SECTION I:

INTRODUCING CAPACITIES & VULNERABILITIES ANALYSIS

CHAPTER ONE

PLANNING AND RUNNING A DISASTER & DEVELOPMENT WORKSHOP

Purpose of the Disaster and Development Workshops

The purpose of the Disaster and Development Workshops is to change the way that people think about the connection of disasters to the development process. Development workers need to understand the importance of taking account of likely disasters in their **development program planning**, specifically incorporating elements of disaster prevention, mitigation and preparedness. Disaster workers need to see that the ongoing development situation must be an integral part of their planning of **disaster responses**. This manual presents materials which can be used in workshops to train disaster and development workers so they understand disaster and development linkages and acquire practical skills for planning programs that promote basic development at times of disasters.

The main concept presented through these workshops is Capacities and Vulnerabilities Analysis, which provides a framework for identifying **development** opportunities, even in the midst of a disaster crisis. The workshops are **not** intended to provide training in the technical fields of disaster management (emergency search and rescue, health emergencies, nutritional surveys and monitoring, logistical organizing, etc.). This is provided by other institutions and manuals. These workshops focus on disaster and development linkages and provide an approach to programming that promotes that linkage.

Why the Workshop is Designed as It Is

A basic assumption of the workshop design is that every participant has valuable experience; the workshop leaders are not the only "experts." Thus, the workshop both provides new concepts and ideas and draws on the experience of the participants. There are two times in the workshop plan presented here when we suggest that the trainers make short presentations on Capacities and Vulnerabilities Analysis and its application. All other activities depend on full participant involvement. Case studies provide an account of real events and how one agency responded to them; participants are asked to analyze these and explore other options for action. The other participatory exercises encourage participants to apply workshop concepts to their own work and realistic scenarios.

Sample Workshop Schedule

The following sample schedule is for a three-day workshop. It was designed for use with groups of twenty to thirty relief and development agency workers, usually from numerous different agencies. This schedule could be expanded by adding sessions to examine more cases, either those provided in this manual or new cases prepared for a special purpose. (See Appendix A on "Developing Your Own Case Studies.") Presentations by other resource people could also be added.

A brief annotation of these elements of the workshop is provided after the schedule below. Each of the elements is explained in full elsewhere in this manual.

SAMPLE WORKSHOP SCHEDULE

First Day:

9:00	Gather, Welcome, Introductions
10:15	Review of Workshop Goals
10:30	PRESENTATION & DISCUSSION: Linking Disasters and Development through Capacities and Vulnerabilities Analysis
11:15	Short Break
11:30	Introduction to CASE DISCUSSIONS
11:45	Reading of CASE #1
12:30	Lunch
2:00	Small Group Discussion of CASE #1
3:00	Short Break
3:15	Plenary Discussion of CASE #1
4:45	Evaluation and Close for the Day

Second Day:

9:00	Reading of CASE #2
9:30	Small Group Discussion of CASE #2
10:15	Short Break
10:30	Plenary Discussion of CASE #2
11:45	PRESENTATION & DISCUSSION: Application of Capacities & Vulnerabilities Analysis
12:30	Lunch
2:00	INDIVIDUAL PROJECT ANALYSIS
3:00	Short Break
3:15	Small Group Discussion of Projects
4:00	Plenary Discussion
5:00	Evaluation and Break for the Day

Third Day:

9:00	Introduction to PROJECT DESIGN EXERCISE
9:15	Small Group Work on Project Design
10:00	Short Break
10:15	Small Groups continue
11:00	Plenary Reports and Discussion of Project Designs
12:30	Lunch
2:00	Disaster Preparedness and Mitigation Discussion
2:10	Small Group Discussion
3:15	Short Break
3:30	Plenary Discussion
4:00	Workshop Evaluation and Final Session

Presentation: Capacities and Vulnerabilities Analysis

The presentation on Capacities and Vulnerabilities Analysis provides an introduction to the essential concepts of the workshop. The chapter included here is meant to be used by workshop leaders as a guide; there is no single "correct" way to introduce Capacities and Vulnerabilities Analysis. The notes for workshop leaders should stimulate thinking about how to expose a particular group to these ideas.

Case Discussions

The teaching cases are a means of promoting discussion and learning from past experience. They ground the group exchange in a real situation, keeping it from getting too theoretical. Each case provides a description of a disaster, how it occurred, the background situation of the people affected, and how a particular agency responded. The task of the group is to "enter" the case, figure out what happened, analyze the capacities and vulnerabilities involved, look at the choices made by the agency, discuss the program's effects upon capacities and vulnerabilities, and consider possible alternative approaches.

Presentation: Application of Capacities and Vulnerabilities Analysis to Program Work

Once participants have been introduced to Capacities and Vulnerabilities Analysis and seen it applied to several cases, it will be time to discuss the practical uses of the concepts in program work. This presentation provides insights on how to use C/V Analysis in program initiation, design, implementation, redesign, and evaluation.

Individual Project Analysis

Individual Project Analysis gives participants a chance to use C/V Analysis to explore a program they know well, and to compare what they learn about the effects of their project on people's capacities and vulnerabilities.

Program Design Exercise

The purpose of the Program Design Exercises is to engage participants in applying the skills and concepts of the workshop to situations much like ones they encounter in the field. A realistic, though fictional, scenario is provided and participants, working in teams, are asked to design approaches to disaster programming that take account of the capacities and vulnerabilities of the people in the scenario.

Discussion: Disaster Preparedness and Prevention—Exploring the Links between Development and Disasters

Most of the workshop time is devoted to consideration of approaches to disaster response. In the final discussion, people may consider disaster preparedness and prevention, exploring the ways in which increased awareness of potential disasters affects regular development programming.

