

2019

# The Post-Project Review of Urban Disaster Risk Reduction Neighborhood Approach Projects

Extreme Events Institute, Florida International University

Follow this and additional works at: [https://digitalcommons.fiu.edu/drr\\_fac](https://digitalcommons.fiu.edu/drr_fac)

---

## Recommended Citation

Extreme Events Institute, Florida International University, "The Post-Project Review of Urban Disaster Risk Reduction Neighborhood Approach Projects" (2019). *DRR Faculty Publications*. 20.  
[https://digitalcommons.fiu.edu/drr\\_fac/20](https://digitalcommons.fiu.edu/drr_fac/20)

This work is brought to you for free and open access by the Extreme Events Institute at FIU Digital Commons. It has been accepted for inclusion in DRR Faculty Publications by an authorized administrator of FIU Digital Commons. For more information, please contact [dcc@fiu.edu](mailto:dcc@fiu.edu).

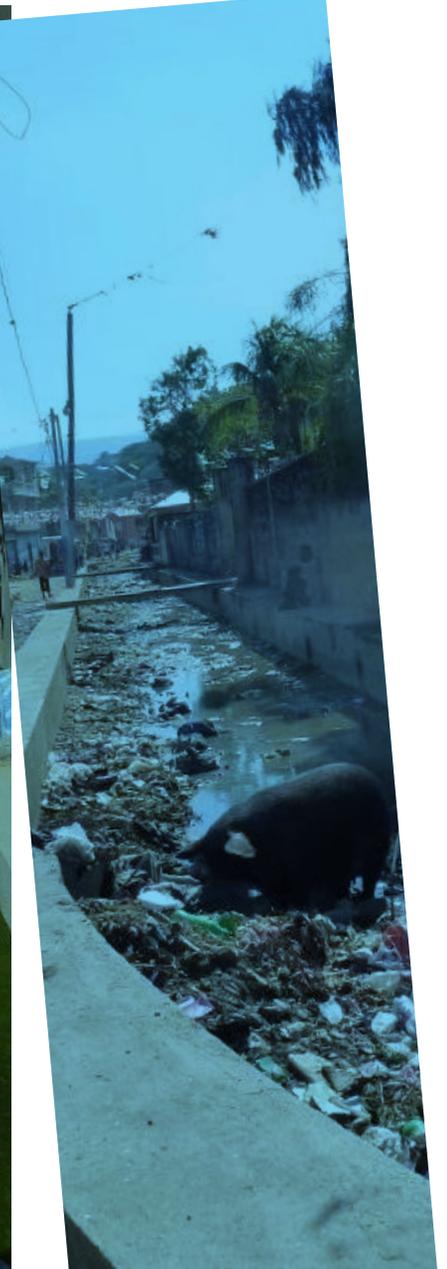
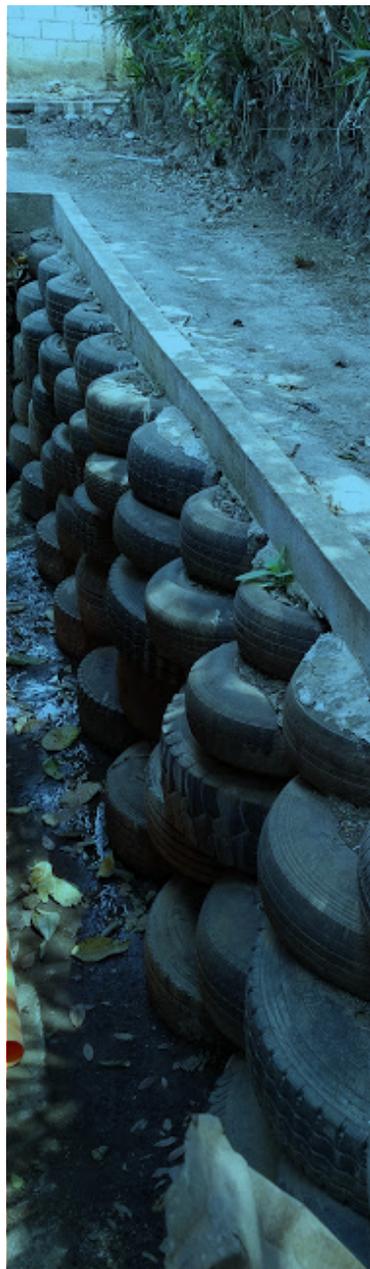


**USAID**  
FROM THE AMERICAN PEOPLE



FLORIDA  
INTERNATIONAL  
UNIVERSITY

# The Post-Project Review of Urban Disaster Risk Reduction Neighborhood Approach Projects





**USAID**  
FROM THE AMERICAN PEOPLE



FLORIDA  
INTERNATIONAL  
UNIVERSITY

## The Post-Project Review of Urban Disaster Risk Reduction Neighborhood Approach Projects

This publication was prepared by Florida International University's "Disaster Risk Reduction in the Americas Program," under the Cooperative Agreement # AID-OFDA-A-13-00041 with the United States Agency for International Development's Office of U.S. Foreign Disaster Assistance (USAID/OFDA), regional office for Latin America and the Caribbean.

### Editors

Juan Pablo Sarmiento, Florida International University, Extreme Events Institute

Philip Gelman, U.S. Agency for International Development/Office of U.S. Foreign Disaster Assistance (USAID/OFDA)

Patricia Bittner, Consultant, FIU

**ISBN:** 978-0-9988489-1-4

### Implementing Partners

Catholic Relief Services (CRS)

Project Concern International (PCI)

Save the Children (SC)

World Concern Development Organization (WCDO)

### Disclaimer

The views expressed in this publication do not necessarily reflect the views of the U.S. Agency for International Development or the United States Government.



**USAID**  
FROM THE AMERICAN PEOPLE



FLORIDA  
INTERNATIONAL  
UNIVERSITY

*The Post-Project Review of Urban Disaster Risk Reduction Neighborhood Approach Projects* is a publication in the Disaster Risk Reduction and Resilience series of the Disaster Risk Reduction Program, funded by the U. S. Agency for International Development and housed in Florida International University's Extreme Events Institute.

There is an academic version of this publication:

Sarmiento, J.P., Gelman, P., Jordão, G., Bittner, P. (2017). Post-Project Review in Urban Disaster Risk Reduction. *Disaster Prevention and Management: An International Journal*, 2(1), -. <http://doi.10.1108/DPM-10-2016-0205>

# Table of Contents

<b>4</b>	Introduction
	Participating Organizations
<b>6</b>	Chapter 1. The Post-Project Review
<b>11</b>	Chapter 2. Post-Project Review Findings by Implementing Organization
<b>27</b>	Chapter 3. Sustainability Factors across Neighborhood Approach Projects
<b>35</b>	Chapter 4. Final Balance

## Annexes

<b>39</b>	Annex 1	Agenda, Post-Project Review Meeting, Lima, Peru.
<b>41</b>	Annex 2	List of Participants
<b>42</b>	Annex 3	List of Acronyms and Abbreviations



# Introduction

The United States Agency for International Development, Office of Foreign Disaster Assistance, Latin America/Caribbean Regional Office (USAID/USAID/OFDA/LAC) issued an Annual Program Statement (APS) in Fiscal Year 2012, calling for proposals to apply the Neighborhood Approach (NA) to address urban disaster risk. The NA is

PCI Mixco-Guatemala-  
Post-project review  
community session  
Photo: J.P. Sarmiento





**USAID**  
FROM THE AMERICAN PEOPLE



FLORIDA  
INTERNATIONAL  
UNIVERSITY

In early 2016, an extensive analysis was conducted to systematize the four projects.

designed to find practical and workable solutions for disaster risk reduction in densely populated informal urban settlements occupied by vulnerable and marginal communities. USAID/OFDA/LAC funded projects in four urban settings in three countries in the region: Guatemala, Haiti and Peru.

In early 2016, an extensive analysis was conducted to systematize the four projects. The fact that NA projects were a new addition to its DRR portfolio led USAID/OFDA/LAC to undertake robust monitoring of their implementation. The standardized tools and systematization process represented an effort to maximize opportunities for learning both at the level of individual projects as well as across the urban DRR portfolio.

This deep interest in understanding the strengths and weaknesses of the approach was also manifested in USAID/OFDA/LAC's decision to support an implementer-driven post-project review (PPR) process of the status of community and institutional engagement one year after completion of the four *"Urban DRR Projects: Neighborhood Approach,"* awarded through the USAID Annual Program Statement (APS) in Guatemala, Haiti, and Peru in FY 2012. Financed through a sub-grant mechanism via Florida International University (FIU), NGO implementers—Catholic Relief Services (CRS), Project Concern International (PCI), Save the Children (SC), and World Concern Development Organization (WCDO)—were able to propose a methodology for returning to their project sites following completion of all activities to review the status of the works and/or processes undertaken by the projects. These reviews, which took place 12 to 18 months following the end of the project implementation, were primarily aimed at determining the degree of success of the projects' transition strategies. In other words, the review process offered the implementers the opportunity to assess whether their assumptions regarding the uptake of functions by neighborhood residents, local governments, and/or other actors had been correct. The PPRs, then, represent the final step of the systematization process.



