resources, to increase local control over planning and implementation of assistance, and to facilitate mutual learning. Collaboration is also driven, at times, by the explicit aim of DRC to strengthen civil society.

DRC works with a range of different partners such as government institutions (at all levels), locally established non-governmental organisations (NGOs) as well as community-based organisations (CBOs) – see box below for a typology of organisations.

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### Definitions of various types of organisations working in Relief and Development

- » *Community-Based Organisations (CBOs)*: Created by people for their own benefit. Informal in nature - might fulfill traditional functions, might have been created to take on development roles, geographically limited, mostly based on voluntarism;
  - » *Membership NGOs (local/international)*: Provide services and employ staff, but are owned by those who would benefit from the services provided. Co-operatives and labor movements are typical;
  - » *Intermediary NGOs (local/international)*: Legally registered organisations with paid staff, providing relief/development services to various target groups. Not set up or controlled by the beneficiary group. Danish Refugee Council is a typical example;
  - » *Project Organisations*: Organisations created to undertake a specific project activity. Life circle tend to end with project activity;
  - » *Umbrella Networks*: Networks of membership and/or intermediary NGOs;
  - » *Local Government*: Provincial, District or Municipality structures. Elected (selected) locally;
  - » *Ministries (at central level)*: Government institutions with overall responsibility for planning, coordination, setting of policies and standards, etc.;
  - » *Ministries (at local level)*: Government institutions appointed to perform tasks at local level - assigned by a central ministry;
  - » *Private Companies*: Profit based; and
  - » *Others*
- 

The nature of the collaboration ranges from short-term contractual relationships to longer term relationships with a much higher degree of shared decision-making and authority.

Below is a description of some models of collaboration that can be drawn upon for inspiration. The models are differentiated with regard to the degree of that formal and informal governance and decision-making authority is shared among the organisations. As such, the models vary in the degree of influence that the collabo-

rating organisations have in determining strategies, goals, and systems and hence also in the degree of operational involvement of DRC.

These are idealised models, none of which exist in pure form. Thus, most collaboration combine some elements of each. The models are presented in order of increasing amount of shared governance. However, it is to be stressed that no value judgement is implied, as each model may have circumstances under which its use is most appropriate.

1. **Contracting model:** In which DRC pays an independent NGO to provide a well-defined package of services under conditions largely established by DRC.
2. **Dependent Franchise:** In which a formally independent NGO functions as a field office of DRC which provide most or all of its direction and funding.
3. **Spin-Off:** In which a Dependent Franchise or field office is expected over time to become organisationally and financially independent of DRC.

In both the dependent Franchise and Spin-off models, DRC is in a parental or development role in relation to the NGO. In the remaining models, DRC establish relationships with more established, mature NGOs.

4. **Visionary Patronage:** In which DRC and an NGO with a shared vision of rehabilitation jointly agree on goals, indicators and reporting requirements for a project which the NGO implements and DRC supports with funds and other resources.
5. **Collaborative approaches:** In which DRC and the NGO share decision-making power over planning and implementation of joint programmes implemented by the NGO with funding and technical support from DRC.
6. **Mutual governance:** In which DRC and the NGO each have decision making power, or at least substantial influence, over each other's policies and practices at both organisational and programme levels. Currently, as we see it, mutual governance is not relevant for DRC, as it requires a very long-term commitment.

The key features, advantages and pitfalls of these various models of collaboration are further elaborated upon in the matrix below.

