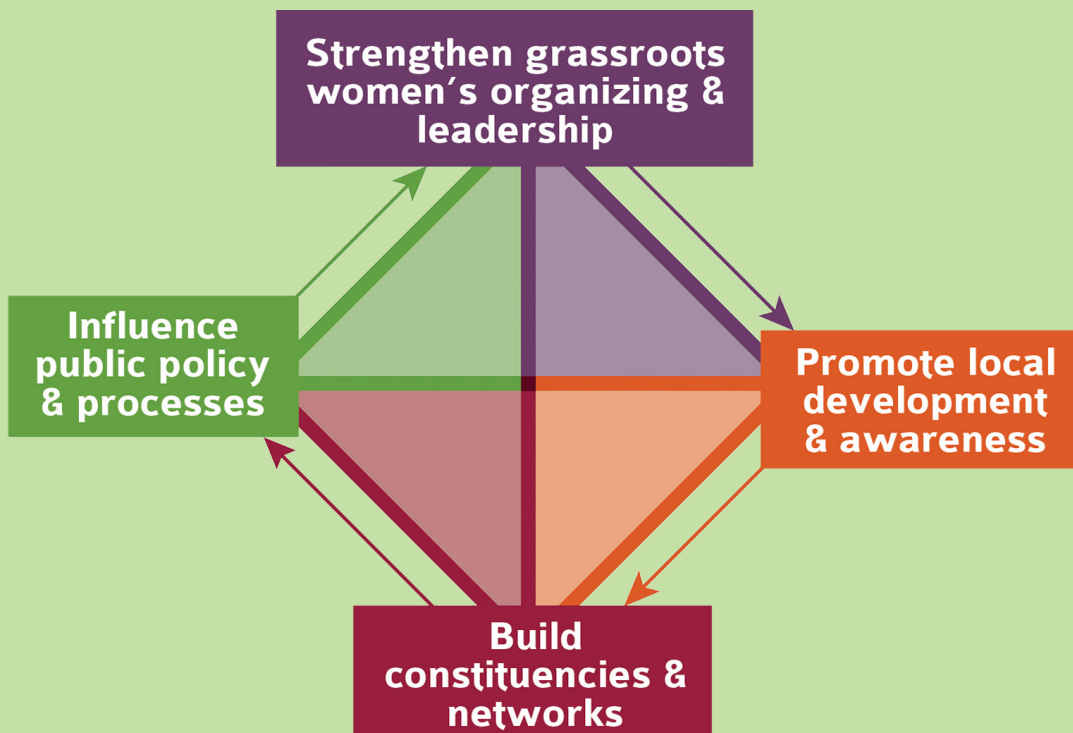


# The Global Community Resilience Fund

Operational Framework and Guidelines



HUAIROU COMMISSION  
*Women, Homes & Community*

# The Global Community Resilience Fund

Operational Framework and Guidelines



Kenya

# The Global Community Resilience Fund

Operational Framework and Guidelines



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## FOREWORD

Among twenty-one countries in Asia, Africa, and Latin America and the Caribbean, the Community Resilience Fund (CRF) has helped mobilize grassroots women’s organizations living in disaster-prone, high-risk conditions. The CRF is a global mechanism for channeling resources to diverse communities in order to operationalize resilience practices and reduce their vulnerability to hazards and calamities. The “Resilience Diamond” was developed out of this work. It is a holistic, bottom-up strategy connecting four interlinked elements perceived as strategic objectives that (a) strengthen grassroots women’s groups’ organizing and leadership, and (b) deepen women’s understanding of the risks that may threaten their community in order to mobilize them to address these risks through community-led action. The *Global Community Resilience Fund: Operational Framework & Guidelines* presents the core principles of the CRF and their role in the Community Resilience Campaign spearheaded by Huairou Commission and one of its founding members, GROOTS International. This guide describes the governing framework of the CRF and how it is operationalized and managed in the growing number of communities with access to it—communities with a wide diversity of contexts and capacities.

For many years, grassroots women have been viewed as a “vulnerable group” in the face of disasters. They have been seen as victims rather than actors who can mend and improve their communities. As grassroots women-led resilience practices spread globally, the need for the CRF grows proportionally. With its goal of empowering grassroots women to emerge as leaders and champions of resilience, CRF is an increasingly important scheme for strengthening grassroots women’s capabilities and work. We encourage policy-makers, development organizations, and civil society actors to support this grassroots-driven resilience scheme, and to assist these efforts to meet the needs of grassroots women in their respective communities.



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## ACKNOWLEDGEMENTS

This review was done to assess how grassroots organizations and partners participating in the Resilience Campaign have been operating the Community Resilience Fund within the piloting phase. The assessment aimed to harmonize a set of criteria to the operation of the CRF and to formalize the operation process of the CRF. This review was done in collaboration with nine grassroots women-led groups (GROOTS Kenya, DAMPA, Lumanti Support Group for Shelter, Fundación Guatemala, GROOTS Perú, Unión de Cooperativas de Mujeres Productoras Las Brumas, WAGUCHA, and Gatundu Mwirutiri Women Initiative) from eight different countries who have piloted the CRF since its inception in 2009.

With this, the Huairou Commission would like to thank the following women leaders in the communities where the fund has been applied and who have participated in the survey and review of the CRF: Esther Mwaura-Muiru and Fridah Githuku (GROOTS Kenya); Emma A. Menjares and Jhocas Castillo (DAMPA); Lajana Manandhar and Sobina Lama (Limanti Support Group for Shelter); Mara Rodriguez and Maité Rodriguez (Fundación Guatemala); Benedicta Valeriano Almirante and Carmen Sánchez Rojas (GROOTS Perú); Marling Haydee Rodriguez and Helen Toruno (Unión de Cooperativas de Mujeres Productoras Las Brumas); Ana Lucy Bengochea, Tatiana Solis, Evangelista Garcia and Anna Marin (WAGUCHA); Hellen Wairimu Kamiri and Jane Nyokabi Gitau (Gatundu Mwirutiri Women Initiative).

