INTERACTIVE PARTICIPATION IN RAPID ONSET NATURAL DISASTERS
An analysis of ACFs emergency responses between July 2012 and July 2013

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This thesis is submitted for obtaining the Joint Master’s Degree in International Humanitarian Action. By submitting the thesis, the author certifies that the text is from his own hand, does not include the work of someone else unless clearly indicated, and that the thesis has been produced in accordance with proper academic practices.
Abstract

The purpose of this thesis is to investigate how programs that are emergency responses to rapid onset natural disasters incorporate interactive participation. Interactive participation in the context of rapid onset natural disasters is an unexplored topic within literature, providing a clear research gap for this study. By complementing theoretical knowledge gathered through the literature review with an analysis of the actual practices of a humanitarian actor, the aim is for the findings of the study to be helpful for humanitarian professionals regarding the design of future participatory approaches that aim to be sustainable and empowering.

Four emergency response programs of Action Contre la Faim (ACF) serve as case studies for this thesis. Eligible programs for analysis had to have a level of participation embedded within them, and constitute an emergency response to a rapid onset natural disaster between July 2012 and July 2013. Each case is analysed individually on the presence of the six factors that constitute interactive participation. The statistical process used to analyse the data in this thesis is a qualitative content analysis, based on a deductive category application.

After the data analysis, the main research result is that not all factors of interactive participation are present within ACFs responses to rapid onset natural disasters, with one of the six factors missing in its entirely. However, a quite significant finding is that five of the six factors are present within ACFs programs. The current research thus presents empirical evidence that proves that it is possible to a certain extent to implement factors of interactive participation that facilitate empowerment and sustainability in such contexts. The main conclusion drawn at the end of the study is that further research is necessary in order to continue both theoretical and practical advancement on the topic of interactive participation in the context of rapid onset natural disasters, in order to assure the accountability to beneficiaries and affected communities in the these contexts. The current research aims to increase the understanding, both on a theoretical and practical level, regarding interactive participation, its constraints and most importantly, its possibilities in the context of rapid onset natural disasters.
Preface

Writing this thesis has been a challenging yet rewarding experience. Throughout the process, I never once felt like I was in it alone, and I would like to take this time to acknowledge those who contributed to this.

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Chapter 1: Introduction

1.1 Background

For a long time, the language of participation was spoken primarily by development theorists and humanitarian idealists (Mitchell 2007). Participatory approaches entered the humanitarian discourse in the 1990s, when the classic humanitarian principles of humanity, independence, neutrality and independence were brought together with modern principles derived from development, including accountability and participation (Hilhorst 2005). This movement to participatory approaches in humanitarian assistance was sparked by criticisms on shortcomings and failures of humanitarian missions, as well as an increasing presence of development agencies in the humanitarian field, which lead to merging ideas and inclusion of participatory approaches in humanitarian programs. Consequently, the humanitarian community saw the emergence of an emphasis on strengthening humanitarians’ accountability to beneficiaries, and on approaches that place people at the center of humanitarian responses (idem). By now, the concept of ‘participation’ has become a buzzword in the humanitarian aid sector and participatory approaches have become popular up until the point that it would be difficult to find an organization that has not integrated it into its programming (Kapoor 2005).

The involvement of beneficiaries in the design, management and implementation of humanitarian assistance programs that affect their lives is taken up in key humanitarian aid reference and standard setting documents. For example, principle 7 in The Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief, for example, mentions “ways shall be found to involve programme beneficiaries in the management of relief aid” (International Federation of Red Cross and Red Crescent Societies & ICRC 1996, p.4). Furthermore, the Sphere Standards, which describe the minimum conditions that must be achieved in a humanitarian response in order for disaster-affected populations to survive and recover in stable conditions and with dignity, has the inclusion of affected populations at the heart of its philosophy. In the first core standard, it recognizes that the “participation of disaster affected communities and their capacity and strategies to survive with dignity are integral to humanitarian response” (The Sphere Project 2011, p.53).
There are many reasons for organizations to use participatory approaches in their programs, and to make the local population central to humanitarian response. Reasons include the acknowledgement of respect for the dignity of the people, legitimization of aid effort, enhanced efficiency of aid and improved knowledge and sustainability of the programs (Hilhorst 2005). Participation means different things to different people, and actual practices with regard to participation in a program depend on the outcomes the organization intends to achieve with the participatory aspect. This thesis focuses specifically on the type of participation that facilitates specific beneficiary-centered outcomes: sustainability and empowerment. This type of participation, labeled by Pretty (1995) as interactive participation, will be studied specifically in the context of rapid onset natural disasters only.

1.2 The research gap
The context of rapid onset natural disasters is one in which the concept of interactive participation specifically is not yet explored. Even though the importance of participatory approaches is emphasized in important reference documents for the humanitarian aid sector, in literature, the main focus regarding participatory processes have been related primarily to development practices (Mitchell 2007). Guides on how to set up participatory programs exist, but are mostly based on developmental theories rather than on specific experiences gained from the humanitarian environment (idem). In 2003, the Active Learning Network of Accountability and Performance (ALNAP) published “Participation by Crisis-Affected Populations in Humanitarian Action: A Handbook for Practitioners”, written by the Groupe Urgence Réhabilitation Développement (URD). The handbook is based on comprehensive research in five different humanitarian emergency situations - Afghanistan, Angola, Democratic Republic of Congo, Columbia and Sri Lanka – and offers practitioners information on what participation in humanitarian assistance involves, and how in conflict situations and disaster environments, affected populations can be given greater roles in decisions that affect their lives.

Humanitarian practitioners often meet participatory approaches in the context of rapid onset natural disasters with hesitation (ALNAP 2003). This research focuses on interactive participation in the context of rapid onset natural disasters specifically. The Handbook for Practitioners published by ALNAP presents the participation of affected communities in the
context of rapid onset natural disasters (as well as other types of humanitarian emergencies) in a *general form* – presenting to practitioners the multiple types of and approaches to participation in different emergency contexts. The handbook presents a one-of-a-kind roadmap for humanitarian practitioners for involving affected communities in the design and implementation of humanitarian programs. However, it remains very general in the sense that it does not provide practitioners interested in implementing a participatory approach in order to facilitate empowerment and sustainability, with specific details on what that entails exactly. Interactive participation, which facilitates such beneficiary-centered outcomes, has not been studied in the context of rapid onset natural disaster, and this thesis addresses this gap.

### 1.3 Research question

Stemming from the background information and the gap presented above, this thesis aims to answer the following question:

> *How* do programs incorporate interactive participation that facilitates beneficiary-centered outcomes in rapid onset natural disasters?

In order to answer the main research question, the following sub questions will be answered throughout the chapters of the thesis:

1) What are, according to theory, aspects of interactive participation that facilitate beneficiary-centered outcomes that need to be present in a program?

2) What factors can be explained as a constraint to implement these identified aspects in the context of emergency relief response to rapid onset natural disaster situations?

3) What are the actual practices of a humanitarian actor with regard to interactive participation in the context of its emergency relief response to rapid onset natural disasters?

4) Are the analysed programs designed in such a way that they promote interactive participation that facilitates beneficiary-centered outcomes?

In order to answer the research question, this study uses two methods. Firstly, in order to compose a theoretical base for this thesis, a thorough literary review is conducted. Relevant data sources available through digital databases available through the Rijksuniversiteit
Groningen as well as Uppsala Universitet are consulted. Furthermore, the qualitative data analysis of four case studies is performed by means of Philipp Mayring’s Qualitative Content Analysis. Chapter 4 discusses the research methods used to generate research results in greater detail.

1.4 Aim of the study

The purpose of the study is not to analyze whether programs have actually been successful in benefiting the beneficiaries through its participatory methods. The purpose of the study is to analyze how programs incorporate interactive participation in the context of rapid onset natural disasters.

ALNAP (2003) mentions that learning about participatory practices is necessary for the humanitarian community to mainstream participation into humanitarian responses and in order to improve sector-wide progress towards this aim. This thesis aims to contribute to this learning, and specifically to the use and knowledge of interactive participation in humanitarian situation in the context of rapid onset natural disaster.

By evaluating the practices of a main actor in the humanitarian field with experience in rapid onset natural disaster emergency relief response, Action Contre la Faim (ACF), the aim is for the findings of the study to be helpful for humanitarian professionals regarding the design of future approaches regarding interactive participation in these specific contexts. Therefore, this learning will be not only be based on theoretical knowledge gathered through the review of relevant literature, but will also be made practically useful by complementing it with a data analysis of the experience of ACF in the field. Overall, the thesis aims to be useful for practitioners and researchers alike for ensuring that accountability is improved to beneficiaries and affected communities.

In addition to the aforementioned practical contribution and purpose, this research also contributes on a theoretical level to literature. As the concept of interactive participation specifically in the context of rapid onset natural disasters is a not yet explored topic, this research makes an academic contribution by providing a theoretical initiative on which future learning can be based.
1.5 Structure of the thesis

The thesis commences with the construction of a theoretical framework. The theoretical base for this research is separated into two chapters. The first theoretical, chapter 2, answers the first sub-research question, and regards interactive participation specifically. The second theoretical chapter, chapter 3, regards rapid onset natural disasters specifically. At the end of the two chapters, the theoretical constructs will be linked together in a theoretical framework, and the first two sub-questions will have been answered regarding interactive participation in the context of rapid onset natural disasters. Chapter 4 constitutes the methodology chapter, which describes and explains the research methods employed to generate an answer to the main research question. Consequently, chapter 5 will present the findings generated by the performed analysis. This chapter addresses the third sub-question regarding the actual practices of a humanitarian actor with regards to interactive participation in the context of its response to rapid onset natural disasters. In chapter 6, the findings will be interpreted and discussed, and mirrored with the theoretical framework presented in chapter 3. Finally, the research is completed with a concluding chapter, which will summarize the main research results and provides recommendations for future research.
Chapter 2: Theoretical Framework

Interactive Participation and beneficiary-centered outcomes

2.1 Introduction

This chapter constructs the first part of the theoretical framework, and answers the first sub question identified in the introduction: “what are, according to theory, aspects of interactive participation that facilitate beneficiary-centered outcomes that need to be present in a program?” The chapter answers this question by means of demonstrating what is currently identified in relevant literature regarding interactive participation and its facilitating nature to beneficiary-centered outcomes. In order to do so, the chapter will present the different outcomes of participation that serve as reasons why organizations may decide to implement programs using a participatory approach. This distinction and clarification between different outcomes of participation is necessary to demonstrate in the following section why it is *interactive participation* that facilitates beneficiary-centered outcomes over other types of participation. From there on, the specific characteristics which ought to be in place for specific participatory aspects of programs to facilitate beneficiary-based outcomes are identified in order to answer the previously presented sub-question which guides this chapter. First, an overview of the evolution of participatory approaches will be provided as an introduction to the topic, and in order to understand how the language of participation emerged.

2.2 The evolution of participatory approaches

As the concept of participatory approaches evolved within the development discourse, and the evolution of such approaches are discussed primarily relating to development, the evolution of the concept will be discussed in this context. The following section presents the results of the literature review performed to introduce the evolvement of participatory approaches. First, it will discuss the failure of traditional approaches to development, which contributes to the need for an alternative approach to development: participatory approaches.

2.2.1 Failure of traditional approaches to development
Academics repeatedly attribute the evolution of the concept of participatory approaches to a failure of traditional approaches to development (Eversole 2003; Kapoor 2005; Ife and Tesoriero 2006). Coming forth from the modernization theory, these traditional approaches to development are centered around the idea that the road to development for countries residing in poverty is to ‘simply’ follow in the footsteps of well-developed western countries (Mefalopulos 2008). Furthermore, the approach assumes that the modernization of a nation takes on a universal pattern, which is precisely the basis for critique of the theory (Ife and Tesoriero 2006). Primarily, critique revolves around the idea that this universal take on development fails to take into consideration the cultural differences in nations that could influence development (Bernstein 1971). Cavalcanti (2007) agrees, stating that this top-down, interventionist and modernist interpretation of development is an act of “cultural violence committed against communities in the name of development” (p. 90). According to Bernstein (1971), it is indeed the generalizations and expectations relating to this modernization theory, which are linked to western concepts of development, that ultimately led to the failure of traditional development programs. Furthermore, overthrowing and adjusting in-place systems to western standards did not prove beneficial to the intended beneficiaries, instead often leaving them worse off then before while primarily benefitting the local elites (Bernstein 1971, Ife and Tesoriero 2006). In addition to Bernstein (1971), Dagron (2006) attributes the failure of these traditional development programs to the fact that they are not linked to the population they are supposed to serve, as well as to the fact that knowledge in development programs is often perceived as a vertical, top-down operation, where beneficiaries are seen as passive recipients of aid by aid implementers, and not as active partners to development.

2.2.2 An alternative approach to development

An alternative approach to development was deemed necessary, and in this a shift towards the participation of beneficiaries was seen as a core idea. This call for an alternative approach to development was led by activists Paulo Freire in the 1970s and Robert Chambers in the 1980s (Ife and Tesoriero 2006, Cooke and Kothari 2001). The shift towards beneficiary participation in development programs emerged from the aforementioned criticisms regarding the shortcomings of traditional top-down approaches to development, as well as from the ineffective programs resulting from externally imposed
and primarily expert-oriented views (Cooke and Kothari 2001, Kapoor 2005). Rather than assuming a superiority of knowledge of the aid implementers and imposing programs which are designed by nonlocals and executed by external implementers, a participatory development approach assumes that beneficiaries can bring distinctive experience to a program and that their knowledge can be a (re)source for local development (Eversole 2003). This approach to development receives recognition as it allows people to become ‘masters of their destiny’ and avoids that local populations become dependent on other people’s interests (Ife and Tesoriero 2006). Thus, a participatory approach to development makes beneficiaries central to development and involves them in decisions, initiatives and resources that influence and affect their lives (Eversole 2003, Cooke & Kothari 2001).

Up to this point, the literature review has briefly introduced the concept of the participatory approach as it evolved within development discourse, and why it is considered to be important. The specific outcomes of participation and the reasons as to why an organization may decide to implement using a participatory approach will be discussed in more detail hereafter. Good participation means different things to different stakeholders, and actual practices with regard to participation in a program depend on the outcomes the organization intends to achieve with the participatory aspect. Indeed, Zomorrodian, Gill, Samaha and Ahmad (2013) mention that the concept of including beneficiaries in programs has different implications for the parties involved. Thus, in order to answer the first sub question and demonstrate what aspects of interactive participation within a program facilitate beneficiary-centered outcomes, it is necessary to first clarify the different outcomes possible from participation generally, and more importantly, explain the beneficiary-centered outcomes in more detail. This will be presented in the following section of this chapter.

2.3 Reasons for participation

After having described the evolution of participatory approaches, the thesis will now go into more detail about the different reasons as to why an organization may choose to use a participatory approach within its programs. It is important to demonstrate and clarify the different outcomes possible from a participatory approach in order to exhibit more clearly later on in the research that different types of participation facilitate different outcomes. One can take a look at the outcomes of participation from two different theoretical
perspectives, organizational-centered outcomes and beneficiary-centered outcomes. For the purpose of this thesis, the outcomes were classified into these two categories after the review of relevant literature. The research will look at the outcomes through both perspectives in the following two sections.

2.3.1 Organizational-centered outcomes

Organizational reasons for aid implementing organizations to engage with affected populations relate to the benefits it holds for the agency specifically. These benefits include the overall improvement of the quality of programs it is delivering: for example, access to local knowledge provides a better flow of information and the possibility for a more holistic understanding, thus allowing programs to be shaped to specific needs (Hardina 2008; Finsterbusch & Van Wicklin III 1987; Inter-Agency Standing Commitee (IASC) 2006; Mefalopulos 2008). Furthermore, economic justifications are an often-mentioned motivation for organizations to implement a participatory approach, as such an approach generally uses under-utilized labor such as local implementing partners and agents, and allows for cost-sharing mechanisms with affected populations (ALNAP 2003; Finsterbusch & Van Wicklin III 1987; Hardina 2008). Lastly, organizations’ accountability to both donors and beneficiaries is an organizational motivation to include beneficiaries in programs. As was mentioned in the introduction, the participation of beneficiaries is an important aspect in international standards such as the Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response, the Humanitarian Accountability Partnership (HAP) Standard in Accountability and Quality Management and the International Federation of Red Cross and Red Crescent Societies (IFRC) Code of Conduct. Accountability to donors and these international standards, complying with its requirements and guidelines, and securing current and future funding is thus an organizational reason for implementing a participatory approach (ALNAP 2003).

