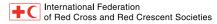


# Strategic Targeting Methodology:

A Handbook for Disaster Risk Reduction Practitioners







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#### Strategy 2020 is guiding the actions of the International Federation of Red Cross and Red Crescent Societies

(IFRC) throughout this decade. It defines three strategic aims and three enabling actions for the IFRC and its member National Societies in order to achieve a common vision: To inspire, encourage, facilitate and promote at all times all forms of humanitarian activities by National Societies, with a view to preventing and alleviating human suffering, and thereby contributing to the maintenance and promotion of human dignity and peace in the world.

The strategic aims of Strategy 2020 are:

- 1. Save lives, protect livelihoods, and strengthen recovery from disasters and crises
- 2. Enable healthy and safe living
- 3. Promote social inclusion and a culture of non-violence
- The enabling actions to deliver our Strategic Aims are: 1. Build strong National Red Cross and Red Crescent
- 2. Pursue humanitarian diplomacy to prevent and reduce vulnerability in a globalized world.
- 3. Function effectively as the International Federation.

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# **Acronyms / Glossary:**

CBDRR	Community Based Disaster Risk Reduction
CC	Climate Change
CDEMA	Caribbean Disaster Emergency Management Agency
CDM	Comprehensive Disaster Management
CDRT	Community Disaster Response Team
CRRO	IFRC Caribbean Regional Representation Office
DFATD	Department of Foreign Affairs, Trade and Development, Canada
DFID	United Kingdom's Department for International Development
DRR	Disaster Risk Reduction
ECHO	European Commission Humanitarian Aid Office
GIS	Geographic Information Systems
IFRC	International Federation of Red Cross and Red Crescent Societies
NGO	Non-Governmental Organization
OFDA	Office of U.S. Foreign Disaster Assistance
VCA	Vulnerability and Capacity Assessment

# **Acknowledgements**

The Strategic Targeting Methodology (STM) Guidelines and its related documents (Community Selection Manual and Form/Workbook) are the result of extensive consultation with and valuable contributions from the National Societies in the Caribbean, the Caribbean Disaster Emergency Management Agency, the International Federation of Red Cross and Red Crescent Societies, the Red Cross Caribbean Disaster Management Network, the Canadian Red Cross, the American Red Cross, the Red Cross Caribbean Disaster Risk Management Reference Centre (CADRIM) and our valued partner organizations. The suite of STM documents were made possible through the financial support of the Department of Foreign Affairs, Trade and Development, Canada (DFATD), the Canadian Red Cross, the Norwegian Red Cross and the Norwegian Ministry of Foreign Affairs.

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## Introduction

Community selection for programs can be difficult – particularly in reaching a transparent, neutral, impartial decision that can be justified back to communities, local decision makers and donors. There are few tools available that provide simple guidance towards these decisions and that could be validated by a group of stakeholders with limited resources to complete such surveys.

In June 2011, the IFRC Caribbean Regional Representation Office (CRRO), supported by various technical focal points, developed the community selection tool (CST) for use by National Societies to identify the most vulnerable communities that could benefit from community-based disaster risk reduction projects. Examples of other community selection approaches from Jamaica, Mexico and India also informed the development of the CST. This iteration yielded encouraging feedback on its utility and relevance; however, it was deemed necessary to include additional components in order to be more robust and that could be used not just by the Red Cross Red Crescent Movement but also by and with other organizations and their governments to inform decision making processes.

Consequently, in 2012 and 2013, a more detailed process was developed in coordination and collaboration with the Caribbean Disaster Emergency Management Agency (CDEMA) to address some of the gaps in the original tool and to provide a process for a wider range of decision makers. The resulting tool, the Strategic Targeting Methodology(STM) can be layered – depending on resources available - to adjust the depth and detail needed for decisions.

The STM (and the previous version known as the CST piloted during the period 2011 to 2012) has been used to facilitate

the community selection processes across the region for projects funded by ECHO, DFATD, DFID, OFDA and the Canadian Red Cross, reaffirming the added value of having a systematic and standardized method for organizations to identify the most vulnerable communities to administer community disaster risk reduction programs.

### I. What Are These Guidelines?

The Strategic Targeting Methodology (STM) is intended for use in the selection of communities for disaster risk reduction actions by any stakeholder (e.g. Government, NGOs and IFRC). It ensures a transparent, consistent and documented process that reduces external influences and power dynamics in the decision-making that leads to the selection of communities for disaster risk reduction (DRR) interventions using project resources. It also helps to improve coordination and reduces the duplication of effort through the identification of multiple stakeholders working in similar areas or sectors. In addition, the methodology helps to explain to stakeholders, including communities, the reasons for selection or non-selection for support.

# II. Why Are They Needed?

At the national level, the task of selecting the most disasterrisk prone communities is often hampered by the sheer number of communities to choose from combined with the fact that their distance away from the central government agencies means it is unlikely that national stakeholders have sufficient knowledge about each community (or the area in which each is located) to make a meaningful selection. The first challenge for the national team is therefore how to make an objective "first-cut" selection. To do this, the team has to identify the most risk-prone areas of the country. This is supported by sub-national data when available.

A targeting process used to assess and prioritize those most in need is an important first step for most CBDRR projects. Increasingly, stakeholders have indicated the requirement for implementing organizations to justify the selection of each community for a CBDRR intervention.

A strong targeting process will not only identify those most in need of assistance and who would actively support the intervention, but will also:

- Enhance cost-effectiveness
- Increase transparency
- Enhance coordinated support to vulnerable communities

## **III. Who Are These Guidelines For?**

The guidelines have been developed for disaster risk management specialists, programme managers and technical staff to facilitate the selection of the most vulnerable communities in a country. It is important to use them with wide stakeholder input and participation to ensure that the information gathered is fully reflective of the local context in terms of the risks, vulnerabilities and capacities of the country and its intended beneficiaries.