CHECKLIST FOR WORKSHOP PLANNING

____ Who is providing workshop leadership and other organizing roles? Other resource people?

____ Who are the participants and how are they being recruited? What is the total size of the group?

____ Have financial arrangements and/or funding been arranged?

____ Have rooms for whole group discussions and small group meetings been arranged?

____ Is equipment (blackboards and chalk, markers and paper) available?

____ Is transport or housing needed?

____ Will meals and/or snacks at breaks be provided? Who is arranging these?

____ What are the time limits of the workshop? What will the schedule be?

____ Have participants been informed about what to expect and when to arrive, and been sent a copy of the workshop schedule and Chapter 2 on Capacities and Vulnerabilities Analysis?

____ Who will prepare a list of the participants' names and addresses to be provided during or after the workshop?

____ Who is providing name tags and name cards?

____ Have initial small groups been formed?

CAPACITIES AND VULNERABILITIES ANALYSIS*

No one ever develops anyone else; people and societies develop themselves. International aid, whether for development or in response to an emergency, cannot "bring" development. However, it can either **support** and **promote** development or, unfortunately, undermine and delay it. Sometimes people claim that it is impossible to think about development issues when a disaster strikes and people are suffering. Experience shows, however, that disasters, disaster responses and development are so inter-connected that it is a mistake to ignore these connections. Disaster assistance and the way in which it is offered **do** have an impact on development, whether intended or not. The impact is either positive or negative; it is never neutral or irrelevant.

In this chapter, we shall consider the ways in which disasters are related to development. In particular, we shall discuss ways in which one can plan and implement emergency relief programs so that the immediate needs of the "victims" are met and, **at the same time**, fundamental sustainable development is promoted.

The key to whether relief assistance supports development or undermines it is simple. When aid givers act as if the recipients are only **needy** "victims" totally devastated by the disaster and without energy or initiative or capacities left, they start from the wrong place. With this approach, aid givers think that they must make all the decisions about what to give and to whom. They manage the distribution of aid, they set the priorities, they plan the projects, they hire and supervise the workers—all without consulting with the people they intend to aid because these people are considered "helpless."

On the other hand, when aid donors provide assistance assuming that the people who receive it are capable, active and inventive managers of their own lives (even though they have suffered an enormous loss due to a disaster), the donors start in the right place. With this assumption, aid is given to support local activities and initiatives, and it builds on existing strengths of the so-called "victims" so that they can create a more secure life for themselves. This is what development is all about.

Development is the process through which people increase their **capacities** for producing the things they need and for managing their political and social lives as they desire and, at the same time (especially in disaster-prone areas) reduce their immediate and longer-term **vulnerabilities** to events which threaten their economic and socio/political existence. Let's look at what we mean by "capacities" and "vulnerabilities."

* This chapter is abridged from Part I, Chapter I, entitled "A Framework for Analyzing Capacities and Vulnerabilities," in Anderson, Mary B. and Woodrow, Peter J., *Rising from the Ashes: Development Strategies in Times of Disaster*, Westview Press (Boulder, Colorado) and UNESCO Press (Paris, France), 1989, pp. 9-25.

CAPACITIES AND VULNERABILITIES

All natural crisis events such as floods or earthquakes do not become disasters. Sometimes, they cause no major damage to life or property because they occur where no one lives or because people have taken measures to prevent or reduce their damaging effects. Even when these events do cause damage, not everyone in a disaster area suffers equally. Why is it that some people suffer more from disasters than other people? The answer is that some people are more **vulnerable** than others.

Physical/Material Vulnerability.

For example, poor people, those who have few physical/material resources, usually suffer more from disasters than rich people. People who are poor often live on marginal lands; they don't have any savings or insurance; they are in poor health. These factors make them more vulnerable to disasters and mean that they have a harder time surviving and recovering from a calamity than people who are better off economically. One area of vulnerability is the physical/material realm.

Social/Organizational Vulnerability.

Experience also shows that people who have been marginalized in social or political terms are vulnerable to suffering from disasters whereas groups which are well organized and in which there is a high commitment to each other suffer less when catastrophe strikes. Weakness in social and organizational areas may also cause disasters. For example, deep divisions can lead to conflict and war. A second area of vulnerability, then, is in the social/organizational realm.

Attitudinal/Motivational Vulnerability.

Finally, experience also shows that people who have low confidence in their ability to affect change or who have "lost heart" and feel defeated by events they cannot control – these people are harder hit by disasters than those who have a sense of their ability to bring the changes they desire. Thus, a third area of vulnerability is the attitudinal/motivational realm.

People's **capacities** can also be understood in these same three categories: physical/material, social/organizational and attitudinal/motivational.

Physical/Material Capacity.

Even very poor people whose houses have been destroyed by a typhoon or whose crops have been destroyed by a flood can salvage some things from their homes and/or their farms. Sometimes they have food in storage or crops that can be recovered from the fields or farm implements for planting again. Some family members have skills which enable them to find employment if they migrate, either temporarily or permanently.

Social/Organizational Capacity.

In most disasters, people suffer their greatest losses in the physical and material realm. However, even when everything physical is destroyed, people still have their skills and knowledge; they have family and community organization. They have leaders and systems for making decisions. They have tribal loyalties or church affiliations. They have capacities in the social/organizational realm.

Attitudinal/Motivational Capacity.

People also have positive attitudes and strong motivations such as the will to survive, love and concern for each other, bravery and a willingness to help each other. These, too, are important capacities and form the basis for development just as much as the physical resources people have.

Figure 1 shows a way of organizing the information about a society's vulnerabilities and capacities so that they can be assessed. In a society where the vulnerabilities are very high and capacities low, people are more prone to disasters. Where capacities are high and vulnerabilities low, there is more development and, thus, more disaster resistance.