The abovementioned reasons for organizations to include beneficiaries in programs are organizational reasons. The thesis provides an introductory insight to organizational-centered motivations for participatory approaches. A more detailed literature review regarding the organizational objectives is needed to cover the full spectrum of motivations in more detail. This is not presented in this study as it is outside the scope of the research, as the research concentrates solely on the beneficiary-centered outcomes of participation.
As was previously mentioned, it is deemed important to have demonstrated these organizational-centered reasons for participation in order to provide a better picture of the different motives and types of participation facilitating beneficiary-centered outcomes later on in the thesis. Reasons why organizations decide to engage in participatory methods within their programs can also be approached from another perspective – that of the beneficiary. Henceforward, these beneficiary-centered outcomes will be elaborated.

2.3.2 Beneficiary – centered outcomes
Where the abovementioned organizational-centered outcomes of participation relate to the benefits participatory practices hold for an organization specifically, ALNAP (2003) mentions that participation can also be ensured based on the idea that affected populations are not passive recipients of aid, but actors responsible for their own survival and future, with existing competencies and aspirations. Attention is often drawn to these derived psychological and social benefits for the beneficiaries that participate in programs. Within these beneficiary-centered outcomes of participation, this thesis will in particular take a closer look at sustainability and empowerment. This is because discovering the topic of long-term benefits on populations and communities through participation is particularly interesting in a setting (rapid onset natural disasters) where the focus lays primarily on short-term and rapid response. The next two sections will go into more detail on sustainability and empowerment.

2.3.2.1 Sustainability
Within the concept of sustainability as a beneficiary-centered outcome of participation, the next sections will first provide a definition of ‘sustainability’, after which the association between participation and sustainability will be provided.

2.3.2.1.1 Sustainability defined
In principle, Ife and Tesoriero (2006) state, sustainability refers to the idea that systems must be able to be maintained in the long term, and that resources are to be used only in such a way that they can be replenished. Within development discourse, sustainability is defined within the concept of sustainable development, a concept that gained popularity after being published in the report of the World Commission on Environment and Development in 1987. Here, sustainability refers to the idea that needs are met in the
present without compromising the ability of future generations to meet their own needs (World Commission on Environment and Development 1987, p.16). The sustainability of a program, as it is relevant for this research, refers to the continuation and maintenance of the program’s main outputs in the long-term after the aid-implementing agency has left. These main outputs relate to both maintenance of, for example, built facilities and equipment as well as to the learned skills throughout the project (Finsterbusch & Van Wicklin III 1989).

2.3.2.1.2 The association between participation and sustainability

The association between participation and sustainability is emphasized by multiple authors (e.g. Finsterbusch & Van Wicklin III 1989, Narayan 1995). According to Narayan (1995), the involvement of beneficiaries in a project aids the process of local ownership of projects, which the author states is critical for achieving sustainability. Finsterbusch & Van Wicklin III (1989) and ALNAP (2003) state that the participation of beneficiaries from the outset of a program and throughout the project cycle helps improve the chance of success and maintenance of projects. If specific activities are designed to be more responsive to beneficiaries’ needs, and when resources are committed to indeed make a program responsive to these identified needs, sustainability is higher, due to the sense of commitment and connectedness of the affected community the program fosters (Finsterbusch & Van Wicklin III 1987; Prokopy 2005). Indeed, Finsterbusch and Van Wicklin III (1989) found that local population’s contributions and ownerships of projects help perpetuate the sustainability of the project in the long-term.

This connectedness and commitment to a program that results from participation, which in turn facilitates sustainability, is related to the idea and importance of setting personally meaningful goals by Cattaneo and Chapman (2010). The authors mention Edward Deci and Richard Ryan’s self-determination theory (2000), stating that personally meaningful goals are considered to be especially motivating, and if such goals are identified they are likely to fuel behavioral components such as gaining relevant knowledge, building competence and taking active action for change. This connectedness to a specific program by beneficiaries can lead to the transfer and building of additional skills and capacities of the beneficiaries that might have not been in place before. Subsequently, these additional skills and capacities can in turn assist beneficiaries to sustain the project after the aid
implementing organization has left. Additionally, participatory processes can lay the foundation for the initiation of future development or relief efforts in terms of building capacities of preparing for future crises and linking relief and development (Finsterbusch & Van Wicklin III 1987; ALNAP 2003).

2.3.2.2 Empowerment

The second beneficiary-centered reason is that participation has the potential to empower both individuals and communities: that it gives individuals a sense of belonging and contribution, and that it builds individual and community capacity as well as confidence (Ife & Tesoriero 2006). The literature on empowerment includes a variety of definitions, depending mostly on the disciplines it is studied in, and also the locus of their outcome – either on an individual or community level, or both (Rocha 1997). For example, within the field of political science, empowerment is focused on topics involving group-processes including voting and political representation (Regalado 1988, as mentioned in Rocha 1997) whereas in community psychology the definition is very much contextually oriented, moving beyond an individual analysis of the concept and instead focusing on collective action including skill development and level of control (Zimmerman 1990).

2.3.2.2.1 Empowerment in development defined

In development discourse, the term empowerment is commonly used to indicate both an outcome as well as a process (The World Bank 2002; Alsop, Bertelsen and Holland 2006; Zimmerman 1995). Empowerment processes are those where “people are given opportunities to control their own destiny and influence the decisions that affect their lives” (Zimmerman 1995, p.583). Empowerment outcomes, on the other hand, refer to the actual measurements to study the effects of inventions which were designed to empower participants and thus, to investigate empowerment processes and mechanism (Zimmerman 1995). In this context, Alsop et al. (2006) provide a definition that encompasses empowerment both as a process and an outcome: “the process of enhancing an individual’s or group’s capacity to make purposive choices and to transform those choices into desired actions and outcomes” (p. 1). Zimmerman (1995) states that subsequently, empowerment processes lead to empowerment outcomes, and as participatory processes are empowerment processes, they can be empowering.
2.3.2.2 The association between participation and empowerment

This association between participation and empowerment has been the subject of multiple studies (see e.g. Florin & Wandersman 1990; Rich et al. 1995; Christens, Peterson and Speer 2011; Ohmer 2007). Studies demonstrate the empirical relationship between the two concepts, and establish that those persons who participated more score higher on measures of empowerment. For example, Itzhaky and York (2002) find that participation leads to an increase in the participants’ self-efficacy and self-esteem, and claim that participants have a feeling of mastery of their surroundings. Additional advantages of participation, both on an individual and collective level, include a sense of control over personal and community decisions, a sense of belonging and community, building competencies such as group decision making, and a connection of mutual trust and social cohesion between participating members (Ohmer 2007). In their recent research, Christens, et al. (2011) test the actual mechanisms that explain this relationship between participatory processes and empowerment. The results of the research support the socialization hypothesis, which encompasses the idea that participation leads to empowerment as people gain knowledge and skills through participation in community activity (Christens et al. 2011).

Finsterbusch and Van Wicklin III (1987) mention that generally, power gravitates to those who solve problems. Involving crisis-affected communities in the assessment of problems and solutions, and engaging them in the decision-making process, can therefore be regarded as a step towards a shift of power dynamics, and a way to give voice to traditionally marginalized groups in a community (ALNAP 2003; Groupe URD 2010). If all groups, especially those most often marginalized in a community, participate in solving their own problems and meeting their own needs, they acquire power that before they had not. Ultimately, the participation can lead to a reduction of existing social exclusions and inequalities in communities (Mefalopulos 2008; Finsterbusch & Van Wicklin III 1987).

As is demonstrated above, participation can have a number of different objectives, which are categorized as organizational and beneficiary-centered outcomes. It is not the goal of this research to judge the legitimacy of an organization’s motivations to implement programs using a participatory approach, nor is it the aim to examine whether organizations, through their programs, have been successful in reaching these beneficiary-centered outcomes of participation. The aim of this research is to complement the learning
of aid implementing practitioners regarding programmatic aspects of interactive participation as it facilitates the beneficiary-centered outcomes of sustainability and empowerment. The following section will demonstrate different types of participation, and provide a description of interactive participation, which facilitates these beneficiary-centered outcomes.

2.4 A typology of participation

Ife and Tesoriero (2006) and Rich et al. (1995) emphasize that beneficiary-centered outcomes such as the feeling of a sense of control over one’s environment and the ability to influence decisions affecting one’s life are not outcomes that per definition result from participation. The authors mention that indeed participation is a process from which empowerment and sustainability may arise, but one should not assume that participation per se leads to this intended outcome. Prokopy (2005) complements this, stating that for participation to lead to sustainable and empowering outcomes, beneficiaries need to be involved in higher levels of decision-making, and not merely be involved with manual work aspects of a program, for example. Rocha (1997) adds that in order for empowerment and sustainability to be possible by means of participation, it should include the acquisition of skills, knowledge experience and self-efficacy. The idea that indeed there are different types of participation, which each lead to different outcomes, was first initiated by Sherry Arnstein in 1969 with her well-known typology of citizen participation, and was first associated with development discourse by Jules Pretty in 1995. Both typologies will be discussed in more detail in the following sections.

2.4.1 Sherry Arnstein’s ‘Ladder of Citizen Participation’

Sherry Arnstein's (1969) ‘Ladder of Citizen Participation’ is at the core of academic literature about different levels of participation. Arnstein (1969) presents research with an overview of the extent citizens have power in determining aspects of a plan or program. She uses three examples of federal social programs from the United States of America to create an eight-rung ladder to demonstrate different gradations of citizen participation. Arnstein (1969) states that “there is a critical difference between going through the empty ritual of participation and having the real power needed to affect the outcome of the process” (p. 216). The lower levels on Arnstein’s Ladder of Citizen Participation are
considered ‘non-participation’ (where participation is merely to manipulate and influence a program). The middle levels are considered levels of tokenism (where effort is put into citizens being able to hear and be heard, but power holders still hold the right to make decisions), and in the top two rungs of the ladder, citizens indeed make the majority of decision, or even have full managerial control.

2.4.2 Jules Pretty’s ‘Typology of Participation’

A schematic representation of different types of participation was first related to the development discourse by Jules Pretty in 1995, presenting a ‘Typology of Participation’. While Pretty’s Typology of Participation was initially in relation to agricultural development and sustainability, it has since been widely used by an extensive amount of researchers and practitioners more generally in both the development and humanitarian sectors (i.e. ALNAP 2003; Groupe URD 2010). Where Arnstein’s ladder of citizen participation looks at participation from the perspective of those on the receiving end, Pretty’s typology refers to the user of participatory approaches (Cornwall 2008). More specifically, Pretty (1995) presents seven different ways organizations interpret and use the concept of participation in their programs. Pretty’s Typology of Participation, and the specific characteristics he attaches to each type, is displayed in table 1 below.

2.4.2.1 From manipulative participation to self-mobilization

As displayed in table 1, the types of participation interpreted by development organizations range from a type termed by Pretty (1995) as manipulative participation to self-mobilization. According to Pretty’s model, in the lower types of participation, numbered 1 and 2 in the table and labeled manipulative and passive participation, people are simply told what to do and act out pre-determined roles set out by the organization. Number 3, 4, and 5 in the table are the ‘intermediary’ types of participation, named Participation by Consultation, Participation for Material Incentives and Functional Participation. Here, organizations make a greater effort in including affected populations, and beneficiaries are increasingly involved by providing resources, for example, but external agents have either already made or will be in charge of making major decisions. Functional participation, number 5 in the table, Cornwall (2008) relates to as the type of participation that is most often associated with efficiency arguments. Participation, as it is described in these middle
rungs of the table, is seen by the organization primarily as a means to achieve project specific objectives, and Drinkwater (1999) states that it is very common for participation to fall within number 3 to 5 of Pretty’s typology. The final two types of participation in the upper rung of table, are number 6 termed by Pretty (1995) as ‘interactive participation’ and number 7, termed ‘self-mobilization’. These final types are categories of participation which are used by organizations who aim to promote using participatory approaches as a means to community development (Cornwall 2008). In these final types of participation, participation is not merely a means to achieve project goals but it is seen as a right, and beneficiaries act largely independently of external organizations. Above all, “this typology suggests that the term “participation” should not be accepted without appropriate clarification” (Pretty 1995, p. 1253). Cornwall (2008) agrees, and states that Pretty’s typology helps show that motivations of those who adopt participatory approaches are an important factor in shaping programs.

This research focuses on the beneficiary-centered outcomes of participatory processes: sustainability and empowerment, which were elaborated on earlier in this chapter. As was previously mentioned, Ife and Tesoriero (2006) and Rich et al. (1995) state that these beneficiary-centered outcomes are not outcomes that per definition result from participation processes implemented by organizations. The lower types of participation as displayed in table 1, are not considered as satisfactory types of participation to be implemented by organizations if the intended outcome is to promote empowerment and sustainability (Drinkwater 1999; Pretty 1995). Indeed, the lower ends of Pretty’s typology refer to inferior types of participation, with the upper end of the model referring to better and fair kinds of participation (Zomorrodian et al. 2013). In order to provide a clear overview, a third column has been added to the table for the purpose of this thesis, which labels the types of participation based on their ability to facilitate the beneficiary-centered outcomes of empowerment and sustainability. A further elaboration on the reasons why these specific labels were given to the types of participation will be provided in more detail in the following sections.
### Table 1: A typology of Participation (adapted from Pretty (1995))

<table>
<thead>
<tr>
<th>Typology</th>
<th>Description</th>
<th>Ability to facilitate beneficiary-based outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Manipulative participation</td>
<td>Participation is simply a pretense, with representatives on official boards but who are unelected and have no power.</td>
<td>-</td>
</tr>
<tr>
<td>2. Passive participation</td>
<td>People participate by being told what has been decided or has already happened. It involves unilateral announcements by an administration or project management without listening to people’s responses. The information being shared belongs only to external professionals.</td>
<td>-</td>
</tr>
<tr>
<td>3. Participation by consultation</td>
<td>People participate by being consulted or by answering questions. External agents define problems and information gathering processes, and control analysis. This process does not concede any share in decision-making, and professionals are under no obligation to take on board people’s views.</td>
<td>-</td>
</tr>
<tr>
<td>4. Participation for material incentives</td>
<td>People participate by contributing resources; for example, labor, in return for food, cash or other material incentives. Participants are involved in neither experimentation nor the process of learning. It is very common to see this called participation, yet people have no stake in prolonging technologies or practices when the incentives end.</td>
<td>-</td>
</tr>
<tr>
<td>5. Functional participation</td>
<td>Participation is seen by external agencies as a means to achieve project goals, especially reduced costs. People may participate by forming groups to meet predetermined objectives related to the project. Such involvement may be interactive and involve shared decision making, but tends to arise only after major decisions have already been made by external agents. At worst, local people may still only be coopted to serve external goals.</td>
<td>-</td>
</tr>
<tr>
<td>6. Interactive participation</td>
<td>People participate in joint analysis, development of action plans and formation or strengthening of local institutions. Participation is seen as a right, not just the means to achieve project goals. The process involves interdisciplinary methodologies that seek multiple perspectives and make use of systemic and structured learning processes. Groups take control over local decisions and determine how available.</td>
<td>+</td>
</tr>
</tbody>
</table>
resources are used, so they have a stake in maintaining structures or practices.

7. Self-mobilization

People participate by taking initiatives independently of external institutions. They develop contacts with external institutions for resources and technical advice, but retain control over how resources are used. Self-mobilization can spread if governments and NGOs provide an enabling framework of support. Such self-initiated mobilization may or may not challenge existing distributions of wealth and power.

Legend to table 1

- Not able to facilitate beneficiary-centered outcomes of sustainability and empowerment.

+ Able to facilitate beneficiary-centered outcomes of sustainability and empowerment.