The key users of the decisions resulting from the STM process include:

- National level government and non-governmental stakeholders who seek to better understand the nature of disaster risk, risk impact and its contributing factors in the country through the identification of areas which are most vulnerable to different types of risk
- Sub-national level government and non-governmental stakeholders for the same reasons above but specific to their geographical area
- Community-based organizations for the same reason above but specific to their geographical area
- Donor organizations/sponsors that want to ensure that the most vulnerable communities are selected with limited or no redundancy in the risk reduction efforts undertaken.

# IV. How Should They Be Used?

These guidelines were developed for DRR practitioners as a key resource for utilising all components of the STM. They should be used in collaboration with a wide range of stakeholders within the country to ensure a fully participative process for the implementation of the STM. The guidelines have been designed to steer the implementation of the STM in various countries. Limited resources as well as geographical size will determine the scale in which the STM can be implemented. However, the guidelines have been developed to illustrate the details required for implementation.

# V. What Do They Include?

Glossary and list of acronyms which explain the terms used throughout the toolkit.

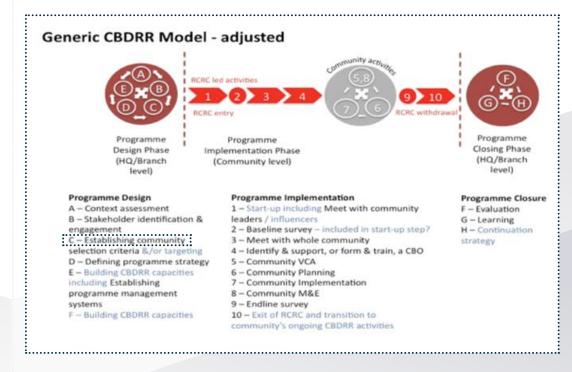
*Introduction* which outlines the purpose of the guidelines, how they were developed, the intended users and how they can be used.

Key Features of the STM which looks at the main components (process and tool) of the STM and identifies the key functions that should be considered at each level of the process.

Annexes which provide a resource of templates to assist with the facilitation and delivery of the STM process.

## The STM Explained: Within the CBDRR Cycle

Geographical and community level targeting is an important first step in undertaking any CBDRR initiative. The STM can be implemented at any point in time at the national level or at a minimum, can be conducted at the start of the CBDRR project cycle. It is an information collection process that should not be confused with the other data collection processes which follow (the baseline data collection, the Vulnerability and Capacity Assessment (VCA), routine project monitoring, and the end of project Evaluation).



# **Key Features of the STM**

- 1. The methodology has been designed to be generally applicable throughout the Caribbean, but it can be modified if necessary to better capture particular issues of local relevance. It considers a number of essential components:
- The process this looks at the various stages of the STM and details what type of information should be collected, how it should be collated, analysed and mapped, what resources (inputs) are needed at each stage, and the expected outputs
- The stakeholders who should be involved in the coordination and preparation: data collection, analysis and storage. Lastly, decision-making including the final selection of communities using specific criteria.
- The tool (sub-national form with parish checklist and community assessment components) through which data is collected and later entered into an Excel workbook.
- 2. The STM includes the guidelines which outlines the main components listed above and articulates what happens at each level of the process.
- 3. The STM includes checklists for national-level information requirements to inform "first-cut" and [parish] level hazard and vulnerability analysis in the absence of a national hazards and livelihoods mapping process.
- 4. The STM includes a DRR Practitioners' Handbook which outlines how to collect information at the parish and community levels in order to realise the successful completion of the STM process.
- 5. The Community Selection form which has been designed based on recognized frameworks to include quantitative

scores with space for comment and/or qualitative responses where useful.

- 6. The data consolidation, storage and analysis system consists of an Excel workbook which:
  - Allows data to be entered for up to 25 communities.
     Is user friendly, with guidance provided on data entry and analysis (See STM Manual on Community Selection for DRR Practitioners).
  - Captures data electronically for each community.
  - Consolidates data into a printable summary workbook while maintaining particular details on individual communities if required.
  - Ranks communities according to the combined scores from all quantitative elements.

### **Limitations of the STM**

One tool cannot provide everything for a decision. There are factors that will be outside the questionnaires and surveys. For example, even though a community is evaluated as vulnerable, if there is nominal interest in participating and investing in the project, that community may be de-selected.

### The STM:

- Is not a one size fits all: It is recognized that the size of a state, its capacity, the capacity and resources available to stakeholders, the interest and engagement of local authorities will impact the level of implementation. It is important that trade-offs within the process are documented and justified so that all decisions are clear.
- Is not completed once: The selection should be regularly reviewed and reflected on as it represents a specific period. The more comprehensive the STM approach, the less

frequent the need for a review. Events – disaster, economic, political, social – can quickly change the context and thereby, those that are most vulnerable.

- Is not the same as project specific data: This information collection process is not to be confused with operational data collection processes such as monitoring data including baseline/endline, Vulnerability and Capacity Assessment (VCA), routine project reporting and monitoring, and the end of project evaluation.
- Does not include urban specific issues for disaster risk: The STM is not designed specifically for large urban environments (cities). While the questions are intended to be general enough to apply in any context there may be some particular adaptations that would make it easier to compare urban communities. If urban disaster risk is a significant issue then it would be also appropriate to sample separately from these communities.
- Does not include a comprehensive Gender component: Gender analysis is relatively minor in the process and will need additional development to capture gender disparities that increase disaster risk for men and women and gender factors that enhance resilience. This will lead to the ability to differentiate between communities with heightened disaster risk due to gender disparities or gender factors and provide succinct answers and avoid long, complex or superficial discussions about gender which aren't useful in determining disaster risk.
- Is not sector specific: Organizations specializing in public health or shelter (for example) might need to adapt the tool to incorporate more focused / specialized disaster risk analysis for the technical/sectoral area of concern.

# The STM Process – A Summary

The STM may be a large, detailed process engaging stakeholders at various levels over several months. However, it is assumed that many countries do not have the time or money to conduct this level of detail, although this is the ideal. The methodology assumes a "project level" approach to data collection and decision making that must be timely but can also be financially constrained.