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## ACRONYMS

<b>CAA</b>	Climate Change Adaptation
<b>CRF</b>	Community Resilience Fund
<b>DAMPA</b>	Damayan ng Maralitang Pilipinong Api
<b>DRR</b>	Disaster Risk Reduction
<b>FAC</b>	Fund Administration Committee
<b>FMC</b>	Fund Management Committee
<b>FSC</b>	Fund Steering Committee
<b>GCRF</b>	Global Community Resilience Fund
<b>GROOTS International</b>	Grassroots Organizations Operating Together in Sisterhood
<b>HC</b>	Huirou Commission
<b>LAC</b>	Latin America and the Caribbean
<b>M&amp;E</b>	monitoring and evaluation
<b>MoU</b>	memorandum of understanding
<b>NGO</b>	non-government organization
<b>SWID</b>	Slum Women's Initiative for Development

# 1. INTRODUCTION

The Huairou Commission’s (HC) Community Resilience Fund (CRF) is a field-tested mechanism for channeling resources to organized groups of women in poor, hazard-prone settlements. It enables women to mobilize collaborative resilience practices that reduce community vulnerability to natural hazards and climate change.

The CRF works with grassroots women’s organizations, women farmers, producer cooperatives, savings and credit groups, and informal settlement associations—its partners in 21 countries. These organizations have used CRF funds to enable grassroots women to take public leadership in identifying and addressing risks, to collaborate with local governments to leverage resources, and to sustain and scale up grassroots-led resilience-building efforts.

## The CRF Operates in 21 Countries

### Asia

- India
- Bangladesh
- Nepal
- Indonesia
- Vietnam
- The Philippines

### Africa

- Ghana
- Kenya
- Uganda
- Tanzania
- Zambia
- Zimbabwe
- Madagascar

### Latin America and the Caribbean

- Honduras
- Guatemala
- Nicaragua
- Peru
- Venezuela
- Brazil
- Ecuador
- Jamaica

## 1.1 THE GLOBAL COMMUNITY RESILIENCE FUND FRAMEWORK AND GUIDELINES

This document describes the components of the Huairou Commission’s Resilience Campaign based on the CRF learnings of its partner network GROOTS International, drawn from:

- a. Field visits to organizations and grassroots women’s groups in three countries in Asia that are implementing and benefiting from the CRF
- b. Survey results generated by lead organizations operating the CRF in Latin America
- c. A summary of findings and insights shared and debated at a regional workshop with the CRF implementing organisations in Asia
- d. The Global Resilience Planning Workshop 2014, where LAC, African, and Asian organisations and leaders affirmed a shared vision of the CRF, its framework & guidelines

Building on the experiences of the Community Resilience Fund, the Huairou Commission and its member network GROOTS International have evolved a framework, known as the Resilience Diamond, which explains the operating principles and components of the strategy. The Resilience Diamond has four key elements that work in tandem to strengthen women's leadership and networks to build community resilience. The elements are: (a) organizing collectives and leadership building of grassroots women, (b) raising awareness and promoting local DRR and CCA initiatives, (c) network building, and (d) leveraging partnerships to expand and sustain grassroots-driven resilience practices.

These four elements are interconnected and form the empowerment-oriented community resilience framework at the heart of this operational framework and guidelines. The framework and guidelines in this document build on grassroots experiences. They aim to formalize the CRF by setting standards for CRF operations, while preserving the flexibility of the CRF mechanism in response to the local context and the varying capacity levels of member organizations.

The operational framework and guidelines are a basis for training new organisations to implement the CRF. With existing organisations, they are a basis for consolidating CRF operations and enhancing the visibility of CRF as a grassroots women-led funding mechanism with a view to expanding the CRF by getting matching funds and leveraging resources from external partners, donor agencies, governments, the private sector, and other stakeholders.

## **1.2 WHY DO WE NEED CRF?**

Top down policies and programs usually identify grassroots women as a "vulnerable group," thereby focusing on them primarily as victims and beneficiaries rather than as active agents of community resilience. This puts community-based organizations at a disadvantage when trying to access resources to address local resilience building priorities.

Funds earmarked for disaster resilience are usually pre-allocated for specific projects and sectors by governments at national or provincial levels. Even with good policies and programs in place at national or provincial level, funds frequently do not reach local communities living in poor, disaster-prone areas. Local communities have no voice in deciding where these funds would be most effectively used.

Wherever resources have reached local communities for resilience building, activities are usually restricted to risk mapping and planning, but do not provide for implementation of resilience plans.

The CRF was designed in response to these challenges experienced by the grassroots women's groups promoting resilient development in their communities.

### **1.3 GOAL AND OBJECTIVES OF CRF**

The goal of the CRF is to empower grassroots women's organizations to emerge as leaders, change agents, and champions of resilience who help their communities withstand the adverse impacts of natural hazards and climate change. This goal is reached by determining risks and implementing community-led plans for building resilience with the help of other stakeholders such as government officials, local authorities, civil society partners, donors, etc.

At the global level, the Huairou Commission and GROOTS International have raised funds to pilot a Global Community Resilience Fund to channel resources to member organizations, enabling them to advance localized, grassroots women-led resilience strategies.