2.4.2.2 Lower levels of participation

Many projects, Pretty (1995) states, are centered on encouraging beneficiaries to participate in cash-for-work or food-for-work programs. Drinkwater (1999) agrees, stating that participatory practices of organizations often and very easily fall within these ‘lower levels’ of participation. However, these ‘lower’ levels of participation - as they are on the lower half of the typology displayed in table 1 - are not considered to be empowering or sustainable to the participating beneficiaries. On the contrary – these types of participation are considered disempowering and unsustainable options. They are often labeled as paternalistic as they “undermine sustainability goals and produce impacts which rarely persist once the project ceases” (Pretty 1995, p. 1252). Furthermore, these lower levels of participation do not facilitate empowerment and sustainability, as they “distort perceptions, create dependencies, and give the misleading impression that local people are supportive of externally driven initiatives” (idem, p.1252). These types of participation are not likely to have a lasting effect on people’s lives, Pretty (1995) states, as decision making is retained to a small management elite within a project (Drinkwater 1999), and because participants are seldom given a choice and might not even know what resources are used for (Prokopy 2005). In these lower levels of participation on Pretty’s typology, participation is merely seen as a means, as a tool to achieve certain goals: more effective programs, improving the cost and delivery of projects (Parfitt 2004). In such cases, the participation is a short-term exercise where the beneficiaries are mobilized and included directly for a certain purpose,
but it disappears as soon as the certain goals are achieved (Parfitt 2004). In these types of approaches, Parfitt (2004) states, often a thorough analysis of the aided community in not prioritized, and project implementers assume that their project will benefit the population as a whole. However, when communities and their relationships and power relations are not assessed accurately, it is possible that programs target the wrong groups within communities – thus worsening local inequality and prolonging local power relations (Mansuri & Rao 2004).

2.4.2.3 Towards Interactive Participation

According to Drinkwater (1999) and Pretty (1995), for participation to have an empowering and sustainable outcome, nothing less than functional participation will suffice, and if organizations want their participatory processes to have an empowering and sustainable outcome, they need to focus on interactive types of participation (Drinkwater 1999). Interactive participation, number ‘6’ in Pretty’s Typology displayed in table 1, Cornwall (2008) states, is understood as a ‘learning process’, in which local groups are able to take control over decisions, through which they gain a stake in maintaining structures and resources in the long term. This type of participation is appropriate for an organization to implement if the beneficiary-centered outcomes of sustainability and empowerment are envisioned. According to Perkins and Zimmerman (1995), empowering interventions are those which provide the opportunity for participants to develop knowledge and skills, as well as those that consider development professionals as collaborators, instead of authoritative experts. If outsiders and practitioners indeed create a supportive and learning environment for community members, as is intended in Interactive Participation as labeled by Pretty (1995) in table 1, empowerment can be brought to the community and this transmission of learning has a sustainable, long-lasting impact on the participants’ lives (Cornwall 2008).

The above section has demonstrated the different ways organizations in the development and humanitarian sectors can interpret participation. Prior it has been established that this thesis focuses on the beneficiary-centered outcomes of participation, and by means of academic literature it has become clear that in order for participation to facilitate empowerment and sustainability, not all types of participation will suffice. More particularly, the above sections demonstrate that if the envisioned outcome is indeed
sustainability and empowerment, the programs designed by organizations should embrace interactive participation practices. The next section will further define interactive participation, and distinguish what are the conditions and mechanisms that constitute this type of participation to facilitate an empowering and sustainable potential.

2.5 Interactive participation defined

In the previous section, it has been determined by review of relevant literature that, in order for participatory processes to facilitate sustainability and empowerment, the type of participation that should be embraced by organizations in their programs ought to be of an interactive nature, as described by Pretty (1995). The final aspect of this first theoretical chapter is to provide the reader with an overview of what aspects, on the programmatic level, are deemed necessary to be present in order for participatory efforts to be considered to have the potential to have a beneficiary-centered outcome of empowerment and sustainability. In order to provide clarity for the remainder of the chapter, the description of interactive participation of Pretty (1995) is provided again below in table 2. The main aspects that make up interactive participation are bolded in the description, and bullet pointed on the right hand side of the table.

<table>
<thead>
<tr>
<th>Description</th>
<th>Main themes</th>
</tr>
</thead>
</table>
| People participate in joint analysis, development of action plans and formation or strengthening of local institutions. Participation is seen as a right, not just the means to achieve project goals. The process involves interdisciplinary methodologies that seek multiple perspectives and make use of systemic and structured learning processes. Groups take control over local decisions and determine how available resources are used, so they have a stake in maintaining structures or practices. | • Joint analysis  
• Development action plans  
• Formation or strengthening local institutions  
• Seeking multiple perspectives  
• Control over local decisions  
• Determine how available resources are used |

As these themes will serve as a frame of reference later on in the research upon which specific programs are assessed on their participatory approaches, it is important to be clear on what is meant exactly by each of these main themes. The following section will thus elaborate on the main themes within interactive participation that facilitates empowerment.
and sustainability, and look at what they entail and how they should be operationalized in a program.

2.5.1 Joint analysis

This theme relates primarily to the participation of beneficiaries in the needs assessment phase of the project. Needs are often determined and defined by people other than those who are ‘in-need’. As is emphasized by ALNAP (2003) and Ife and Tesoriero (2006), the implementing organization and a local stakeholder should carry out the assessment jointly, together. Drinkwater (1999) states that how the interactive tone is set at the outset of a program is extremely important for the interactive participatory practices as it facilitates sustainability and empowerment. Ife and Tesoriero (2006) and Mefalopulos (2008) mention that the early involvement of the beneficiaries in the definition and assessments of needs encourages local ownership of a program, a concept that received importance in earlier sections discussing the association between participation and empowerment and sustainability. Ife and Tesoriero (2006) and Mefalopous (2008) mention that the joint analysis has to include the access to available information, as well as an expressed respect and acknowledgement by the organization of wisdom of local, indigenous knowledge and experience. Additionally, Cohen and Uphoff (1980) mention that the involvement of beneficiaries at an early stage can provide vital information and prevent misunderstandings regarding both the nature of the problem and the strategies proposed for its resolution. With a better understanding of the situation by both the organization and the beneficiaries, a project’s scope and objectives can be refined more clearly and effectively.

2.5.2 Development of action plans

The participation of beneficiaries in the development of the action plans relates to the design phase of the project cycle and is closely linked with the previous factor – the joint analysis. Specifically, it entails that the program is designed jointly between the implementing organization and the affected populations, and not designed in isolation by external practitioners alone. Furthermore, it relates closely to the previous factor in the sense that it starts with the identification of needs, and then follows with the participation of the beneficiaries in how these identified needs will be approached (Cohen & Uphoff 1980). The importance of the inclusion of participants in the development of action plans as it has
the possibility to facilitate empowerment and sustainability is emphasized by Drinkwater (1999) and relates mostly to the concept of ownership that was previously mentioned. Drinkwater (1999) states that the benefit of beneficiaries’ involvement in action plans is twofold: First, if participants are also intended to participate in the implementation phase of a project, it will help if participants understand not only how the eventual project activities arose, but also participate in the decision-making on these. Second, Drinkwater (1999) states that the beneficiaries’ inclusion improves the appropriateness of the activities, but also ensure there is greater enthusiasm and feeling of ownership for them by participants.

The importance of personally satisfying goals by the participants is emphasized by Cattaneo and Chapman (2010), who state that programs that incorporate this are more likely to be sustainable and can encourage components such as building relevant knowledge and building competencies of the participants. Personally formulated and satisfying goals, the authors state, enhances the process of empowerment as the set goals and approaches to a program have a personal meaning. These personally satisfying and set goals are motivating and enhance a feeling of self-efficacy that is often linked to empowerment (Cattaneo & Chapman 2010).

2.5.3 **Formulation & Strengthening local institutions**

This factor relates to the impact persons have on the formulation and strengthening of specific local systems, specifically the educational system, the health system, the family system, religious institutions, the social welfare system and government structures (Ife and Tesoriero 2006, pg. 73). Cohen and Uphoff (1980) mention this involvement of beneficiaries in the establishment of institutions by the project or in those that are linked to the project. This theme relates to for example voluntary associations, traditional associations, women’s clubs and other organizations that are relevant in activities in the project. Seeking the establishment of new or amended local institutions, Drinkwater (1999) states, adds to the potential of sustainability and empowerment as it avoids beneficiaries becoming dependent upon structures of the project that do not survive beyond the project’s life span.
2.5.4 *Seeking multiple perspectives*

This aspect of the type of participation to ‘seek multiple perspectives’ is an overall, overarching factor. This aspect pertains to the question of ‘who participates’ and is an important question throughout all phases of a project. In all phases, it is important for organizations not to assume that those participating are representative of all views (Pretty 1995). The central idea, according to Pretty (1995), is to seek diversity, and to realize that different individuals or groups evaluate situations differently, which would lead to different actions. Therefore, the opinions and needs of both women and men, poor and wealthy, and young and old should all be taken into consideration, and special attention should be paid to the socially marginalized (Pretty 1995). With regards to the question as to ‘who participates’, Cohen and Uphoff (1980) state that there should be representatives of the local population, which can be divided into local residents and local leaders, both informal and appointed. People in all those categories should be represented, with a range of background characteristics. The most important background characteristics upon which this assessment can be made are: age and sex (especially male-female differences), family status (household head vs. other members), educational level, social division, (according to race, ethnicity, caste, religion), occupation, level of income and lastly employment status (Cohen and Uphoff 1980, p. 223).

ALNAP (2003) mentions that in the assessment phase, there is a danger that certain groups, especially minorities and the marginalized groups, are excluded. Cornwall (2008) states that participatory processes can even deepen the exclusion of marginalized groups if efforts are not made to include them in participatory programs. Assuring different perspectives in participation is of the utmost importance first and foremost because this information shapes the decisions in the design phase and therefore this phase will be distorted if not based on correct and relevant information. Secondly, because excluding them in the initial phases of a project might lead to these groups begin excluded from the further stages in a program as well. Consequently, their needs may not be accurately met, and processes are thus not empowering and sustainable. Indeed, a necessary step for organizations is to have a clear understanding of the identities of people and organizations involved, their relationships, and the social contexts of their actions (Eversole 2003). In conclusion, as is stated by Grünewald and de Geoffroy (2008), it is not implied that
everyone should be involved, but that is important that at least everyone is represented in all participatory processes.

2.5.5 Control over local decisions

These last two themes of the interactive participation that facilitates beneficiary-centered outcomes refer to both the implementation phase and monitoring phase of a program. Regarding the implementation phase, ALNAP (2003) mentions that here, local actors and institutions are entrusted with implementation of the program, which entails delegating decision-making powers and importantly, responsibility for the project, as well as the transference of resources. Decision-making power is crucial for a program to be empowering and sustainable, and needs to complement the themes within interactive participation relating to the needs assessment and development of plans as described above (Rocha 1997). When beneficiaries are able to make key project decisions, such participation becomes what is referred to by Mansuri and Rao (2004) as self-initiated action which is the exercise of empowerment.

Within this theme, ALNAP (2003) mentions that clear and accepted lines of responsibility and accountability are required; a demonstrated will and capacity to deliver by the locals; and the identification and institutionalization of problem-solving and trouble-shooting mechanism. Cohen and Uphoff (1980) indicate that involving people in the administration and coordination of a project may increase the self-reliance of the local participants and thus sustainability of a program by training beneficiaries techniques of project implementation. Additionally, valuable local information and advice may also be gained concerning local problems and constraints that could be relevant for the project. Hence, this theme is relevant also for the monitoring aspect of the program. As stated by ALNAP (2003) it is essential in any program to manage problems as they arise and to making necessary adjustments. It is in this aspect of a program that monitoring should be carried out jointly by the organization and an associated structure, and that the decisions are made jointly regarding necessary actions to be taken.

2.5.6 Determine how available resources are used

This theme relates closely to the theme mentioned before relating to the beneficiaries’ control over local decisions. The power over resources pertains primarily the equal
opportunity over both the use and distribution of resources. Included in this category are both financial and non-financial resources, including housing, opportunities for personal growth, employment and cultural experiences (Ife and Tesoriero 2006, p. 72).

2.5.7 Fulfilment of the themes within a program

From a general perspective, all the abovementioned themes are necessary to fulfill within the participatory practices of a program in order for them to be able to facilitate the beneficiary-centered outcomes of sustainability and empowerment. If an organization resorts back to at best functional participation (number 5 in Pretty’s Typology of Participation outlined in table 1) the result will always be less sustainable and empowering, Drinkwater (1999) states. Furthermore, Drinkwater (1999) adds that interactive processes of participation need to be present from the outset of a program, and there has to be the understanding and confidence that the principles will be adhered to during the whole project. However, as was mentioned at the beginning of the chapter, this chapter considers the underlying mechanisms of participation outside of a specific context. Cornwall (2008) states that the intention and practices of organizations imitating participatory processes are only part of the story: one cannot ignore the context within which a program is being implemented. As is outlined in the introduction through the research question, this research considers interactive participation within the context of rapid onset natural disasters. Thus, the question of whether the abovementioned themes are all able to be fulfilled within the context of rapid onset natural disasters will be discussed within the next theoretical chapter, which will position interactive participation into the context of rapid onset natural disasters.

2.6 Conclusion

This theoretical chapter answered the following question: “what are, according to theory, aspects of interactive participation that facilitate beneficiary-centered outcomes that need to be present in a program?” By means of relevant literature, a distinction between organizational and beneficiary-centered outcomes of participation was made, and the beneficiary-centered outcomes of sustainability and empowerment were discussed in more detail. Furthermore, it was established how types of participation differ based on these intended outcomes. Interactive participation, as defined by Pretty (1995), is the ideal type of participation for it to facilitate beneficiary-centered outcomes of empowerment and
sustainability. As was previously mentioned, the theoretical base for this research is divided into two chapters. This current chapter constitutes the first theoretical chapter, and until now the thesis clarified what is meant by interactive participation and its relevance for achieving sustainability and empowerment. The context of the study, as is mentioned in the research question, is the context of rapid onset natural disasters. This chapter did not take into consideration interactive participation within this specific context, but outlined the underlying mechanisms in a general manner. The next chapter will discuss the context of rapid onset natural disasters, and touch upon both practical and ethical considerations for participation to facilitate such an empowering and sustainable outcome in the context of rapid onset natural disasters.
Chapter 3: Theoretical Framework
Interactive Participation in Rapid Onset Natural Disasters

3.1 Introduction
The previous chapter demonstrated the underlying mechanisms of interactive participation that need to be present in a program in general to lead to the outcomes of empowerment and sustainability. This chapter, which constitutes the second part of the theoretical framework, considers interactive participation in the specific context of rapid onset natural disasters. The chapter will first define rapid onset natural disasters: starting with disasters, differentiating between different types of disasters and narrowing it down to a definition of what is considered a ‘rapid onset natural disaster’. This definition will then be used in order to demonstrate the characteristics of an emergency response, and to merge the theoretical insights gained in this chapter with the prior established framework of interactive participation. The subsequent combination of the theoretical chapters achieves the consideration of the context (rapid onset natural disasters), and the programmatic factors necessary in interactive participation to facilitate beneficiary-based outcomes of sustainability and empowerment. Thus, an indication of factors that may affect the interactive participation of crisis-affected populations in the context of a rapid onset natural disaster is presented at the end of the chapter. The chapter concludes with a visual presentation of the composed theoretical framework.

3.2 Rapid onset natural disaster defined
The concept of a rapid onset natural disaster can be broken down into several terms. A definition of the topic can be best provided from describing the terms: going from broad to narrow. First, the thesis discusses what exactly is understood by a disaster, then narrows it down to a natural disaster, and then narrows it down one step further to a rapid onset natural disaster. Finally, a clear description of what constitutes a rapid onset natural disaster will be possible at the end of this section.