## CHAPTER 1.

# The Post-Project Review

## Background

The implementation of the four NA projects contemplated a rigorous real-time monitoring and analysis mechanism called systematization. The systematization process focused on four axes:

- **Participation:** To sustain community participation, implementers explored what steps to take to ensure that the neighborhood-level cohesion established during the project would be maintained post-implementation.
- **Governance:** The systematization sought to determine which measures ensure that relationships between and among local community organizations, municipal governments, and the private sector were maintained.
- **Social inclusion:** This axis addressed whether plans included ensuring that the most marginalized were not once again excluded once the project concluded.
- **Sustainability:** Emphasis was placed on understanding how the relationship among the local partners would be maintained in the interest of continuing positive DRR outcomes.

From the inception of the NA projects, the post-project phase was foreseen, as an approach to identifying key factors related to urban DRR, thereby informing planning of future work in this area.

The design of the PPR included an extensive literature review on post-implementation methodologies. Although several institutional sources were found, there were few academic references. Existing literature focused on aspects related to results and final impacts after project closure, but did not address approaches that took into account process and sustainability aspects. Consequently, the post-implementation review was

The design of the PPR included an extensive literature review on post-implementation methodologies.



Quetzaltenango-Guatemala  
Public washing basin  
Photo: J.P. Sarmiento

designed to highlight these factors, alongside traditional impact considerations. The resulting post-project review (PPR) process consistently considers project outputs and outcomes, processes and sustainability factors.



## Key Features of the Post-Project Review

The first step was to define the key features of the PPR, in light of the systematization of experiences, which was previously carried out by the implementers during the Neighborhood Approach (NA) project cycle, in conjunction with FIU. The key features include:

- **Conducted after project completion.** The PPR would be conducted once the projects had been completed. By the time it began, the four initiatives had concluded their work one to two years earlier.
- **Participatory review.** The PPR would involve all the stakeholders, including the targeted community, partner organizations, institutions involved, and other players that could provide insights about the project gains.
- **Self-assessment.** The implementers would agree on the PPR's terms of reference and lead their own assessment.
- **Focus on strategic areas.** Five focus areas were selected: condition of physical works; social mobilization gains; environmental improvements; institutional arrangements; and financial mechanisms.
- **Build on the systematization experience** carried out during the NA project implementation.

## Neighborhood Approach Outputs and Outcomes

The decision was made to incorporate data on outputs and outcomes, using information from the final reports on the Neighborhood Approach projects as the baseline for the PPR. For each category, specific and tangible NA actions, products or results were compiled. Then, based on the stated plans of the implementers, the following issues were explored:

- Had the transfer of activities/products to specific entities worked as anticipated?
- Were the expected/promised resources being provided by these entities?
- Were the gains achieved during the project still in existence, are they relevant, and have they been properly maintained?



Table 1 on page 10 illustrates the process to build the PPR baseline. The table includes examples of the type of information that should be filled in. The last column, 'Findings,' is only included here to illustrate selected highlights, as it is understood that the findings are the key purpose of the PPR, and it would be hard to limit them to a small box in each table.

## Systematization Questions

Taking advantage of the experience and knowledge acquired during the implementation of the NA projects, specific questions related to the four systematization axes were introduced:

**Participation** Are community members still involved in activities directly related to the project? (e.g., productive activities, cleaning drainage systems, etc.)

**Governance** To what degree is local government still involved in activities directly related to the project? (e.g., Does local government continue to provide garbage collection on a regular basis?)

**Social Inclusion** To what degree are youth, women, the elderly, and persons with disabilities still involved in activities directly related to the project? (e.g., Do youth and women's organizations continue working directly on project activities?)

**Sustainability** To what degree have the DRR gains/outcomes been sustained after the project closeout? (e.g., Community level: There have been training sessions; benefits of the project have expanded to other beneficiaries within the same neighborhood or reached other communities.)

## PPR Objectives

With the previous considerations in mind, the PPR for each implementer encompassed four major objectives:

- Prepare a five-page proposal to include: a) an action plan to carry out the PPR; and b) a budget with accompanying narrative. FIU, and subsequently USAID/OFDA (at



**USAID**  
FROM THE AMERICAN PEOPLE



**FLORIDA  
INTERNATIONAL  
UNIVERSITY**

regional and headquarters level) reviewed these proposals and upon approval, a sub-contract was signed between the implementer and FIU.

- Conduct participatory assessments involving local authorities, civil society, community leaders, and other project stakeholders.
- Prepare a draft final report including a balance between the project transfer plan (defined at project closeout) and the PPR findings, following an outline provided.
- Attend the PPR workshop, convened by USAID/OFDA-LAC and FIU, in Lima, Peru (June 2016).

**Table 1. Project Transition and PPR**

	What	Transfer to Whom	How	Resources	Findings
<b>Physical Works Maintenance</b>	e.g., Retaining wall	Neighborhood Committee	Written agreement	Community labor and materials provided by municipality	Appropriate maintenance
	e.g., Drainage system	Municipality	Municipal agreement	Municipality	Poor maintenance.
<b>Social Mobilization Gains</b>	e.g., Neighborhood Committee		Legal acknowledgement	Technical assistance, legal advice	No committee sessions held
<b>Environmental Improvements</b>	e.g., Landfill/garbage disposal	Neighborhood association	Defining a community group/committee with written procedures for specific time periods	Selection of a disposal site. Provision of required tools for maintenance	The garbage disposal service is not working.
<b>Institutional Arrangements</b>	e.g., Land fill / garbage disposal	Joint venture neighborhood association/municipality	Written agreement, environmental community group/neighbor-hood committee	Municipality agrees to a permanent program providing a truck once/twice a week	The garbage disposal service is working well.
<b>Financial Mechanisms</b>	e.g., Rotatory loan fund	Joint venture neighborhood association/financial organization	Written procedures fulfilling legal requirements, subject to auditing and controls	Funds initially allocated; loan repayments from beneficiaries; additional donations	
	e.g., Individual loans	Joint venture neighborhood association/financial organization	Guidelines for loans	Technical assistance, legal advice.	



## CHAPTER 2.

# Post-Project Review Findings by Implementing Organization

**T**his chapter summarizes the findings from the four PPR final reports. Even though the implementing organizations worked under the same Terms of Reference, each PPR process had individual characteristics.

The implementing organizations selected different teams to carry out their PPRs.

### **Save the Children (SC)**

The PPR was carried out through SC's Program Quality Area. It was led by the Monitoring and Evaluation Coordinator who carried out the 'ARRIBA' project's original systematization process and who is also currently involved in the systematization of SC's next USAID/OFDA-funded project, Carabayllo Reduciendo Riesgos. The ARRIBA Project ended in May 2015.

### **Project Concern International (PCI)**

The Post-Project Review of PCI's 'Barrio Mio' project was conducted by two external evaluators: Villalobos y Asociados, Consultoría para el Desarrollo and A. Company Consultora. Although the 'Barrio Mio' project ended in March 2015, PCI continues to work in the project areas using new funds.

### **Catholic Relief Services (CRS)**

CRS contracted an external consultant for the PPR. The original CRS project coordi-



nator accompanied the review team during the field research. CRS's project 'Barrios Mas Seguros' ended in December 2014.

### World Concern (WC)

An external consultant from World Renew, Canada, carried out the Post-Project Review of WC's 'Community Initiatives in Disaster Risk Reduction.' World Concern's project ended in 2014.

The table on the next page summarizes the main methodological features of each of the PPRs conducted.

**Table 2. Methodological Features Observed in the PPR**

Organization	Review of Project Documents	Identification of Key Stakeholders/ Sociocultural Mapping	Introductory Meeting	Interviews	Focus Groups	Workshops	Visits	Social Media Photo Contest
Save the Children (SC)	X	X		Project staff, municipality, community (promoters, leaders), and the national DRM community	Promoters		Enterprises and markets, construction, emergency signs	
Project Concern International (PCI)	X	Two representative communities		Allies, PCI	Representative communities and replica communities	Children, PCI, Municipality	Public works	
Catholic Relief Services (CRS)	X		X	Municipality, CONRED, residents	COLREDs and ECOREDs		Public works	
World Concern (WC)				Government officials, NGOs	Using structured methodologies (participation ranking, most significant change, sustainability ranking, and lessons learned discussion)		Project locations	X

X Mentioned in the final reports but without details



The following tables present the findings related to project transition, as observed in the Post-Project Review. Due to the differences regarding how each implementing agency carried out the PPR, the findings will vary slightly. These tables summarize the projects' main outputs, which were subject to analysis during the PPR. The PPR final reports contain a full explanation of the findings.