This picture and the ideas it depicts are called the Framework for Analyzing Capacities and Vulnerabilities. This framework is a useful tool for planning how to deliver emergency assistance to people who have just experienced a disaster or for assessing and evaluating the impact of relief assistance on a society's long-term development.

Figure 2 shows the relationship between disaster response approaches and sustainable development.

As we noted above, development may be defined as the process through which people move from a high vulnerability/low capacity situation toward a situation of lower vulnerabilities and higher capacities. In the traditional relief assistance approach, a disaster is seen as an "interruption"of development. Emergency rescue, relief, rehabilitation and reconstruction are undertaken as successive phases of disaster recovery designed to get things "back to normal." However, when efforts are focussed on returning to normal, there is a high probability that other disasters will strike (because capacities remain low and vulnerabilities high), and the cycle can be endless.

On the other hand, to limit disasters and their damage by supporting people's capacities and helping them reduce their vulnerabilities, every **development** effort should contain elements of disaster prevention, mitigation and preparedness designed to address local vulnerabilities. If a disaster then strikes, its impact will be greatly reduced and rescue, relief and reconstruction efforts will follow which also rely on and promote local capacities and take account of deeper disaster vulnerabilities.

Let us turn, now, to a typical emergency relief approach to illustrate how thinking about capacities and vulnerabilities can make a difference in the long-term impacts of relief aid.

The Traditional Relief Approach.

When a disaster strikes, most outsiders (whether from the next village or from several continents away) are saddened by the suffering they see, and they want to help. They, quite naturally, want to help provide the **things** that they see the "victims" need – tents or building supplies to replace lost housing; food to replace lost crops; bandages, drugs and medical services to heal wounds; clothing and blankets to keep people warm. Because the needs seem so urgent, outside aid givers want to ensure efficient, speedy and reliable delivery of the goods that they see the "victims" need. Relief agencies, thus, do rapid "needs assessments" and draw up lists of things that the "victims" need to have supplied by outsiders. Because planners feel a sense of urgency to alleviate suffering, they seldom feel that they have time to consult widely with disaster victims.

Based on past disaster experiences, people in disaster areas have come, in recent years, to expect a rapid relief response from their own governments and from outsiders. They meet the television cameras with sad stories about how hopeless and helpless they are and how badly they need goods and services rushed to them. Usually, donations are physical or material things, though sometimes other types of assistance are asked for and/or given, such as psychological counselling to help people cope with