According to the UN Stats Office, "every country has its own specific administrative hierarchy, that is, a system by which the country and each lower-level set of administrative units (except the lowest) are subdivided to form the next lower level'. Most territories in the Caribbean use the term 'parish' to describe the second administrative layer. Therefore, the use of the term 'parish' throughout these guidelines and supporting documents refer to the second administrative division.

The image below outlines at least one main output by category/ level of stakeholder engagement in the STM process.



The scale of the process is based on large scale implementation. However, resources may limit the extent to which this can occur in all countries. As a result, the first step that should be considered after identification of the country is the level of detail to be covered during the implementation of STM to ensure that the process is realistic and tailors each level as necessary. The process is continual with regular review and updating, particularly if there has been a major contextual change such as a large disaster, economic change or new social impacts. If the project is multi-year, the decisions should be re-validated regularly and before starting work in new communities.

Within each level of the STM process, stakeholders will need to be involved in varying ways. This involvement has been identified in line with three (3) primary levels of stakeholders engagement as follows:

Preparation

Data Collection

Data Analysis

Decision

Making and
Documentation

# The Stakeholders

Prior to the start of each level of the STM process, it is important to consider the stakeholders that should be involved to ensure their participation and input in the data collection, data analysis and decision-making step of the process.

The STM supports the identification and selection of communities vulnerable to disaster risk for CBDRR programmes. However, it can also be used by any agency needing to better understand disaster risk and its relationship to development and social programs.

Community selection usually (but not exclusively) is undertaken based on a general context assessment and once strategic stakeholders are identified. All stakeholders should be included in the community selection process to ensure buy-in and clear understanding of the project direction, objectives and constraints from the beginning. Project capacities and resources may influence community selection as choices must be based on realistic ability to complete quality programming with those selected. The STM therefore assumes that a suitable stakeholder analysis and context assessment has been completed to support its use.

Different stakeholders may engage at various steps within the tool and therefore the lists below are examples and not all inclusive.

# **Key Stakeholders**

- Disaster Management Organizations (NDO) National and local level
- National Development Agencies National and local level
- Municipal Authorities particularly for urban selection
- RCRC National Society Headquarters and Branches
- Civil Society (CSO) and Non-governmental (NGO)
   Organizations including religious and community based organizations

# **Secondary Stakeholders**

- Other government agencies (Ministry of Education, Health, Social Services, Works)
- Donors as observers and contributors

An overview of the stakeholders that should be involved, the associated levels where they will need to participate, as well as the functions they may undertake is provided as a guide in the matrix below. It should be noted that some changes may be necessary depending on country context. These changes may be due to time, logistical and process constraints.

# The following symbols have been used:



Key Information/Materials/Reference to Relevant Documents, Guidelines and Procedures



**Key Questions/Issues To Consider** 



**Checklist/Tips/Reminders** 



**Human Resource/Stakeholders Involved** 



**Time Required** 

## The STM Process – A Detailed Look



There are a number of steps that support the STM. These steps are time and resource-bound and depends on the size of the analysis to be conducted, the level of stakeholder interest in the exercise and identification of the key stakeholders. The process will require advanced notice to decision makers and participants (including community members). It also relies heavily on ensuring that documents are available to establish a common understanding and buy-in at each level of the process.

It is suggested that the key agencies (i.e. the NDO, implementing organization and the Red Cross) create a small team to organize and coordinate the various activities to be implemented during the process. This team should have an in-depth knowledge of the STM and be able to train others. See Annex 1 for an example of a Template term of reference for the planning committee.

It is important to ensure that logistics are managed effectively. Arrangements should be made well in advance for venue selection (for the hosting of events including a national stakeholders' workshop, focus group discussions etc.), travel and accommodation requirements (where applicable), materials, human resource and transportation needs.



- 1-2 hours to review and agree to the TOR for the team
- 1-2 days to conduct STM facilitation workshop (optional)
- Minimum 2-3 months lead time to plan for first event



- List of key documents that need to be distributed e.g. letter of invitation to stakeholders (see Annex 2 for example)
- Terms of Reference for STM Planning Committee (see Annex 1 for example)



- Who will be the "lead agency"?
- Has the purpose of the STM exercise been clearly defined and communicated to stakeholders?
- Are there adequate resources to undertake the STM process?
- Have the venues been identified for the national workshop, parish focus group and the community assessment?
- Have the right stakeholders been identified and notified for their participation?
- Have dates been identified and confirmed for the various activities?
- Has a broad range of participants been identified at each level of consultation taking into account age, gender, social and vulnerable groups



- STM Planning Committee w/ identified chairperson
- Facilitators with specialised experience in disaster risk analysis (for large-scale implementation)
- Lead Coordinator (for large-scale implementation)
- Logistics/admin support (for large-scale implementation)
- List of potential stakeholders (see Annex x for proposed list of national, parish & community level stakeholders)
- Identification of STM National Steering Committee members to support decision-making



The primary output of the STM is the identification of the most hazard-prone and vulnerable areas and their associated communities for priority targeting in DRR and other relevant programmes. It is not possible to select disaster-risk-prone and vulnerable communities without first assessing disaster risk across the country, and selecting the most risk-prone areas. The data collection function starts the process leading to the collation, review and analysis of all relevant and accessible disaster risk-related information in a country. Most countries will have some level of vulnerability assessment available but if not, information could be available from external sources identified in the information resource section below.

Determine what type of information you need to collect, the potential sources of information and how it will be gathered. Information should include a lot of information may be available and is needed to provide an adequate picture of the situation in country.

Adapted from IFRC VCA Toolbox, 2008

The type, level and depth of data required will depend on if or when an exercise similar to the STM was previously completed, the size and national political levels of the country and the time available. Data will be collected using varied means e.g. secondary sources, mapping, focus group discussions, questionnaires, checklists, field assessments inter alia. It is suggested that the information is collected through participatory means involving a wide range of stakeholders at each stage of the STM process. This will result in clear outcomes and suggested outputs at each level.