This Global Community Resilience Fund (GCRF) seeks to:

- a. Demonstrate a funding mechanism that can promote a decentralised, community-driven approach to Disaster Risk Reduction and Climate Change Adaptation
- b. Develop the capacity of local communities to identify their strengths and vulnerabilities and how they can manage these to reduce associated risks
- c. Improve understanding of community resources and resilience initiatives
- d. Generate lessons and resources, and form partnerships to ensure that community-led disaster resilience priorities are funded and implemented

### **1.4 CRF AS A MECHANISM FOR GRASSROOTS-DRIVEN RESILIENCE**

Insights from the first five-years of operations indicate that the CRF functions in three ways:

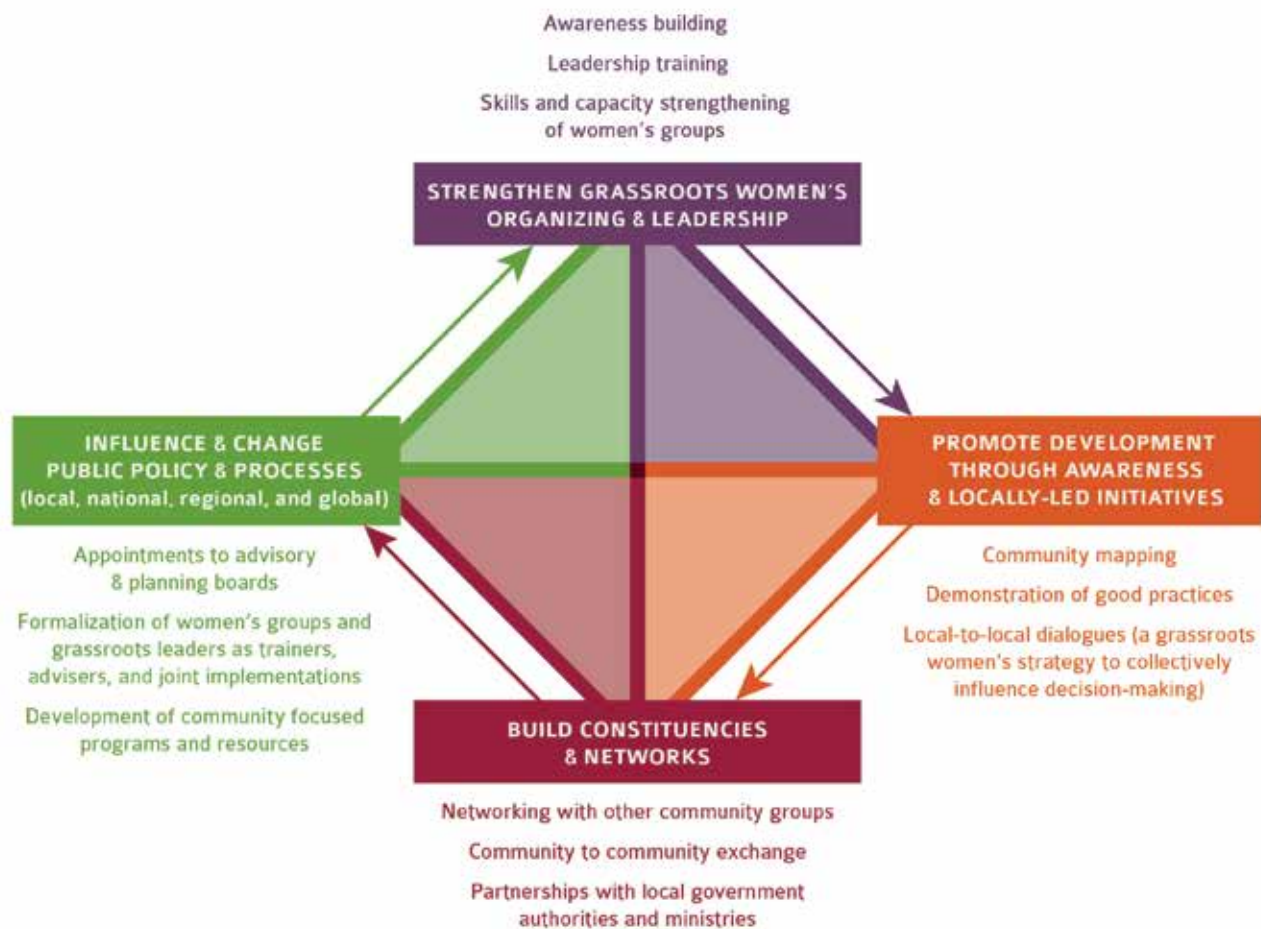
- a. A community-level resource mechanism that places flexible funds in the hands of grassroots women's organizations, thus enabling women to prioritize their most pressing concerns related to disaster and climate vulnerabilities, and to design and implement their own solutions. The mechanism enables grassroots groups to access and leverage matching resources (in the form of cash, services, and supplies), thereby expanding and sustaining their resilience building efforts.
- b. A tool for enhancing women's organizing, public leadership, and agenda setting capabilities that demonstrates disaster and climate resilient practices and women's effective entry into public decision making, thus helping women gain new identities as changemakers and greater visibility as leaders in resilient development.
- c. A grassroots learning tool that allows communities to test new resilience strategies, generate new knowledge, and establish platforms for learning and transferring knowledge and practices to other at-risk villages and towns.

## 2. OPERATIONAL FRAMEWORK

### 2.1 THE RESILIENCE DIAMOND—A FRAMEWORK FOR GRASSROOTS-LED RESILIENT DEVELOPMENT

The separate but interlinked dimensions of this grassroots-driven resilience approach are depicted in the Resilience Diamond that highlights (a) organizing and leadership building, (b) promoting awareness and action to advance community resilience, (c) building networks and movements, and (d) influencing decision making and partnerships.

Figure 1. The Resilience Diamond



### 2.2 How CRF WORKS

Instead of a linear set of activities, the CRF represents a holistic, bottom-up strategy that puts information and resources in the hands of grassroots women's organizations. This approach enables women to take leadership and drive their DRR agendas by demonstrating local solutions to local risks and vulnerabilities.

The CRF is designed to activate the four interlinked elements of the Diamond to promote an empowerment-oriented, sustainable community resilience approach. This approach is based on the belief that to understand risks, and to advance and scale up resilience building practices, grassroots women must organize themselves, collectively analyze risks, learn and test solutions, and leverage their gains in order to scale up solutions.