Figure 1: Capacities & Vulnerabilities Analysis Matrix

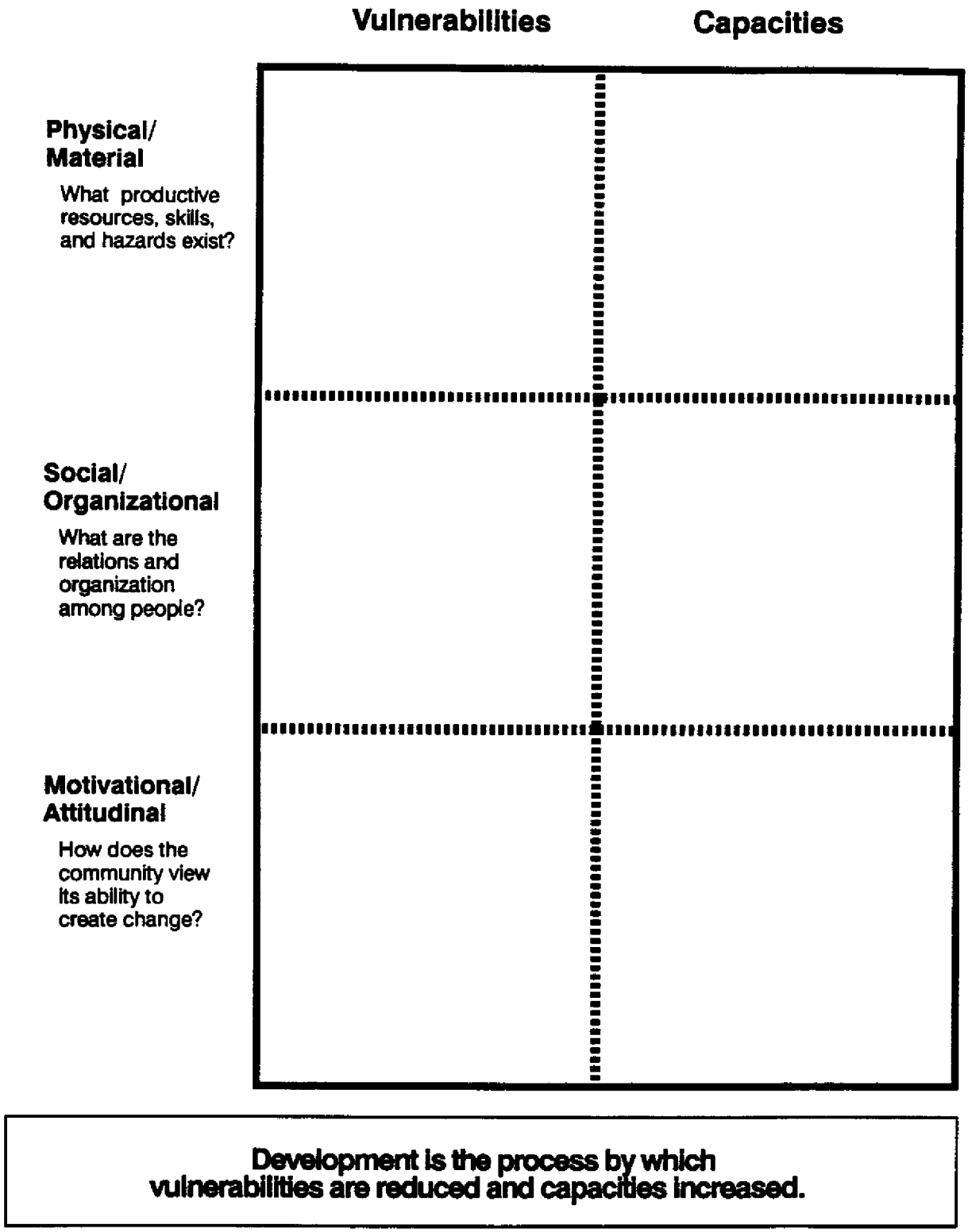
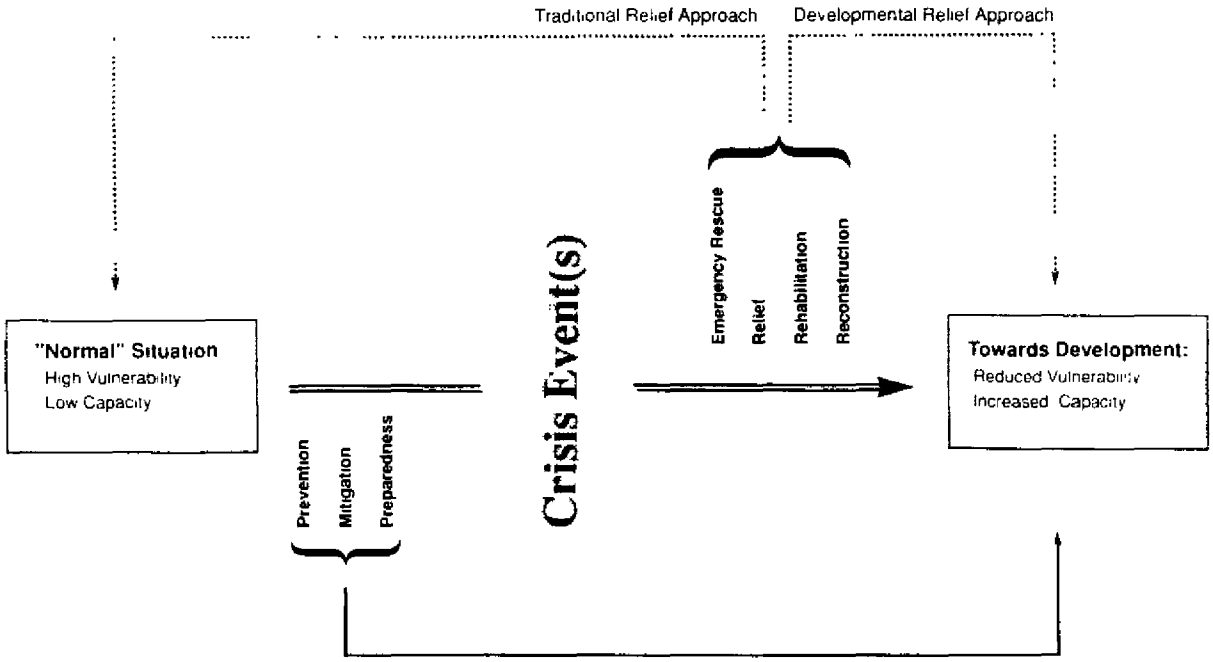


Figure 2: Relief Approaches & Development



trauma or training in technologies designed to lessen future vulnerability (such as earthquake-resistant building techniques).

In the traditional relief approach, the basic goal of the outside aid donors is to alleviate immediate suffering and "get things back to normal." While the goal of disaster victims and their governments is also to get past the immediate suffering which the disaster has caused, they frequently try to ensure that as much aid as possible is promised and delivered—as if this aid can provide a basis for greater security and wealth.

There are problems with these goals. As noted, since the "normal" situation included the conditions which led to the disaster, then getting back to normal will only leave the way open for future similar disasters. And, although large goods shipments can provide a short-term injection of resources, the inputs which are provided often end up distorting local markets and resulting in the postponement of normal production. All too often, people come to depend on the relief agency operation for their daily survival, long after the crisis is over. Thus, the relief goods and the system used for delivering them actually increase people's **dependency** rather than promoting greater development.

After one major disaster which resulted in large donations of outside aid, a local disaster manager noted that the greatest tragedy that his country suffered was not the deaths which occurred because of the disaster—even though these were very sad. The worst tragedy was that the people "learned that the solutions for all our problems come from outside." That is, the way the donors supplied the relief assistance taught people to distrust their

own abilities and to rely on outsiders for everything. This clearly undermines and delays genuine sustainable development.

The Developmental Relief Approach.

On the other hand, when an agency that wishes to help disaster victims considers the people's capacities and vulnerabilities even as it begins to respond to a crisis, the picture becomes very different. For example, from the very beginning when immediate needs are being assessed, the involvement of the local "victims" is seen as necessary. They are encouraged to enumerate what they have with which to rebuild after the disaster as well as to think about what inputs they need. They assume responsibility for deciding priorities about what is needed and determining the closest available source of supply. For example, if food is to be distributed, they decide which foods are needed, by whom, and for how long, and they are involved in figuring out how to distribute them in ways that keep people on their land, ready to replant when the conditions are right. Experience shows that disaster "victims" solve most of their own problems and meet most of their own needs far more often than outside aid. Experience also shows that, even when outside aid is essential for disaster sufferers' survival, these "victims" can be involved in all phases of decision-making and management of the assistance, thus retaining and strengthening their own competence for future development.

Table 1 compares the two approaches to providing emergency assistance—a traditional approach and a developmental approach—and makes the differences very clear.