# **Suggested Outputs:**

- Maps of key hazards for the country
- Seasonal calendar
- Historical hazard timelines
- Disaster response capacity map country level
- Maps showing location of high risk and productive industrial installations and other productive assets (factories, power plants) and institutions (schools, hospitals, large religious institutions and prisons) and critical infrastructure (bridges, roads, ferries, ports of entry- sea and air)
- Selection criteria identified in a transparent manner and used to determine which parishes to select for assessment
- Community ranking

Formation of a National STM Steering Committee to support the decision-making process for the prioritized list of vulnerable communities

### **Outcomes:**

- Shared understanding of value of information from other sectors and organizations.
- Appreciation of the concept of livelihoods, development, environment and their links to communities and hazards
- Stronger relationships and communication between sectors/ agencies
- Identification of remaining gaps compared to required information, and next steps to addressing these if they are critical to the decision.

Below is an outline of the primary data collection methods and their associated activities to be followed at the national level.

Event	Data Collection Method	Activity
4 day National Stakeholders' Workshop	Secondary Sources	Consolidation of what is known/ available from existing information and secondary data
(See Annex 5 for detailed list of data requirements)	Checklists	Completion of hazard and vulnerability information for each area via consultation with individual agencies
requirements)	Mapping	<ul> <li>Economic, livelihood, environmental and housing</li> <li>Social &amp; DM (fire, police) capacity &amp; vulnerabilities</li> <li>Critical infrastructure (bridges, roads, utilities)</li> <li>Key productive areas (farms, manufacturing, tourism)</li> <li>Public institutions (hospitals, prisons, factories etc.)</li> <li>Areas with previous DRR interventions</li> </ul>

### **Parish Level**

After the national workshop, the STM facilitators along with other key persons identified by the National STM Steering Committee to visit and participate in the parish level consultations. A similar version of the national stakeholders' workshop is completed over a two-day period to share the national findings and provide further validation to the data collected. The workshop will explain, explore, validate and complete the information for the area and make an initial identification of community-level vulnerabilities. Participants should be representative of a broad range of sectors, range of sectors that includes: gender, age, and skill sets and vulnerable groups and could form a Parish Disaster Management Committee. They should be able

to give unbiased consideration to all communities and be qualified to assess disaster risk as a result of their experience of living among or working with them. The number of communities selected by the Parish Disaster Management Committee may vary. It is important to consider the resources available to conduct the STM exercise in order to be realistic in terms of the number of communities a project has planned and how many should be assessed.

# **Suggested Outputs for the Area:**

- Maps revised with enhanced sub-national level information
- Disaggregation of population of the sub-national of communities
   (...) and which ones to be selected for assessment
- Selection criteria identified in a transparent manner and used to determine the number (recommended maximum of 6 communities) and which communities to select for assessment
- Short-listing of most vulnerable communities (including justification) by sector or other criteria for ranking (i.e. ranking as being most vulnerable to a specific hazard).

## **Outcomes:**

- Shared understanding of the value of information from other sectors and organizations .
- Appreciation of the concept of livelihoods, development, environment and their links to communities and hazards
- Stronger relationships and communication between sectors/ agencies
- Identification of remaining gaps compared to required information, and next steps to addressing these if they are critical to the decision making process.

Below is an outline of the primary data collection methods and their associated activities to be followed at the community level.

Event	Data Collection Method	Activity
Field Assessment (2 days i.e. 1 day - training interview teams; 1 day - interviews)	Mapping (use maps from Parish Workshop if applicable)	Revisions made to maps after field assessment  Production of digital maps by implementing agency with support of national GIS specialist.
	Direct Observation	Verification and gap- filling of the data collected in the parish workshop
	Interviews using Community Survey Sheet	Completion of community component of the sub-national assessment form.

NOTE: All data collected should be stored in an accessible location for updating as necessary. It should be noted that depending on the country context, some levels of the participatory process can be combined without negatively affecting the quality and relevance of the data gathered



- Humanitarian Early Warning System (HEWS) http:// www.hewsweb.org/maps/;
- UN Stats: http://unstats.un.org/unsd/dnss/cp/ searchcp.aspx;
- Prevention Web: http://www.preventionweb.net/english/ countries/statistics/?cid=69
- EMDAT: http://www.emdat.be/database
- Detailed maps at all levels
   – where possible
- Summary of documents of information from secondary sources



- Is there sufficient information to make decisions?
- Do we have the right type and number of people to make decisions?
- Did we consider suitable parish selection criteria? (E.g. hazards/sectors/zones and vulnerable groups of specific project interests; opportunities for innovation, learning, strengthened linkages between thematic areas



- NDO at all levels
- Key implementing agency at all levels
- Technicians from relevant line ministries and response agencies at all levels
- Consider the inclusion of men and women, age, services (agriculture, health, education, social services, water and sanitation, housing), ethnic, indigenous, religious, migrant or informal populations, livelihoods, infrastructure
- Meteorological Organization
- Other key Civil Society and private sector organizations (religious, cultural, small business)



It is important to note that the varying outputs realized via the data collection processes at national and parish levels involve some measure of analysis of the information collected at those stages. For easy reference, below is a list of the main types of analysis done based on the data collected at the national and parish level.

# **National & Parish Analysis**

- Identification of gaps that may impact decision making, prioritize and assign tasks to resolve missing information.
- Review data, information and maps to identify key hazards, root causes of hazards including environmental, social and economic influences.
- Review data, information and maps to see what economic, public and critical infrastructure are in the same areas.
- Compare this with the disaster management capacity and other agency capacity available.

This section will focus primarily on the data analysis involving the data collected at the community level which should be shared with the National Steering Committee for a final decision on a prioritized list of vulnerable communities.

The data from the completed Community Selection form is entered into the Community Selection MS Excel protected workbooks. The workbooks can accommodate up to 25 distinct areas in the analysis. Specific guidance on the use of the workbooks can be found at Annex 8.

