

**Disaster Recovery And Build Back Better**  
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**Lecture – 14**  
**Community Participation in Disaster Risk Governance:**  
**Insights from Mumbai**

Hello everyone, welcome to the lecture series on disaster recovery and build back better. In this lecture, I will focus on community participation in disaster risk governance focusing on some case studies in Mumbai, India. I am Subhajyoti Samaddar from Disaster Prevention Research Institute, Kyoto University. Community participation is a buzzword in disaster risk management in disaster recovery and reconstruction and rehabilitation.

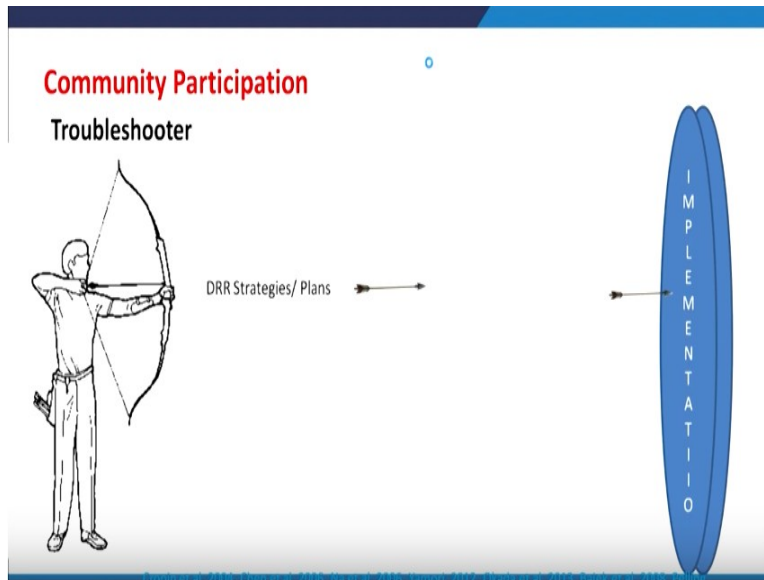
We have to involve community.

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The slide is titled "Community Participation" in red text. On the left, there is a line drawing of a group of people, including men, women, and children, gathered around a table, possibly in a community meeting. On the right, there is a circular diagram of the "Disaster Management Cycle". The cycle is divided into four quadrants: "Mitigation" (top-left, purple), "Preparation" (top-right, blue), "Response" (bottom-right, red), and "Recovery" (bottom-left, green). The cycle is surrounded by a ring of related activities: "Capacity Building" (top), "Risk Impact" (right), "Emergency Response" (bottom-right), "Restoration" (bottom), "Reconstruction" (left), and "Mitigation" (top-left). A yellow starburst is positioned at the end of the cycle. Below the drawing, there is a list of citations: Cronin et al. 2004, Chen et al. 2006, Na et al. 2006, Yamori, 2012, Okada et al. 2013, Bajek et al. 2008, Pelling 2007, Shaw et al. 2009, and Buckland and Rahman, 2002. At the bottom left, there is a logo for "WRCOOR et al. 2010" and a logo for "NPTEL ONLINE CERTIFICATION COURSE".

Starting from the recovery, mitigation and preparedness, activities related to disaster right this is already agreed, and you can see there are so many citations we can give many more citations like that. Now it is a kind of trouble-shooter.

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If you have any problem to implement your strategies and plan you fail to do so, you incorporate community participations, involvement of community, participatory approach that is everybody who tell you okay it is a kind of trouble-shooter. It is like broccoli.

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Everybody would ask you to eat, it is a broccoli in planning in disaster risk management. Nobody would tell you do not eat. Everybody would recommend you to have community participation as a tool to successful implementations of disaster risk management. Now why it is so? that we know that risk is subjective, different stakeholders have different perceptions. So involving community is important in order to incorporate different perceptions, different ideas, needs, and concerns into the management process otherwise people feel that they are cheated.