Returning to the point made at the beginning of this chapter, no one ever develops anyone else. People and societies develop themselves. Thus, neither relief assistance nor development assistance can **bring** development. But, development assistance can be designed

Table 1: Approaches to Relief

Traditional Relief Approach	Developmental Relief Approach
Victims are helpless and need things that we must provide	"Victims" are active people with capacities
Must do rapid needs assessment	Must do both a needs **and** a capacities assessment
The urgency of needs dictates that speed and efficiency are paramount; we cannot afford to take the time to consult or involve local people	It is never too soon to consider the long-term impacts of outside assistance; from the very beginning, we must respect the ideas and capacities of local people
Physical and material things are the focus	Even if we supply some physical things which people need, we must be sure to rely on and encourage capacities in social/organizational and attitudinal/motivational areas as well
The goal is to meet emergency needs and to get things back to normal	The goal is to reduce long-term vulnerabilities and to support the increase in capacities

to take account of local disaster risks and to work toward preventing and preparing for likely disasters, thereby reducing vulnerability. And both development and relief assistance can be based on an appreciation of local competence, thereby promoting capacities. When this approach is taken, disasters need not represent a complete "set-back" in development efforts. Rather, even in crisis times, people can keep focussed on moving toward development, making progress toward achieving the economic and social security that they desire.

DISCUSSION GUIDE/TRAINING NOTE

PRESENTATION ON CAPACITIES & VULNERABILITIES ANALYSIS

The Capacities and Vulnerabilities Analytical Framework provides the core information for planning and implementing relief projects so that they promote long-term development. Therefore, the concepts of capacities and vulnerabilities need to be well explained to and discussed by the group being trained. People will get additional practice in using these ideas when they discuss the case studies which are provided later in this training manual (see the Discussion Guides for these cases for further ideas on how to explain and train with this framework).

It is a good idea to distribute the C/V Chapter for participants to read before beginning a discussion, but it is also possible for the trainer to introduce the ideas first and then give the chapter to people to read later. We have found that, even though people read the material, it is helpful for them to have someone "talk them through it" as well.

I. START WITH CONCEPTS OF VULNERABILITIES AND CAPACITIES

Presentation of the C/V Framework should begin with a discussion of the concepts of vulnerabilities and capacities. The trainer might help people understand the ideas better by giving lots of examples. For example, if people live in a typhoon area, they are **vulnerable** to typhoon winds (unless they reduce this vulnerability by building typhoon-resistant houses and planting crops that are not damaged by wind or rain). Poverty is a form of vulnerability (as the chapter says) because poor people do not have any kind of margin for survival when their property is destroyed in a disaster. In the social/organizational realm, people who live in war-torn areas or who are members of groups which suffer social discrimination are more vulnerable than those who are members of dominant groups. Communities that suffer disunity are more vulnerable than communities who cooperate with each other. When people care for each other, share their resources, and are neighborly in their interactions, they have capacities to cope with disasters and to initiate basic development.

Some examples of vulnerabilities and capacities are:

Vulnerabilities	Capacities
Regular droughts in areas	Stable, plentiful water
Environmental damage	Fertile land
Low education	High level of skills and knowledge
Few technologies/all imported spare parts	Locally produced efficient techniques for production
Conflict/prejudice	Cooperative, cohesive communities
Fatalistic attitudes/experiences of repeated failures	Sense of ability to bring change and to plan effectively

The trainer and participants can think of many more.

The six boxes or cells of the matrix give the guidelines for organizing vulnerabilities and capacities into three groups. But, there is no one "right" way to classify things. Some capacities or vulnerabilities will be partly physical/material and partly social/-organizational. One example of this might be the skills that people have. Sometimes people will disagree about whether some factor is a capacity or a vulnerability. To understand this, the trainer should look at the case on Yifat na Timuga where one tribe, the Afar, considered themselves strong and maintained their isolation from the surrounding tribes and government structures. Some people will consider this isolation a social/organizational and/or attitudinal/motivational capacity of the tribe; others will consider it a vulnerability. When presenting this idea to the group, however, the trainer should not refer to the Yifat case if the group will be discussing it later. You should use other examples. One might be: close proximity to an industrial base may be a capacity in that it provides jobs and income or a vulnerability in that it poses the possibility of industrial contamination and/or accident.

The trainer should note that the matrix has dotted lines among the six boxes as a way of indicating that these are flexible categories.

II. DISTINGUISH BETWEEN VULNERABILITIES AND NEEDS

Most relief efforts are based on "needs assessments," but they often ignore completely both capacities and vulnerabilities. Vulnerabilities are the deeper roots of the needs that people have in any crisis. For example, after an earthquake people **need** housing. Vulnerabilities, however, include: a) the fact that they live in a seismically active zone; b) their poverty, which means that they build with poor materials or without earthquake-resistant technologies; or c) the fact that there are no laws requiring the use of earthquake-resistant techniques. The trainer should make this difference between needs and vulnerabilities clear (though, again, there are no absolutely fixed categories).

III. ADD OTHER IDEAS TO THE FRAMEWORK TO MAKE IT MORE USEFUL

The framework has the major advantage of being very simple and, therefore, easily remembered. It can also be used flexibly for more complex analyses that can improve project design, implementation and evaluation. The trainer can either cover the ideas below as part of his/her presentation or draw them out of the group through questioning. Some of these ideas are:

A. Differences in the community (disaggregation)

Different members of any community which has experienced a disaster may have different vulnerabilities and capacities. For example, because of the different roles that they play economically and socially, women and men may differ in their C/V profile. Women may have skills and techniques in farming (in some societies) while men may be traders (or vice versa). Women, especially when they are pregnant or lactating, have increased caloric requirements and may be especially vulnerable in famine situations. Different ethnic (or tribal, language, religious, class...) groups in a disaster area may similarly have different C/V profiles. Thus, when doing C/V analysis, it is always important to ask "who has these vulnerabilities and who does not; who has these capacities and who does not?" You can show such "disaggregation" by splitting the six cells as shown in Figure 3.