# **Data Consolidation System**

After all information for the areas has been assessed, the data form is entered by either the Parish level representatives or via the STM facilitators into the workbook. The workbook records the quantitative data for each community and automatically calculates a disaster risk score using a straightforward scoring system. This scoring system is not weighted. Any qualitative data collected should be recorded separately and can be to support recommendations which will be identified and discussed at decision-making step, as well as to inform the national database of information on the areas assessed.

After reviewing the results generated for each community, the parish DMC will be able to discuss and select communities. Through these discussions, there is an opportunity to make subjective opinions and judgments as long as they can be justified and transparently documented. The parish DMC can then make recommendations to the National STM Steering Committee as required.



Summary report of consolidated data from the workbook



- Parish Disaster Management Committee
- NDO Representative
- Implementing Agency
- STM Facilitators

Decision
Making &
Documentation

To "close the circle", the National STM Steering Committee should make the final decision on the prioritized list of communities. To do this, at the parish level, the Disaster Management Committee or designated representatives will need to:

- Review the consolidated data and final ranking from all the communities. Utilize guiding questions from Appendix 9, to discuss the ranking and needs of the communities.
- Prepare a report of the findings and analysis drawn at the parish and community levels. The report should include the main conclusions made and identify recommendations for a shortlist of the most vulnerable communities with supporting justifications. See Annex 7 for a sample template of the report format that can be used to present the information collected and includes recommendations for consideration in a final list of vulnerable communities.

Once the report is finalised, the information should be presented to the National Strategic Targeting Methodology Steering Committee to support the decisions leading to the prioritisation and selection of vulnerable communities. It should be noted that at the national level, the committee may not be able to give any guiding judgement on selection since members may not be familiar with the communities concerned, and may also be

less familiar with the parish context.

Therefore, the STM National Steering Committee should review the information presented and consider the final selection list of communities based on the agreed objectives identified at the start of the STM process as well as (but not limited to) the following:

- Purpose of the shortlisted communities e.g. the immediate use of within an already identified CBDRR project OR to assist with general prioritisation of the national DRR programme
- Opportunities for inter-agency collaboration across identified thematic areas
- Implementing agency requirements (where a project has already been identified)

The role of the National STM Steering Committee will be to review the information presented by the Parish Disaster Management Committee.

# **Organizational Use of the Targeting**

The final decision on communities will be based on the organizational mandate, project requirements and resources, etc. Ultimately, the implementing agency should determine the specific criteria it will use as parameters for final selection. Transparency about the criteria used is essential.



Summary report of consolidated data from the workbook Agreed criteria used for final selection



- National STM Steering Committee
- NDO Representative
- Implementing Agency
- STM Facilitators

## **List of Annexes**

- Template Terms of Reference: National Strategic Targeting Methodology Steering Committee
- 2. Template Letter of Invitation to Stakeholders
- 3. Template National Stakeholders' Workshop Agenda
- 4. STM Event Checklist & Budget Template
- Proposed List of Stakeholders for Participating Organizations at National Stakeholders' Workshop
- 6. STM Initiation Checklist
- 7. STM Report Template
- 8. Community Selection Manual
- Proposed guiding questions for Decision Making

# **Annex 1: Template Terms of Reference: STM Planning Committee**

# Strategic Targeting Methodology National Planning Committee Terms of Reference

### **BACKGROUND**

At the national level the task of selecting the most disasterrisk prone communities is often hampered by the sheer number of communities to choose from, combined with the fact that their distance away from the central government agencies means it is unlikely that national stakeholders have sufficient knowledge about each community (or the area in which each is located) to make a meaningful selection. The first challenge for the national team is therefore how to make an objective "first-cut" selection. To do this the team has to identify the most risk-prone areas of the country.

Information on vulnerability rarely exists for the subnational level, and in a form which is usable for targeting. Census information and other quantitative surveys may provide useful data on many areas of national interest including the population and demographics, poverty levels, unemployment, health service coverage, agricultural production and marketing. However, this type of quantitative data, although statistically significant, needs to be complemented in order to identify vulnerable populations or describe the nature of their vulnerability.

Consequently, a targeting process used to assess and prioritize those most in need is an important first step for most CBDRR projects. Increasingly, stakeholders have indicated the requirement for implementing organizations to justify the selection of each community for a CBDRR intervention.

The STM supports the identification and selection of communities vulnerable to disaster risk for Community-Based Disaster Risk Reduction programmes. However, it can also be used by any agency needing to better understand disaster risk and its relationship to development and social programs. Community selection usually (but not exclusively) is undertaken based on a general context assessment and once strategic stakeholders are identified. All stakeholders should be included in the community selection process to ensure buy-in and clear understanding of the project direction, objectives and constraints from the beginning. Project capacities and resources may influence community selection as choices must be based on realistic ability to complete quality programming with those selected.

### **OBJECTIVES**

The overarching objective of the Planning Committee is to ensure that the Strategic Targeting Methodology is effectively implemented in order to select the most vulnerable communities for DRR project and programme interventions.

### **SPECIFIC ROLES AND RESPONSIBILITIES:**

- · Identify which agencies should be part of the process.
- Identify who will be involved in the final decisions at the end of the process
- Sensitize/familiarize key persons about the steps and the tools to be used
- Identify the timeline needed to complete the work
- Identify the related resources (including budget) for each step and ensure they are available
- Document the rationale behind the national targeting exercise
- Identify suitable individuals to be trained as STM facilitators
- Lead on all logistical arrangements required to support the STM process

### **WORKING METHODS**

It is anticipated that the Committee will commence functions at least 4 months prior to the delivery of a national stakeholders' workshop. Meeting may be scheduled bimonthly, or if required more frequently to consider significant or urgent issues.

Invitations to and reports of the Planning Committee meetings will be shared via electronic correspondence. It will be the responsibility of the Planning Committee Chair/Secretary to disseminate any relevant correspondence.