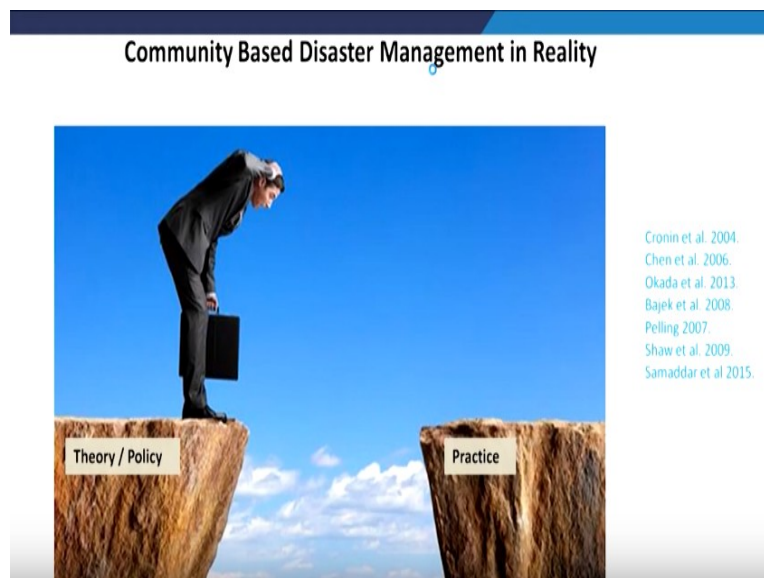
They are not really incorporated into the decision making process. Because they have the stake so they have the right to tell us that what they want what is the concerns they have because we know not only the risk but what is to be done when do we done, how it will be done, who will do it, these policy options are also contested.

So one is the assessment, finding the problem of the risk; another one is the policy options, for that we need community participation. Also in many cases we cannot rely simply on the local government we have to enhance the capacity of the local people. So that just after the disaster they can survive they can manage the situation okay and until and unless the local government or external agencies are able to reach to them.

Also for the sustainability issues, sustainable community we need to improve peoples own capacity. We need to enhance, empower their capacity so self-reliance and using a local knowledge are critical component in disaster risk management. So, therefore, we should promote community participation in disaster risk management. But in reality, there is a huge gap we are asking that okay we need to involve community into disaster risk management.

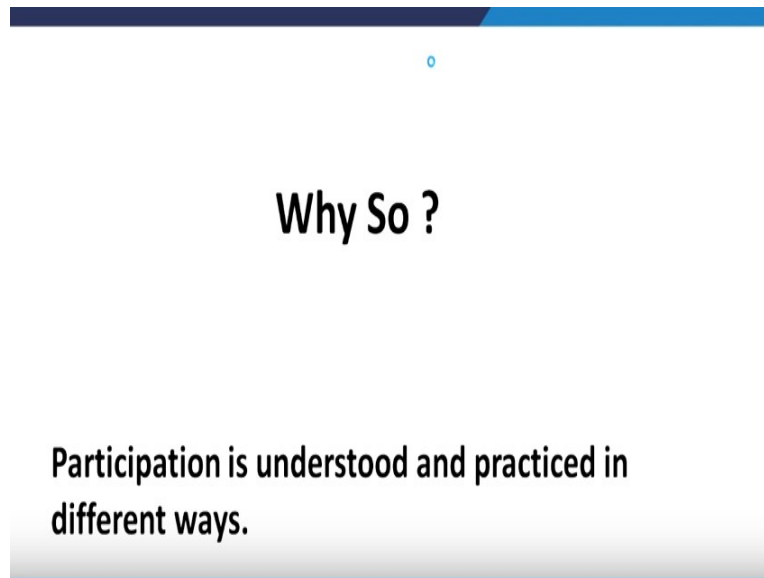
But actually it is not happening.

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There is a huge gap between policy and practice, theory and implementation why? Why after spending so much of time, energy and money, we fail to incorporate communities local communities into the decision making process. Why participatory disaster risk management programs they failed it could be in rehabilitations it could be for the preparedness whatever. So participation the one reason that participation is understood.