Table 6.5: Models of Collaboration with Local Partners

Model	Features	Advantages	Pitfalls
<p>Contracting model: In which DRC pays an independent NGO to provide a well-defined package of services under conditions largely established by DRC</p>	<ul style="list-style-type: none"> <li>• NGO hired by DRC to implement a time - bound, specific project</li> <li>• Goals, strategies and systems predetermined by DRC</li> <li>• No expectation of capacity building</li> </ul>	<ul style="list-style-type: none"> <li>• May be faster and more efficient than setting up own operation, (depending on the quality and capacity of the NGO)</li> <li>• When the operation is small, it may be cheaper than setting up own operation</li> <li>• When large scale and uniformity is central</li> <li>• When a special technical competency is required</li> <li>• Can speed up initial delivery when DRC is new to an area</li> <li>• Clear lines of authority</li> </ul>	<ul style="list-style-type: none"> <li>• Misinterpretation of initial task may not be discovered until the end</li> <li>• Less mutual learning</li> <li>• Enhance existing capacities but less likely to develop new ones</li> <li>• When the power balance is skewed, NGO may alter own strategies and systems to satisfy DRC requirements – but without having the capacity or knowledge to implement them as intended</li> <li>• Quality and timeliness of delivered results are not always guaranteed.</li> <li>• Contracts may lack clarity with regard to consequences in case of shortfalls in fulfilment of agreements</li> </ul>
<p>Dependent Franchise: In which a formally independent NGO functions as a field office of DRC which provide most or all of its direction and funding.</p>	<ul style="list-style-type: none"> <li>• NGO has little organisational identity or autonomy</li> <li>• Nearly works as a DRC field office</li> <li>• NGO priorities, strategies, goals and systems with regard to concrete operation almost fully set by DRC</li> <li>• Range of decision making authority largely circumscribed by DRC</li> </ul>	<ul style="list-style-type: none"> <li>• Widespread replicability of programme approach</li> <li>• Benefit from indigenous legitimacy of NGO</li> <li>• NGO has secured funding</li> <li>• Prestige and influence accrued from DRC</li> </ul>	<ul style="list-style-type: none"> <li>• Similar to contracting model</li> <li>• Power imbalances are likely to be greater</li> <li>• NGO suppression of negative feedback and reluctance to suggest innovative approaches</li> <li>• Sometimes lack legitimacy in the eyes of host governments</li> </ul>

Model	Features	Advantages	Pitfalls
<p>Spin-Off: In which a Dependent Franchise or field office is expected over time to become organisationally and financially independent of DRC</p>	<ul style="list-style-type: none"> <li>Resemble Dependent Franchise, except that from the outset, the expectation from both parties is that the NGO will - over time - become independent of DRC</li> <li>Agreed organisational capacity development plan with a focus on additional fund raising, leadership skills and legitimacy of NGOs own identity and strategies</li> </ul>	<ul style="list-style-type: none"> <li>Combine replicability with greater innovation</li> <li>NGO may be created in areas lacking them</li> </ul>	<ul style="list-style-type: none"> <li>Lack of entrepreneurial leadership</li> <li>Urge for quick DRC exit does not allow adequate time to secure commitment in NGO to spin-off.</li> <li>Insufficient ingenuous legitimacy</li> </ul>
<p>Visionary Patronage: In which DRC and an NGO with a shared vision of rehabilitation jointly agree on goals, outcome measures and reporting requirements for a project which the NGO implements and DRC supports with funds and other resources</p>	<ul style="list-style-type: none"> <li>Collaboration on the basis of shared goal/vision</li> <li>DRC/NGO share goals and agrees on outcome measures, but NGO's role is to design and implement programme accordingly.</li> <li>DRC provide money and needed capacity development support</li> <li>Mutual trust is important. Hence the two organisations have usually worked together over a longer time period</li> <li>Substantial latitude in reporting formats, strategy and financial management</li> </ul>	<ul style="list-style-type: none"> <li>Provide for the maintenance of org identity, yet allows NGO to bring its full range of skill to all aspect of programme design</li> <li>DRC has substantial say over goals</li> <li>Clear differentiation of task/responsibilities - NGO maintain identity</li> <li>Potential to mobilise local resources</li> <li>Flexibility and adaptation to changing circumstances</li> </ul>	<ul style="list-style-type: none"> <li>Little DRC in-put and control over day-to-day activities quite limited</li> <li>Lack of DRC understanding of on-the-ground implementation realities</li> <li>Limited mutual learning and DRC exposure to innovative approaches</li> <li>Where NGO lack clarity on own identity, adapt to appear attractive to DRC</li> <li>Contracts may lack clarity with regard to consequences in case of shortfall in fulfilment of agreements</li> </ul>