### COMPOSITION

The Planning Committee will be composed of 3-6 persons and could include:

- · Director, NDO or designate
- · Head of Implementing Organization or designee
- Head, Red Cross National Society or designate
- Lead STM Facilitator or designate
- Representatives from organizations identified by NDO e.g. UN, NGO, key government departments

### **DURATION**

Suggested 2-3 months, dependent on country context and

availability of members

# Annex 2: Template Letter of Invitation to National Workshop to Analyse and Map Disaster Risk (Hazards and Vulnerability)

Dear Sir/Madam

You are invited to participate in the above workshop from [insert date and venue], which is being organized by [.....] in collaboration with [...].

[State why the Lead organization believes this workshop is important, e.g. The hazard information does not cover the whole country, or all sectors, and it is not in a usable form for strategic targeting, nor is it accessible in a central place. Moreover it will fill the gap on national livelihoods information.]

The workshop is organized jointly by [.......] and will be facilitated by persons with experience in using the methodology and process. A copy of the template agenda is attached for your perusal.

The outputs will include maps and descriptions of hazards and vulnerability which will be valid until the situation in the country changes significantly. For this reason the exercise will also contribute to the development of baseline information which may be useful for national strategic planning across all sectors. This baseline information can be elaborated further for particular regions if there is interest, but the main use is for [the DRR project] – to provide a sound basis for the initial step ("first-cut") in the process of selecting communities for Community-based DRR interventions whenever project funding is secured.

This workshop will not cover community selection, although guidelines and tools have been developed for that activity at the parish level and will be available for teams during the selection of communities for projects.

### **Workshop Participants**

National stakeholders: Your agency is kindly requested to identify one participant with extensive knowledge of their specialist area and preferably also DRR. They should also have a good idea of hazards and livelihoods in different parts of [the country].

[Parish] stakeholders: Each [parish] is requested to select one participant with extensive knowledge about the region, how people live in the region, and what hazards have affected the population in the past.

### **Information Requested**

Participants are requested to bring with them information which has been collected or commissioned by their organization and that is relevant to the workshop's objectives.

The following list is a guide:

- Most recent population data disaggregated to the lowest administrative level
- Mean rainfall data (by month) for the last 20-30 years
- Regional maps showing administrative divisions down to level 4/5
- Current shape files for the lowest administrative levels (including .shp, .shx, .dbf, .prj, .sbn, .sbx, .shp. xml)
- Crop production information for the last ten years (disaggregated by region, and preferably including area planted, yield, and production for each crop).
- Information on fishing and livestock production
- National topographic maps with administrative units, main roads, rivers etc. on a scale of 1:250,000 or 1:500,000

- Information on the country's geography— eg. topography, geo-climatic regions
- Any reports on livelihoods in the country
- Any information on market flows and trading behaviour
- Any existing hazard maps and hazard analyses
- Agro-ecological and or land use maps
- Soil maps
- Vegetation maps
- Population density maps
- Any other general descriptions of the geography and economy of the country or region.

Over the course of the workshop, participants will produce hand draw hazard and livelihoods zone maps. These hand drawn maps will be digitized for storage and sharing in future. Shape files for the lowest administrative level possible will be required to produce electronic versions of the risk maps. The hand drawn maps will then be digitized by a GIS expert using administrative level 3 shape files.

Please confirm the name of your selected participant by [DATE], and contact us if further clarification is required.

Yours Sincerely,

[name, contact details]

# Annex 3: Strategic Targeting Methodology National Stakeholders' Workshop Agenda

# National Stakeholders' Workshop Agenda Date, Location, Country

### Goal:

To develop a national map of risk (hazards, vulnerability and capacity) in <name country> for use in Strategic Targeting of DRR Interventions through the collaboration of relevant national and regional stakeholders.

### **Objectives:**

- 1. To collate, analyse, consolidate and map information concerning disaster risk in [country].
- 2. To share information and give practical experience to [country] stakeholders of key frameworks and methodologies used in the risk mapping and analysis process.

TIME	DAY 1 Introduction to STM & Preliminary Mapping	DAY 2 Hazard Mapping & Disaster Management Capacity	DAY 3 DAY 4  Refining Information on  Hazards and Impact on  Livelihoods
9:00 – 10:30	<ul> <li>Introduction to Strategic Targeting Methodology</li> <li>Review information needs and availability, including data available for national and local areas.</li> </ul>	<ul> <li>A look at past hazards – causes, effects and inter- related hazards</li> </ul>	<ul> <li>Examining Trends, Hazards and Opportunities by Livelihood Zone – Seasonal Calendar</li> <li>Review of Data &amp; Identification of Gaps</li> <li>Identification of Target Areas for Parish Level Intervention</li> </ul>
10:30 – 10:45		Break	Break
10:45 – 12:30	<ul> <li>Map broad livelihood zones onto national map.</li> </ul>	Map hazards	<ul> <li>Examining Trends, Hazards         <ul> <li>Confirmation of members of National Steering Committee</li> <li>Livelihood Zone – Seasonal Calendar Cont'd</li> </ul> </li> <li>Confirmation of members of National Steering Committee</li> <li>Daily &amp; overall evaluation</li> </ul>
12:30 – 1:30		Lunch	Lunch
1:30 – 3:00	Map major     productive     infrastructure	Map hazards Cont'd	<ul> <li>Major coping strategies at household and community level to mitigate the effects of hazards.</li> </ul>
3:00 – 3:15		Break	Break
3:15 – 5:00	<ul> <li>Describe livelihood zones/patterns, land ownership, markets, opportunities, threats and inter- dependencies.</li> <li>Daily Evaluation</li> </ul>	<ul> <li>Map disaster management capacity</li> <li>Daily Evaluation</li> </ul>	<ul> <li>Barriers to prosperity for each livelihood zone.</li> <li>Daily Evaluation</li> </ul>

# Annex 4: Strategic Targeting Methodology - Event Checklist & Budget Template

Name of Event (Choose From the List Provided)	National Workshop; Parish Workshop; Community Focus Group
Date	
Time	
Location	
Event Coordinator/ Contact Person	
Target audience – Who? Who is this activity targeting? What does the audience need to know? What will hold their interest?	
Message - What? What do you want to say to the target audience? What do you want them to know/do?	
Objectives - Why? Be clear about what you hope to achieve with this event.	
Description of event – What?	