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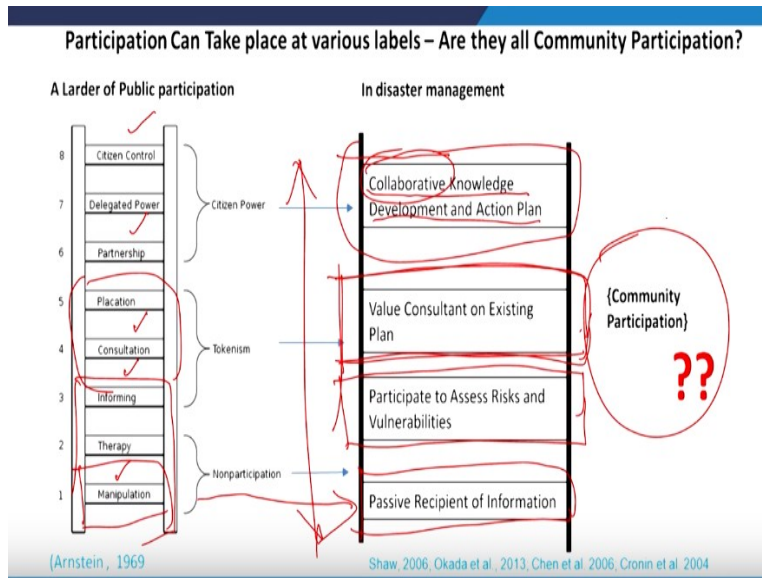
And practised in different manners there is no unique there is the one universal definition of participations okay.

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So how to involve the community into the process into the decision-making process, into the planning process, this understanding remains controversial. We have a lot of understanding of that various people understood participations from daily various perspective. This is one of the classical model developed by Sherry Arnstein.

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And talking about the types of participations a ladder of public participation. If you look into the left-hand side you can see there is starting from manipulations then informations, consultations, partnership, and citizen control. What is that? Let us look let us convert this model in disaster risk management context. When we are talking about manipulation kind of thing or only informations kind of thing okay it leads to that community is a passive recipient of informations.

We only provide information to the people telling them you do this you evacuate you raise your plinth level okay. These simple things that we experts know everything and we are passing telling the people what to do and they just get the informations, receive it, and they will follow our instructions okay. So that is a simple model that we follow. Another one is kind of tokenism okay or consultations.

Some people are saying in case of disaster risk management that our focus is not that people are not passive recipient, but what we do then we actually involve them in understanding the risk because we know people have different understanding of the risk. So we should simply ask them

to participate to tell us along with the expert that what are the risk they think they are vulnerable to okay.

So just for the risk assessment we involve them. In little higher level value consultations we not only involve them in assessing the risk, estimating the risk but we prepare a plan most of the cases in urban planning we prepare the plan and then those who are living in this areas those who are the citizens or the stakeholders we invite them, and we show them, hey we prepared this plan now tell us this plan is good or not.

They did not prepare the plan we prepared the plan experts, authorities, implementing agencies they prepared the plan, and they are asking common people that what are the gaps there what are the components to be incorporated into this decision-making process. This is still a kind of consultations, kind of question, a simply kind of question of consultations.

Some more radical people in participations, they are saying this is not even enough what we need, we need collaborative knowledge and action plan development collaborative, collaborative knowledge. In that process, the community and the local leaders along plus the experts or the external agencies they should sit together, they should share informations with each other. Community from their own experience, from own local knowledge, and the expert from their own expertise scientific understanding.

They would also provide input to the project and then both of them together by sharing and exchanging informations would develop first they would understand the problem what are the risk they are facing and how it can be solved and what are the options, tools and strategies that we can adopt. So this is another way of looking into the participations.

But starting from the bottom to the top bottom to the top, everybody is saying that I am doing community participations. Any project you open they would say that our project is participatory. But it could be just participatory means providing informations, or it could be just a value consultations with the people, or it could be at the collaborative knowledge or plan development. Then if all of them are participatory, then we are lost.

So, therefore, people have different understanding; there is no universal definition of participations. Given that it is a really challenging to incorporate community into the planning process, not only that, we have different participatory tools. In case of disaster risk management.

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### Different Participatory Tools and Techniques –

(Participatory Risk Mapping, Disaster Games, Participatory Rural Appraisal, Yonnmenkaigi .....and so on)

- But only one objective, Community Involvement in Disaster Management Decision.