Model	Features	Advantages	Pitfalls
<p>Collaborative approaches: In which DRC and the NGO share decision making power over planning and implementation of joint programmes implemented by NGO with funding and technical support from DRC</p>	<ul style="list-style-type: none"> <li>• DRC actively engaged in project governance</li> <li>• Joint project design and perhaps administration and evaluation</li> <li>• Agreement on vision and goals, as well as strategy</li> <li>• Joint decision making structure (committees, DRC programmes staff at the NGO)</li> <li>• Strong DRC/NGO interpersonal relationships</li> <li>• Long term perspective</li> <li>• High degree of trust between DRC and NGO representative</li> </ul>	<ul style="list-style-type: none"> <li>• Lower staff cost</li> <li>• Benefit from NGO linkages to other actors</li> <li>• NGO knowledge on local condition</li> <li>• Relative long term funding source</li> <li>• Possibility of mutual learning</li> </ul>	<ul style="list-style-type: none"> <li>• Manage a fine line between joint decisions making and interference</li> <li>• To dependent on personal relationships</li> <li>• When set up within or alongside existing NGO activities, risk disturbing pre-existing NGO identify</li> <li>• Overly dependent on DRC</li> <li>• Internal staff problems between those funded by DRC and those not.</li> <li>• Rate of programme growth constrained by NGO capacity</li> </ul>

### 6.5.7. Complementarity

The mandate and core sectors of expertise determine the main areas of DRC assistance. However, DRC will always strive to maximise programme impact by seeking complementarity in programming. This is done by seeking strategic alliances with other agencies that specialise in sectors or geographical areas which can complement DRC's own programme.

The aim of this operational principle of inter-agency complementarity is to make the most of the resources available and thus ensure the most relevant, efficient and effective DRC intervention, which does not duplicate that of other agencies, but rather complement these. In addition, the operational principle of complementarity is closely linked to the principle of Do No Harm. By paying attention to complementarity, the assistance community works to ensure that agencies do not jeopardize each other's strategies and objectives.

In acute crisis, an example of the application of the principle of complementarity is when DRC undertakes food distribution, which complements that of WFP – either in terms of geographical coverage or by distributing food packages, which in contents supplement WFP's food packs.

In a displacement and durable solutions' scenario, an example of inter-agency complementarity would be when certain components of a DRC project are done jointly with one or more agencies or when another agency is complementing the DRC intervention. In DRC's integrated livelihood projects, DRC often covers quite a few livelihood aspects but not all. Educational and health software are examples of activities where other agencies are likely to complement DRC's livelihood intervention.

» A tool for mapping complementarity is provided in Annex B37

### 6.5.8. General Replicability of Strategies and Methods

The operational principle on General Replicability of Strategies and Methods has both an internal and an external dimension to it.

The internal dimension reflects that DRC strives to be a learning organisation and hence to improve the quality of its strategies and methods and thereby results on a continuous basis. This implies that lessons learned at the programme level should be collected and documented through regular monitoring, annual reviews and periodic external evaluations so as to feed into core documentation, including revisions of the present Handbook. It is only through such a procedure that the application of best practices across all programmes can be ensured on a continuous basis.

The external dimension is aimed at sharing DRC's strategies and methods with other agencies working in the same sectors and with similar problems. It is on

this basis that DRC often utilizes coordination and policy forums to advocate the general adoption of a specific approach that has been developed and tested within our own programmes. This is regarded as an obligation that all programmes must strive to fulfil. It also means that DRC as a matter of principle regard core documentation with regard to programme strategies and methods as being in the public domain.


The belief that DRC's approach within a given sector and/or area is of value to other agencies is only one of the motivating factors for sharing knowledge and documentation in a transparent fashion. Among other reasons may be an ambition to ensure a homogenous approach among all assistance actors to e.g. technology choice or collaboration with local communities, often with a view to promoting sustainability.