3.2.1 Disaster
Both specialists and generalists alike often use the terms ‘disaster’ and ‘hazard’ interchangeably, John Twigg (2004a) states. However, the difference between the two is an
important distinction to make. Twigg (2004a) clarifies the difference as follows: “A disaster takes place when a society or community is affected by a hazard” (Twigg 2004a, p.16). Indeed, EM-DAT, the Emergency Events Database of the Centre for Research on the Epidemiology of Disasters (CRED) and the United Nations Office for Disaster Risk Reduction (UNISDR) refer to a hazard as a threatening event of a potentially damaging phenomenon (CRED 2009a; UNISDR 2009). Such hazards can be classified into natural hazards, a natural process or phenomena occurring in an environment that may cause a damaging event, and into technological (also often referred to as man-made) hazards, which constitutes danger originating from technological or industrial accidents, dangerous procedures, infrastructure failures or certain human activities (Twigg 2004a). A disaster, on the other hand, is considered by CRED (2009) and UNISDR (2009) as a situation or event resulting from a hazard which exceeds the ability of the affected community or society to cope using its own resources and thus necessitates a request to national or international level of external assistance. A disaster thus can be understood as the result of the exposure to a natural or technological, man-made, hazard. Disasters are often grouped into six main categories, displayed in table 3. Only the first type of disaster displayed in the table, natural rapid onset disaster, is relevant for this research and will be discussed in more detail later on.

Table 3: Types of disasters (adapted from Twigg (2004a))

<table>
<thead>
<tr>
<th>Type of Disaster</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Natural, rapid onset</td>
<td>Disasters that are triggered by natural hazards and occur suddenly, often with very little warning.</td>
</tr>
<tr>
<td>Technological, rapid-onset</td>
<td>These are the result of industrial accidents, major transport accidents, or disruption to other technological systems. They also occur suddenly, with little warning.</td>
</tr>
<tr>
<td>Slow-onset</td>
<td>This term is used mostly to refer to food shortage or famine triggered by drought, where the crisis builds up over several weeks or months. It can also cover disasters caused by environmental degradation or pollution.</td>
</tr>
<tr>
<td>Complex political emergencies</td>
<td>Characterized by protracted political instability and often high levels of violence.</td>
</tr>
<tr>
<td>Permanent emergencies</td>
<td>These are the result of widespread structural poverty that requires more or less permanent welfare, but can be made worse by natural hazards.</td>
</tr>
<tr>
<td>Mass population displacements</td>
<td>This can be a cause or a consequence of other types of emergency.</td>
</tr>
</tbody>
</table>
The decision to place the contextual focus of this research on rapid onset natural disasters is twofold. The vast difference between rapid onset natural disasters from long-term development situations, which will become apparent in the following sections, is a main motivating factor. Furthermore, it is a context in which the concept of interactive participation specifically is not yet explored. Lastly, a rapid onset natural disaster is quite easily distinguishable from other, more ‘complex’ disasters, as table three displays. Hence, data is more easily assessable and distinguishable from other disaster situations. The other five types of disaster as formulated by Twigg (2004a) in table three will not be discussed in further detail, as they are not relevant when answering the research question and fall outside the scope of the research.

3.2.2 Natural disaster
As was mentioned in the previous section, a disaster can be understood as the effect a hazard has on a community or society (Twigg 2004a). As the term ‘natural disaster’ thus insinuates, a natural disaster can be understood as the effect of a natural hazard on a community or society. Contrary to technological or man-made hazards which are caused by humans, a natural hazard is a natural process or phenomena that may constitute a damaging event (Twigg 2004a), classified primarily by the origin of the hazards. These natural hazards are classified into five different sub-groups, based on their origin; they are classified either as geophysical (earthquakes, landslides, tsunamis, volcanic activity), hydrological (avalanches and floods), climatological (extreme temperatures, droughts and wildfires), meteorological (cyclones and storms/wave surges) or biological (disease epidemics and insect/animal plagues) (IFRC 2010; CRED 2009a). According to UNISDR (2009), a natural hazard can be characterized by its magnitude or intensity, its duration or its speed of onset. The next section will provide the final narrow down in providing a definition of the concept of a rapid onset natural disaster.

3.2.3 Rapid onset natural disaster
A natural disaster has been defined in the previous section as the effect of a natural hazard (of a geophysical, hydrological, climatological, meteorological or biological origin) on a community or society. Humanitarian actors distinguish between natural disasters in terms of the speed of onset: slow onset and rapid onset natural disasters. Rapid onset natural
disasters, the context in which this research is placed, is a disaster that is triggered as a consequence of a natural hazard which arises suddenly, or whose occurrence cannot be predicted far in advance (Twigg 2004b). Hazards that are usually categorized as rapid onset are earthquakes, cyclones, landslides and avalanches, wildfires, floods and volcanic eruptions (Twigg 2004b). As Twigg (2004b) indicates, the warning time for these hazards may range from seconds or at best a few minutes in the case of earthquakes, to several days in the case of most storms and floods. Thus, where slow onset hazards can take months or years to generate a disaster, hazards that lead to rapid onset disasters take place with little to no warning at all. The reason as to why the international community distinguishes between slow and rapid onset disasters is primarily relating to the response it entails by humanitarian and development actors alike (OCHA Policy Development and Studies Branch 2011). The next section will touch upon what generally characterizes an emergency response of a humanitarian aid providing organization to a rapid onset natural disaster.

3.3 Emergency Response to Rapid Onset Natural Disaster

As the definition provided in the previous section demonstrates, the context of a rapid onset natural disaster arises from a sudden natural hazard, which cannot be predicted far in advance. Once a disaster has occurred, Albala-Bertrand (2000) mentions, a disaster response situation evolves, which is defined by the author as: “a wide array of endogenous and exogenous reactions, measures and policies that are aimed at mitigating, counteracting and preventing disaster impacts and effects” (p. 216). In the definition, the author differentiates between endogenous and exogenous reactions to a disaster.

3.3.1 Endogenous vs. Exogenous responses to disaster

Albala-Bertrand (2000) refers to endogenous reactions are those relating to a society’s built-in self-regulatory social machinery, more precisely the disaster response of, for example, family and neighbors, and the local cultural norms and psychological habits of the population. Exogenous mechanisms, on the other hand, Albala-Bertrand (2000) refers to as the response to a disaster that goes beyond the built-in processes, primarily relating to external international assistance and aid. Though it is important to state that the first responder to disasters is often the local population, the focus of this research is the response of international humanitarian aid organizations to such disasters, and thus the emergency
response referred to in the remainder of the research relates to the response Albala-Bertrand (2000) refers to as the exogenous mechanisms.

3.3.2 Characteristics of emergency response to rapid onset natural disaster

Due to the uncertainty and sudden evolving characteristic of rapid onset natural disaster, the UN OCHA Field Coordination Support Section (2006) states that a sudden onset emergency situation is often characterized by overwhelming needs and competing priorities, often destroyed communication and transportation infrastructure, a rapid entry of organizations providing humanitarian aid, and stressed local governmental and non-governmental institutions. In such disasters, the OCHA Field Coordination Support Section (2006) states that immediate action is required to minimize or mitigate the impact of the hazards to the population, as well as to water, air, and land where necessary. Quick allocation of financial resources is necessary for a rapid response, and following a rapid onset natural disaster, funding resources such as the Department of International Development (DFID) of the United Kingdom have mechanisms in place to allocate funding as soon as possible and to allow organizations to respond to a rapid onset disaster within 72 hours. Emergency responses of international humanitarian organizations to rapid onset natural disasters, Albala-Bertrand (2000) mentions, are short-term responses, which primarily aim at the immediate alleviation of victims and distress, and on the re-establishment of supplies for the satisfaction of the most basic needs.

To this point, this chapter has demonstrated what is understood by a rapid onset natural disaster as well as discussed the general characteristics of a response to such a disaster. The previous theoretical chapter demonstrated what aspects are necessary on a programmatic level for participation processes to be considered interactive and facilitate sustainability and empowerment. The remainder of this chapter links these two chapters together, and considers these themes within the context of rapid onset natural disasters. The next section will first link interactive participation with rapid onset natural disaster, which will be followed by a section which demonstrates three key elements that serve as influencing factors as they can constrain participation in rapid onset natural disasters. Finally, a theoretical framework will conclude the chapters.
3.4 Interactive participation in rapid onset natural disaster

Through the literature review performed in the previous theoretical chapter, the following aspects have been identified as factors that constitute interactive participation which facilitate sustainability and empowerment:

- Joint analysis
- Development of action plans
- Formation or strengthening local institutions
- Seeking multiple perspectives
- Control over local decisions
- Determine how available resources are used (Pretty 1995).

Interactive participation in the context of rapid onset natural disaster specifically is not an explored topic within literature. The concept of the participation of affected populations in humanitarian situations, including rapid onset natural disasters, is often discussed relating to the multiple forms it can take, which were displayed in table 2 in the previous chapter. It does not refer to how interactive participation specifically and thus sustainability and empowerment can be achieved. The above-outlined characteristics of a rapid onset natural disaster and the characteristics of a response to such a disaster could make the implementation of such themes into the specific context difficult. The sudden onset nature of the hazard makes extensive planning difficult and the implementation of previously arranged programs likely. Furthermore, the overwhelming needs and primary focus on immediate alleviation of population and distress as well as the often destroyed communication and infrastructure can be regarded as constraints to assuring interactive participation in programs which are responses to rapid onset natural disasters. These factors, and the way in which they serve as constraints to implementing interactive participation, will be discussed in more detail in the following section.

3.5 Constraints to interactive participation in a rapid onset natural disaster

In its handbook for practitioners on the participation by crisis-affected population in humanitarian action, ALNAP (2003) demonstrates three factors that have the possibility to constrain participation in humanitarian aid situations. These three mediating factors are identified as barriers that have made the humanitarian community hesitant to implement participatory practices in programs (ALNAP 2003). These factors are related to three main elements present in any humanitarian situation: the specific context the program is situated
in, the affected population, and the aid-implementing organization. The next section will discuss the three mediating factors identified by ALNAP (2003) as they relate to the context of rapid onset natural disasters specifically, and demonstrate the way in which they pose as mediating factors for implementing interactive participatory practices in such contexts.

3.5.1 Mediating factor: Context

According to Albala-Bertrand (2000) the context of a rapid onset natural disaster can present a complex area of motivations, actions and reactions of international aid delivering organizations. Regarding the context, ALNAP (2003) refers primarily to the security and protection of humanitarian actors and the affected population, as well as to physical and cultural access and issues of time that may jeopardize an organization’s engagement in participatory processes. Regarding the issue of security and protection, the handbook reads that after natural disasters, law and order may be disrupted that may cause high levels of tension, which are dangerous for the affected population as well as for humanitarian actors. These security risks can be a constraint to interactive participation, as security conditions might not allow for free movement of humanitarian personnel necessary to engage with all necessary stakeholders and assure the input of multiple perspectives as was identified as a theme within interactive processes which facilitate empowerment and sustainability.

Another contextual constraint may be access, both physical and cultural, to the population affected by a rapid onset natural hazard. The lack of physical access due to a rapid onset natural hazard may reduce the opportunities for humanitarian practitioners to engage directly with the affected population and thus the relationship of trust that is necessary for participatory processes, ALNAP (2003) states. The often destroyed communication and transportation infrastructure, referred to also by the OCHA Field Coordination Support Section (2006), might make it difficult in the context of rapid onset natural disasters to engage with all necessary stakeholders and assure multiple perspectives as identified as a theme within interactive participatory processes. The cultural access as it is referred to by ALNAP (2003) relate to the distance that can be created between international aid implementing personnel and the affected population due to language, behavioral, or cultural barriers, relating for example to differences in social background and education.
Finally, the issue of time constraints in the context of rapid onset natural disasters is another contextual constraint to participation. These time constraints relate to both the need for rapid action in the first days following the sudden hazard, as well as to the time needed to build confidence and trust. Generally, participatory processes are time consuming and thus may be difficult to implement the first days following a disaster (ALNAP 2003). In situations of rapid onset natural disasters, the time-sensitivity of the immediate action required to minimize and mitigate the impact of the hazards to the population, as well as to water, air, and land identified by the OCHA Field Coordination Support Section (2006) might pose difficulty to the aspects of interactive participation that facilitate sustainability and empowerment.

3.5.2 Mediating factor: Affected Population

The affected population, especially the impact the crisis has on the population as well as its previous experience with humanitarian aid, is a main mediating factor in the participatory processes as it affects the population’s ability to participate. This impact stipulates three different levels. The first is the physical impact as a consequence of a disaster. The second is the possible emotional and psychological impact, which can constrain participation of the population as it often triggers a loss of confidence and a loss of a one’s dignity. Furthermore, individuals might be in a state of shock or trauma, which can make it difficult to participate in emergency responses (ALNAP 2003). Finally, the impact can also be social disintegration, which refers to the possibility of the alteration of the local population’s system of social organization, as well as damaged traditional consultation and regulation mechanisms (ALNAP 2003; Albala-Bertrand 2000). The population may thus not be able to participate in processes of interactive participation that are necessary to facilitate sustainability and empowerment due to the physical, psychological or emotional impact of the disaster.

The affected population’s prior exposure to and experience with humanitarian aid can also pose a constraint to the participatory processes. If previously promised participatory processes by aid implementing organizations have lead to disappointments and if previous top-down relief interventions have caused a sense of dependency on aid, there might be a sense of passivity or disinterest in participatory processes (ALNAP 2003). Cornwall (2008) adds that affected populations may have gotten the idea from other implementing agencies
that their opinions and priorities do not count, which may lead to the population not wanting to participate.

3.5.3 Mediating factor: Aid Organization

A final mediating factor that can pose a constraint to interactive participatory processes in rapid onset natural disasters, is the aid organization itself. This relates to its mandate and policy towards participation, more specifically the organization’s adherence to the humanitarian principles of impartiality and independence. Firstly, the impartiality principle refers to the requirement that humanitarian organizations should make no distinction between nationality, race, religious belief, class or political opinion when delivering their aid. Aid should be delivered in order to alleviate suffering of affected population, and the deliverance should be guided solely by needs. Secondly, the principle of independence entails that humanitarian organizations maintain their autonomy and act in a manner that is not according to any political agenda (ALNAP 2003). Adhering to these principles is important for organizations to remain legitimate, and is thus important in the humanitarian sector. However, they are considered a constraint to interactive participatory processes as they could pose as the reasons for organizations not to engage in such participatory processes, because doing so can be interpreted as the organization not adhering to the principles (ALNAP 2003).

Another constraint is the organization’s culture and mode of operation. In rapid onset natural disaster relief operations, organizations often use standardized protocols that might make it difficult to integrate the concerns, capacities and initiatives of affected populations into the program. The integration of concerns and capacities was considered as extremely important in multiple characteristics identified for interactive participation that facilitates sustainability and empowerment, and thus the organizational culture and mode of operation poses a constraint to such practices in rapid onset natural disaster contexts. Furthermore, the rapid turnover of staff sent on emergency relief missions, their skills and experience with participatory processes as well as their training and knowledge of the local population and context might also pose constraint, as participatory processes require time and trust (ALNAP 2003).

Final constraints to interactive participation are financial resources and donor policies. Some donors might make interactive participation impossible by requesting organizations
to have full responsibility of monitoring activities and by ensuring that organizations do not delegate resources to local actors, for example. Competitive funding sources and donor procedures regarding budgeting and strict timeframes of interventions might also pose threats to such participatory processes as there is simply not enough time or financial resources to allow for the assurance of the inclusion of factors that constitute interactive participation (ALNAP 2003).

3.6 Theoretical Framework: Interactive participation in rapid onset natural disasters

Relevant theoretical concepts relating to the research have now been discussed. This final section brings them both together to compose a theoretical framework, which will serve as a frame of reference in the analysis of this thesis. The main question to be answered in this research is as follows: “How do programs incorporate interactive participation that facilitates beneficiary-centered outcomes in rapid onset natural disasters.” The first theoretical chapter discussed interactive participation, and clarified the underlying mechanisms that a program’s participatory processes need to consist of in order to facilitate beneficiary-centered outcomes of sustainability and empowerment. The main themes within interactive participation that lead to sustainability and empowerment are the following: the affected population needs to participate in joint analysis, in the development of action plans, in the formulation and strengthening of local institutions. Such interactive participation needs to seek multiple perspectives, and finally the population needs to have control over local decisions and determine how available resources are used.