The collage contains the following elements:

- An illustration of a group of people, including men and women, engaged in a community meeting or discussion.
- Five cards with icons and text:
  - 1. I share your choice (You or I?)
  - 2. I discuss your choice (You or the case)
  - 3. I find out what I must (Priority or emergency)
  - 4. I get game points based on the results
  - 5. I exchange ideas... exchanging ideas and/or published by others
  - 6. I can meet ourselves and fight to disaster reduction risk
- A map titled 'Community - 100 Disaster Risk Management' showing a coastal area with a 'Flood level - 200 Year Event' overlay.
- A 'Current Practice' map showing buildings and infrastructure.

We have risk mapping, we have Yonnmenkaigi system method or Foursquare table method or maybe disaster games or maybe some scenario development or some interactive workshops. So these all are considered to be participatory tools, that means a tool to involve local community into the participatory process. We have so many tools now these tools they vary from each other.

In terms of their structure, in terms of their method, in terms of their time, resources, skill, they vary from each other great extent the way you conduct Yonnmenkaigi you cannot conduct the game. But all of them, all participatory tools, they have one common objective that is they wanted to involve community into the disaster risk management process.

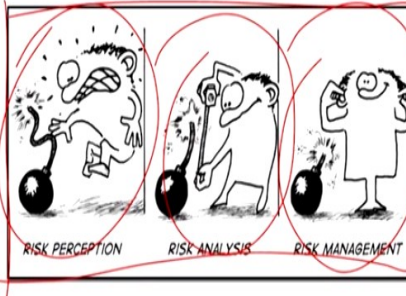
When I am a practitioner, I am very confused which tool to take which tool to adopt in order to effectively involve community into the decision-making process, I do not know! Then which one I should try on what basis that is a real dilemma being a practitioner I would like to ask this question to the expert. Another problem is that when we are talking about various kind of participatory exercises.

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## Purpose and Scope

Researcher also varies in opinion about the scope and purpose of the participatory exercise.

- Na et al (2009) and Okada et al. (2013): Tools are used only to aware citizen about the risk but not how to manage them.
- If people do not know **what to do**, it makes them **fatalist**.



They also vary in great extent that how they are what is the purpose of that exercise is it just focusing on understanding the risk or peoples perceptions or is it also that how to manage the risk. Some studies is showing that most of the cases disaster risk management participatory tools their focus is on understanding the risk awareness. But they have less focus on how to manage the risk.

So if people do not know what to do it makes them fatalist, it makes them frustrated. That if I do not know only knowing the risk is not easy, so they prefer not to participate. Another one is that when we conduct participatory exercises, it is a kind of art and a kind of skill, it depends on what language you are using during the exercise, are you using local knowledge, local language or the foreign language.

What is the experience of the facilitator what extent he is knowledgeable skilful his experience or her experience that matter. Somebody has lot of experience he or she can deliver much better than a new person a fresh person. This is a practical professional things also it is where which place you were conducting participatory exercise is it inside the community outside the community also it time another variable that how long it takes?



Does it take a long time, does it take short time okay? So these variables should be considered when we want effectively to engage community into the decision making process. Also there is a question of control of exercise or facilitation process.

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**Facilitation Process and Control of Exercise**

Who will participate, when will participate, what should be discussed, number of participants

- Rigid and highly controlled **VS** . Flexible, less controlled

**Yamori (2009)** : Who will control the rules of the exercise ? Facilitators?

The slide features two illustrations of fish. The top illustration shows a large black fish on the left eating a cluster of smaller black fish on the right. The bottom illustration shows a large black fish on the left eating a large group of smaller black fish that form the body of another large fish on the right.

In many extents, some people argued that the facilitator he controls everything who will participate, when will participate, What should be discussed, the number of participants?. So with these though is the kind of participation questions but everything is decided by the facilitator, so he has the power to control everything, so he put someone on behalf the power to others instead of being a gigantic one by small, small effort, a big fish is eating everyone.

So this should be controlled, considered when we are considering about participation of communities in disaster risk management. Also, the question of the benefit and functions of community participations like these some of the outcomes.