The PPR methodology sought to determine the conditions of the physical works, social and environmental gains, and progress in institutional arrangements associated with the Neighborhood Approach projects. It is important to note that after the closeout of the NA projects, the four neighborhoods experienced changes in administration at the local level. There were changes in the composition of the neighborhoods as well, confirming the highly mobile nature of informal settlements. With the exception of PCI, implementers are no longer working in the areas where the NA projects were implemented.

**Table 3. Catholic Relief Services: Project Transition and Post-Project Review**

	What	Transfer to Whom	How	Resources	Findings
Physical Works Maintenance	Containment walls	Groups of residents organized in COLREDS and COCODEs	Written agreement	Community labor + materials provided by the municipality	Appropriate maintenance. They continue fulfilling the purpose for which they were built
	Drainage system	Municipality of Quetzaltenango	Municipal agreement	Municipality of Quetzaltenango	Poor maintenance. The Municipality of Quetzaltenango does not have the resources to improve the system. Natural population increase contributes to the collapse of the system
	Stone retaining wall	Municipality of Quetzaltenango	Municipal agreement	Municipality of Quetzaltenango	Appropriate maintenance. It continues fulfilling the purpose for which it was built
	Public washing basin	Residents organized in COLREDS/ COCODEs	Written agreement	Maintained by residents and users	Poor maintenance. There was some damage to manhole covers after attempts to steal them. They continue fulfilling the purpose for which they were built and are consistently used by neighborhood women
Social Mobilization Gains	COLRED	Residents organized in COLREDS/ COCODEs	Legally certified	Technical assistance	Five of the six COLREDS supported by the NA project conducted by CRS continue working to different degrees. There is little support from the residents, in comparison to the number of residents that the project mobilized during its implementation

	What	Transfer to Whom	How	Resources	Findings
Social Mobilization Gains	ECORED	Youth groups	Legally certified	Technical assistance, training, organization and equipment	Once the project was completed, it was difficult to retain the participation of youth organized in ECOREDs. Many of the young men and women who participated in the ECOREDs now have a job or are studying. Some reported that the activities did not fit into their schedules. Some youth who continue to support COLREDs/COCODEs' activities, such as storm drain cleaning, do so on a personal basis. Those who were interviewed expressed interest in getting involved in community service activities, although some of the activities mentioned may not fall under the responsibility of the COLRED, but are in line with those of the COCODE.
Environmental Improvements	Land fill / garbage disposal	Strategic alliance between organized groups of residents and the municipality, strengthened through the creation of a Permanent Citizens' Committee	Written agreement, community environmental group/ committee	Permanent municipal program to provide a truck once or twice a week for this activity. Organized residents raise funds to pay for fuel and ensure the participation of municipal workers and removal of garbage and sediment	COLREDs continue conducting clean-up campaigns initiated during the project. However, they face difficulties related to municipal management issues that are beyond their control, such as decisions taken by the new mayor or recently-appointed municipal officials who are unaware of the work done by the COLREDs. Only two COLREDs have demonstrated the capacity to coordinate with other organizations, represent their neighborhoods to demand more municipal support (e.g. more resources for clean-up campaigns) or take advantage of key opportunities, such as the political campaign prior to the election of a new mayor in 2015, or with the new municipal authorities in 2016.
Institutional Arrangements	Budget allocation for DRR and risk management	Not applicable. Funds are managed by the municipal government, although residents follow up on how these funds are spent	By adding a budget line for this activity or modifying existing budget lines	Municipal funds	One of the innovations of the NA project conducted by CRS was advocating with municipal authorities for improvements. As a result, in 2014 the Municipality of Quetzaltenango allocated Q500,000 (approximately US\$67,000) to clean-up campaigns in storm drains, ravines, roadside ditches, and wastewater discharge areas. In 2015, Q850,000 was allocated (Q500,000 for the waste water discharge area and Q350,000 for storm drains and the sewerage system). These funds were allocated under infrastructure activities and not under hazard mitigation or to address neighborhood vulnerabilities, due to the fact that the Ministry of Public Finance and SEGEPLAN (Planning and Programming Secretariat of the Presidency of Guatemala) were not able to incorporate the activities into the government's risk management agenda.

**Table 4. Project Concern International: Project Transition and Post-Project Review**

	What	Transfer to Whom	How	Resources	Findings
Physical Works Maintenance	Tailored retaining walls	Technology transferred to municipal teams	Sharing the technology and building activities, included through systematization.	Community labor and municipal labor and project materials	Appropriate maintenance by community members
	Drainage system	Municipality and community organization	Municipal agreement	Community labor + municipal labor and project materials	Working properly
	Rainfall-conducting system	Municipality and the community	Written agreement at both levels	Community and municipal labor. Materials from project and partners.	Structures in good shape, although insufficient maintenance. The community is not organized to maintain and clean the structures.
	Wastewater treatment plant (PTAR)	Municipality and community	By means of a written letter	Community land for the installation. Municipal and community labor, project materials.	The PTAR is still working well, but some community members are still not connected to the plant due to miscommunication with local authorities.
Social Mobilization Gains	Neighborhood committee COCODE	Community leaders, Municipal Planning Authority	Training with partners (SCEP <sup>1</sup> ) on legal matters. Legal recognition by the municipality.	Training throughout SCEP. Technical assistance, legal advice.	The COCODE is still working, but it lacks capacity to generate new proposals or advocate for support from municipality or donors.
	COLRED	Community COCODEs; municipal authorities.	Through linkages with SECONRED and the development of community response plans	Training conducted by project partners, central government agencies and project technical teams. Equipment for COLRED provided by project funds.	Lacks of improvement in the preparation of plans and training the community on disaster risk reduction

1 SCEP: Secretaría de Coordinación Ejecutiva de la Presidencia, Executive Coordination Secretariat of the Office of the Presidency.



	What	Transfer to Whom	How	Resources	Findings
<b>Social Mobilization Gains</b>	Women's Empowerment (WE)	Community groups; municipal office of women.	By strengthening the strategies implemented and transferring the guidelines (part of systematization)	Project's technical teams	Still operational; groups strengthened through their own resources and initiatives. Some groups have voluntarily disbanded.
<b>Environmental Improvements</b>	WASH (water and sanitation) training. Improving community access	Neighborhood associations; municipal teams	Developing training materials, based on international standards (WHO-UN)	Training, awareness of WASH treatments; provision of tools required for maintenance.	See findings described in the items related to community and municipalities
	Water supply networks improved and restructured	Community	Developing links and relationships between community water committee, and private sector providers of materials.	Partnerships strategies implemented by Project technical teams. Water pipes and material buy by local water committee, Amanco (PPP) designs	Water supply networks improved and working, reaching 100% of houses with potable water.
	Improving water quality controls	Community; Municipality	Training and developing in a joint way the test of water quality, and training them to develop these tests at least one a year. Technical guides developed for that	Key project stakeholders. Municipal teams. Ministry of health teams. Project teams. Community leaders.	The communities requested that municipal authorities perform annual tests though the COCODEs
<b>Social Mobilization Gains</b>	Key project stakeholders working and integrated in technical round tables to provide technical assistance	Project stakeholders. Private sector partners. Municipal teams.	Written agreement and work plans; environmental community group/ committee.	Municipality agrees to a permanent contact with entities from Private, governmental and academy sectors.	The Municipality is still in touch with project stakeholders, and supporting their activities with knowledge of central government agencies.
<b>Financial Mechanisms</b>	WE groups linked to the financial sectors	WE groups and bank entities (MICOOPE); the Municipality.	Unbanked groups (not all) integrated into banking sector; training on economic literacy.	Project technical teams. Bank sector searching for WE groups to support.	Some WE groups still managing money outside of formal banking institutions
	Women's Entrepreneur Network	Communities; the strategy to the municipal government.	Guides developed to establish WE groups	Technical assistance, legal advice.	There were no traces of the WE strategy at the municipality. Nevertheless, technical advisors kept contact with some WE members