Figue 3 : Disaggregation

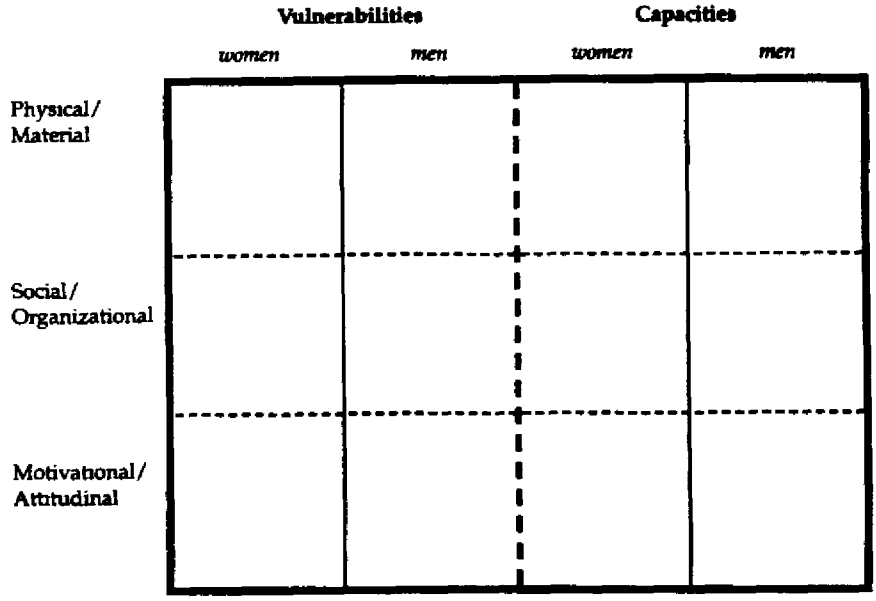
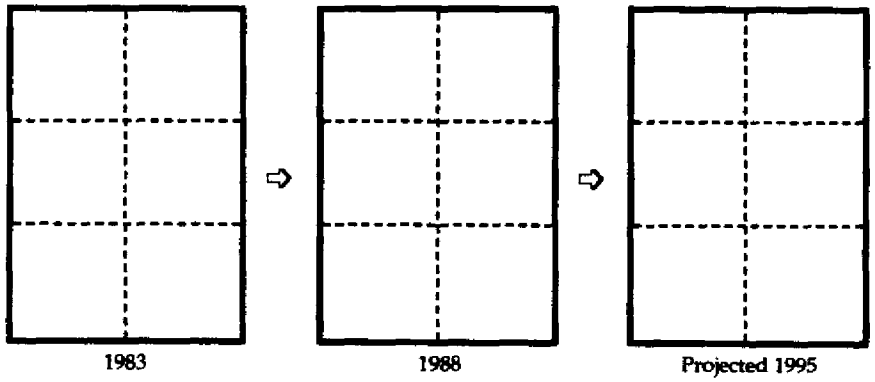


Figure 4 : Changes Over Time



B. Changes over time

The framework may be filled in to represent a situation at a particular time. However, it can be used dynamically to show changes over time if, for example, you fill it in to represent the situation before a disaster, immediately after the disaster, after a relief project has been started, and over the life of the project. One thing that this often shows is that relief efforts might meet people's immediate needs by providing food, housing, etc., but may do nothing to reduce their vulnerabilities to future disasters. In fact, if local capacities are ignored, vulnerabilities may even be increased when people become dependent on outside aid. Some agencies we know of use the C/V framework to monitor the impacts of the projects they support by applying it every few months or years. Figure 4 shows a way of depicting this for the group.

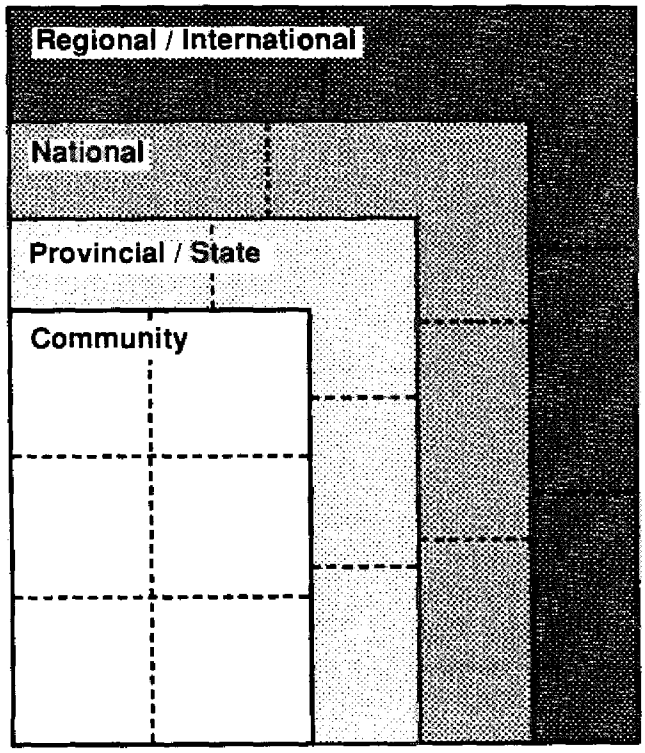
C. Levels

You can use the framework to do C/V analysis at local (village) levels, at larger (regional) levels, or at national or international levels. Some vulnerabilities for a smaller area, such as a village, will lie beyond their own capacity to change. For example, people who live in a village downstream from a dam cannot, usually, affect decisions about when the waters are allowed to flow and overflow. To help understand the **context** in which any disaster-prone group lives, the framework can be applied to multiple social or political layers. Figure 5 helps people visualize these relationships.