Through these resilience practices, grassroots women demonstrate to decision makers their capacities for reducing community risks and vulnerabilities in the face of natural hazards and the changing climate. This, in turn, enables grassroots women to gain recognition of their public roles and resources to sustain and scale up grassroots-led resilience activities.

The CRF supports grassroots women’s organizations in undertaking activities associated with the elements of the Resilience Diamond.

The CRF is used to:

- a. map and analyze risks, vulnerabilities and resources;
- b. prioritize and plan resilience-building actions;
- c. demonstrate resilience practices; and
- d. leverage their successes to access resources, services, and recognition from government programs.

Good practices that have been demonstrated include: improving food security, enhancing access to basic services, upgrading community infrastructure, diversifying livelihoods, promoting sustainable agriculture, conserving natural resources, securing land/land titles, and community monitoring of government social protection, disaster relief, and other programs.

Member organizations have invested in mapping, learning, and grassroots-led demonstrations and negotiations with local and national governments. They have used CRF to leverage resources including funds, community assets and technical assistance, and formal recognition from local or national government agencies.

Women’s groups implementing the CRF also strive to ensure that CRF benefits are spread widely among community members, maximized to the fullest extent, and sustained over time. All organizations receiving Community Resilience Funds are strongly encouraged to implement a surplus-generating, revolving mechanism that will insure continuance of leadership and community resilience-building activities in the absence of external resources.

**Figure 2. The Resilience Cycle**



A brief explanation of the CRF structure is needed before information about how CRF funds have been used will make sense to a new reader.

The CRF acts as a draw-down mechanism offering on-time loans to women's groups for climate-proofing actions that protect natural resources, reverse environmental degradation, upgrade infrastructure, and improve access to basic services. After rounds of community risk mapping and preparing plans, groups approach their Federations with innovative proposals. The Federation's Fund Management Committee screens the proposals received from grassroots groups. Questions from group and Federation members about details of the proposed DRR/CCA initiative and existing or potential support available, leads to group and peer accountability.

In contrast to microfinance lending, women's federations focus on the purpose of loans, customizing loans and technical support to promote climate-adaptive livelihoods, upgrade infrastructure, etc. Revolving loans to women's groups for selling farm produce, for example, follow the harvesting cycle and are usually repaid immediately following the sale of the produce and not on a monthly basis. Three examples of the use of CRF funds follow.

### **2.2.1 CREATING COMMUNITY REVOLVING LOAN FUNDS**

Several organizations have pooled their savings to create community funds that members use to lessen the impact of crises and increase the development and investment in livelihood activities. These organizations have set aside a portion of the CRF to provide interest-free or low-interest loans to grassroots women's groups or the members of federations/cooperatives for DRR and CCA initiatives.

This strategy ensures that both individual members and women's groups have access to funds for initiating innovations around disaster preparedness, emergencies, food security, livelihoods, and collectively-owned assets or infrastructure such as water ponds, seeds, and fodder banks. At the same time, the part of the CRF set aside for a Revolving Fund for productive activities is constantly being replenished through loan repayments.

### **2.2.2 INVESTING IN COLLECTIVE ASSETS THAT GENERATE LONG-TERM GAINS**

A second strategy used by member organizations is to invest in assets such as livestock, seed varieties, and farm and fishing implements that can be rotated and shared among community members. Using the CRF to create collective assets generates shared benefits and rewards that reinforce the need for functioning collectively. A number of groups using this strategy find that they can expand and sustain their initiatives over a long period of time.

### **2.2.3 LEVERAGING EXTERNAL RESOURCES**

A third strategy focuses on securing external resources to "match" or sustain CRF investments. Examples include leveraging monies from public or private sources, leveraging productive

inputs (such as fertilizer, seeds, and equipment) or accessing technical assistance and training. Partnerships and collaborative agreements to collectively advance local resilience priorities can result in governments or corporations improving access to infrastructure, sanitation and water services, or paying grassroots women leaders as trainers or information disseminators.

## **INCREASING ACCESS AND CONTROL OVER RESOURCES AND ASSETS**

### **SWID — Uganda**

*Creating Community Revolving Loan Funds.* SWID'S core mission led it to pool savings for crisis loans and to secure land tenure. They applied these strengths to their community resilience/food security-focused efforts, and persuaded local landowners and local authorities to provide land plots for demonstrating growing nutritious food and training grassroots leaders to replicate these methods and share the harvest with those most in need. With their second round of CRF funding, SWID created revolving funds in two communities. Subsistence farming was scaled up to produce and sell surplus food and a portion of these "gains" enabled women to pay for processing and officially registering their land titles.

### **DAMPA — Philippines**

*Investing in Collective Assets.* DAMPA has applied both the revolving fund strategy as well as the strategy to create common assets that can be rotated among community members. In Typhoon Haiyan affected Tanauan Leyte, Philippines DAMPA set aside 1.2 Million PHP for a revolving fund for livelihoods restoration. Borrowers contribute savings into the revolving fund and take loans to restore their livelihoods after the disaster. So far 150 community members from 12 barangays have benefited from livelihoods loans. DAMPA has also used part of the CRF to buy construction tools that home owners can rent to repair their houses.

### **Swayam Shikshan Prayog — India**

*Leveraging External Assets.* In India, a part of the CRF was set aside as a grassroots-run revolving fund to provide loans to organic vegetable farmers' groups, enabling them to undertake sustainable, low-input agriculture in drought-affected districts in Maharashtra. These women also leveraged resources from the National Rural Employment Guarantee Scheme to construct, maintain, and restore more than 300 water-harvesting structures in drought-prone villages in three districts in three years. The Government of Maharashtra Department of Agriculture is interested in engaging women leaders as women as agricultural extension workers.