Subsequently, the second theoretical chapter discussed the context of a rapid onset natural disaster. In this chapter, it was demonstrated what constitutes a rapid onset natural disaster, especially how it differentiates from other emergency situations. Most importantly, the factors that influence interactive participation in this context were elaborated upon. This second theoretical chapter thus contextualized the identified themes in chapter 2 by referring to the case of rapid onset natural disasters and demonstrated that interactive participation in rapid onset natural disaster is mediated by three factors: its context, the affected population and the aid implementing organization. Even though it is known what constitutes interactive participation in general, now that the specific characteristics of a rapid onset natural disaster have been elaborated on, it is clear that there are constraints to interactive participation as it is set out in theory and questionable whether all the themes

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constituting interactive participation are possible in rapid onset natural disaster contexts. After explaining the methodology in detail, the thesis investigates whether and how programs in rapid onset natural disasters incorporate interactive participation. This is demonstrated in the visual representation of the theoretical framework below in figure 1. The dotted lines surrounding the factors that constitute interactive participation indicate that their presence in programs in rapid onset natural disasters is not definite, taking into consideration the constraints. This study will research this, and will do so by looking at different programs. The next chapter, the methodology chapter, will demonstrate the process by which the research was completed in order to answer the study’s main research question.

**Figure 1:** Theoretical framework
Chapter 4: Methodology

4.1 Introduction
This chapter will present each aspect of the process by which the current research was completed in order to answer the research question, and generate research results. To clarify, the question to be answered in this study is as follows: “How do programs incorporate interactive participation that facilitates beneficiary-centered outcomes in rapid onset natural disasters?” This chapter describes and explains the choices made regarding to the methods employed to answer this question. First, the chapter will describe the case research methodology the study is based on. It explains why a case study methodology was chosen, and more specifically, how cases were selected and collected. Specific sources of data are identified, and the analytical procedures that followed are described in more detail. Secondly, category and coding procedures will be elaborated on further. This chapter will conclude with an overview of the limitations of the applied methodology. Overall, this chapter demonstrates the specific analytical steps and procedures followed to draw meaning from the data collected in order to answer the research question in a replicable and reliable manner.

4.2 Research methodology
The specific research methodology that is used to answer the research question is a case study based methodology. A case study is deemed appropriate for this research as it “allows investigators to retain the holistic and meaningful characteristics of real-life events” (Yin 2009, p.4). Furthermore, it is an accurate methodology to be used when a question is asked about a contemporary set of events over which the researcher has little or no control (idem). A case methodology is appropriate as it allows for the focus of this study to be within the specific bounded context of rapid onset natural disasters and study interactive participatory processes in this specific setting. Furthermore, it allows for a contribution of this study on the intended practical level, as it permits the researcher to look at the theoretical concept of interactive participation within specific bounded concepts of practical organizational responses to rapid onset natural disasters. Lastly, the introduction mentioned that the concept of interactive participation specifically has not received much attention in
literature. As is mentioned by Eisenhardt (1989) and Eisenhardt and Graebner (2007), a case methodology can additionally be used to generate theoretical constructs. Thus, in the current research a case study methodology is beneficial as it allows for the construction of a theoretical notion regarding interactive participation specifically in rapid onset natural disasters.

The units of analysis for this research can be derived from the research question posed at the start of this study as well as from the theoretical framework in the previous two chapters. The units of analysis, the cases, for this research are thus programs that are responses to rapid onset natural disasters. Hereafter, the thesis will discuss why and how specific cases were selected and collected, and the specific case setting of the study will be presented.

4.3 Case setting

As was previously mentioned, the aim of this research is to add to the learning of humanitarian professionals regarding interactive participation in the context of rapid onset natural disasters. In order to do so most effectively and accurately, it was deemed important to base this learning on programs of an organization with sufficient experience in those contexts, as well as on an organization that has participation at the base of its programs. The organization whose programs have been selected for analysis is Action Contre la Faim (ACF). ACF is deemed particularly interesting and appropriate as a case setting, as it is an international humanitarian organization with over 30 years of expertise in rapid onset natural disasters. The organization carries out programs, which include activities in nutrition, water and sanitation, public health and food security, in more than 40 countries and directly assisted 6.4 million people in 2010 (ACF International 2010). Taking into consideration the organizations’ experience in emergency responses to rapid onset natural disasters, as well as the number of beneficiaries reached through its programs, this experience is considered as sufficient for the organization to be considered eligible for analysis based on this criterion determined by the researcher. ACFs programs are also deemed appropriate because of its dedication to participatory approaches within its programs. ACF is committed to ensuring community participation in programs and repeatedly states that its programs are needs-based and customized through direct community participation (ACF International 2010). The abovementioned characteristics of
ACF thus justify the decision to use ACF programs as its units of analysis. Henceforward, the case selection criteria and case collection procedures will be presented.

4.4 Case selection

The current research uses multiple cases in the study as it provides a stronger base for theory-building as is intended in this research, and as it adds confidence to findings by strengthening precision, validity and stability of the results (Eisenhardt & Graebner 2007). In this study, cases are selected theoretically, meaning that case selection is driven by the research question and theoretical framework, and thus on their ability to illuminate relationships and logic among particular constructs that are intended to be discovered (Eisenhardt & Graebner 2007). The researcher posed two selection criteria for cases to be considered as eligible for analysis in this research. The two selection criteria will be discussed briefly hereafter.

4.4.1 Case selection criteria: participatory processes

The first selection criteria requires a program to have at least some level of participatory processes embedded within them. Section 4.3 demonstrated that principally, ACF has community participation at the core of its programs. Thus, it is presumed that all ACF programs have at least some kind of participation embedded within them.

4.4.2 Case selection criteria: response to rapid onset natural disaster

The second requirement is that the program has to be an emergency response program to a disaster that is considered a ‘rapid onset natural disaster’ as described in the second theoretical chapter. An eligible response thus has to be an emergency response to a disaster that was caused by a sudden natural hazard that exceeded the society or community’s capacity, to which international aid was requested. Only responses that took place between July 2012 and July 2013 were taken into consideration as eligible responses to serve as cases. This was decided in order to assure a relevant sample size as well as to have clarity on which programs would and would not be considered as relevant units of analysis. Table 4 visually presents the case selection criteria and how the selected cases score on these criteria. A ‘checkmark’ indicates that the case meets the case selection requirement posed by the researcher. The specific case selection procedures followed will be discussed in the following section.
Case selection procedures

The programs were accessible to the researcher directly through the database of ACF-UK, one of the autonomous headquarters of the organization located in London, UK. A total of nine programs initiated between July 2012 and July 2013 were identified. All nine programs were investigated on their eligibility to serve as cases in this study according to the case selection criteria outlined above. After careful consideration, four programs were identified as being suitable for analysis. Table 4 presents these ACF programs between July 2012 and July 2013 that were available to the researcher through the ACF-UK database, which were selected as units of analysis in this study as they meet the case selection criteria. The table demonstrates the name of the eligible program in the most left column, and whether they can be characterized as having an aspect of participation and as being a response to a rapid onset natural disaster within July 2012-2013 is indicated in the two right columns. In order for a program to qualify, it has to contain a ‘checkmark’ in both columns relating to the characteristics. Validation was done with the Programme and Partnership Manager at ACF-UK to ensure that all identified cases were linked to programs that

<table>
<thead>
<tr>
<th>Name of program</th>
<th>Case selection criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Access to potable water, improved sanitation and food security for populations most affected by Cyclone Haruna.</td>
<td>✓</td>
</tr>
<tr>
<td>Hurricane Sandy Food Security Emergency Response in the Communes of Baie de Henne and Bombardopolis, Department of North West Haiti.</td>
<td>✓</td>
</tr>
<tr>
<td>Hurricane Sandy Food Security Emergency Response in the Commune of Anse Rouge, Upper Artibonite, Haiti.</td>
<td>✓</td>
</tr>
<tr>
<td>WASH post-hurricane Sandy emergency response in Cité Soleil camps, Port-au-Prince, Haiti.</td>
<td>✓</td>
</tr>
</tbody>
</table>

4.4.3 Case selection procedures

Table 4: Eligible programs and selection criteria (source: ACF-UK database)
actually received funding as well as to confirm that the cases indeed qualified based on the researcher’s identified criteria. The next section provides a summary of the selected cases, briefly presenting both the specific context of the situation and the accompanied program of ACF, drawing information from both OCHA Situational Reports and the case data sources.

4.5 Case descriptions

4.5.1 Tropical cyclone Haruna, Madagascar
Tropical Cyclone Haruna made landfall over the southwest coast of Madagascar on 22 February 2013. Excessive rainfall and flooding caused 30 to 60% of homes considered as inhabitable, leadings to the displacement of over 7,330 people in temporary displacement sites (OCHA 2013). ACFs response to cyclone Haruna was initiated on 23 February in Southwestern districts of Madagascar and ended on 31 May 2013. The program was funded by an emergency aid grant received from the Isle of Man government, and aimed to assure access to potable water and sanitation and restore the livelihoods means (through rehabilitation support and reintroducing agricultural activities) of vulnerable populations affected by the cyclone in Southwest Madagascar.

4.5.2 Hurricane Sandy, Bombardopolis and Baie de Henne, Haiti
Hurricane Sandy hit Haiti on October 25th, 2012, and further deteriorated the situation of already vulnerable communities. Among others, the hurricane affected the area and economy in North-West area in Haiti, causing damage to local productive assets and roads, impacting local fishing and farming activities and damaging banana and pea crops in both Baie de Henne and Bombardopolis communes. The aim of ACFs initiated project was to address the immediate food insecurity of the population affected by Hurricane Sandy in these communes in North West Haiti. Furthermore, the aim was to prevent the development of a major food and nutritional crisis in the communes. The specific program analyzed covers the period December 1st, 2012 to May 31st, 2013, and was funded by the Department for International Development (DFID) of the Government of the United Kingdom.

4.5.3 Hurricane Sandy, Anse Rouge, Haiti
Hurricane Sandy hit Haiti on 25 October, 2012. The hurricane had a great impact on the communes’ farming activities, putting a hold on the population’s pea crops, as well as
shallots and onion fields. Furthermore, hurricane Sandy destroyed many of the population’s assets as well as local roads. The objective of ACFs program in the commune of Anse Rouge, Upper Artibonite, in Haiti after Hurricane Sandy was thus to address the immediate food insecurity of the affected population. ACFs program addressed the economically and nutritionally vulnerable through the distribution of food vouchers, included Cash for Work (CfW) activities and supported farmers with the provision of seeds, covering basic food needs of the local population. Furthermore, the program focused on infrastructure improvement and revitalization of agricultural production. The program started on December 1st, 2012, and lasted until May 1st, 2013, funded by the DFID.

4.5.4 Hurricane Sandy, Port-au-Prince, Haiti
The last case study regards the final of ACFs emergency responses to hurricane Sandy, which hit Haiti October 25th, 2012. In Port-au-Prince, the response constituted the implementation of a WASH response in 11 Internally Displaced Persons (IDP) camps in Port-au-Prince, Haiti between December 2012 and March 31st, 2013. The program addressed basic WASH needs for people living in camps, which were formed after the earthquake of 2010. Hurricane Sandy’s persistent rains flooded most of the Cité Soleil camps. Contaminated water from the ravines upstream, as well as open defecation sites, rotting piles of garbage and flooded latrines, led to the worsening sanitary conditions in the camps, creating major health risks. The risk of water borne disease outbreaks in this area of the capital was deemed tremendous by ACF, with the area receiving limited humanitarian assistance coverage post-hurricane Sandy, partly because of the image of insecurity the area displayed. ACFs program aimed at covering the basic water and sanitation needs of the population living in the targeted areas, as well strengthening the prevention of water-borne diseases.

4.6 Data sources and collection
After having briefly presented the cases, this next section will present the specific sources of data and data collection procedures. The selected cases were collected between September 2013 and January 2014 through ACF-UKs archives. The data was accessible to the researcher as she was an intern at the organization during this time-period. Specific sources of data include concept notes of program proposals, interim as well as final
narrative and financial reports to the respective funding sources, and Log Frames Analyses where available. An overview of the exact sources of data analyzed for each case is presented in table 5. The methods to conduct the data analysis are described in the following section.

Table 5: Sources of data analyzed per case

<table>
<thead>
<tr>
<th>Case</th>
<th>Sources of data</th>
</tr>
</thead>
</table>
| Access to potable water, improved sanitation and food security for populations most affected by Cyclone Haruna. | • Emergency Proposal  
• Emergency Grant: Budget  
• Final Narrative Report |
| Hurricane Sandy Food Security Emergency Response in the Communes of Baie de Henne and Bombardopolis, Department of Nord West Haiti. | • Concept Note  
• Budget & Budget Narrative  
• Log Frame  
• Interim Narrative Report  
• Interim Budget  
• Final Narrative Report  
• Final Financial Report |
| Hurricane Sandy Food Security Emergency Response in the Commune of Anse Rouge, Upper Artibonite, Haiti | • Concept Note  
• Budget & Budget Narrative  
• Log Frame  
• Interim Narrative Report  
• Interim Budget  
• Final Narrative Report  
• Final Financial Report |
| WASH post-hurricane Sandy emergency response in Cité Soleil camps, Port-au-Prince, Haiti. | • Concept Note  
• Budget & Budget Narrative  
• Log Frame  
• Interim Narrative Report  
• Interim Budget  
• Final Narrative Report  
• Final Financial Report |

4.7 Data analysis methods

The statistical process used to analyze the data in this research is a qualitative content analysis, developed by Philipp Mayring in the 1980s. The method will be elaborated on hereafter, discussing especially the method’s strengths and appropriateness for this research, and most importantly, the specific analytical procedures followed.
4.7.1 Qualitative content analysis defined

Mayring defines qualitative content analysis as “an approach of empirical, methodological controlled analysis of texts within their context of communication, following content analytical rules and step-by-step models” (Kohlbacher 2006, p.14). In a qualitative content analysis, the researcher takes a theory-guided and systematic approach to analyzing a text while using a category system. According to Kohlbacher (2006), this type of analysis is relevant to be used in a research using multiple case studies as is done in this thesis, as the step-by-step and theory-guided investigation is able to gradually reduce possible complexity that arise when analyzing multiple cases. Furthermore, the system of analysis is also deemed appropriate for this study because of the system’s strength of putting contextual process that occur at the center of the investigation (Kohlbacher 2006). This is considered important by the researchers as it allows for the analysis of interactive participation specifically, which by means of this method is put in the center of the analysis. Furthermore, the method can be used to investigate and integrate different types of material (Kohlbacher 2006), the relevancy of which is demonstrated in table 5 where the range of different types of data sources used in this study are presented. In Mayring’s qualitative content analysis, material is analyzed step-by-step and follows clarified procedures. At the center of analysis are theory-guided categories, and the deductive category application used in the current study will be discussed in more detail hereafter.

4.7.2 Deductive category application

In this thesis, data is analyzed using a deductive category application as described by Mayring. The main idea in a deductive category application is that categories, and coding rules tied to these categories, are thus far made explicit that the researcher knows exactly under which circumstances text falls under a certain category (Mayring 2000). The current study looks at how programs incorporate interactive participation, which facilitates empowerment and sustainability in the context of rapid onset natural disasters. In the theoretical chapters, the researcher identified by means of relevant literature what aspects constitute interactive participation and need to be present within a program to facilitate these beneficiary-centered outcomes. The analysis will thus be performed based on the presence of these aspects, and therefore a deductive category application, where theory-guided categories are established prior to analysis is relevant for this research. The next
section will describe in detail the data analysis procedures followed in this study, starting with the process of determining categories and codes.

4.7.3 Categories and codes

This process of determining categories on which data is analyzed is also referred to as ‘coding’. A code is a category label that is attached to specific ‘chunks of texts’, which can be of varying sizes, and codes are used to organize these specific texts (Miles & Huberman 1994, p. 56). The next section will demonstrate the specific categories and sub-categories identified by the researcher.

4.7.3.1 Framing categories and sub-categories for analysis

The theoretical framework at the end of the previous chapter demonstrates that there are constraints to interactive participation as it is set out in theory, and that it is questionable whether all the themes constituting interactive participation are possible in rapid onset natural disaster contexts. This thesis thus investigates whether programs in such contexts incorporate interactive participation by analyzing the presence of the factors of interactive participation mentioned in theoretical framework. Hence, categories for analysis are based on these factors. For the current study, the researcher followed advice on coding provided by Miles and Huberman (1994). A more specific process of how the codes were developed is provided in the following section.