**Table 5. Save the Children: Project Transition and Post-Project Review**

	What	Transfer to Whom	How/ Resources	Findings
Physical Works Maintenance	<b>Products</b>			
	Seismic-resistant construction and structural reinforcement manual	Construction workers, community leaders, MVES (Municipality of Villa El Salvador), national NGOs.	Training workshop for construction workers and leaders; official presentation to MVES; handover to NGOs	<ul style="list-style-type: none"> <li>PRONOEI is using the earthquake-resistant model as a child daycare facility</li> <li>A second story was built with wood, as specified in guidelines</li> <li>The leader of PRONOEI expected more people visiting the construction, given that it was a prototype. This is partly because a detailed plan for how to promote the construction was never produced</li> <li>Several retrofitted facilities updated their fire extinguishers and first aid kits and ensure that emergency lights continue to function</li> <li>The Union Progreso market, which was actively involved in DRM thanks to the project, has set aside space in the market for an Emergency Operations Center</li> <li>One of the promoters on the Board of Directors who attended the training workshop) disseminated what she learned to other construction workers in her neighborhood, demonstrating a multiplier effect</li> </ul>
	Earthquake-resistant construction	Community, MVES, UGEL (Unidades de Gestión Educativa Local-Local School Units).	Public handover from MVES to community; official communication to UGEL.	
	Retrofitting of critical enterprises/ services	Enterprises/ services, MVES	Official handover to enterprises/services and to MVES	
Construction workers trained in anti-seismic techniques	Community	Official presentation		
Social Mobilization Gains	<b>Products</b>			
	Community DRM promoters	Community, MVES, national entities	Official public events, presentation of official list of promoters	<ul style="list-style-type: none"> <li>Promoters trained by the project formed an association of almost 120 promoters. This democratically-elected association has an 11-member Board, a work plan and is recognized by the municipality</li> <li>The promoters have continued to receive some training from the MVES and from other NGOs in different topics related to DRM</li> <li>The promoters are recognized at the national level</li> <li>Some promoters have gone on to work in Civil Defense areas in other municipalities, which can have an interesting multiplier effect</li> <li>The market still has its DRM plan and knows what they need to do in case of a disaster</li> <li>Some of the neighborhood platforms were disbanded, which left a gap with regard to a space to bring all stakeholders together, which is perhaps one of the most important points of the neighborhood approach</li> </ul>
	Neighborhood platforms	MVES, national entities	Official presentations in DRM Working Group and to national entities	
Community risk study	Community, MVES, national entities	User-friendly leaflets, fairs, press, official presentations, official handover to MVES/ national entities		



	What	Transfer to Whom	How/ Resources	Findings	
Social Mobilization Gains	<b>Products</b>				
	Community, Market and Enterprises DRM Plans	Community, market, enterprises, MVES, national entities	User-friendly leaflets, fairs, press, official presentations, official hand-over to MVES/ national entities.	<ul style="list-style-type: none"> <li>Some promoters have gone on to work in Civil Defense in other municipalities, which can have an interesting multiplier effect</li> <li>The market still has its DRM plan and knows what they need to do in case of a disaster</li> <li>Some of the Neighborhood Platforms were disbanded, which left a gap in terms of providing a space to bring all stakeholders together, which is perhaps one of the most important point of the neighborhood approach</li> </ul>	
	Informative materials	Community, MVES, national entities	Leaflets, fairs, press, presentations, hand-over to MVES/ national entities		
	<b>Processes</b>				
	Training neighborhood platforms	MVES	Participation in training workshops	<ul style="list-style-type: none"> <li>A number of enterprises reported still using their DRM plans and being aware of what to do in an emergency</li> <li>Many mentioned that they had managed to improve their enterprises thanks to the business management course</li> <li>Enterprises that managed to improve have tended to leave the district, taking local capacities with them</li> </ul>	
	Training DRM promoters	MVES, national entities	Manual, participation in training workshops		
	Training enterprises and markets	MVES	Official presentation and handover of training program		
	Awareness raising in community	MVES	Communications plan discussed		
	Environmental Improvements	<b>Products</b>			
		Neighborhood emergency signs	Community, MVES	Participation, official approval, handover map of signs/report	<ul style="list-style-type: none"> <li>The majority of the neighborhood emergency signs are still in place, but are starting to show signs of wear and tear</li> <li>The emergency signs that the project put up in the Union Progreso market are still there and the market actively maintains them to ensure they do not deteriorate</li> </ul>
Institutional Arrangements	<b>Products</b>				
	Public investment projects	MVES	Inclusion of projects in MVES project bank	<ul style="list-style-type: none"> <li>The leaders presented a public investment project (PIP) to the municipality</li> <li>The PIP presented was unfortunately considered too small scale to be accepted by the municipality</li> </ul>	
	Roles and functions	MVES	Official presentation and approval		
	DRM guidelines	MVES	Approved by DRM Working Group		
Strategic plan for Civil Defense	MVES	Approved by Civil Defense Office			

	What	Transfer to Whom	How/ Resources	Findings
<b>Institutional Arrangements</b>	<b>Processes</b>			
	Strengthening DRM Working Group (WG) and its technical team and the Civil Defense (CD) Platform	MVES, commonwealth of municipalities Southern Lima	Participation in training plan and process	<ul style="list-style-type: none"> <li>The DRM WG and CD Platform have continued to meet. This was particularly the case around the El Niño Phenomenon</li> <li>The new DRM Office shows a certain understanding in the MVES of the relevance of DRM, and there is the possibility that it could be made into an Area</li> <li>Unfortunately, the DRM Working Group and CD Platform have not made any real progress with their activities and tend to just meet to comply with the law. The Mayor never attends. Once the CD Sub Manager left, much of the work carried out has left with him, reducing the probability of sustainability. In general, not enough was done to institutionalize the neighborhood approach in the MVES</li> <li>INDECI is greatly interested in the neighborhood approach and involving communities in DRM</li> <li>Many other NGOs and the national DRM system see ARRIBA as a good pilot project for working in the community and with local government, that can be improved and can help to orientate other initiatives</li> </ul>
	Strengthening the area of Civil Defense	MVES	Approval of strategic plan	
	MVES leading DRM in the commonwealth of municipalities	MVES	Official presentations of projects' products	
	Neighborhood approach	National entities	Advocacy for community based initiatives in the SINAGERD Law	
<b>Financial mechanisms</b>	<b>Products</b>			
	Credit program for enterprises	Not transferred		<ul style="list-style-type: none"> <li>Some enterprises stated that they have gone on to seek other credit programs, which has allowed them to expand their businesses using what they learned in the business management program</li> <li>The promoters understand the importance of a participatory budget for increasing investment in DRM and hope to work to include the DRM approach in projects presented</li> <li>The credit program finished when the project did and there was little done to ensure follow up schemes</li> </ul>
	Increased municipal budget for DRM	MVES	Training	
	<b>Processes</b>			
	Training in use of Peru's O68 national DRM budget.	MVES	Participation in training	Even thus the Planning and Budget Area, the project definitively helped to make them more aware of the importance of DRM and of directing municipal funds to things other than road and public works, the DRM does not bring a lot of money to the MVES and therefore it is not a priority
Training in fundraising for PIPs.	MVES	Participation in training	The training program finished also when the project did	

**Table 6. World Concern Development Organization: Project Transition and Post-Project Review**

	What	Transfer to Whom	How	Resources	Findings
Physical Works Maintenance	Evacuation shelters	Churches, schools and CDGRD-NO <sup>2</sup>	Written agreement	Five (temporary shelters rehabilitated: four in Port-de-Paix and one in Anse-à-Foleur	Shelters already existed as part of schools. However, initially, very little work was done to improve these. Although the available space for this purpose wasn't increased, modest improvements were made to washrooms (latrines). No written agreement existed between the schools and Civil Protection that they would be made available during an emergency
	Drainage Canal built in Démélus, Ti Port-de-Paix and Djerilon (Port-de-Paix, communities)	MTPTC/ Neighborhood committee	Verbal agreement	986 meters of drainage canal built in Port-de-Paix, including 153 meters in Djerilon and 833 meters along the axis Démélus-Ti Port-de-Paix	The physical structure appears to be in excellent shape. However much of the length of the canal is filled with soil and rubbish
	Système d'Adduction d'Eau Potable (SAEP) "Potable Water Supply System" rehabilitated at Anse-à-Foleur	DINEPA	Written agreement	Four water points rehabilitated and two washing stations built. Additional pipe given to municipality	The work performed in Anse-à-Foleur to cap the source spring was insufficient and DINEPA recently had another engineering firm redo the spring capping
	Gabions for Sainte-Anne river at Anse-à-Foleur	MTPTC	Verbal agreement	437 meters of gabions built. Additional gabion baskets given to the municipality/ community labor	The gabions were in place and appeared to be in good shape. However, the community was very unhappy as they repeated that 600 meters had been promised.

2 Coordination Départementale de Gestion des Risques et des Désastres dans le Nord-Ouest (Departmental Coordination of Risk Management and Disasters in the Department of the Northwest, Haiti).