# 3. GLOBAL CRF MANAGEMENT AND OPERATIONS

## 3.1 ALLOCATIONS ARE BASED ON SPECIFIC PRIORITIES AND CRITERIA

Principles	Why	How
1. Getting the money to the grassroots	CRF is a mechanism for placing resources in the hands of grassroots women so they can demonstrate and lead bottom-up resilience building. Therefore, CRF monies should finance grassrootsled resilience practices and priorities primarily.	CRF allocations respond to grassroots priorities. Lead organizations in each country ensure that all CRF fund implementers use monies as follows: <ul style="list-style-type: none"> <li>• 60% for Resilience Practices</li> <li>• 15–30% for Leadership Building and Training</li> <li>• 10–15% for Managing and Monitoring</li> </ul>
2. Transparency & Accountability	At every level through which money passes, everyone should clearly understand how and why funds are allocated to particular activities.	Clear Criteria and Procedures <ul style="list-style-type: none"> <li>• Formal decision making group at each level</li> <li>• Clear criteria for utilizing and prioritizing fund use</li> <li>• Records of decisions taken</li> </ul>



Swayam Shikshan Prayog (SSP) - Maharashtra, India

### 3.2 CRF ALLOCATIONS FOR COUNTRY LEAD ORGANIZATIONS

Suggested CRF Spending	Activities <i>Eligible</i> for CRF Funding	Activities <i>Not Eligible</i> for CRF Funding
60% Resilience Practices	Resilience practices that identify and respond to risks, vulnerabilities and priorities collectively analyzed and agreed upon by grassroots women	<ul style="list-style-type: none"> <li>• Livelihood practices that are not related to risk mapping or reducing vulnerabilities</li> <li>• General leadership development training not related to practice</li> <li>• Practices that can be funded by other sources such as micro-credit, social protection programs</li> <li>• Travel for advocacy and unrelated networking</li> </ul>
15–30% Leadership development and Training for grassroots resilience practice leaders	<ul style="list-style-type: none"> <li>• Sector specific research or training</li> <li>• Other technical, financial, oral communication, etc. skills training</li> <li>• Ongoing mentoring, coaching</li> </ul> <p>Higher range investments justified when government or private sector recognize and fund grassroots groups for specific resilience skill sets/activities (e.g. risk mapping, demonstrating early warning systems)</p>	
10–15% Management and M&E	<ul style="list-style-type: none"> <li>• Costs of administering, accounting, auditing funds, transferring funds, bank fees, staffing, supervision, and monitoring costs</li> <li>• Monitoring and evaluating the CRF operations</li> </ul>	

### **3.2.1 GLOBAL LEVEL PRIORITIES OF THE GLOBAL CRF AND THE APPLICATION PROCESS**

The Huairou Commission Secretariat screens proposals from country lead organizations to ensure that they fulfill specific criteria. Suitable organizations' proposals should:

- a. Address risks and vulnerabilities identified through collective analysis
- b. Include activities that test practical solutions to address practical problems caused by climate change or natural hazards (and preferably improve everyday living conditions of grassroots women and their communities)
- c. Include efforts that demonstrate effectiveness of resilience practices within the project timeframe
- d. Include practices with the potential to be scaled up and replicated across communities
- e. Position grassroots women as leaders in their communities
- f. Have the potential to leverage support from the local or national government

A team from the HC Global Secretariat issues a call to members for CRF applications and supports applicants in sharpening their strategies and clarifying their projected results. When finalizing their application, applicants provide a baseline against which to measure progress and capture results. Once applications are finalized, the Fund Steering Committee prepares and signs Memoranda of Understanding (MoUs) between the designated CRF implementing organizations and the HC Secretariat, after which funds are transferred in accordance with a payment schedule.

The Fund Steering Committee is subsequently responsible for monitoring and evaluation of projects to assess their impact and progress from a global perspective. This global team also facilitates the learning processes with implementing organizations that embed monitoring and evaluation within their activities through the transfer of knowledge, skills, and insights from lessons learned across the global network.

### **3.2.2 COUNTRY-LEVEL LEADERSHIP, MANAGEMENT, AND ADMINISTRATION**

At the country level, the CRF is led, managed, and administered by member organizations that facilitate NGOs, and grassroots-led, community-based women's groups and networks. These participating organizations agree to use CRF monies to support local community-driven resilience work in accordance with the goals and objectives of the CRF and collectively agreed upon common standards and procedures. The managing organizations are characterized by their direct support for and ability to convene grassroots women's organizations and leaders to facilitate the advancement of resilience priorities and good practices.

Lead organizations at the country level must fulfill the following criteria:

- a. Their senior management/leadership understand the vision of the CRF and are committed to promoting and institutionalizing this vision as a formal mechanism in their respective countries.

- b. The NGO has a track record of working directly with organized grassroots women's groups and networks in disaster-prone, climate-threatened areas and who will insure that grassroots groups drive CRF implementation at the local level.
- c. The organization has financial management systems that allow it to receive external funds, transfer these funds to grassroots organizations, and account for the use of these funds.