IV. POINT OUT WHAT MAKES THIS FRAMEWORK DIFFERENT FROM OTHER APPROACHES

This approach differs from others in three basic ways: a) it reminds people to use capacities (and capacities analysis) as the starting point for considering what to provide and how to provide it as assistance in a disaster; b) it stresses the importance of social/organizational and attitudinal/motivational capacities and vulnerabilities rather than treating only physical/material factors; and c) it distinguishes vulnerabilities from needs and reminds people to look at the deeper, root causes of disasters rather than looking only at their aftermath.

Figure 5 : C/V Analysis Applied at Different Levels



CHAPTER THREE

LEADING CASE DISCUSSIONS

WHY USE CASES: A LITTLE BACKGROUND THEORY

Case discussions are a form of participatory learning based on real-life past experiences. While very participatory, they do not depend on a group's experiencing events together. Rather, the group works with a shared text about past events and examines that history together. Although the case events are not immediate, observable, or shared in the same way that roleplays, simulations and other exercises are, the advantage of using case histories is that the group can draw on a wider set of experiences than they can have.

Traditional teaching methods emphasize lectures, note taking, rote memorization of concepts and facts, and "right answers" provided by the teacher. Therefore, participatory learning is new and strange for many people. However, we all learn through experience and from stories we hear from others (friends, parents, or elders). The use of case studies draws on this familiar process.

NOTES ON HOW TO INTRODUCE CASE DISCUSSIONS

The trainer or discussion leader should introduce case discussions with a brief talk about the process before the first case is assigned for reading. The following points can be included in such a talk:

1. We all learn from stories—it is part of the folk process and a lot of how we learn from our families and friends/colleagues. Case studies are merely a more structured way to present the story of someone else's experience from which we can learn.
2. Cases help us explore situations in which there is not a single "right" answer, but where there are several options for action and we must make choices. Case discussions prompt us to explore different options and their consequences, and to gain practice as decision makers in situations similar to those we may face.
3. Every new situation is unique, but we always draw on past experience to guide us. Case discussions provide a way to learn from many people's experience without having to live through it all ourselves.
4. The case discussion process is **participatory**; we get out of it what we put in together. It is an example of 1 + 1 = 3; the sum is greater than the parts when we all bring our experience to the examination of a case. There are no experts here—or, rather, we are **all** experts, and everyone's viewpoint is valued.
5. There are two main ingredients to this process: our experiences and the information in the case. However, we are adding a third ingredient, Capacities and Vulnerabilities Analysis, as a means of understanding the relationship between disasters and development.
6. There are three steps in the case discussion process: individual reading of the case, small group discussion, and, finally, whole group discussion.

Note: Workshop participants sometimes complain that case histories do not provide enough information for them to make judgments or weigh different options. One response to this is that it is difficult to make decisions with only partial information, but all of us are called upon to make decisions without complete information all the time, especially in emergency or disaster situations. In addition, careful reading will show that there is a great deal of information in these cases.

THE CASE DISCUSSION PROCESS

The case discussion process follows the sequence presented below. **Note:** A presentation on C/V Analysis (see Chapter 2) should be given before beginning the case discussions.

1. Individual Reading of the case

The trainer should instruct participants to read the case and the Capacities and Vulnerabilities Framework chapter very carefully at least once. It is best to provide reading time in the workshop schedule (forty-five minutes to an hour, depending on the length of the case). We have found that when you give participants the case to read before the workshop, you can never assume that all will do so. Scheduling time in the workshop ensures that all participants will be equally prepared to discuss the case and the discussion will be fruitful.

2. Small Group Discussion of the case

Divide the participants into groups of five or six to discuss the case. Groups should not be larger than six, so that everyone will have a chance to share his or her thoughts. Direct the attention of the group to the study questions attached to the case, but note that these are only guidelines for discussion, not strict orders. They should discuss what they find interesting. The group is neither asked to come to any agreement nor to report back to the large group; they are to discuss and analyze the case in order to understand it thoroughly. Give groups at least an hour to an hour and a half to discuss the first case. Small group time can be shortened for later cases.

3. Whole Group Discussion

The workshop participants come back together for a thorough discussion of the case, usually for about an hour and a half. This discussion is guided actively by the trainer or discussion leader. The rest of this chapter gives hints on how to run this discussion to promote lively exchange and maximum learning.

GUIDELINES FOR LEADING WHOLE GROUP CASE DISCUSSIONS

The discussion leader's job is to make sure that important areas of discussion are explored and that the group understands the information from the case, analyzes it, and arrives at their own conclusions, defending these on the basis of a careful analysis of the facts.

Lead the Discussion through Questions

The most effective way to lead a case discussion is by **only posing questions**. This is the most important principle in leading case discussions and cannot be overemphasized. **Do not lecture**, but draw insights out of the group by designing questions which direct the conversation. Participants learn more when a discussion

leader avoids offering facts or opinions him/herself, but always turns to the group for these.

Each of the cases in this manual is accompanied by a teaching note, including a few suggestive questions for discussion. These notes and questions should aid in planning how to stimulate a good discussion. Trainers should prepare many more questions to lead discussion in various directions.

Follow a Logical Sequence of Discussion

In general, the trainer should ask questions to lead the discussion in this sequence: 1) facts, 2) analysis, 3) evaluation, redesign, generalizations.

Facts First

A. Lay out the facts regarding **conditions before the disaster and relief project**, using the six-cell C/V Analysis to organize the information. "What were the longer-term capacities and vulnerabilities of the disaster area before the disaster? What were the differences in capacities and vulnerabilities among different groups (women/men, ethnic or language groups, rich/poor, etc.)?"