	What	Transfer to Whom	How	Resources	Findings
Physical Works Maintenance	CLPC and neighborhood committees training	CLPC / CDGRD-NO	Written procedures fulfilling legal requirements	Technical assistance, management advice given to one CLPC and four neighborhood committees.	No knowledge of this component.
	Youth volunteers trained to raise awareness of early warning systems and disaster risk reduction	CCPC / CDGRD-NO	Verbal agreement	500 young volunteers trained. Establishment of an early warning system in five communities <sup>3</sup> : a) focal points b) a manual alarm (trigger) c) a siren crank by community (the community already had this?).	Training in DRR was mentioned in the FGDs
	Door-to-door hygiene promotion	CLPC/ DSNO	Verbal agreement	11,258 people in the five communities directly and indirectly trained on WASH	This was reported in some of the FGDs
	Safe construction training	MTPTC	Verbal agreement	249 local masons and builders trained on seismic and para-cyclonic building codes. Handbook on retrofitting and construction.	This training was one of the key long-lasting results and very appreciated by the communities
	Health technicians trained in Anse-à-Foleur in partnership with ACF	DSNO <sup>4</sup>	Verbal agreement	21 health technicians trained in concepts related to cholera: modes of transmission, prevention and treatment modalities	No comments reported
	Promoted disability services	CLPC	Verbal agreement and sensitization	Temporary shelter rehabilitated in Anse-à-Foleur to accommodate the disabled, should they be displaced or evacuated	No comments reported

3 Except Nan Palan and Djerilon that share a system.

4 Direction Sanitaire du Nord-Ouest (health department of the Department of Northwest).

Save The Children  
Villa El Salvador Peru  
Community DRM promoters  
Photo: J. P. Sarmiento



	What	Transfer to Whom	How	Resources	Findings
Environmental Improvements	Reforestation	Farmers' organizations	Written procedures and training	1,000 seedlings distributed to three farmers' organizations	Most of the trees have died. There is no information about the causes.
	Canal cleanout	Municipality / MTPTC	Verbal agreement	Two drainage canals built in Port-de-Paix	Neither the Municipality nor MTPTC completed this. Community volunteers cleaned out a smaller canal in Jerilon in December 2015. But by 21 December 2015 it was full due to heavy rains.
	Cleanout of coastal areas	Municipality / Neighborhood committee	Verbal agreement	Hand tools distributed	No evidence of any trash removal from the canal to the ocean
Institutional Arrangements	Garbage disposal	Joint venture neighborhood association/ municipality	Ongoing discussion	WCDO provided 20 plastic mobile bins and five large metal fixed bins. Municipality to provide collection trucks	The metal bins were stolen. Several of the plastic barrels are still in place.
	Land fill site selection	Municipality	Ongoing discussion		An assessment of the area west of Port-de-Paix found no landfill location for rubbish
	Zoning regulations	MTPTC/ municipality	Advocacy for regulation		



## Selected Approaches and Methodologies Observed in the PPR

Several approaches used during the post-project review deserve special mention, including:

- Save the Children’s products and processes schematic (see Table 5 in Chapter 2);
- the PCI sustainability scale;
- the CRS approach to measure the activities of local disaster management committees and the level of community participation after the project closeout; and
- the WDCO social media photo contest.

### PCI – Project Sustainability Scale

PCI developed a project sustainability scale to measure the level of adoption and participation observed in its Neighborhood Approach project, both at the community level and within participating organizations. Three levels were established as follows:

**Table 7. Project Concern International – Project Sustainability Criteria**

Level of adoption and participation	Criteria
High	The strategy implemented during the project continues to serve well for most groups or members/partners, and the results are maintained.
Medium	The strategy implemented during the project is still functioning, but to a lesser extent.
Low	There are no concrete results nor is there a person responsible for following up the strategy.

The level of adoption is analyzed from three different perspectives:

- 1) at the community level (beneficiaries);
- 2) at the municipality level (partners and local counterparts);
- 3) at other levels (national organizations).



**Table 8. Project Concern International – Project Sustainability**

Strategy	Community / local groups (ME, COLRED, etc.)	Municipality/ Mancomunidad	Other institutions
Drainage systems at housing and community levels	High	Low	Low
Sewage treatment plant	Medium	Low	Low
Housing improvements (structural reinforcement)	High	Low	Low
Risk reduction (retaining walls)	High	Low	Low
Zoning of vulnerable areas for reforestation and livelihood interventions	Low	Medium	Medium
Options to address land tenure issues	Low	Low	N/A
Improved safe access routes to the community	High	Low	N/A
Community training for mapping, data analysis, and prioritization of activities	High	High	Medium
Enumeration <sup>5</sup> plan, community hazard mapping, and emergency response planning	Medium	Medium	Medium
Self-savings groups	High	Low	Medium
Livelihood training for communities	Medium	Low	Medium
Training for COCODEs and COLREDEs	Medium	Medium	N/A
Communities trained in emergency response	Medium	Medium	N/A
Community labor contribution	High	Medium	N/A
Financial fairs	Low	Low	Low
Alliance with MICOPE	Medium	Low	Medium
Financial support from FOPAVI	Low	Low	Low

N/A = Not applicable, not available, or no answer.

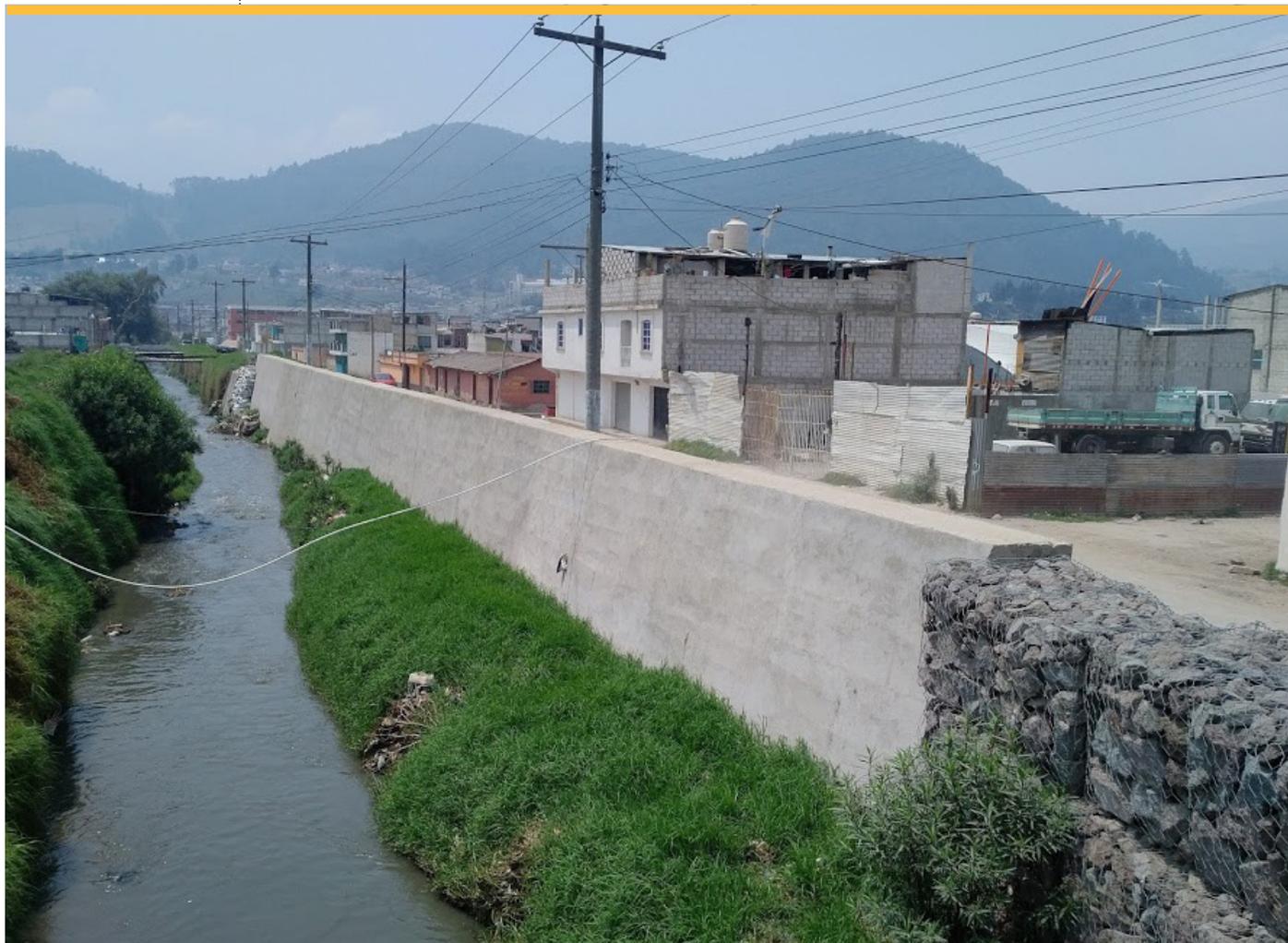
5 An Enumeration Plan is a type of census conducted in specific geographic units. Census enumerations collect a variety of data, including demographic characteristics (sex, age, marital status, etc.), health, access to services, employment, income, access to housing, etc. Enumerations are spatially referenced and linked to surveying and mapping.