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## Benefits/ Functions of Community Participation

- Awareness
- Better accepted decision
- Conflict resolution
- Improved preparedness.
- Empowerment and self-reliance of the community



(Shaw, 2006; Pearce, 2003; Chen et al. 2006).

These are outcomes that we often consider that comes from participatory projects like if we involve community that will actually increase peoples awareness. It will give better accepted decisions. It can also resolve conflict among stakeholders; it can improve preparedness, and it could empower the people. They have more willingness to participate, and they are more self-reliant, and they can do by themselves without external help.

These are fine, but the problem is that these outcomes, these claims by different organizations both government and non-governmental organisations, both practitioners and the researchers, the problem is that we do not have enough evidence empirical evidence that these claims are really true that through involving community into the decision-making process we can really achieve that one, we can really achieve this one this is still unknown.

Nevertheless, we are claiming that our project is better our exercise is better so if we do not know how to make this one how to deliver this kind of outcomes then it is very difficult to scale up one project to another place. The project that is appropriate in Roorkee may not be appropriate in Delhi, may not be appropriate in Dehradun. So we need to know what to do them, another problem is that there is no single nomenclature of participations or participatory based disaster risk management.

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## No Single Nomenclature

- Community Based Disaster Management (CBDM) (Shaw et al. 2009; Buckland and Rahman, 2002; Allen, 2006)
- Integrated Community Based Disaster Risk Management (CBDRM) (Chen et al. 2006)
- Participatory Disaster Risk Management (PDRM) (Bajek et al. 2008; Pellon, 2007)
- Local Level Disaster Management (Lavell et al. 2005; Maskrey, 2011)
- Multi-stakeholder Participation
- Collaborative Disaster Risk Management (Na et al. 2009; Okada, 2013)

We give it so many names for example community-based disaster risk management CBDM, integrated community-based disaster risk management, participatory disaster risk management, local level disaster risk management, multi-stakeholder participations, collaborative disaster risk management they all are considered to be participatory, but they have a different name. For a practitioner, laws of their community is very confusing that how they are different.

Why they are given different names? it actually makes the situation complex. As a result what we are finding across regions across nations across globe that participatory programs participatory exercises projects that is if it is called in somewhere good successful or effective we are not able to transfer these knowledge into another place. They are saying that is very localised site-specific we cannot translate that one.

So there is a huge gap between theory and practice okay. So then what we need to do what, how we can solve this problem? Some people are saying that we can solve this problem by developing a framework we need to kind of evaluation, evaluation that what works and why not so for that we need evaluation, and for that evaluation we need some framework. So participatory disaster risk management should have one framework through which to the kind of benchmark.

Through which you can tell okay this project is working well, and this project is not working well to involving community into the decision making process. So there are a lot of theories on that, but if we can accumulate those theories summarise them we can actually get a picture of a kind of synthesis of this one. What we found is that the most of the arguments are coming in two pillars or kind of two components two major components.

One component is the processed base criteria that there is a process that a participation should follow and there is an outcome that we can get from participations. So what is the process?

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Do We Need a Community Participation Framework?

What is a **SUCCESSFUL** Community Participation ?

**Process Based Criteria:** The process-based approach relates to –

- The pathways to achieve the expected outcomes.
- The mechanism to be adopted, by who and when etc. in order to achieve expected outcome.
- To evaluate the quality and characteristics of the means or participation exercise,
- Criteria : early and continued engagement of the community, representation of relevant stakeholders, fairness, capacity building, incorporating local knowledge, good facilitation and resource availability

A photograph showing a person's hand pointing with a blue pen at a whiteboard. The whiteboard contains a hand-drawn flowchart or process diagram with various boxes and arrows, illustrating a process-based approach. The text on the whiteboard is partially visible and includes the title 'The map of the...'.

This is a pathway to achieve the expected outcome that I want to go there, so I have to follow some functions, some steps some measures is a kind of mechanism to adopt who will add, who will join, when and what extent he will be joining and evaluate the quality and characteristics of the means of participations like early and continued engagement of the community, representation of relevant stakeholders, fairness, capacity building, incorporating local knowledge, good facilitation, resource availability these should be considered as participatory.