### 3.2.3 GRASSROOTS, COMMUNITY-BASED ORGANIZATIONS, AND NETWORKS

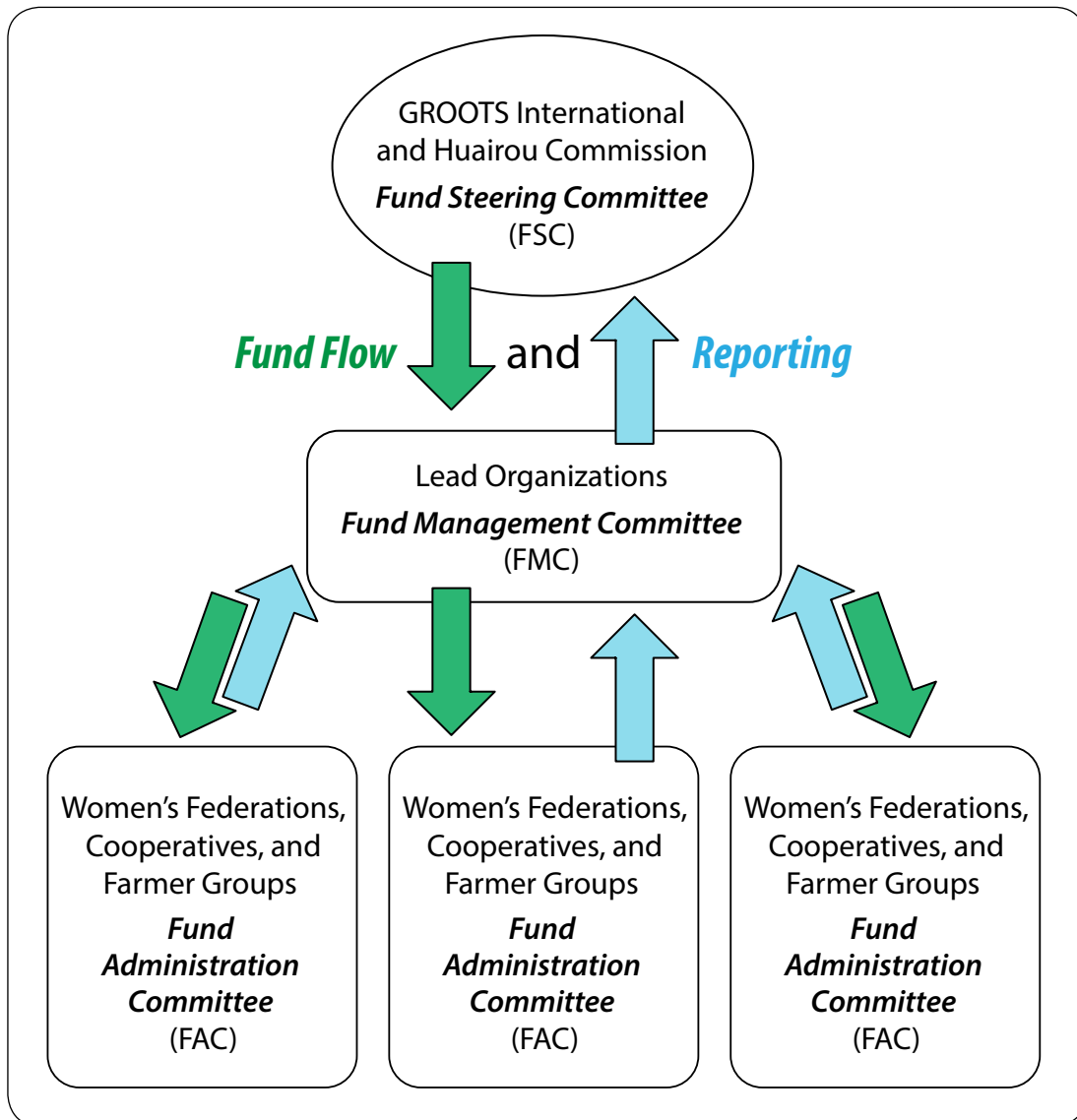
Grassroots lead organizations include farmers' associations, producer cooperatives, savings and credit and small business federations, informal settlement resident associations, and national or local networks. These networks connect diverse groups to empower women, accelerate gender equality, and ultimately drive the implementation based on members' resilience priorities. These organizations are characterised by their ability to bring together and address the interests of diverse grassroots member groups. They act as the interface between small grassroots groups or individuals and the larger national networks or NGOs who receive global CRF resources from the HC Secretariat. Organizations include women's organizations in a wide range of sizes and solid constituency bases such as: (a) the Sakhi Federation of savings groups (affiliated with the facilitating organisation Swayam Shikshan Prayog in India) that works with over 5,000 women's groups in India, and (b) the Union of Cooperativa Las Brumas, that links 1,200 women producers representing local cooperatives in Nicaragua.

The Global CRF committee assesses organization applicants based on its set of criteria and welcomes all organizations within a range in size of membership and area of focus from small self-organized help groups or associations to large multi-state federations. Grassroots organizations should meet the following criteria :

- a. Be registered as a legal entity in accordance with local law and entitled to receive and manage funds for community development
- b. Have members living in hazard- and climate risk-prone, poor settlements
- c. Have a plan for developing grassroots women-led resilience practices
- d. A commitment to pursuing community resilience and building grassroots women's leadership in this area for at least the next five years.
- e. A track record demonstrating capacity to consult with member groups, support groups in doing resilience planning, and innovate in building groups' capacities to propose and lead resilience initiatives
- f. Have the ability to manage and administer CRF Funds
- g. Track record of 3+ years managing and administering grants and member funds of comparable value to the CRF; able to demonstrate sound financial management systems
- h. Willingness or experience in engaging and partnering with local authorities, national government, and private sector or other entities to promote community resilience priorities and to leverage community-led practices

### 3.2.4 MANAGEMENT STRUCTURE AND FLOW OF THE GLOBAL CRF TO THE COUNTRY LEVEL

Figure 3. CRF Structure and Flow



Fundación Guatemala



SSP, India



Groots Kenya, Kenya

### 3.3 CRF FUND FLOW AND MANAGEMENT COMMITTEES

At each level a designated committee decides how to allocate funds and monitors fund use.