4.7.3.2 Main categories and main codes

Prior to the analysis, the researcher made a coding scheme in which the themes of interactive participation were labeled as main categories. The following six themes, which were identified in section 2.5, were each assigned main codes: the participation of beneficiaries in joint analysis (JOINT-ANAL), development of action plans (DEV-PLAN), formation or strengthening of local institutions (LOCAL-INS), the program seeks multiple perspectives (MULT-PERS), and finally the population has control over local decisions (CONTR-DEC), and determine how local resources are used (DETERM-RES). However, it is not clear from these codes which information found in the data would actually fall under these main categories. Therefore, sub-categories were created.
4.7.3.3 Subcategories and sub codes

The sub categories were established to portray the specific aspects that characterize each of the main six themes. The narrative description of each theme presented in the first theoretical chapter was used to determine the specific characteristics that make up each category. The characteristics were listed below their respective main category and assigned subcategory titles. To each of the sub categories, a separate sub code was assigned, easily identifiable with the main category. These subcategories are thus characteristics of the main category on which the program is analyzed. For clarification and easy reference for the researcher, the categories, subcategories and the codes and sub codes assigned to were organized in an excel file. The complete coding scheme used for analysis is available in annex 1.

4.7.4 Data analysis procedures

Once the coding scheme was finalized, data was ready for analysis. Two types of analysis were performed, both a within-case analysis as well as a cross-case analysis. Eisenhardt (1989) states that it is important for a researcher to first become familiar with each case separately, as it allows the researcher to recognize unique patterns of each case instead of pushing and generalizing to generalize patterns across cases. Therefore, cross-case analysis was held to the end of the analysis, when all individual cases were individually coded and analyzed. The data analysis procedures were as follows. First, each case was read through thoroughly by the researcher and, where applicable, text was coded by hand. Marginal remarks were placed where necessary for later reference and different colors were used to differentiate between different codes and to avoid confusion. This within-case analysis focused on determining the manner in which the programs incorporated interactive participatory processes. Miles and Huberman (1994) mention that a coding system should not be confused with a filing system, and that a researcher needs a systematic way to store coded data and a system to easily retrieve it. Therefore, throughout the coding of each case, the researcher kept track of the frequency and location of codes by means of an excel form. By means of this excel-based filing system, the researcher assured a reliable, clear and coherent means of coding and analyzing. The summary excel-sheets for each of the cases are attached for the reader’s reference in annex 2.
When all individual cases were coded and analyzed, a cross-case analysis was conducted. In order to avoid tendencies to make premature and false conclusions in the cross-case analysis, intergroup differences and similarities based on different categories were determined to improve the likelihood of accurate and reliable emerging theory (Eisenhardt 1989). Thus, for the cross-case analysis, the researcher followed this Eisenhardt’s (1989) tactic, and frequency tables of the codes of each of the cases by means of the individual coding excel files were performed and individual cases were compared to look for similar constructs and relationships among the multiple cases within the categories. This information is provided in annex 3.

4.8 Limitations of the applied methodology
Limitations regarding the methods employed in this research relate to both the case study methodology and method of analysis. Firstly, the research is based solely on desk research. The collection of additional data through field research was not deemed possible due to the context of the study. The unpredictability of rapid onset natural disasters and related to this the time and financial constraints of the researcher contributed to the choice to conduct qualitative desk research only. Stronger validation of emerging results from analysis would have been possible through triangulation if multiple data collection methods were equipped in the study (Eisenhardt 1989). An additional limitation regarding the case study methodology is the decision to place the setting of the research in one organization only. Although the research is based on multiple cases, which generally makes results more accurate and generalizable (Eisenhardt & Graebner 2007), it has to be kept in mind that the results in this study represent only the practice and experience of one organization’s response to rapid onset natural disaster between July 2012 and July 2013. Time constraints did not allow for a more comprehensive study which would include more organizations or which would cover a broader time-period. Even though the emergency response programs to rapid onset natural disasters of ACF are considered as relevant units of analysis for this research, the results remain from the perspective of only one organization and thus the generalizability of the results can be contested.

As with many other methods, a qualitative content analysis is subject to interpretation of the researcher on multiple levels. Selectivity is endemic to both data collection and analysis (Miles & Huberman 1994) and researchers constantly make choices regarding the
data without necessarily realizing they are doing so. Every effort was made by the researcher to ensure an objective, replicable and reliable data analysis in this study. However, it is important to state that although steps are taken to mitigate selectivity, there is the possibility of unintentional selectivity by the researcher at the level of categorization, interpretation and throughout the coding and analyzing procedures of the cases.

### 4.9 Conclusion

This chapter presented each aspect of the process by which the current research was completed in order to answer the study’s main research question and generate research results. After having explained the case research methodology and case setting used in the study, the chapter presented the case selection and collection procedures in detail. Furthermore, the data analysis method employed to retrieve results from the data is elaborated on: a qualitative content analysis. By means of a deductive category application, where categories were composed based on the themes that compose interactive participation, which were illustrated in chapter 2, a within case and cross-case analysis was performed. Selected cases were analyzed on the presence of the interactive participation themes within its programs, thus allowing the researcher to reach an answer to the question how programs incorporate interactive participation that facilitates beneficiary-centered outcomes in rapid onset natural disasters. The next chapter presents the findings of the data analysis.
Chapter 5: Findings

5.1 Introduction
This chapter presents the findings of the data analysis that was performed for this thesis. The chapter will answer the third sub-question identified in the introduction of this study: “What are the actual practices of a humanitarian actor with regard to interactive participation in the context of its emergency relief response to rapid onset natural disasters?” As was mentioned in the methodology chapter, four cases are analysed, all four emergency responses to rapid onset natural disasters by ACF. The within-case analysis findings on the actual practices of ACF with regard to interactive participation are presented as follows. The factors identified in the theoretical chapters as aspects of interactive participation that facilitate empowerment and sustainability serve as the base for the analysis. The researcher presents the findings for each case individually, presented in line with how the data was coded and analyzed: following the factors of interactive participation identified in the theoretical chapters. The chapter starts with the presentation of the findings of ACF’s response to cyclone Haruna in Madagascar followed by the analysis of the three emergency response programs to Hurricane Sandy in Haiti.

5.2 Case study: Tropical cyclone Haruna, Madagascar

5.2.1 Joint analysis
Within the ‘joint analysis’ factor of interactive participation, the analysis displays that the beneficiaries participated in the definition and assessment of need within the program. The presence of these two sub-categories in the program becomes clear in the final narrative report, where it is stated that during the organizations’ rapid evaluation, “the population had expressed the large demand for seed supply versus food” (p. 18). The third characteristic regards the population’s access to necessary information. The analysis demonstrates that ACF assured information sharing with the population, providing technical support and sharing information on water point test results with local organizations. Furthermore, in every location of intervention, sensitization and information meetings were held in which details about the project were provided to the communities. Lastly, the analysis demonstrates that throughout the program, ACF expressed respect and acknowledgement of
local knowledge and experience. ACFs provision of technical support to the town council initiated cleaning campaign is a demonstration of the acknowledgement of the local population’s knowledge. Another example is the fact that ACF included local adaptation techniques in the hygiene and sanitation activities, stating in the emergency proposal that the program would ensure “the local adaptations necessary for maximized campaign outreach and impact” (p. 11). Lastly, the population’s knowledge was taken into consideration regarding choosing suitable locations for the distribution of potable water distribution. These locations were based on feedback and information provided by local community members through field visits, interviews and group discussions.

5.2.2 Development action plans

The populations’ participation in deciding how the identified needs were approached is present, though it appears through analysis that this did not automatically follow from the aforementioned joint analysis. Following up on the aforementioned example of the by the population identified need for seeds, it becomes clear that in the end, it was still ACF who made the actual decision as to how these needs were addressed. On the other hand, the analysis also identifies patterns of joint analysis leading to the joint development of action plans. For example, regarding the installment of wells, the decisions as to what exact type of treatment intervention was the most appropriate was left to the community. Another example is regarding the reconstruction support activities in the program. The community expressed the need to reconstruct their homes as quickly as possible. By means of group discussions, the population decided that the best way to do so would be by combining ACFs envisioned activity of giving money to households with an activity in which ACF distributes financial grants to households for whom the main income is the construction of homes in the area.

5.2.3 Formulation & strengthening local institutions

No evidence regarding the population’s impact on the local educational, health, family, and social welfare system is found in the analyzed sources. The involvement of beneficiaries in the establishment of institutions by or for the project, however, is prominent, with the project establishing a community committee in each village. This committee supported the establishment and validation of beneficiary lists for both the agricultural and reconstruction
support activities. In the final narrative report, ACF stated that regarding the reconstruction support activities, the validated list of hut manufactures was “distributed to a village committee who guaranteed that the 47 huts would be ready and delivered on time” (p. 17).

5.2.4 Seeking multiple perspectives
The aspect of interactive participation that relates to seeking multiple perspectives throughout the participatory processes of the program becomes primarily apparent in the assurance of perspectives of multiple occupations. Throughout the program, ACF repeatedly assures the perspective of local authority and community representatives to be included. Furthermore, even though the programs repeatedly mentions taking a “community” perspective, it is unclear whether there is a wide variety of representativeness of the multiple perspectives which are considered within this factor of interactive participation, as there is no clarification whether different gender, income, or age perspectives were taken into consideration.

5.2.5 Control local decisions
Under the category of the local populations’ control over local decisions, it becomes apparent that the population had limited decision-making powers, an example being the aforementioned committee, who were the final decision-makers regarding the distribution of agricultural seeds to beneficiaries. Furthermore, regarding the use of seeds, ACF stated that “the decision as to how a family would negotiate their needs concerning a lack of food vis-à-vis agricultural recovery remained with the beneficiary” (p. 18). However, the local population’s actual responsibility over the project’s resources does not become apparent through the analysis, and neither does the presence of an clearly identified and institutionalized problem-solving and trouble-shooting mechanism.

5.2.6 Determine how local resources are used
This aspect of interactive participation does not come forward through the analysis. Indeed, according to the analysis, the beneficiaries had no determination as to how local resources, neither financial nor non-financial, were used in the project.
5.3 Case study: Hurricane Sandy, Bombardopolis and Baie de Henne, Haiti

5.3.1 Joint analysis
The performed analysis clearly demonstrates that the initial structure and direction of the program was determined by ACF. A needs assessment was performed by ACF, but the analyzed documents do not demonstrate to what extent the population in the communes participated in the definition of need in this assessment. However, the local population’s participation in the assessment of need in this specific program can be viewed from another point of view. Namely, at the onset of the program, ACF conducted transversal surveys and complimentary evaluations in order to re-assess the previously identified needs more precisely, and to define a methodology for the identification of beneficiaries and priority zones of interventions. The analysis demonstrates that the population did participate in this second assessment, with the program dedicating two committees per commune to assist in the identification for the specific zones of intervention for the Cash for Work (CfW) and agricultural activities. These committees prioritized zones of interventions, scoring them according to the by ACF pre-established vulnerability criteria. Thus, the population participated in the second assessment of need performed for this specific program. Lastly, the population had access to necessary information. This became clear in the interim report, which stated that “a meeting was organized with local civil society in order to explain the project and report on the selection process” (p. 17).

5.3.2 Development action plans
As was previously mentioned, the population’s participation in deciding how identified needs were to be approached was minimal, as the analysis demonstrates that the main activities to be implemented in the program were decided upon by ACF after the initial needs assessment. However, in the second assessment that was elaborated on in the previous section, the determination of what types of seeds were to be made available to the population was also part of the assessment. ACF states in the interim report that for each selected zone, it decided to “organize focus groups to identify 3 varieties of seeds for each agro-ecological zone” (p. 12). Thus, the population had a say in which types of seeds they deemed appropriate and wished to receive. However, there is no evidence of the inclusion of the population in the development of the actual action planning of activities.
5.3.3 Formulation & strengthening local institutions

The formulation and strengthening of local institutions, particularly the effect the local population has on the local educational, health, welfare and family system as well as local government structures does not become apparent through the performed analysis. However, the final sub-category that characterizes this aspect of interactive participation, the populations’ involvement in the establishment of institutions by or for the project, is prominent. As was previously mentioned, the project created local committees. For each zone of intervention for CfW activities, a CfW local committee was created. Identically, for each agro-ecological zone of intervention where seeds were to be distributed, a local agro committee was created. These committees are examples of organizations that were created according to their relevance in activities of the project. The way in which these committees considered multiple perspectives is described in the following section.

5.3.4 Seeking multiple perspectives

ACF took into consideration multiple perspectives in the second assessment of the needs of the population. Especially the perspectives of people with multiple occupations, primarily the local authorities, were taken into consideration. The interim report states that the Mayor and the Municipal Council (City Hall), Communal Council Board (CASEC), the Municipal Agricultural Office (BAC) and Community Based Organizations were all consulted in in the identification of the zones and infrastructures (p. 7). The documents did not clarify the consideration of other perspectives listed under this aspect of interactive participation, i.e. the representativeness of people with different gender, age, level of income or education.

The committees mentioned in the previous section, the CfW committees and the agro committees, consisted of 1 representative of the City Hall and the CASEC and 1 representative of the BAC. Furthermore, the CfW committees included three representatives of community-based organizations acting in Community Development, while the local agro-committees had three representatives of community based organizations with an agricultural focus. The analysis thus demonstrates that there was a wide representation of people with different occupations within these committees. However, the level of representativeness and perspectives of different age groups, different genders and different levels of income and educational levels within the representatives of community based organization in the committees remains unclear.
5.3.5 Control local decisions

While the population (more precisely, the committees) had decision-making power regarding the selection of intervention zones and the identification and selection of beneficiaries, final decisions remained with ACF, who double-checked and validated the list submitted by the committees. The analysis does not demonstrate the presence of population’s responsibility over the project’s resources, nor does it demonstrate that there was an identified and institutionalized problem-solving and trouble-shooting mechanism in place. However, under this aspect of interactive participation, the analysis does clearly demonstrate the presence of the sub-category that indicates a clear and accepted line of accountability. The aforementioned committees each signed a Memorandum of Understanding (MoU). In the interim report, ACF states that “committees that have been established…have signed a MoU providing that they are responsible for reporting regularly to local authorities” (p. 17). This indeed indicates that there was an understanding between ACF and the committees of the committee’s tasks and responsibilities.

5.3.6 Determine how local resources are used

This aspect of interactive participation is characterized by the population’s determination in how financial and non-financial resources (housing, opportunities for personal growth, employment and cultural experiences) are used. Information in the data sources that would be considered under these subcategories did not become apparent through the analysis, and the local population had no determination as to how local resources were used.

5.4 Case study: Hurricane Sandy, Upper Arbonite, Anse Rouge Commune

5.4.1 Joint Analysis

The analysis demonstrates that the local population, by means of focus group discussions, was involved in the definition of need. The second sub-category, the population’s participation in the assessment of needs was present as well. For example, the population participated in identifying the most vulnerable infrastructures that should be rehabilitated through the CfW activities. The population was also part of the process of identifying beneficiaries who met pre-established vulnerability criteria set by ACF. Regarding the sub-category relating to the population’s access to necessary information, the interim report states that “a meeting was organized with local civil society in order to explain the project
and report on the selection process” (p. 17). Furthermore, information sessions were held at departmental and local level to present the project and communicate the activities. The last sub-category refers to ACF’s effort in expressing respect and acknowledgement of indigenous knowledge and experience; however, the analyzed data sources did not openly remark such practices in the program.

5.4.2 Development action plans
The local population’s participation in deciding how identified needs were approached in the program relates to one activity specifically. Beneficiaries participated in focus groups for the agricultural activities within the program. In these focus group discussions, they identified and selected three varieties of seeds that were to be distributed in each of the agro-ecological zones. Besides these identification and selection procedures, no other instances where the local population participated in the development of action plans is identified throughout the analytical procedures.

5.4.3 Formulating & Strengthening of local institutions
The local population’s participation in strengthening local institutions becomes apparent primarily regarding the local health and welfare systems. The final narrative report demonstrates that FENAC (Food Education and Nutrition Community Center) mothers and officers participated in training and discussion groups relating to topics of health and welfare. For example, trainings included breastfeeding practices as well how to revitalize the FENAC centers. Furthermore, the local population was widely involved in institutions which were established for or by the project. For example, for each zone of intervention, a committee was created for each of the activities. This constituted a CfW local committee, which participated in the identification of the priority zones for infrastructures to be reconstructed, as well as the identification of the beneficiaries to participate in the CfW activities. The second committee entails a local agro-ecological committee, which was involved in the selection of farmers to receive seeds. The committee also recommended to ACF the specific zones to be selected as sites for the planned agricultural activities.