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### **Outcome Based Criteria** : Participation

from the 'outcome' perspective is considered to be

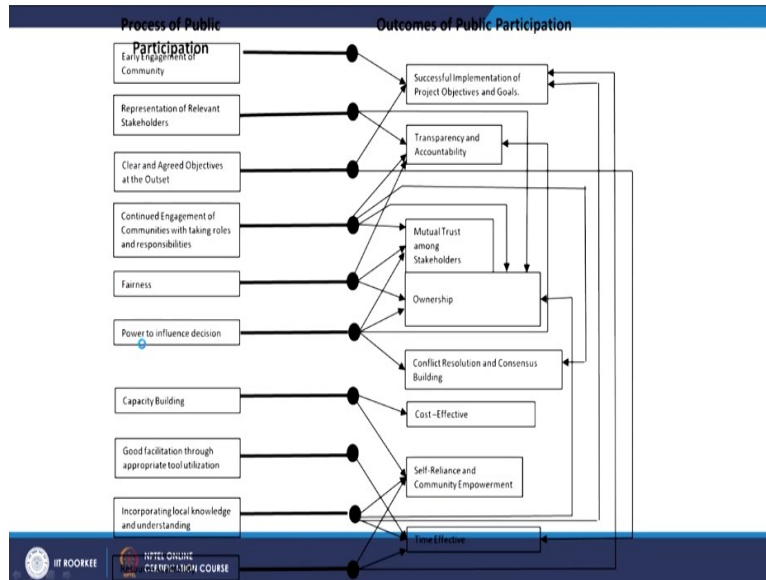
- Effective on the basis of the results of the exercise.
- Mechanism to channel community's demands, reduce delay in difficult decisions-making, enhance ownership feeling, and build consensus etc.
- Ensures mutual trust and respect, ownership, transparency and accountability, conflict resolution and consensus building, cost and time effectiveness



Then we have outcome-based criteria; these are participations from what we can achieve from the participations what are the outcomes it not necessary that if you follow a particular process an ideal process of participation it not necessary that it would deliver you a good outcome good effective outcome. So then outcome-based criterias we expect that what are the results expected desired results okay.

And what are the mechanism to channel communities demand, reduce delay in difficult, decision-making, enhance ownership, build consensus etc and ensure mutual trust, respect, ownership, transparency, accountability, conflict resolution and consensus-building, and cost and time effective.

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So based on that we can actually develop these framework. On the left-hand side we have process of public participation, on the right-hand side, we have outcomes of public participation like for the process of public participations we may consider early engagement of the community and representations of. So early engagement of the community it means that community should be involved from the very beginning of the participations.

It is not that they will suddenly call for involving in construction process in a build back better situations, but we should first let know that what is the existing problem what are the concerns there what are the prevailing issues there okay and then representation of the stakeholders. Community is not a black box there are a lot of differences among themselves some is based on class, based on gender, based on caste, status.

So we should ensure, try to ensure that all the representative of all sections should participate into this process. The third criteria process-based is the clear and agreed objective at the outset. Many cases that we discussed with the community but we do not have any agreed objectives, or maybe we do not have any clear objectives. It is always evolving, so it is better to make a very clear objectives.

Okay these are some of our goal, and that we would like to achieve so this will give the community an idea that what they can expect from this project and we can reach to a consensus

in the very beginning at least some tentative consensus that okay. This is the outcome, and we can go ahead for that. Then another one is that continued engagement of the community okay it is not that you asked them invited them to participate in the very beginning and then you forgot them.

No, you should not forget them you should actually continue consultations with them involving them in every sphere of the planning process. What is the problem? What is to be done? Who will do it? How do we do?. So their roles and responsibilities should be also mentioned so that community feel kind of ownership and okay I am in the project these are my involvement and so it will create a more accountable and transparent picture to them about the project.

Fairness: fairness is a kind of component that we discussed that we are saying that okay is sometimes people participate but it is just a physical participations they do not have any power or the freedom to express their own opinions.

In case of in a village maybe there are upper caste and lower caste people, they are involving into this process in discussions and some of the dominant caste dominant class, they do not allow the lower caste people or lower class people to talk freely to propose any new topic or to suggest any new strategies. So that should not happen, everybody should have the fair and equal right to discuss and suggest on disaster risk management.