Fund Flow	Decision Making Structure	Roles and Responsibilities
<p><b>Global Secretariat</b></p>	<p><b>Fund Steering Group</b> Minimum of four members identified by the Secretariat</p>	<ul style="list-style-type: none"> <li>• Assesses applications and supports organizations to strengthen these</li> <li>• Allocates funds</li> <li>• Finalizes MoUs</li> <li>• Tech. support to member organizations to build capacities and comply with common standards</li> <li>• Monitors fund use</li> <li>• Records progress</li> <li>• Facilitates linkages among members for transferring lessons and joint advocacy</li> </ul>
<p><b>Lead Organizations at Country Level</b></p>	<p><b>Fund Management Committee</b> Minimum of four members</p>	<ul style="list-style-type: none"> <li>• Identifies strategic priorities</li> <li>• Consults key grassroots leaders on how to optimize fund utilization</li> <li>• Ensures funds are utilized according to agreed upon standards</li> <li>• Screens proposals</li> <li>• Supports member groups to dialogue with institutional actors and identify CRF resources</li> </ul>
<p><b>Grassroots Women's Federations</b></p>	<p><b>Fund Administration Committees</b></p>	<ul style="list-style-type: none"> <li>• Keeps records of disbursements</li> <li>• Tracks accounting system</li> <li>• Verifies allocations of funds</li> <li>• Coordinates with fund management committees</li> </ul>

## 4. MONITORING AND EVALUATION

The Resilience Diamond (see page 5), which presents the four arenas of activity that contribute to empowering women, is the master monitoring and evaluation *framework* for the CRF. Monitoring and evaluation *systems* are the key to maintaining accountability, documenting change and lessons learned, advancing learning to inform decisions, and taking corrective action to address gaps.

### 4.1 MONITORING FUND MANAGEMENT

At each level the CRF decision-making committees, like the Fund Steering Committee at the Global Secretariat, the Fund Management Committees in the Lead Organizations and the Fund Management Committees in the Grassroots Federations/Cooperatives, are responsible for regularly monitoring and assessing CRF to ensure that it is being used in accordance with the common standards and procedures collectively agreed upon by network members and laid out in CRF applications and proposals.

In order to capture and measure outcomes and impacts in relation to the four dimensions of the Resilience Diamond, designated lead organizations at the country level must track progress based on a series of quantitative and qualitative indicators that are incorporated in the *reporting template* that is used to track progress and capture changes (Append reporting template) in relation to:

- a. organizing and leadership
- b. increasing risk awareness and reducing risk and vulnerabilities to disaster and climate change
- c. network and movement building
- d. leveraging resources and building partnerships for sustaining and scaling up resilience

In addition, committees monitoring the CRF must conduct a financial audit that includes:

- a. Fund management committees are in place and functioning
- b. Fund management committees have checklists or criteria for screening proposals for CRF utilization
- c. Accounting systems and records are in place and regularly updated
- d. A dedicated bank account *is* maintained for CRF funds, to ensure that CRF is a discrete fund and is not mixed with other project or organization funds
- e. At least two members of the fund management committees are joint signatories to this dedicated CRF bank account and jointly sign all cheques and release of funds.
- f. An audited statement of accounts is duly certified and submitted annually.

## 4.2 EVALUATING AND MEASURING IMPACT

Evaluation of the global CRF occurs in multiple ways. First, progress towards the outcomes and impacts laid out in applications, is documented using quantitative and qualitative indicators laid out in the applications/reporting template, which are aligned with the four dimensions of the Resilience Diamond. Quarterly reports are submitted to the Global Secretariat by lead organizations at the country level.

Second, learning and insights that inform the larger concept, principles, design, and implementation of the CRF, occur at multiple levels through peer learning, such as in Grassroots Academies, peer learning exchanges, and regional sharing workshops. Insights and lessons from these events are aggregated at the annual global “Braintrust” or strategic planning meetings where grassroots leaders and NGOs collectively reflect on their experiences, and jointly evaluate impact and identify next steps.

In addition to the quarterly reports submitted by the country lead organizations, network partners document success stories, best practices, video documentaries, etc. and share them with the Global Secretariat, as these contribute to lessons and insights and can be used to assess the evolution of the CRF and its impacts over time.



GROOTS Kenya — Kiambu County, Kenya



# APPENDIX 1. NAMES OF ORGANIZATION PARTICIPANTS

The people listed below participated in the CRF review and survey—our focused assessment of how the CRF was working and what shifts needed to be made and standardized at a minimum level.

**Esther Mwaura-Muiru**

**Fridah Githuku**

Organization: GROOTS Kenya

Location: Nairobi, Kenya



**Emma A. Menjares**

**Josephine (Jhocas) Castillo**

Organization: DAMPA

Location: Philippines



**Lajana Manandhar**

**Sobina Lama**

Organization: Lumanti Support Group for Shelter

Location: Kathmandu, Nepal

**Mara Rodriguez**

**Maité Rodriguez**

Organization: Fundación Guatemala—Plataforma Comunitaria de Practicantes de Resiliencia (PCPR) de Guatemala

Location: Guatemala



**Benedicta Valeriano Almirante**  
**Carmen Sánchez Rojas**  
**Relinda Sosa**

Organization: GROOTS Perú  
Location: Peru

**Marling Haydee Rodriguez**  
**Helen Toruno**

Organization: Unión de Cooperativas de Mujeres  
Productoras Las Brumas  
Location: Nicaragua



**Ana Lucy Bengochea**  
**Tatiana Solis**  
**Evangelista Garcia**  
**Anna Marin**

Organization: Plataforma Comunitaria Comité  
Redes de Honduras WAGUCHA  
Location: Honduras



**Hellen Wairimu Kamiri**  
**Jane Nyokabi Gitau**

Organization: Gatundu Mwirutiri Women  
Initiative (CBO)  
Location: Kenya



## APPENDIX 2. QUESTIONNAIRE

### (FOR ASSESSING THE USE OF THE COMMUNITY RESILIENCE FUND BY RECIPIENT ORGANISATIONS)

This review of the Community Resilience Fund has been one of the key steps in concretizing the frameworks that spell out the mechanics of operating the CRF. In the objective to launch an Asian Community Resilience Fund and the Global Community Resilience Fund, the network partners of the Huairou Commission and GROOTS International who had been piloting the CRF since 2009, were asked to complete a four-section feedback form with a total of 57 questions.