## Catholic Relief Services - COLREDs and Community Participation

CRS developed an approach to measure the activities of the Local Coordination Committees for Disaster Reduction (COLRED) and the level of community participation after the project closeout. Table 9 illustrates some general criteria applicable to all COLREDs, based on the activities that continue to carry out after the project ended in December 2014 to the date of this post-project review.

CRS Quetzaltenango-  
Guatemala  
Flood control  
Photo: J.P. Sarmiento



**Table 9. Catholic Relief Services - COLREDs and Community Participation<sup>6</sup>**

Criteria	Neighborhoods					Pacajá Alto (Zone 10)
	La Independencia (Zone 2)	Pacajá Bajo (Zone 10)	Los Altos (Zone 5)	El Cenizal (Zone 4)	La Ciénaga <sup>7</sup> (Zone 2)	
Visible leadership (they are all led by men).	✓	✓	✓	✓	✓	✓
Same leadership in both structures (COLRED -COCODE)	✓	✓	✓	✓	----	X
Youth participation in COLREDs	X	X	✓	X	----	X
Regularly-held meetings in 2015	X	✓	✓	✓	----	X
Regularly-held meetings in 2016	X	✓	✓	✓	----	X
Communication with one or several of the other COLREDs	✓	✓	✓	✓	----	X
The COLRED is activated during emergencies	✓	✓	✓	✓	----	X
Participation of additional residents	X	✓	✓	✓	----	X
Coordinated action with the local government to obtain support	✓	✓	✓	✓	----	X
Coordinated action with other organizations to obtain support	X	✓	✓	✓	----	X
COLREDs work with the ECORED	X	✓	X	X	----	X
Innovation with new and different strategies learned with the project	X	✓	✓	✓	----	X

✓ Action reported      X No action reported      ---- No information available

<sup>6</sup> The table presents only some of the aspects found through group interviews.

<sup>7</sup> The post-project review team conducted one individual interview with the president of the COLRED in La Ciénaga. The group interview scheduled in that neighborhood was cancelled; therefore, there is no information to report.



## WCDO – Social Media Photo Contest

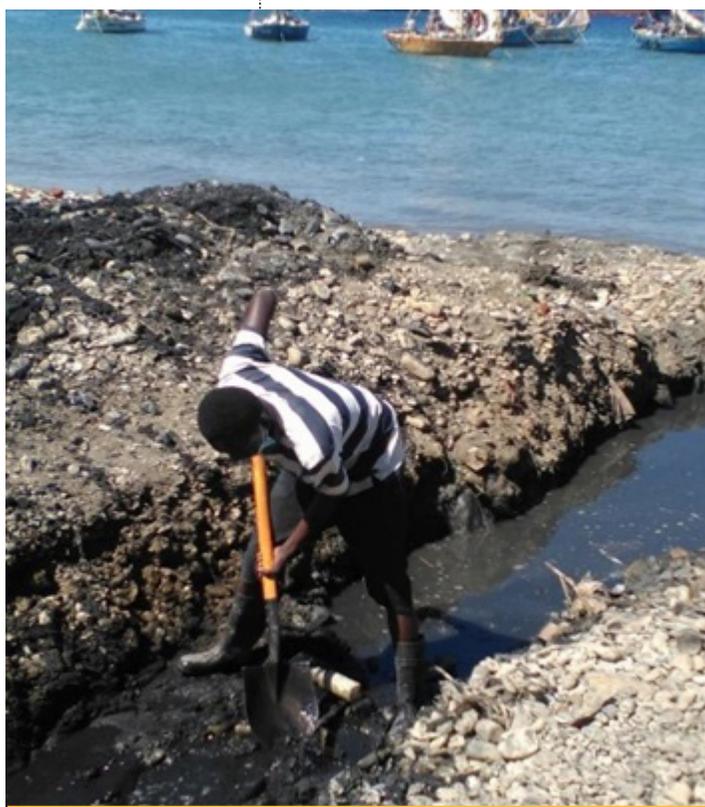


Photo contest drain cleaning



Canal construction  
Photo: WCDO

Shortly after the PPR focus groups were conducted, a photo contest was held as a participatory tool. The intent of this activity was threefold: first, to allow residents to show their own interpretation of DRR activities; second, to encourage continued engagement with young people; and third, to triangulate the data from the focus groups, using photos.

The contest was launched and ran for 30 days; it was extended for an additional 30 days. It was promoted on social media sites such as Facebook, Twitter and Instagram, using the advertisement below, which was also printed as a poster. In addition, a radio spot ran on local stations in Haiti's Northwest Department.

Community response to the photo contest fell short of expectations. Few pictures were received. Nevertheless, three of the photos are included here and were considered as winning entries. They do reveal that the community continues to take on the maintenance of the canal, despite the lack of collaboration from municipal authorities.

While difficult to corroborate, the reasons for the low rate of participation in the photo contest may be due to a) young people's lack of access to social media sites; b) little opportunity to take photos; c) DRR interventions were not obvious to them; or d) they did not receive ample notice about the contest. This type of initiative has great potential, requires a testing prior to a launch.



## CHAPTER 3.

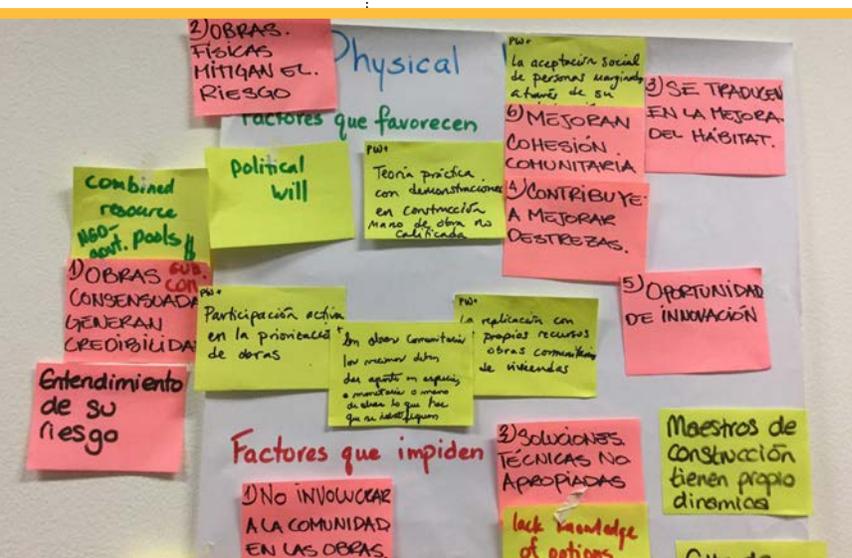
# Sustainability Factors Across Neighborhood Approach Projects

During the PPR meeting held in Lima in June 2016, the attendees worked together to identify features, associated with project sustainability, of the Neighborhood Approach projects and the findings of the PPRs. To identify these, five sessions were organized around the themes listed below. Participants were encouraged to transcend individual experiences in order to identify enabling factors and factors that impede success across Neighborhood Approach projects. The outcomes of these sessions would be used to inform future NA initiatives. The five themes were:

Post-project review workshop  
Photo: P.Bittner

- Social mobilization
- Institutional arrangements
- Physical works
- Environmental improvements
- Financial mechanisms

The meeting participants worked in small groups to identify a wide variety of factors related to each theme, recording their observations on 'sticky notes.' Subsequently, each group shared the inputs, placing the notes on a wall chart corresponding to each theme. Working with a facilitator, the entire group revisited and clarified





the inputs, grouping and organizing them to produce a solid list of factors that contribute to as well as impede success. The results of the five sessions are presented below.

## Social Mobilization

### Enabling factors

- Make project beneficiaries aware (socialization) of all aspects of the project.
- Ensure that the strategy is inclusive and participatory.
- A situation in need of a solution favors the success of the project.
- Define shared interests among neighborhoods.
- Develop linkages between the neighborhood and the municipality.
- In the design of the project, offer what you can deliver on.
- When conflicts arise, bring all stakeholders together quickly to solve the problem.
- Take advantage of existing civil society organizations.
- Strengthen community leadership and/or identify existing leadership in organizations that can be incorporated into the project.
- Organize campaigns that improve the environment.
- Encourage participation of women in all processes.
- Actively involve youth groups and give them meaningful work so they can learn by doing.
- Train promoters and encourage institutions to recognize their role.
- Create identifying elements (vests, caps, promotional logos, etc.)
- Leave tangible physical evidence of the project.
- Share project results and be accountable – demonstrate transparency. This will enhance credibility of the project and gain the confidence of the community.
- Acknowledge the neighborhoods' history and experience of community work.