Risk assessment – What Identify possible risks and develop strategies to minimise risks.	
Evaluation Criteria established What were our aims/ objectives? Did we achieve what we set out to do? Did it come in on budget? What were the intended/ unintended outcomes? How do we measure effectiveness? What tools do we use to measure our success?	
Checklist  Who will be involved in the Date's of event determined Location/venue for event Target audience determined Message created Objectives set  Risk assessment complete Evaluation criteria establication	ed booked ed ted

# **Early Event Planning Template**

Early Event Planning	Action	Date to be Completed	Person Responsible
<ul><li>Budget</li><li>Source/Sponsorship identified</li></ul>			
Protocol Identify protocol requirements (e.g. requests to invite Ministers or CEOs in writing and in a timely manner require six to eight weeks prior to event) Specify protocol issues			
<ul> <li>Invitations</li> <li>Mailing list generated/updated</li> <li>Invitation composed &amp; checked</li> <li>RSVPs (responsible person briefed)</li> <li>Invitation list compiled and checked for accuracy</li> <li>Required facilitators identified, scheduled and notified</li> <li>Invitations sent</li> </ul>			
<ul> <li>Catering</li> <li>Cost per head or upfront</li> <li>Beverages – juice, water, tea and coffee</li> <li>Internal/external – break and lunch items</li> <li>Power/equipment required</li> <li>Tables, tablecloths, crockery -&amp; cutlery</li> <li>Special dietary requirements of guests</li> <li>Menu</li> </ul>			

Early Event Planning	Action	Date to be Completed	Person Responsible
<ul> <li>Audio/visual requirements</li> <li>PA system</li> <li>Laptop &amp; projector</li> <li>Lapel or handheld microphone</li> <li>Lighting</li> <li>Extra electrical requirements</li> </ul>			
Guest comfort  Wheelchair access  Toilet facilities			
<ul><li>Housekeeping</li><li>Cleaning before and after</li><li>On standby during the event</li></ul>			
<ul> <li>On the day</li> <li>Time for set up &amp; dismantle by whom</li> <li>Tables, chairs layout</li> <li>Book courier/transport &amp; confirm location directions</li> <li>Name tags</li> <li>Registration area</li> </ul>			
After the event     Person responsible     Debrief     Participant feedback     Evaluation against criteria     Thank You's			

Strategic Targeting Methodology Budget				
_	National	Parish	Community	
Description	(Workshop & Steering Committee Meeting)	(Field Verification)	(Field Verification)	Total (US\$)
Travel & Subsistence				
Admin & logistics support				
Equipment and Materials (e.g. Maps, stationery, printing)				
Venue (Rental, catering etc.)				
Total				

# **Annex 5: Information Requirements from Participants at National Workshop**

The following information should be sought from the national stakeholders in advance of the workshop (some will be required by the lead facilitator via the planning committee to help them plan the process). All information should be brought to the workshop, where possible.

Category	Type of Information Required	Potential Source
Maps	<ul> <li>Printed maps of the country (base maps, hazard maps, livelihoods information, resources, land use etc.)</li> <li>Digital mapping facility</li> </ul>	<ul> <li>Central mapping authority</li> <li>Mapping resource within line ministries</li> <li>University department</li> </ul>
Socio- economic and cultural information	<ul> <li>Demographic analysis (by ethnicity, nationality, age, sex, disability, housing type, access to sanitation and water, access to education etc.)</li> <li>Administrative boundaries information; government institutions, political affiliation of local authorities/councils.</li> <li>Settlement information / housing data</li> <li>Morbidity and mortality data</li> <li>Political makeup of local authorities (Numbers enrolled in different parts of the country, value of benefit etc.)</li> <li>Development and DRR Sociological programmes</li> <li>Anthropological/sociology research, including gender analysis</li> </ul>	<ul> <li>Ministry of Labour /         Human Services / Social         Security</li> <li>Ministry of Housing</li> <li>Ministry of Water         Resources &amp; Drainage</li> <li>Ministry of Education</li> <li>Ministry of Health</li> <li>UNDP, FAO, UNICEF</li> <li>Civil society         representation for         particular population         groups</li> <li>International NGOs with         DRR programmes</li> </ul>

#### · Historical hazard/disaster records Hazard · National Disaster information (incl. maps) Organization · Hydro-meteorological data and · Environmental Protection trends - e.g. rain, wind, sea swell, Agency · Hydro-meteorological flooding · Climate Change information department Environmental protection · National Fire Service programmes · National Police Force · Global resources and data on · Ministry of Public Works & Communication hazards · Building codes and enforcement · Ministry of Water Resources and Drainage policy · UN organizations · Maps showing river basins, floodprone areas, earthquake risk zones · Pacific Disaster Centre (or other) **Productive** · Livelihoods information Ministry of Tourism · Marketing information Ministry of Mines sectors information · Land use, land cover, agro-· Ministry of Agriculture ecological zone maps Ministry of Finance · Revenue from each productive Maritime Administration sector · National Energy Agency Central Planning Authority Minerals and Mining · Historical agricultural production · Bureau of Statistics · UNDP, FAO, UNICEF statistics (crops, livestock, fisheries, forestry) - trends · Civil society/specific · Macro-economic data for the population groups · INGOs country Energy (including renewable sources) See above (as relevant) Multi-· Local government representatives sectorial information NGOs in the [Parish] · Line ministry staff in [Parish] from[Parish] level · [Parish] Disaster Management Committee · As above - information for urban · Mayor & City Council Urban · Technical Line departments issues areas · NGOs and civil society

## **Annex 6: STM Initiation Checklist**

# Strategic Targeting Methodology Initiation Checklist

	Pookarou	d	•••••	•••••
Date:				
_ead Agency:				
National Coordinator:				