#### QUESTIONNAIRE SECTION I

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1. Name of the Huairou Commission Network Organization
2. Address of the Recipient Organization (with phone numbers, e-mail, and Skype ID)
3. Name of the Respondent (with phone numbers, e-mail, and Skype ID)
4. Was the Organization a recipient of CRF allocation from Huairou Commission?
5. How much funds were allocated to the organization from CRF in the following years?

Year	Amount (in USD)
2009	
2010	
2011	
2012	
2013	
2014	

6. Were funds utilized for the leadership development of the members who received funds from the CRF resources?
7. Were funds utilized for the training of the members who received funds from the CRF resources?
8. How much funds were utilized for the management of the fund?
9. How did the organization decide on the criteria for granting the resources to small groups?
10. How was the utilization of resources by small groups and individuals monitored?
11. Is there a structured decision making process for the CRF resource allocation to small groups and to individuals?
12. Is there a committee constituted to manage the funds? If yes, how was it constituted?

## QUESTIONNAIRE SECTION II

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13. How many grassroots women's organizations or groups were supported by you?
14. How many households who are members of your organization benefitted so far from the CRF resources directly?
15. How many households in the local communities benefitted from the CRF resources indirectly?
16. How much CRF resources were allocated to the women's groups?
17. What were the activities for which the CRF resources were used by the women's groups?
18. What were the benefits which resulted from giving these resources to the women's groups?
19. How much was the average allocation to each individual beneficiary?
20. What were the activities for which the CRF funds were utilized by the organization/ NGO or small group?
21. How much was the allocation per activity by the organization/NGO or small group?
22. Were funds utilized for the capacity building of the group members who received funds from the CRF resources?
23. Were funds utilized for the leadership development of the group members who received funds from the CRF resources?
24. Were funds utilized for the training of the members who received funds from the CRF resources?
25. How much funds were utilized for the management of the fund?
26. What were the activities for which funds were utilized by the individual members?
27. How much funds were utilized by the individual members per activity? Please give total funds utilized for each activity.
28. Please give the breakup of funds by activity in the table given below. Please add more rows for more activities if required. The list given below for activities is only illustrative.

Activity-wise breakup of CRF utilization	Amount of Funds	Who did these funds go to?	Who managed these funds ?	How many women/groups benefited?	What was the Impact?
Capacity development					
Revolving fund/ loans					
Fund management/ administration					
Livelihoods Diversification					
Disaster Risk Reduction					

29. What was the impact of the activities undertaken with the resources from the CRF at the individual household level?

### QUESTIONNAIRE SECTION III

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30. Have any members requested funds for any specific needs which could not be met out of the CRF resources?
31. If yes, what are these unmet needs of the members at the individual household level?
32. What was the impact of the activities undertaken with the resources from the CRF at the local community level?
33. Are there any specific unmet needs for CRF resources at the local community level?
34. If yes, what are these unmet needs at the local community level?
35. Has the allocation of CRF resources improved the community resilience?
36. If yes, how has the community resilience been improved?
37. Were there any challenges in the implementation of the activities using the CRF funds?
38. If yes, how were they overcome?
39. How did the individual members and their households benefit from the CRF activities?
40. Have the lessons learnt from the utilization of CRF resources been discussed at the village meetings?
41. If yes, has the community agreed to sustain the CRF efforts in future by investing their resources?
42. Has there been a growing demand for the use of CRF resources in the project villages and the neighboring villages?
43. If yes, for what activities are these funds likely to be utilized?
44. Is it possible to create a corpus out of the contributions from surplus generated by individual beneficiaries?
45. How has the utilization of CRF resources improved the management and leadership skills of those who managed the funds in the villages?
46. Has the CRF resource deployment at the village level been brought to the attention of local officials and elected representatives?
47. If yes, have they agreed to support such efforts as policy interventions in local level planning?
48. If not, can special efforts be made to invite local officials and elected representatives to share the CRF lessons learnt and request them to consider incorporating such efforts in local level development planning?

49. How has the CRF been used to leverage more resources from local budgets and government programs?
50. Is there a separate bank account for the CRF funds?
51. In cases where the resources are repaid by the individuals to the small groups, how much has the funds grown in the past few years?
52. How many beneficiary households have benefitted from the allocation of CRF resources in your project areas?
53. What is the total amount allocated through the CRF resources in your project areas in the past few years?
54. Have other neighboring villages approached you for finding out the working mechanism of CRF resources?
55. What are your suggestions about Ideas about growing/ replenishing the Fund in your area.

#### **QUESTIONNAIRE SECTION IV**

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56. Can you provide two or three Case Studies of success stories of small groups and individual women who benefitted immensely from the CRF resources? Please use separate sheets for the Case Studies and give the details like names, addresses, contact details, village details, situation before the CRF money was given, activities for which the money was used, the results, outcomes and impact of the fund utilization, etc.

## Gallery



Women leaders from Wagucha prepare plot for moringa planting

Rio Esteban, Colón Department, Honduras



Members of Alserly Walampu local group preparing organic cacao plants

Trujillo, Colón Department, Honduras



Women's groups analysing local risk

Baluvaha village, Saharsa District, Bihar, India



## Notes



Swayam Shikshan Prayong, India

This document presents the Operational Guidelines of the Community Resilience Fund, a financial mechanism that supports grassroots women's groups that implement and scale up community-driven development practices. The Fund is a major thrust of the Huairou Commission's Community Resilience Campaign, now working in 1,156 communities in 21 countries in Africa, Asia, and Latin America.

The Operational Guidelines are for (a) grassroots women's, community-based, and civil society organizations that are interested in implementing this mechanism in their own communities; and (b) the governments, NGOs, multilateral organizations, and aid agencies that are interested in supporting them. The Fund has been successfully implemented in 21 organizations and has proven the real impact of grassroots women's innovation and creativity, once they have available resources and autonomy to manage them using their ancestral and contextual knowledge of what development looks like in their own communities.

The Huairou Commission is a global membership and partnership coalition that empowers grassroots women's organizations to enhance their community development practice and to exercise collective political power at the global level.