5.4.4 Seeking multiple perspectives
The participatory practices in ACFs food security emergency response in Anse Rouge demonstrate a significant amount of effort of the organization to seek multiple perspectives.
On the one hand, the analyzed documents repeatedly state the involvement of representatives of the community. For example, in the aforementioned committees in the agro-ecological zones of interventions, 2 members were representatives of ‘community-based organizations’. However, no clarity is provided on the representativeness of these representatives of the community. On other aspects of the program, however, there is a clarification on which different perspectives were considered within the program. According to the intermediary report, for example, the CfW activities included the consideration of people of differing genders and ages. More specifically, “924 workers were identified, including more than 35% of women” (p. 9) and “all workers must be aged between 18 to 60 years” (p. 23). Another example of the different perspectives assured in the program is the perspectives of people with different occupations. This also became apparent in the midterm and final report, when it was mentioned that the agro-ecological and CfW committees existed of members from the City Hall, the Communal Council Board, and the Municipal Agricultural Office. The only sub-category within this aspect of interactive participation that does not become apparent through the data analysis is the perspective of the poor and the wealthy. There is no mention of this perspective being assured within the participatory aspects of the program.

5.4.5 Control local decisions

The local population’s control over local decisions becomes apparent through the case analysis. Especially the sub-category regarding the presence of a clear and accepted line of responsibility becomes evident. For example, a MoU was signed between ACF and both the CfW and the agro-ecological committees, which indicates an understanding between the two signatories. Several instances demonstrate the population’s decision-making powers, as well as the level of responsibility over resources held by the local population. For example, within the seed-distribution activity, the committees were in charge to distribute tools to the most vulnerable population, and were “responsible for the management and monitoring of the water sprayers” (final report, p. 15). Another example of this sub-category arises in the final report, and relates to the distribution of tools at the end of the intervention. The tools were donated to the Communal Civil Protection Committee (CCGRD), and “the management of these tools is the responsibility of the CCGRD which signed a memorandum of use” (p. 9).
5.4.6 Determine how local resources are used

It does not become apparent throughout the case analysis that the local population participated in determining how local resources were used. This category is characterized by the involvement of the population in determining how both financial and non-financial resources are used. However, no information regarding this is identified in the analyzed documents.

5.5 Case Study: Hurricane Sandy: Port-au-Prince, Haiti

5.5.1 Joint Analysis

By means of focus group discussions and questionnaires during the Rapid Need Assessments carried out by ACF staff, the local population participated in the definition of need. The population also participated in the assessment of need, evidence of which is found in both the interim and final narrative report. The population participated in a detailed baseline survey, a KAP survey, which assessed the population’s Knowledge, Attitudes and Practices regarding hygiene. The accessibility of relevant information to the population does not become widely apparent through the case analysis. One instance, where committees created for the distribution of coupons were provided an introduction meeting regarding specific activities and procedures, demonstrates the presence of this sub-category in the program. Throughout the program, ACF clearly expressed respect of the populations’ indigenous knowledge and experience. This becomes clear in the activity regarding the rehabilitation or installation of emergency latrines and showers. The KAP survey demonstrated that previously installed latrines by other organizations were no longer maintained. In the interim report, ACF states that “only latrines managed by family groups are still working” and that therefore “it was decided to implement this family group latrine management methodology” (p. 6). This thus expresses the organization’s respect and acknowledgement of the local population’s knowledge and experiences.

5.5.2 Development action plans

The local population’s participation in the development of action plans hardly appears through the data analysis. The one instance where the population partook in deciding how identified needs were to be approached was in the construction and rehabilitation of water points in one of the camps, camp CAPVA. Here, the camp committee requested that the
local population build the emergency water point themselves, and this is indeed how the activity ended up being implemented. Thus, the camp committee participated in deciding how the needs in CAPVA camp were approached.

5.5.3 Formulating & Strengthening of local institutions
The population’s impact on the local educational, health, family and social welfare systems and government structures does not become apparent through the performed data analysis. However, many instances are found regarding the involvement of beneficiaries in institutions established for or by the project. Institutions created for the program specifically were women and youth groups, created for the collection and sorting of waste materials. These groups participated in trainings, and were put in contact with local recycling companies to reduce the amount of plastic blocking drainage canals in the future. Another example is the organized Community Cleaning Days. In every camp, 10 truckloads of waste were transported out of the camps during these Community Cleaning Days. A third example of the participation of the population in institutions created for the program specifically is presented in the interim report, and relates to the aim of the program to reduce the rate of waterborne diseases in the area. For this purpose, it is stated that “Community Intervention Teams were created in order in order to build resilience within the community itself” (p. 16). And additionally, “13 committees have been trained to be recognized and helpful for the population of the camp as Community Key Person” (p. 13). A fourth and final example can be found within the distribution of water-borne disease prevention kits. Within this activity, a distribution committee aided ACF in the distribution of the prevention kits to the beneficiaries and the verification of coupons during the distribution.

5.5.4 Seeking multiple perspectives
Perspectives that appear not to have been considered within the program are those of the poor, wealthy, and elderly. However, the other perspectives were considered throughout the program extensively. The perspectives of women were assured throughout the abovementioned waste-sorting committees. The perspectives of women were also assured in the training of the abovementioned Community Key Persons, with a photograph in the program’s final narrative report showing both females and males participating in a training
session. Lastly, there are instances within the project where it is stated that the involvement of the ‘community’ was assured, but the data sources did not go into more detail regarding the level of representativeness of these participants. The interim and final report, for example, state that in the Rapid Needs Assessment, ‘potential beneficiaries’ participated. Another example is the Community Cleaning Days, where 150 community members participated. In both these cases, though the array of community participation is clear, it remains unclear who exactly participated.

5.5.5 Control local decisions
The control over local decisions refers to the population’s decision-making powers and responsibility over certain aspects of the project, including resources. In the current analysis, no evidence is found in the data sources of such decision-making powers or responsibilities over resources. Another characteristic of this factor of interactive participation is the presence of a clear and accepted line of accountability, and an identified and institutionalized problem-solving and trouble-shooting mechanism. Since neither of these was found, it can be concluded that the aspect of the population’s control over local decisions is not fulfilled within the program.

5.5.6 Determine how local resources are used
The final aspect of interactive participation, the population’s participation in determining how local resources are used relates to both financial and non-financial resources within the project. This pertains decisions on housing, opportunities for local growth, employment and cultural experiences. Throughout this case analysis, no evidence is found regarding the presence of the population’s determination of such resources within the program.

5.6 Conclusion
The current chapter presented the findings of the data analysis performed for the thesis, and answered the third sub-question asked in the introduction of this study: “What are the actual practices of a humanitarian actor with regard to interactive participation in the context of its emergency relief response to rapid onset natural disasters?” Four emergency responses to rapid onset natural disaster of ACF were assessed on its actual practices with regard to interactive participation. The factors identified in the theoretical framework as aspects of interactive participation that facilitate empowerment and sustainability were at the base of
the data analysis, and thus the findings were presented following this structure. Thus, based on the data analysis, this chapter demonstrated what ACFs actual practices are regarding these different factors of interactive participation. Now that the practices of ACF regarding interactive participation in the context of emergency relief responses to rapid onset natural disaster have been presented, the thesis will discuss the findings in the following chapter.
Chapter 6: Discussion

6.1 Introduction

Through the theoretical chapters the thesis demonstrated that there are constraints to interactive participation as it is set out in theory. Therefore, it is questionable whether all the factors that constitute interactive participation can indeed be realized in programs that are responses to rapid onset natural disasters.

The previous chapter presented the observations made with regards to interactive participation in four different emergency relief programs to rapid onset natural disasters of ACF. The current chapter will interpret these findings, mirroring them with the theoretical framework presented in chapter 3. Each case was analyzed and presented individually, in order to create a base of information. In this chapter, this information is pulled together, and conclusions are tentatively deducted. This is done because it is not the aim of the research to present a comparison between the contexts regarding the presence of factors that constitute interactive participation, but instead to present an overall picture. More specifically, the goal is not to assess how interactive participation worked in each context, but to explore the phenomenon of participation within emergency relief responses to rapid onset natural disasters.

The discussion is divided into two parts. The first discusses the presence of the factors of interactive participation in ACFs responses in a general manner. The second part of the chapter discusses each of the factors separately – focusing specifically on the findings regarding the characteristics that make up each of these factors.

6.2 The presentation of interactive participation

The previous chapter discussed the findings regarding interactive participation in each of the four cases separately. Figure 2 below provides a visual representation of these findings, and provides an overview of the presence of the factors of interactive participation within the four analyzed cases.
Interactive Participation per case

![Interactive Participation per case](image)

Figure 2: Presence of factors of interactive participation in the analyzed cases

As was previously mentioned, the cases were individually analyzed on interactive participation. Figure 2 above visually presents the case per case findings, which were presented narratively in the previous chapter. Based on the data presented in Figure 2, an overall discussion of the phenomenon of interactive participation can be held. For doing so, the average of the presence of the factors within the four cases was measured to draw a general picture of the presence of each of the factors. Figure 3 on the next page presents the main findings regarding the factors of interactive participation in ACF’s rapid onset natural disaster relief responses, and is therefore the table on which the following discussion is based upon.

6.3 Discussion on interactive participation in rapid onset natural disasters

The theoretical framework demonstrated constraints to interactive participation, as it is set out in theory, in programs that are responses to rapid onset natural disasters. Indeed, looking at figure 3, which demonstrates the factors of interactive participation in the programs of ACF, the variety of presence becomes clear on first sight. The findings demonstrate that some factors of interactive participation that facilitate sustainability and empowerment are present, while others are missing.

The two factors that are most dominant are ‘joint analysis’ and ‘seeking multiple perspectives’. The participation in the development of action plans, however, is hardly
present. Perhaps the most obvious and immediate observation that comes to mind when reflecting over the contents in Figure 3 is that one factor, the local population’s participation in determining how local resources are used, is not present at all. Overall, the analysis demonstrates that most factors (four out of five) are identified, but that this presence is not consistent or automatic.

**Interactive Participation in ACFs**

**Emergency Relief Response to Rapid Onset Natural Disasters**

![Graph showing interactive participation in ACFs responses](image)

*Figure 3: Average presence of factors of interactive participation in rapid onset natural disaster relief responses*

The results regarding the varying presence of the factors in the context of rapid onset natural disasters were partially expected. As was mentioned in the theoretical framework, it was considered unlikely, after presenting the constraints, that all the factors that constitute interactive participation can indeed be realized. On one hand, the results of the analysis thus confirm this assumption, as the factor ‘determine how local resources are used’ is not identified throughout any of the ACFs responses at all. On the other hand, the results were surprising in such a way that just one factor was not present, where, based on the constraints in the theoretical framework, one could have assumed that more factors would have been missing. The findings thus reveal new insights in the sense that it becomes apparent that 5 of the 6 factors do exist in ACFs responses to rapid onset natural disasters. As no research has been performed on the presence of interactive participation in the
context of rapid onset natural disasters, these results thus support a broader knowledge of the research.

The thesis aims to produce results helpful to those designing participatory programs in rapid onset natural disasters with a purpose to be empowering and sustainable. For this purpose, the research will now discuss the findings regarding each factor in more detail, and thus discuss on more detail the findings on the characteristics that encompass each of the factors.

6.4 Discussion of factors of interactive participation in rapid onset natural disasters

Interactive participation constitutes of 6 different factors. Each of these factors is defined by certain characteristics, labeled in the analysis as sub-categories, on which basis the programs in this thesis were analyzed. Using each factor as an analytical category, the presence of the related characteristics was quantified, allowing visual graphs to be composed with a representation of the occurrence of the characteristics within the factors. The findings are elaborated in the following section.

6.4.1 Joint Analysis

Figure 4 demonstrates that all four characteristics that constitute the ‘joint analysis’ factor of interactive participation are present within ACFs emergency responses to rapid onset natural disasters. Figure 4 demonstrates that the characteristic regarding the population’s participation in the assessment of need is slightly larger than the other three characteristics, with 33%. The presence of these characteristics in ACFs programs does not come as a surprise, as the population’s participation in the assessment and definition of needs is, in principle, necessary for an organization to be able to assure the most relevant and efficient programs. Furthermore, the presence of these characteristics was expected as it is in line with Drinkwater (1999), who states that ensuring a joint analysis sets the interactive tone of participation as it increases and creates ownership of the program. Thus, this outcome was expected because of the great importance it has in the facilitation of sustainability and empowerment.

Overall, the results indicate that generally, it is possible (to some extent) to have a joint analysis between the beneficiaries and the aid implementing organization in the context of
rapid onset natural disasters, and that ACFs programs embrace this factor within its program.

**Figure 4**: Presence of characteristics of ‘joint analysis’ in ACF responses to rapid onset natural disasters

6.4.2 Development of action plans

The factor regarding the beneficiaries’ participation in the development of action plans is made up of a single characteristic, concerning the beneficiaries’ participation in deciding how the defined needs are approached. Figure 3 earlier in this chapter demonstrates the low presence of this aspect in the emergency relief response of ACF to rapid onset natural disasters. It is found that even though the beneficiaries are often consulted on the needs (the joint analysis factor), the decision as to how these needs are addressed is made by the humanitarian organization primarily. As the writing of proposals and the development of plans can go very quickly, and is often an exercise that takes place behind desks either at field or HQ level, the result indicating a low presence of this factor is not surprising. However, these results are important as they demonstrate that the participation of affected populations in the development of action plans in the context of rapid onset natural disasters is certainly not impossible. Finsterbusch and Van Wicklin III (1989) mention that there is an increasing orientation towards less centralized and authoritarian management in
programs. Indeed, considering that this factor is present in the first place implies that, to a certain extent, it is possible and further research could be devoted to increasing efforts of including affected populations in this factor of interactive participation.

6.4.3 Formulation & Strengthening local institutions

Figure 5 clearly demonstrates that within the factor that constitutes the participation of beneficiaries in the formulation and strengthening of local institutions, the characteristic relating the involvement of beneficiaries in the establishment of institutions by or for the project specifically is greatest, with 88%. However, the effect persons have on the formulation and strengthening of specific local systems through the response to rapid onset natural disaster is minimal (approximately 8% local health, 4% well-being). Lastly, no evidence was found regarding the participation in strengthening the educational system, the family system and government structures.

Formulating & Strengthening Local Institutions

![Formulating & Strengthening Local Institutions](image)

**Figure 5**: Presence of characteristics of ‘formulating & strengthening local institutions’ in ACFs responses to rapid onset natural disasters

In the theoretical chapters, it was demonstrated that the participation in formulating and strengthening of local institutions adds to the potential of sustainability and empowerment as it avoids beneficiaries becoming dependent on structures of the project that do not survive beyond the project’s life span (Drinkwater 1999). The great amount of participation
ensured through the participation in committees made primarily for the sake of the project, was expected, as it can take place in many different shape or forms, and thus is fairly simple to compose and ensure this characteristic. The results imply that indeed ACF greatly assures this aspect within their programs. The participation in the strengthening of local institutions, compared to the participation in committees for the project specifically, takes a lot more effort and time by the organization. It was thus less of a surprise of the results that only participation in strengthening of well-being and health structures was present, and that the others were missing.

6.4.4 Seeking multiple perspectives
While some perspectives are overly sought in ACFs responses to rapid onset natural disasters, others are not. Figure 6 demonstrates that within the responses, the perspectives of people with multiple occupations, primarily the authorities, are regularly sought. While the perspective of the ‘community’ (without further clarification on the representativeness of the participants) was sought a lot with approximately 34%, the more noteworthy aspect of the findings is the absence of other perspectives. More specifically, the analyzed documents do not specify the inclusion of perspectives of the young, the old, the wealthy and the poor within the projects. Furthermore, it is also not clarified whether people with different educational backgrounds or family statuses are represented.
Figure 6: Presence of characteristics of ‘Seeking multiple perspectives’ in ACFs response to rapid onset natural disasters.