Background						
Background of the initiative:		State the reason for the initiative here				
	Yes	No	Comments			
Have the objectives of the Strategic Targeting Methodology exercise been defined and are they clear?						
Overall Coordination						
	Yes	No	Comments			
Have the key stakeholders been identified?			List the key stakeholders identified			
Has a national steering committee been identified who will sign-off the prioritized list of vulnerable communities for disaster risk reduction interventions?			List the members (by name, organization and title)			
Has a National Coordinator for the process been identified?			Name, Job Title, Organization			
Has the core team of facilitators and logistical support been identified?			List the members of the team and their assigned roles			
Risk						

	Yes	No	Comments			
Has Risk been assessed? Have Risk Mitigation	: : : : : : : : : : : : : : : : : : : :					
Strategies been defined?						
Constraint						
	Yes	No	Comments			
Has the STM Budget been identified and approved?			If yes, state the budget, approval and funding entity			
Has a completion date been established?			Provide date			
Have opportunities for collaboration between similar initiatives been identified?		<u></u>	If yes, explain			
Has a decision been taken on the format and duration for each level of the STM process?			Provide details			
S	TM E	stima	ntes			
Start Date	Yes	No	Comments			
End Date						
Efforts in hours						
Budget						
# of Functionality						
# of Deliverables						

### **General Observations**

What is the level of overall readiness to implement the STM?

### **Actions**

ID	Action Item	Assigned To	Due By
			[mm/dd/yyyy]
			[mm/dd/yyyy]
			[mm/dd/yyyy]

### Comments

	:
	:
	•
	:
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	:

# **Annex 7: STM Reporting Template**



STRATEGIC
TARGETING
METHODOLOGY
COMMUNITY
SELECTION
REPORT

### **DATE**

**LEAD COORDINATOR** 

**FACILITATORS** 

**NATIONAL STEERING COMMITTEE MEMBERS** 

### **OBJECTIVES**

State the agreed objectives of the Strategic Targeting Methodology in the country. This information should be the same as the objectives identified in the STM Initiation Checklist.

### **PARTICIPANTS**

Name	Role	Organization (If Applicable)			
National					
		a de la companya de			
Parish					
Community					

## **METHODOLOGY**

Explain the process followed in country and the reasons for the approach taken. Use the STM Initiation Checklist to complete this section.

# NATIONAL DISASTER RISK REDUCTION CONTEXT

- Provide a summary of the national context and be sure to include information about geographic location, demography including, if possible, information on population: numbers of adults, youth, children etc disaggregated by gender.
- Use maps developed during the national workshop to highlight livelihoods, population distribution and other information captured.
- Present information collected on the physical infrastructure, environmental profile, health, education, socio-economic issues and disaster management capacity. Use the consolidated information presented in the Community Selection Workbook as well as the Seasonal Calendar, Historical Hazard Profiles and any other relevant information collected during the STM process here.
- Provide the historical narrative of the major events that have affected the country to develop a database of information that can be updated each time the vulnerable communities list is revised. Consider recurring events and those with the greatest magnitude and potential impact
- Describe the level of collaboration between the various participating agencies to support decision making.

### **ANALYSIS**

- Assess the availability of information: existence of a disaster inventory for the country, access to such information, whether it is up to date, responsibility for updating it, and the source of the information.
- Use the qualitative information collected in the Community Selection form to support the quantitative data captured in the consolidated sheets of the Community Selection workbook.

# CONCLUSIONS AND RECOMMENDATION

- State conclusions by category (e.g. hazards, vulnerability/resilience, disaster management capacity and other consideration
- Provide recommendations for a proposed list of vulnerable communities and how they could be prioritised for consideration in a final list to be approved by the National STM Steering Committee

NOTE: Include charts showing the summary scores as well as the qualitative data collected for each area assessed to support your recommendations where possible. Attach all completed versions of the appendices

# Annex 8: STM Community Selection Manual for DRR practitioners

[Refer to the manual which has been presented as a separate document]

# Annex 9: Proposed guiding questions for decision making

- 1. Is the community in immediate danger or crisis? 1
- 2. What length of intervention is necessary in the community? Short or long term intervention?
- 3. What type of resilience building is most necessary in the community? According to the community profile does the community require health intervention, social capacity building support, risk reduction training, infrastructure projects etc?
- 4. What stakeholder has the technical capacity or mandate to assist in the necessary area of intervention?
- 5. Who has access<sup>2</sup> to the community? Does and stake holder have an existing relationship with the community?
- 6. Are there any concerns about working in the community, or reasons to not work in the community?

# **Fundamental Principles** of the Red Cross and Red Crescent Movement

Proclaimed in Vienna in 1965, the seven Fundamental Principles bond together the National Red Cross and Red Crescent Societies, The International Committee of the Red Cross and the International Federation of the Red Cross and Red Crescent Societies. They guarantee the continuity of the Red Cross Red Crescent Movement and its humanitarian work.

### **Humanity**

The International Red Cross and Red Crescent Movement, born of a desire to bring assistance without discrimination to the wounded on the battlefield, endeavours, in its international and national capacity, to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, cooperation and lasting peace amongst all peoples.

### **Impartiality**

The Movement makes no discrimination as to nationality, race, religious beliefs, class or political opinions. It endeavours to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress.

### **Neutrality**

In order to continue to enjoy the confidence of all, the Movement may not take sides in hostilities or engage at any time in controversies of a political, racial, religious or ideological nature.

### Independence

The Movement is independent. The National Societies, while auxiliaries in the humanitarian services of their governments and subject to the laws of their respective countries, must always maintain their autonomy so that they may be able at all times to act in accordance with the principles of the Movement.

### **Voluntary service**

The Movement is a voluntary relief movement not prompted in any manner by desire for gain.

### Unity

There can be only one Red Cross or one Red Crescent Society in any one country. It must be open to all. It must carry on its humanitarian work throughout its territory.

### Universality

The International Red Cross and Red Crescent Movement, in which all Societies have equal status and share equal responsibilities and duties in helping each other, is worldwide.

<sup>1</sup> If the community does not receive immediate intervention human life will be lost

<sup>2</sup> Access may mean the physical access to the community or the acceptance by a community