### Factors that impede success

- Existing cultural and economic barriers in the community.
- Exclusion of young people in community development projects.
- Low levels of education and empowerment.



- Scarce availability of free time of community members to participate in project implementation.
- Competing activities/priorities (e.g., aid distribution) where the project is taking place.
- Limited presence of state actors.
- Insufficient links with the municipality.
- Partisan political interests.
- 'Cacique'-style leadership.
- Lack of cohesion among governmental actors.
- Lack of confidence on the part of beneficiaries, due to previous experience with organizations that offered but did not deliver.
- Inter-neighborhood conflicts.

## Institutional Arrangements

### Enabling factors

- Prior relationships among stakeholders that engender trust.
- A sound knowledge of the area (community and municipality) and the sector.
- Periodic reviews of progress in fulfilling shared agenda.
- Involvement and motivation of authorities in the project – and shared credit.
- Committed leadership; participation of leading agencies; appropriate municipal structures; and the political will to participate in the project.
- National laws/policies, such as Peru's national Disaster Risk Management Policy, under SINAGERD.
- Other national programs, such as Peru's results-focused budget program 068 for vulnerability reduction and disaster and emergency response.
- Longevity of institutional leaders.

### Factors that impede success

- Authorities who are unaware of their national or local DRR policies; their role in the process; and a lack of consequences if duties are not carried out.



CRS Quetzaltenango-  
Guatemala  
Focus group  
Photo: J.P. Sarmiento

- Changes in government; political appointees; or rotation of staff.
- Competing priorities and/or partisan interests.
- Corruption/bribery.
- Outdated norms and legislation; lack of protocols to operationalize existing laws.
- Lack of an institutional culture of DRR.
- DRR does not get the required attention from politicians because it is less visible and attractive than other types of interventions.

## Environmental Improvements

### Enabling factors

- Identify community champions.
- Understand your risk and link this awareness to potential negative consequences.
- Recognize the results of previous actions taken in your environment (even if it was believed to have been the role of the state).



- Raise awareness and foster community participation on how to care for the environment (youth and their parents).
- A clean and healthy environment raises self-esteem.
- Use technological options compatible with the environment.
- Comply with current environmental norms.
- Work with partners who have specialized knowledge of the topic.

## Factors that impede success

- The lack of a national law on land use planning.
- A lack of compliance with urban zoning regulations (outdated municipal agreements and/or a lack of compliance with them).
- A lack of environmental standards in many countries.
- Inappropriate solutions that damage the environment.
- A lack of government funding for public works.
- Weak legal enforcement.
- Failure to include all stakeholders in project design and execution (i.e., those that live down-river from the project site).
- A lack of awareness of how the community contributes to environmental problems (i.e., disposal of waste) and commitment to change habits.
- Lack of appreciation of the importance of safe community spaces.

## Physical Works

### Enabling factors

- An understanding of the risk the neighborhood faces and potential physical works that can mitigate this risk.
- Acceptance of the work to be performed by marginalized members of the community will lead to social inclusion.
- Work projects that are mutually agreed upon and that have included active participation in setting priorities generate credibility.



**USAID**  
FROM THE AMERICAN PEOPLE



FLORIDA  
INTERNATIONAL  
UNIVERSITY

- The neighborhood contributes to the physical works, whether through in-kind activities, monetary contributions or as members of the workforce.
- Techniques learned and knowledge gained are applied when replicating physical community housing projects, with community resources.
- Pooling of resources between NGO-government.
- Political will to initiate/complete works.
- Practical theory combined with demonstrations of appropriate construction techniques will improve quality of the work performed and the knowledge and skills of the workforce.
- Physical works can offer opportunities for innovation, which in turn, improve the environment.

## Factors that impede success

- Not involving the community in the physical works.
- Lack of legal certainty as to ownership of property/sites to be used.
- Poor leadership on the part of the municipality over public spaces.
- Inappropriate technical solutions.
- Poor quality control of the work performed.
- Poor socialization of the work to be conducted; expectations of 'handouts.'
- Lack of knowledge of options/alternate solutions.
- Construction workers have their own dynamics; they work at their own pace.
- Lack of knowledge to prompt or generate a demand for safe construction (supply/demand).
- Lack of appreciation on the part of some members of the community of the value of the works, leading to, at times, theft of metal or other materials.
- Community maintenance of public works is concentrated in the hands of just a few leaders.
- A general lack of knowledge (and funds) for necessary and proper maintenance, particularly regarding the best time to perform maintenance (i.e., before the rainy season). This can be addressed in the planning stage.



## Financial Mechanisms

### Enabling factors

- Public handover of vouchers for approved uses, including the public signing of agreements. In other words, using “name and shame” as a way to get people to pay back – in a particular case, achieving up to 98%.
- Incentivize self-saving groups, e.g. women’s empowerment groups.
- Normative framework to protect disaster risk reduction management funds from being diverted toward other purposes.
- Financial education through self-saving groups, and with support from the financial and banking sectors.
- Utilize financial models from the social, housing sectors (for improvements, new construction, etc.).
- Investigate and adopt economic methodologies and metrics.
- Evaluate bids from variety of suppliers to ensure competitive pricing.

### Factors that impede success

- NGOs are both lender and donor, which reduces repayment rate.
- The paradigm or belief that the poor do not pay.
- Poor relationships between local actors and the municipality.
- Scarce availability of financial information.
- The municipality does not regularize property ownership; there is no clarity on land tenure.
- Unfair or usury lending practices for housing.
- Poor understanding of credit and banking systems
- Little understanding, on the part of the community, of the management of public funds for disaster risk reduction.
- Few existing associations of business owners.
- Offer vouchers in differing amounts, depending on the needs/size of the family.
- Market prices for materials vary from month to month.
- Extend duration of projects to three years to improve sustainability.



## CHAPTER 4.

# Final Balance

Based on the results observed during the Post-Project Review, the discussions at the workshop in Lima, and particularly the final PPR reports of the agencies involved in the Neighborhood Approach projects, all implementing agencies agreed that the time, effort and resources invested in their projects was well worth it.

The final balance of the Neighborhood Approach can be described at different levels: the NA project itself; the implementing partner NGO; the NA initiative in general; and finally in the field of urban DRR. In addition, the implementers provided feedback on the PPR as a tool.

## Project Level

The exercise carried out during the PPR workshop allowed us to identify both enabling factors as well as those that impede success. The former help to identify the critical factors that must be considered and strengthened. The latter allow us to anticipate circumstances in future NA projects that should be avoided, modified or improved upon.

## NGO Perspective

The NA Project provided a unique opportunity to explore the intersection between the fields of development and disaster risk reduction; between the practices employed in rural areas and those that are typical of urban interventions; among community-based projects with initiatives aimed at institutional strengthening; and finally to achieve a balance between meeting basic needs at individual, family and community levels within a given territory.



**USAID**  
FROM THE AMERICAN PEOPLE

**FIU** | FLORIDA  
INTERNATIONAL  
UNIVERSITY

Among the greatest challenges for implementers are the need to build alliances as part of ongoing negotiations to achieve sustainable goals and to empower communities to become fully responsible for the initiatives that affect their lives.

## Neighborhood Approach Initiative

The NA acknowledges the existence of an important segment of the urban population that lives in informal settlements. Far from being homogeneous, it is made up of neighborhoods that are defined by much more than geographical jurisdictions. These neighborhoods are a living fabric of social, economic, and physical features, which affords residents an identity and a foothold that provides security, safety and familiarity in an often-chaotic urban world, a common plight in informal settlements.

The neighborhood approach offers an option to implement DRR and contribute to the development of marginalized communities, while protecting the neighborhood and supporting its cohesion and self-determination.

PCI Mixco-Guatemala  
Women project afteraction  
meeting  
Photo: J. P. Sarmiento





It is important to recognize that the NA requires a minimum of two years of sustained effort and successful replication is conditioned not only on technical and programmatic aspects, but also on a deep knowledge of the territory and its actors, as well as a permanent interaction with the existing social, environmental, cultural, economic and political dynamics.

## Urban DRR

The Neighborhood Approach shifts the narrow focus of DRR away from just shelters within a limited physical area to the broader spatial context of a neighborhood, acknowledging the complex interconnected reality of risk in an urban environment. It encourages a long-term vision and a focus on development gaps, welfare and the safety of highly vulnerable communities.