### **The push for a national strategy for drinking water supply in Afghanistan**

DRC is one of the founding members of DACAAR, which has been working in Pakistan and Afghanistan during the past 20 years. Since the early 1990's, DACAAR has been by far the largest agency in Afghanistan in the Water and Sanitation sector. So far, it has provided more than 6 million people with access to drinking water facilities, mostly in the form of wells. In doing this, an implementation strategy has been developed and continuously refined so as to ensure the quality and sustainability of interventions, and every effort has been made to share this with other agencies through dedicated sector working groups and similar coordination fora, and lately also by working closely with the relevant national authorities.

The strategy covers several elements related to both technology and community interaction that are of key importance for sustainability. These include:

In terms of technology: From the outset, it was decided to use the Afridev type of handpump. Apart from the fact that this had proven to be particularly suitable for Afghan conditions, the decision was grounded in the need to ensure a sufficient and continuous supply of quality spare parts throughout the country. The only way to do this was through supporting the establishment of commercial spare part suppliers in regional centres, and to link these with manufacturers in Pakistan. For this to succeed, it was necessary to ensure that the market would be sufficiently large and hence attractive for vendors – and that required that the same type of hand pump was to be utilised throughout the country. The strategy proved to be successful, and almost all handpumps installed in Afghanistan during the past 20 years are of the Afridev type. These are serviced by locally trained hand pump mechanics who are able obtain spare parts from dealers in most towns across the country.



In terms of community interaction: Ensuring community participation in both planning, implementation and subsequent maintenance of drinking water facilities has throughout been a key element in the strategy – so as to build local ownership around the facility and hence an interest in keeping it operational. Participation includes site selection, provision of unskilled labourers and locally available construction material as well as a formal commitment to continue paying a local mechanic for necessary maintenance throughout the lifespan of the handpump. Wells that have been installed without this social framework have tended to cease functioning shortly after completion, thus underlining the value of the participatory approach – and the need for this to be adopted by all agencies in the sector.

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### 6.5.9. Sustainability

Sustainability is a core concept in both development and humanitarian work but considered more challenging in the latter. Nonetheless, it is vital to integrate sustainability concerns whenever possible when providing assistance and protection.

*“Sustainability refers to “the extent to which overall objectives will be maintained after the activity has been completed in technical, organisational and financial terms”.*

As an ideal, DRC should strive to undertake programmes that from the onset are meant to be sustainable in the long term. However, the fact that DRC operates in complex emergencies makes this ideal difficult to accomplish as a rule. DRC’s humanitarian mandate calls for involvement in situations whose outcome relies on factors beyond the organisation’s control - factors of war and political decisions. Alleviating the suffering of conflict affected populations (e.g. by facilitating reintegration), may warrant construction projects limited in time and scope, where the process (building) is not sustainable but the end-result (integration) is. Further, it should be recognized that certain types of interventions are not intended to be sustainable in their initial form. That may for example, be the case with life-saving interventions.

It is useful to distinguish three ways of thinking about sustainability, using the above case from water supply in Afghanistan as an illustrative example (through which the link between sustainability and the operational principle of replicability is further underlined):

- » the sustainability of the programme itself (or part thereof) and/or the approaches used. A relevant question here is whether DACAARs approach led to the development of a national strategy for rural water supply that was promoted by the authorities and adapted by all agencies working in the sector;

- » the sustainability of the intervention that has resulted from the programme. The key question is whether the drinking water facility continues functioning as intended throughout the life span of the handpump itself; and
- » the sustainability of the changes brought about in people lives by the programme. This relates to the overall objective of the drinking water programme: whether there is a sustained reduction in the prevalence of water borne diseases.

As much as possible, sustainability should be taken into account in the early stages of programme design and implementation. Final evaluations of interventions should also assess the extent to which post-project sustainability has been achieved.

Means to secure sustainability could, for examples, include the following measures:

- » Making sure that the activities are a priority in the local setting so that the motivation for sustaining them exists in the community;
- » Implementing social and physical structures only where the local community already possesses resources to provide maintenance, or alternatively...
- » Providing the training and capacity building of the beneficiaries necessary for them to continue the activities implemented thorough a programme; and
- » Strengthening local institutions other than the target group itself (local authorities, NGOs) in order for them to continue programme activities or maintenance of rehabilitated structures.