It was expected that not all perspectives that were identified as characteristics that encompass this factor are present within ACFs responses. ALNAP (2003) mentions that there is a danger that certain groups, especially minorities and marginalized groups, are excluded. Therefore, these results with regards to the missing characteristics were expected, as they perhaps are not the perspectives that come to mind immediately. Similarly, as the perspective of ‘community’ and the inclusion of females are often emphasized in programs in general, it is not surprising that these two are predominantly present within ACFs responses to rapid onset natural disasters. However, it was mentioned in the first theoretical chapter that participatory processes can further deepen the exclusion of marginalized groups if efforts are not made to include them in participatory programs (Cornwall 2008). These results are thus helpful and important as it reiterates the importance of including all these perspectives when possible, as well as demonstrates current practices of ACF in that matter.
6.4.5 Control over local decisions

Within the factor regarding the population’s control over local decisions, the findings demonstrate that generally, the characteristics are of varying presence. Figure 7 demonstrates there is a clear and accepted line of accountability between ACF and the beneficiaries (54%), often by means of a signed Memorandum of Understanding. Furthermore, it can be seen that to some extent, the local population has decision-making powers (38%), and finally that only a small percentage (8%) within this factor regarding the population’s control over local decisions regards the population’s control over the project including its resources. Lastly, it is noticeable that there is no evidence at all within the projects of the presence of identified and institutionalized problem-solving and trouble-shooting mechanisms.

First of all, the absence of the characteristic regarding the presence of an identified and institutionalized problem solving and shooting mechanism was not expected, primarily because it was indicated that such systems are important in order for organizations to gain knowledge regarding local problems and constraints that could be relevant for a project (Cohen and Uphoff 1980). The result that indicated that there was control of the local population over the project, including its resources, is surprising in the sense that, even though it was low, it was present after all. However, the presence is minimal, and the low presence indicates that it is possible but that further research is necessary.
6.4.6 Determine how available resources are used

Figure 3 at the beginning of this chapter demonstrates that throughout the analyzed ACF responses to rapid onset natural disasters, the local population did not participate at all in determining how local resources are used. The results regarding the complete absence of this factor of interactive participation are just as important as the results regarding the present factors. The nonexistence of this factor throughout ACFs responses to rapid onset natural disasters is partly surprising. First of all, it was indeed expected that the characteristic with regards to financial resources would be absent, as financial resources be in the hands of the implementing organization. The results indeed indicate that this is the case. Second of all, the lack of evidence regarding the local population’s control over non-financial resources, including housing, opportunities for personal growth, employment and cultural experiences is surprising. As decision-making is important to facilitate sustainability and empowerment (Rocha 1997), the results indicate that further research is necessary to explore the assurance of this factor to its full potential.
6.5. Discussion on the constraints to interactive participation in rapid onset natural disasters

It was not the aim of the analysis to discover reasons as to why certain factors were present and why others were not. The following paragraph recapitulates that in the second theoretical chapter (chapter 3), possible explanations for the variety of the presence of the factors within responses to rapid onset natural disasters were presented. These identified constraints of rapid onset natural disasters to interactive participation were its context, the affected population and the aid implementing organization. Based on the review of literature when composing the theoretical framework, it is considered likely that indeed these constraints played a role in the occurrence of the factors of interactive participation in rapid onset natural disasters. However, this was not further analyzed in this thesis as it was outside the scope of the research. The analysis did not focus on the relationship between the factors of interactive participation and the constraints and the research thus does not prove or disprove such relationship. Further research is necessary for a more specific overview of the relationship between the factors of interactive participation and the constraints to these in the context of rapid onset natural disasters.

6.6 Conclusion

This chapter discussed the findings with regards to interactive participation in four different emergency relief programs to rapid onset natural disaster of ACF. The main conclusion that can be drawn from these findings is that not all aspects of interactive participation are assured throughout emergency relief responses of ACF to rapid onset natural disasters. The results demonstrated that of the six factors that constitute interactive participation, five are present within ACFs responses to rapid onset natural disasters. Keeping in mind the constraints that were presented in the theoretical framework of this thesis, it was indeed expected that not all factors that constitute interactive participation would be present within the analyzed programs. However, the results of the thesis are important and helpful in the sense that the great majority of the factors that constitute interactive participation (5 out of the 6 factors) were present. This result indicates that indeed, interactive participation in rapid onset natural disasters is a topic that is worth researching further as throughout ACFs responses it is demonstrated that its implementation is possible.
Chapter 7: Conclusion

7.1 Introduction

At the start of this study, the following main research question was asked:

(\textit{How}) do programs incorporate interactive participation that facilitates beneficiary-centered outcomes in rapid onset natural disasters?

Throughout the research, this main question was answered through different steps guided by a set of sub-questions addressed throughout the different chapters. This concluding chapter will once again present the answers to the questions posed in the introduction, as well as summarize the main research results and provide general conclusions. Furthermore, this concluding chapter will present the contribution of the research results to the humanitarian community, both on a practical and theoretical level. The chapter and research concludes with a presentation of the limitations of the study, followed by recommendations for future research.

7.2 Research results

7.2.1 The creation of a theoretical framework

The thesis started by answering the first sub-question in the first theoretical chapter. This first sub-question was as follows: “what are, according to theory, aspects of interactive participation that facilitate beneficiary-centered outcomes that need to be present within a program.” The first theoretical chapter answered this question by means of demonstrating what is currently identified in relevant literature regarding interactive participation and its facilitating nature to beneficiary-centered outcomes of sustainability and empowerment. The researched demonstrated that, in order for participatory processes to facilitate empowerment and sustainability, the type of participation that should be embraced by organizations in their program ought to be interactive participation (Pretty 1995). The research identified what factors constitute interactive participation, and hence demonstrated that the factors that should be present within a program in order for the participatory aspects of to be able to facilitate sustainability and empowerment are the following:
The first theoretical chapter did not take into consideration interactive participation within a specific context, but outlined underlying mechanisms. The second theoretical chapter positioned interactive participation in the specific context of this study: responses to rapid onset natural disasters. Thus, the second theoretical chapter answered the second sub-question posed in the introduction: what factors can be explained as constraints to implement these identified aspects in the context of emergency relief responses to rapid onset natural disaster situations? By means of reviewing relevant literature, the following three factors were considered as having the possibility to constrain interactive participation in humanitarian aid situations:

- Context
- Affected Population
- Aid Organization

At the end of the second theoretical chapter, the theoretical chapters were brought together to compose a theoretical framework. By placing the factors in the context of responses to rapid onset natural disasters, it was demonstrated that there are constraints to assuring interactive participation how it is set out in theory in the specific context of organizational responses to rapid onset natural disasters. At this point, the theoretical base of the research was completed, and the next step constituted a qualitative content analysis of responses to rapid onset natural disasters by a relevant humanitarian actor with programmatic experience in this type of relief response: ACF.

7.2.2 Main research results and conclusions

By investigating what the actual practices of ACF with regard to interactive participation in the context of its emergency relief response to rapid onset natural disasters are, the research investigated if, and how, such programs incorporate interactive participation that facilitates beneficiary-centered outcomes. Four programs of ACF between July 2012 and July 2013
were analysed based on the presence of the previously mentioned factors that constitute interactive participation.

After the data analysis, the main research result is that not all factors of interactive participation are present within ACFs responses to rapid onset natural disasters. However, a quite significant finding is that the first five factors (joint analysis, development of action plans, formulation and strengthening of local institutions, multiple perspectives and control over local decisions) *are* indeed present within the programs. The research also identified that the sixth factor, the population’s participation in determining how available resources are used, is *not* present within the programs at all. The main conclusion drawn from the research results is thus twofold.

Firstly, it can be concluded that indeed, as was expected, not all factors that constitute interactive participation were present within the programs of ACF to rapid onset natural disasters. While the constraints that were addressed in the research could serve as explanations as to why this factor was not present, this was not at the core of the analysis and thus a conclusion is that further research into mitigating factors and constraints to interactive participation is encouraged.

The second conclusion that can be drawn from this research is that, to a certain extent, most factors of interactive participation that facilitate empowerment and sustainability *are* possible to be implemented by organizations, as was presented by ACF. A conclusion is that although there are clear constraints to having one of the factors of interactive participation present at all, there is also evidence that other factors *are* possible to be assured. From the research it can be concluded that it *is* indeed possible, to have certain aspects of participatory practices in place in rapid onset natural disasters that have the potential to be empowering and sustainable.

A blueprint regarding the design of participatory programs aiming to be sustainable and empowering cannot be provided, as each organization is driven by its mandate, by contextual situations it is operating in. However, the current research systematically presents empirical evidence that proves that it is possible to implement certain aspects to assure an interactive nature of participation, in order to facilitate sustainability and empowerment.
7.3 Contribution of the research

The value and contribution of the research and its results is twofold. On a theoretical level, the thesis provides a starting point and theoretical initiative to the concept of interactive participation, narrowing it down to the context of rapid onset natural disasters specifically. In this sense, the research contributes to theory and literature as it explores a very specific area that has not yet been explored in such detail. Secondly, the practical contribution of the research is for humanitarian practitioners and researchers alike, as the research is useful for ensuring at least the minimum is done to assure the accountability to the beneficiaries and affected communities in the response to rapid onset natural disasters. The current research increases the understanding regarding interactive participation, its constraints and perhaps most importantly, its possibilities in the context of rapid onset natural disasters.

7.4 Limitations of the research and recommendations for additional research

A first limitation of the study is the fact that only four programs were analyzed. Having a specific time frame within which cases would be eligible for analysis allowed for a clear and necessary boundary in deciding units of analysis, but in turn also limited the amount of programs that were actually analyzed. This, in turn, can put into question the generalizability of the research results. Future research could extend on current research by means of widening the time frame of the eligible cases in order to include more programs and thus add to the generalizability of the results.

The second limitation of the research is the fact that only secondary data was used, caused primarily by the tight time frame this research was conducted in. Additional, primary data information, obtained through interviews with persons in the organization both at headquarter and field level for example, would have provided an extra interesting dimension and insight to the research. Additional primary information would have added value especially to the practical contribution of the research as the information would then not only be based on desk research but also based on practical first-hand experience. Future research could enhance the research with the collection of primary data by means of interviews on the practical experiences of humanitarian professionals on the participatory aspects of the programs and the constraints to the factors found in theory on the implementation in the context of rapid onset natural disaster.
The third limitation of the study is closely related to the previous limitation. The limited time frame of the research was the primary reason as to why the researcher did not collect additional primary data, and decided to perform a content analysis on secondary data only. The qualitative content analysis is a thorough qualitative data analysis method, and the researcher took every step to ensure the reliability and replicability of the results. However, the method does not allow for a deeper investigation on the constraints. With additional primary data collected through interviews, stronger conclusions about the reasons why certain factors, which constitute interactive participation, were present and why others were not would have been able to be explored in more detail. Thus, for an extension of this research, additional, primary data to provide a stronger source of information is suggested.

7.5 Recommendations for future research

Further research is recommended in order to continue both theoretical and practical advancement on the topic of interactive participation in the context of rapid onset natural disasters. Two areas for future research are recommended based on the current research. Firstly, as was previously mentioned, future research could focus on discovering the relationship between the factors of interactive participation and the identified constraints to the presence of these factors in the context of rapid onset natural disasters. Secondly, future research could aim to continue building a source of practical evidence and build on the theoretical base of this research. Using the coding scheme applied in the current research, future research could expand its scope to other organizations and locations, and investigate the experience of different humanitarian actors in different contexts, sectors and countries of implementation. Last but not least, future research could focus on the enabling factors specifically, and focus specifically on investigating what opportunities are present which can be built upon as to ensure that participatory practices are implemented in such a way that they facilitate empowerment and sustainability.


International Federation of Red Cross and Red Crescent Societies & ICRC 1996. *The Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organisations (NGOs) in Disaster Relief*. International Federation of Red Cross and Red Crescent Societies & ICRC.


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### Annexes

#### Annex 1: Main coding scheme

<table>
<thead>
<tr>
<th>Main Codes</th>
<th>Sub Codes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1: Joint Analysis</td>
<td>JOINT-ANAL</td>
</tr>
<tr>
<td>1.a. Participation in definition of need</td>
<td>JOINT-DEF</td>
</tr>
<tr>
<td>1.b. Participation in assessment of need</td>
<td>JOINT-ASSES</td>
</tr>
<tr>
<td>1.c. Population has access to necessary information</td>
<td>JOINT-INFO</td>
</tr>
<tr>
<td>1.d. Organization expresses respect and acknowledgement of indigenous knowledge and experience</td>
<td>JOINT-INTEREST</td>
</tr>
<tr>
<td>2: Development Action Plans</td>
<td>DEV-PLAN</td>
</tr>
<tr>
<td>2.a. Population participates in deciding how the identified needs are approached</td>
<td>DEV-DESIGN</td>
</tr>
<tr>
<td>3: Formulation &amp; Strengthening Local Institutions</td>
<td>LOCAL-INS</td>
</tr>
<tr>
<td>3.a. Populations’ Impact on local educational system</td>
<td>LOCAL-EDU</td>
</tr>
<tr>
<td>3.b. Populations’ Impact on local health system</td>
<td>LOCAL-HEALTH</td>
</tr>
<tr>
<td>3.c. Populations’ Impact on family system</td>
<td>LOCAL-FAM</td>
</tr>
<tr>
<td>3.d. Populations’ impact on the social welfare system</td>
<td>LOCAL-WEL</td>
</tr>
<tr>
<td>3.e. Populations’ impact on local government structures</td>
<td>LOCAL-GOV</td>
</tr>
<tr>
<td>3.f. Involvement of beneficiaries in establishment of institutions by or for the project</td>
<td>LOCAL-PROJ</td>
</tr>
<tr>
<td>4: Seeks Multiple perspectives</td>
<td>MULT-PERS</td>
</tr>
<tr>
<td>4.a. Perspectives of men</td>
<td>MULT-MALE</td>
</tr>
<tr>
<td>4.b. Perspectives of women</td>
<td>MULT-FEMALE</td>
</tr>
<tr>
<td>4.c. Perspectives of poor</td>
<td>MULT-POOR</td>
</tr>
<tr>
<td>4.d. Perspectives of wealthy</td>
<td>MULT-WEALTH</td>
</tr>
<tr>
<td>4.e. Perspectives of young</td>
<td>MULT-YOUNG</td>
</tr>
<tr>
<td>4.f. Perspectives of old</td>
<td>MULT-OLD</td>
</tr>
<tr>
<td>4.g. Perspectives of multiple educational levels</td>
<td>MULT-EDU</td>
</tr>
<tr>
<td>4.h. Perspectives of multiple occupations</td>
<td>MULT-OCC</td>
</tr>
<tr>
<td>4.i. Perspectives of multiple family-statuses</td>
<td>MULT-FAM</td>
</tr>
<tr>
<td>5: Control Local decisions</td>
<td>CONTR-DEC</td>
</tr>
<tr>
<td>5.a. population has decision-making powers</td>
<td>CONTR-POWER</td>
</tr>
<tr>
<td>5.b. Population has responsibility over the project including resources</td>
<td>CONTR-RESP</td>
</tr>
<tr>
<td>5.c. There is a clear and accepted line of accountability</td>
<td>CONTR-ACC</td>
</tr>
<tr>
<td>5.d. Identified and institutionalized problem-solving and trouble-shooting mechanism</td>
<td>CONTR-TROUBLE</td>
</tr>
<tr>
<td>6: Determine how local resources are used</td>
<td>DETERM-RES</td>
</tr>
<tr>
<td>6.a. Determine how financial resources are used</td>
<td>DETERM-FINANCE</td>
</tr>
<tr>
<td>6.b. Determine how non-financial resources are used: housing</td>
<td>DETERM-HOUSE</td>
</tr>
<tr>
<td>6.c. Determine how non-financial resources are used: opportunities for personal growth</td>
<td>DETERM-PERS</td>
</tr>
<tr>
<td>6.d. Determine how non-financial resources are used: employment</td>
<td>DETERM-EMPL</td>
</tr>
<tr>
<td>6.e. Determine how non-financial resources are used: cultural experiences</td>
<td>DETERM-CULT</td>
</tr>
</tbody>
</table>