## Post Project Review

The participants at the Post-Project Review meeting proposed the following recommendations:

- As to the scope, cost and time considerations regarding the PPR:
  - » The scope and proposed terms of reference (TOR) proved to be sufficiently clear to guide the PPR and flexible enough to adapt it to different realities.
  - » The economic resources allocated proved to be sufficient to carry out the review.
  - » The time initially allotted to conduct the PPR (three months) had to be extended to six months. Six months is considered an appropriate amount of time to carry out the PPR, however it is recommended that, in the future, extended time should be provided between the PPR workshop and the actual closeout of the PPR by implementing agencies.
- If a decision is taken to systematically advance with a PPR in future NA projects, it would be advisable to mention this fact at the outset of the NA project.



SaveTheChildren Villa  
El Salvador  
Focus group with Peru Civil  
Protection Promoters  
Photo J.P. Sarmiento

- The PPR should be promoted as an important tool for monitoring, evaluation, accountability, and learning.
- Given the difficulty of financing PPR initiatives (primarily because NA projects have already closed at this point), different mechanisms should be sought, such as through M&E OFDA, Washington, D.C.; OFDA/LAC; or, as was the case with this PPR experience, through partners such as FIU.
- Often, external evaluation reports end up on a bookshelf or in a desk drawer. To help avoid this unfortunate reality, it is important that the PPR experience be accompanied by an open discussion and socialization of the results, as was the case during the PPR meeting in Lima in June 2016. Convening the implementing agencies to present their projects allows a truly collective learning experience.



# Annex 1. Agenda

Florida International University - Extreme Events Institute  
Disaster Risk Reduction in the Americas – Second Phase: Building Resilience  
United States Agency for International Development  
Office of U.S. Foreign Disaster Assistance

USAID/OFDA LAC Regional APS Urban Disaster Risk Reduction (DRR) Projects:  
Neighborhood Approach - Post-project review

**Purpose of the Meeting:** To discuss the findings of the participatory Post-Project Review, conducted one year after completion of the four “Urban DRR Projects: Neighborhood Approach” in Guatemala, Haiti, and Peru in 2012. These projects were awarded by USAID

## Day 1 – Monday, June 20, 2016

- 08:30-09:00 Welcome and Introductions
- 09:00-09:30 Post-Project Review Approach
- 09:30-10:15 **Partners Presentation 1**
- 10:15-10:45 Break
- 10:45-11:30 **Partners Presentation 2**
- 11:30-12:15 **Partners Presentation 3**
- 12:15-14:00 Lunch Break
- 14:00-14:45 **Partners Presentation 4**
- 14:45-15:30 Post-Project Review -  
Administrative & Methodological considerations
- 15:30-16:00 Break
- 16:00-17:00 Post-Project Review -  
Administrative & Methodological considerations (Cont.)

## Day 2 – Tuesday, June 21, 2016

- 8:30-10:15 **Panel 1: Sustainability of Project Gains**  
(Social mobilization and institutional arrangements)
- 10:15-10:45 Break



World Concern-Haiti  
Ti Port de Paix canal  
Photo: WCDO



- 10:45-12:30 **Panel 2: Sustainability of Project Gains**  
(Physical works; environmental improvements)
- 12:30-14:00 Lunch Break
- 14:00-15:00 **Panel 3: Sustainability of Project Gains** (Financial mechanisms)
- 15:00-15:30 Break
- 15:30-17:00 **Panel 4: Final balance** (Based on the results observed during post-project review, and the previous panels discussions, was it worth the time, effort and resources invested in the project? What was good and what should be avoided/modified improved in a future similar project?)
- 17:00-17:30 Conclusions and Recommendations



# Annex 2.

## List of Participants

### **Guatemala – Catholic Relief Services**

Plummer, Courtney, Deputy Head of Programs

[courtney.plummer@crs.org](mailto:courtney.plummer@crs.org)

López, Lucrecia, Project Coordinator, CRS Guatemala

[lucrecia.lopez@crs.org](mailto:lucrecia.lopez@crs.org)

Rodríguez, Ana Cecilia (CRS, Peru)

[anacecilia.rodriguez@crs.org](mailto:anacecilia.rodriguez@crs.org)

### **Guatemala – Project Concern International**

Murguia, José, Director, Proyecto Barrio Mío

[jmurguia@pciguate.org](mailto:jmurguia@pciguate.org)

Paiz, Ernesto, PCI – Guatemala

[epaiz@pciguate.org](mailto:epaiz@pciguate.org)

### **Haiti – World Concern Development Organization**

Sheach, Chris, Deputy Director of Disaster Response

[chriss@worldconcern.org](mailto:chriss@worldconcern.org)

### **Peru – Save the Children**

Smith, Charlie, Coordinator, Monitoring and Evaluation

[charlotte.smith@savethechildren.org](mailto:charlotte.smith@savethechildren.org)

Villalobos, Magaby, Director, SC Peru-Ecuador

[maria.villalobos@savethechildren.org](mailto:maria.villalobos@savethechildren.org)

Rico, Victoria, Area Manager, Peru-Ecuador Program Quality

[victoria.rico@savethechildren.org](mailto:victoria.rico@savethechildren.org)

### **USAID**

Gelman, Phil LAC Regional Adviser (SJO)

[pgelman@ofda.gov](mailto:pgelman@ofda.gov)

McNiece, Sarah, LAC Regional Adviser (SJO)

[smcniece@ofda.gov](mailto:smcniece@ofda.gov)

Salinas, Raquel, Disaster Operations Specialist (WDC)

[ysalinas@usaid.gov](mailto:ysalinas@usaid.gov)

Burkhart, Brett, Evaluation & Reporting Coordinator (WDC)

[bburkhart@usaid.gov](mailto:bburkhart@usaid.gov)

Andresen, Caroline, Disaster Operations Specialist LAC (WDC)

[candresen@ofda.gov](mailto:candresen@ofda.gov)

Argenal, Eddie, Shelter and Settlements (WDC)

[eargenalsolorzano@usaid.gov](mailto:eargenalsolorzano@usaid.gov)

Koutnik, Auriana, LAC Information Officer (SJO)

[akoutnik@ofda.gov](mailto:akoutnik@ofda.gov)

### **Florida International University, Extreme Events Institute**

Sarmiento, Juan Pablo, DRR Program Director

[jsarmien@fiu.edu](mailto:jsarmien@fiu.edu)

Bittner, Patricia, Consultant

[patricia.bittner@gmail.com](mailto:patricia.bittner@gmail.com)



## Annex 3. List of Acronyms and Abbreviations

APS	Annual Program Statement
ARRIBA	Save the Children Project: Support to Risk Reduction in Neighborhoods in Lima, Peru. ( <i>Apoyo a la Reducción de Riesgos en Barrios de Lima</i> ).
CDGRD	Departmental committees on risk and disaster management (
CDGRD-NO	In this case, for Haiti's North-west Department (NO)
CLPC	Comité Local de Protection Civile (Local Civil Protection Committee – Haiti)
COCODE	Community Development Committees
CODEDE	Departmental Development Councils
COLRED	Local Disaster Reduction Committee
CONRED	National System for the Coordination of Disaster Reduction (Guatemala)
CRS	Catholic Relief Services
DINEPA	Direction Nationale de l'Eau Potable et de l'Assainissement (National Directorate for Drinking Water and Sanitation – Haiti)
DPC	Directorate of Civil Protection
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
ECORED	Equipos Comunitarios de Respuesta a Desastres (Community Disaster Response Teams – Guatemala)
FIU	Florida International University
FY	Fiscal Year
MICOOPE	Federación Nacional de Cooperativos Asociados (National Federation of Associated Cooperatives – Guatemala)
MPTPC	Ministère des Travaux Publics, Transports et Communications (Ministry of Public Works, Transport and Communications – Haiti)
NA	Neighborhood Approach
PCI	Project Concern International



**USAID**  
FROM THE AMERICAN PEOPLE



FLORIDA  
INTERNATIONAL  
UNIVERSITY

PPR	Pot-Project Review
PRONOEI	Programa no escolarizado de Educación Inicial (Early Childhood Education Program – Peru)
PTAR	Planta de Tratamiento de Aguas Residuales (Wastewater Treatment Plant)
SC	Save the Children
SINAGERD	Secretaria de Gestion del Riesgo de Desastres (Secretariat for Disaster Risk Management – Peru)
UGEL	Unidad de Gestión Educativo Local) Ministry of Education’s Office for the Management of Local-Level Education – Peru)
USAID/OFDA	United States Agency for International Development, Office of Foreign Disaster Assistance
VES	Municipality of Villa El Salvador, Peru
WASH	Water, Sanitation and Hygiene
WCDO	World Concern Development Organization
WE	Women’s Empowerment



**USAID**  
FROM THE AMERICAN PEOPLE



FLORIDA  
INTERNATIONAL  
UNIVERSITY