These points were illustrated in the above case and are also reflected in the following:

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### Case Example from Angola

A rehabilitation programme that was implemented for returned IDPs involved the reconstruction of primary schools. Sustainability was secured in a number of ways:

- » The village chiefs (soubas) were responsible for committing manual labour to build the school, whereby ownership among the parents of the prospective students was secured,
  - » The buildings were adapted to local maintenance skills.
  - » DRC collaborated closely with two relevant ministries. This partnership secured the availability of teachers and materials for the schools financed by DRC.
  - » Capacity building of local authorities, enabling them to supervise operations and maintenance of the schools after DRC involvement ceased.
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This case also serves to illustrate the very direct link between sustainability and the operational principle of Participation,

### 6.5.10. Environment

DRC does not undertake any programmes particularly aimed at environmental preservation or awareness, but recognizes that most assistance activities are likely to have an effect, positive or negative, on the environment. A related but important concern of DRC is the potential environmental impact of Climate Change, which may trigger conflicts as population groups contest over resources precipitating conflict-induced displacements. For these reasons, environmental aspects should be considered in programme planning, implementation and evaluation. In this – and reflecting the operational principle of Do No Harm, it is a minimum aim to attempt not to worsen environmental problems when providing assistance.

Below, environmental aspects are discussed in relation to those contexts most relevant to the work of DRC.

- » In acute crisis situations: in acute crisis situations, DRC focuses on providing relief and saving lives. Such situations often call for the accommodation of large numbers of displaced persons in a limited space, which is bound to cause environmental damage to the local area, with possibly severe consequences for the host population for years to come. Such impacts may be felt whether the displaced are in camps or in other forms of settlements. While DRC is frequently not involved in camp management activities to the same extent as other assistance actors, the organisation should advocate for designing of camps in the least environmentally degrading way. Use of alternative energy sources, environmentally friendly procurements and environmental education are but a few of the necessary steps to be taken to mitigate the effects.
- » In displacement situations: re-establishing livelihoods and building self-reliant communities in preparation for return, as well as support to host communities are the main tasks of DRC in such situations. In the context of agricultural production activities, DRC considers that using local experience and technology in farming is usually the least degrading to the environment. However, in many countries practices for using pesticides and artificial fertilisers may be more damaging to the environment than necessary. Teaching the correct and minimal use of pesticides and chemical fertilisers through extension services is hence an important positive environmental step. New income generating opportunities for refugees and others in conflict and post-conflict situations may cause damage to the environment due to over-exploitation of natural resources. Income Generating Projects may, on the other hand, provide incentives to preserve and reproduce local natural resources. Projects based on local technology will usually be least damaging to the environment.

» In durable solutions scenarios: many of the principles outlined in a displacement context apply in cases of return and reintegration processes. For example, during reconstruction activities, DRC advocates using locally available building materials that are not scarce. In Somaliland, where the little wood available is essential for cooking fuel, DRC reconstructs public buildings (schools, clinics, etc.) in an environmentally careful way, for instance by making windows and doorframes from concrete instead of wood.

Regardless of the context within which DRC is working it is strongly recommended for staff to seek guidance from organisations that are more specialized in the domain and to seek to conform to existing environmental standards.

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#### Notes

- 1) Working through sub-contractors can be categorised as direct or indirect implementation, depending on whether or not the underlying strategy involves an element of supporting private sector capacity as part of overall support to recovery.
- 2) ALNAP, Participation by Crisis-Affected Populations in Humanitarian Action: A Handbook for Practitioners. [www.odi.org.uk/alnap/publications/gs\\_Handbook/gs\\_handbook.pdf](http://www.odi.org.uk/alnap/publications/gs_Handbook/gs_handbook.pdf) (not published in hard copy).
- 3) Principle 7 of the Red Cross/Crescent Code of Conduct.
- 4) Common standard 1 of the Sphere standard.
- 5) HAP Principles of Accountability, #4.
- 6) HAP Benchmark #3.
- 7) See: See annex on 'Applying the HAP Principles for Humanitarian Action' and tool on seeking Exoneration.