   Write the analysis, in brief headlines, on a blackboard or flip chart paper, using the six-cell grid. It is particularly important to do this for the first case. During case discussions later in the workshop, the trainer can decide to take a shortcut: write the basic C/V Analysis of the case on the board prior to the whole group session. The trainer can then quickly present these facts and ask the group to add factors or change them, rather than pulling all of this information out of the group. This allows the group to move on to analysis and evaluation more quickly.

B. Look at the facts of the **program responses by the agency**. "What did the agency do in response to the disaster? What were the urgent needs which had to be met? What were the different program elements and how were they implemented? Who was involved in program decisions? In running the program? What resources were used from what sources?" (Also record these elements on the board.)

Analysis

Examine program effects on capacities and vulnerabilities. "How did the program effect the capacities and vulnerabilities of the communities? Which capacities were used and which not? Any negative effects or new vulnerabilities?" (Refer back to the C/V Analysis and the program notes on the board during this discussion.)

Evaluation, Redesign, Generalizations

Explore other program choices and general lessons. "What might the agency have done differently? How might this have affected vulnerabilities or capacities? What lessons does this case suggest for a response to other disasters?"

This sequence of questions ensures that the group is grounded in the facts of the case first, before going on to discuss controversies, to evaluate the agency responses, and to speculate about other options and generalizable lessons. There is no strict rule about this sequence, but we have found that it promotes a useful case discussion, develops skills of analysis, and gives people a system for thinking about capacities and vulnerabilities in their own work.

Encourage Equal Participation

Attempt to draw everyone into the discussion. This can be done by both gently drawing out quieter participants and asking more talkative people to hold back.

Keep the Trainer's Views Out of the Discussion

The trainer should keep his/her own opinions or analysis out of the discussion, even if asked directly. If the trainer disagrees with a participant's analysis, s/he should avoid saying so, but pose a question to the whole group. "Henry is saying that the agency should have used only expatriate staff in order to guarantee impartial distribution of food. Do you agree? Why or why not? How will this approach affect capacities or vulnerabilities?"

Stick to the Case as Written

As much as possible, keep the conversation focussed on the information in the case itself, and avoid bringing in additional facts from knowledgeable people in the group (or from the trainer!). Otherwise, the group will begin to direct questions to someone in the group who becomes the "expert," rather than dealing with the facts in the case. People will also begin to feel that they do not have enough information to engage in the discussion, but will sit back and let the "experts" talk.

Note: At times the trainer will know ahead of time that there are people in the group who are very familiar with the project presented in the case or with the geographic area involved. You can approach such people before the case discussion, asking them to refrain from adding information, because the case process is intended as a training tool designed to engage **all** the participants in discussion and learning. It may be useful, however, to ask such knowledgeable people to comment at the end of the discussion, providing later history or interesting information not included in the case.

Encourage Exploration of a Variety of Viewpoints

The goal is not for the group to come to agreement on a programming approach, or to come up with the "right way" to handle the case situation. Therefore, discussion will be richer if the trainer encourages the expression of a variety of views (and avoids giving his/her approval to one approach). As always, this is done by posing questions to the group, asking if all agree with an opinion already offered. "Do you agree? Why or why not?"

PREPARATION FOR LEADING CASE DISCUSSIONS

Careful preparation is a crucial ingredient to leading a successful case discussion. The following is a suggested set of steps.

1. Read the case thoroughly—**several times!** It is crucial for the trainer to have a detailed grasp of the case.
2. Develop teaching objectives for the case. The trainer should decide what s/he wants workshop participants to learn from a case. For example, the trainer might read the case and decide that it is particularly useful for bringing out a discussion of North-South partnerships among NGOs. Or the case might concentrate on the difficulties of and opportunities for promoting development in the midst of ongoing

conflict. The training notes accompanying the cases offer some ideas about these teaching objectives.

3. Designate a sequence of topics for discussion.
4. Design a question plan. Within each topic for discussion, devise questions that will lead into the topic, explore different aspects of it, and make a transition to the next topic. Actually write out the questions in order to prepare thoroughly. (You will not want to read these during the discussion, but planning carefully and writing them down helps you remember the areas you thought the group should consider.) Decide a strategy for what to do if the group does not respond to a particular line of inquiry. Generate follow-up and alternative questions. You can never have too many questions—you don't have to use them all!
5. Do the analysis of the case yourself. Using the Capacities and Vulnerabilities Analysis six-cell matrix, sort out the information in the case. Also outline the elements of program design and implementation that will be important to the discussion.
6. Make a time plan. Divide up the time allotted for whole group discussion. By what time do you want to move from facts to analysis and from analysis to evaluation and judgments?
7. Figure out how to use the blackboard and/or flip chart paper to record key information (C/V Analysis, project design).

CHOICE OF CASES

Four teaching cases are provided in this manual. The trainer should choose appropriate cases according to the teaching objectives, the project location, and disaster type. For instance, the Yifat na Timuga case from Ethiopia has proven useful for teaching people the basic C/V Analysis concepts. It also deals with issues of drought and famine in Africa. Other cases deal with refugees, typhoon, volcanic eruption, and earthquake in Asia and Latin America. We have found that people learn the basic concepts better if the project described in the first case is from an agency which is not represented in the group and which took place in a geographic area not necessarily familiar to the group. This frees participants from feeling they must defend their own agency's work—which might get in the way of learning about C/V Analysis. Similarly, if a case is used about an area which is very familiar to the participants, they will tend to bring in a lot of facts which are outside the information presented in the case itself. This can also deflect discussion and hinder the development of analytical skills.