Then another participatory component is the power to influence the decisions we should remember that many cases people are invited, people are engaged, but maybe the financial agency the major financial resources that is coming from the external agencies. Community has less contribution financially then what is the case that the external agency they consult with the community they involve them throughout the process, but when they make the decision, when they make the plan there is no reflections of community's opinions observations and suggestions.

So community has a very less power, very less stake to influence the decisions. But for the governance power is very important. Community should be involved into the decision-making

process. They should control the decision-making process they should enjoy certain amount of freedom and power.

Capacity building, capacity building means that the community in order to engage with other stakeholders to negotiate with other, to bargain with other, or to involve in discussions critical discussions they should have certain knowledge or skills. Sometimes because of lack of education or illiteracies or remoteness of the place or remoteness of their exposure to external agencies or external like media. Some sections of the community or few communities they have less this kind of knowledge technical knowledge or outside knowledge or external knowledge or formal knowledge.

Therefore they cannot effectively negotiate with the external agencies so they should have these power to bargain with the other so that we should improve their knowledge and capacity also they should be able to depend, trust themselves okay, this is important.

And good facilitation process; there should be enough skill like face to face and using local language not to widen the scope of the program exercise. These are some of the components we should consider in the facilitation process so it is a kind of art and skill of the facilitator to conduct effectively participatory tools. So that we should consider in when we are involving community good facilitation.

And then we need to incorporate local knowledge. Many cases that latent knowledge, tacit knowledge that are important. So we should try to grab that knowledge people experience, people use their experience and their traditional living with the same place that develop a knowledge and that that can even.

And also the resources like they have sands muds these should be or trees whatever natural and other resources they have and knowledge they have that should be used it could be all makes the project more cost-effective, and they can feel their ownership, and also there should be some resource available okay.



And another one is the outcome of public participation, like participation should be successful in terms of implementations. It is not that we are making a plan we are talking and then we forgot about everything. We should make it very clear that what are the outcomes of the projects.

Transparency and accountability, like that what is the cost of the projects, who are benefiting out of it okay. This kind of things should be very clear. Accountable, what is the distribution what are the roles people are playing.

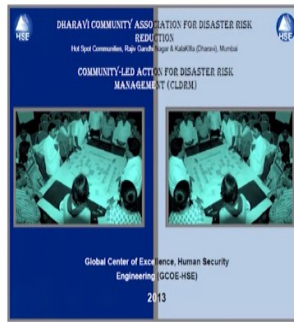
Mutual trust, that should be achieved through participations, stakeholders should believe among themselves they should be able to resolve conflict, distrust among themselves that would called an ideal participations.

Ownership feeling that when you are achieving when you are finishing some projects, the project is made for the community themselves. You are reconstructing new houses it is for the people who are affected by a disaster. So in the end of the project people should own it they should not refuse that houses, if they refuse that houses we feel that there is no ownership. So we should make sure that a successful participation means that people get these ownerships from the project.

Conflict resolutions, as I said that if there is a kind of distrust may not be we always be able to reach to an agreed decisions but at least one group should know that what are the concerns what are the problems there from another perspective, from another groups perspective, so there is kind of shared knowledge, shared understanding, and shared interest that should be there.

And cost-effective, using local knowledge and other natural resources locally available resources and involving people their labour their roles and responsibilities would effectively reduce the cost that would be self-sustainable. They do not need to exploit the nature at tremendously or do not need to depend on others okay. So that will easily lead to kind of self-enhance, self-reliance kind of questions so if they have any plan they can pursue that plan without depending on any external agencies.

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Community Led Disaster Risk Management Plan (CLDRM)

### Lesson learned – Critical components –

**Putting the community in the driver's seat instead of only inviting them for consultation on an existing plan about a predetermined issue.**

Another one is the time effective that if the project should be finished within a particular time, it should not be too long, should not be too short, so these are the criterias of public participations. I will try to give a picture from different case studies like public participations in Mumbai, in Ghana and also in Gujarat okay. So thank you very much for listening this lecture and I will introduce to you in other lectures.

Some of the case studies to see that how we can apply these ideas okay.

Thank you very much.