

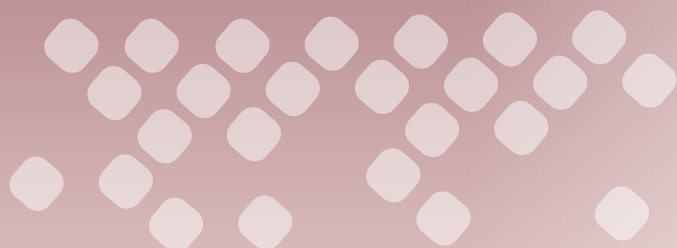


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COMMUNITY RISK REDUCTION AND CLIMATE ADAPTATION PLANNING AND IMPLEMENTATION

GUIDEBOOK



With support from:
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ACRONYMS

CBO	Community Based Organization
CRA	Community Risk Assessment
DMC	Disaster Management Committee
DRR	Disaster Risk Reduction
EWS	Early Warning System
FGD	Focus Group Discussion
HH	Household
HFA	Hyogo Framework for Action
IIRR	International Institute of Rural Reconstruction
ISDR	International Strategy for Disaster
PRA	Participatory Rural Appraisal
PWD	People with Disabilities
NAADS	National Agricultural Advisory Services
NGO	Non Governmental Organization
SMUG	Seriousness, Manageability, Urgency and Growth
UNDP	United Nations Development Programme

PREFACE

Uganda is prone to numerous disasters that are increasing in prevalence and intensity. This poses a great threat to development efforts set to improve social, economic and environmental conditions.

“The starting point for reducing disaster risk lies in the knowledge of the hazards and the physical, social, economic and environmental vulnerabilities and of the ways in which hazards and vulnerabilities are changing in the short and long term, followed by action taken on the basis of that knowledge.” – Hyogo Framework for Action HFA 2005-2015

The overarching goal of HFA is to build resilience of nations and communities to disasters, by achieving substantive reduction of disaster losses by 2015 – in lives, and in the social, economic, and environmental assets of communities and countries. In 2011, the Government of Uganda approved the National Policy on Disaster Management and Preparedness as a commitment to HFA. The Policy stems from Article 249 of the Uganda Constitution, which calls for an end to intolerable and persistent loss of life, suffering and disruption of economic activities by disasters resulting from lack of preparedness and patchy un-coordinated responses.

Understanding the interaction of hazards, exposure and vulnerability is crucial to effective disaster prevention. Risk assessments are therefore fundamental to achieve disaster risk reduction (DRR) and recovery.

The concept of building resilience has gained traction as disaster risk reduction augments the ‘predict and prevent’ paradigm in the context of specific hazards, with building the capacity of communities to face a wide range of rapid-onset shocks and slow-onset stresses.

The Community Risk Reduction, Adaptation Planning and Implementation approach is a sustainable strategy for building resilience among the vulnerable communities. It provides for all inclusive participation of the different segments of the community such as women, elders, youth and people with disabilities during community action planning. This shift from a reactive to a proactive approach to Disaster Management involves mobilizing communities to identify hazards affecting the community, profiling the identified hazards, facilitating communities to conduct participatory vulnerability and capacity assessments in order to generate relevant information and empowering communities to implement their Community Risk Reduction Plans.

This guidebook provides a simplified process to help disaster management practitioners to engage and facilitate vulnerable communities to identify and assess risks affecting the communities and through consensus generate and implement risk reduction interventions.

The steps and activities contained in this guide book were implemented successfully in Uganda by the International Institute of Rural Reconstruction, the Office of the Prime Minister and the United Nations Development Programme

CHAPTER 1: INTRODUCTION TO THIS GUIDEBOOK

What is Community Risk Assessment?

The Community Risk Assessment (CRA) process involves bringing together different local stakeholders among the vulnerable communities to prepare consensual risk reduction action plans. It is an all-inclusive process that recognizes that the vulnerability, damage/loss, prevention or mitigation strategy and coping mechanisms vary from community to community and group to group (women, persons with disability, farmers, fishers, pastoralists, etc.) in the same community. During the CRA process the participating community representatives list all hazards, identify all vulnerability aspects and causes. They prepare consensual actions on risk reduction, coping and preparedness measures through analyzing each of the prioritized options. With the participation of all stakeholders (both primary and secondary), they then develop risk reduction actions.

Why is CRA appropriate?

Considering the increased occurrence and damage caused by hazards affecting the traditional coping capacities that support livelihoods of the vulnerable communities, it is important to encourage wider community participation (the poor, smallholder farmers, women, special interest groups, and professionals) in identification of community risks, preparation of risk reduction actions and implementation of priority activities through consensus.

During the CRA, participation of professionals, community and special interest groups in the community is provided for so that their concerns are respected and incorporated in the planning process. This creates a sense of ownership and facilitates effective participation during implementation of proposed actions.

Who is the guidebook for?

The CRA guidebook is designed to guide communities and organizations involved in community based planning and management with hands-on skills for facilitating effective community participation in Community Risk and Adaptation Planning and Implementation processes.

Who are the Participants during CRA?

It is important to ensure participation of both primary and secondary stakeholders from the target location (sub - county) in CRA. The primary stakeholders include (women, youth, people with disabilities, farmers, pastoralist, fishers, fishers, sand diggers etc.) who reside within the area and are directly impacted by any hazards. Secondary stakeholders may not be directly impacted but are involved in providing support to them, and they may have some influence (e.g. local government authorities, politicians, etc.) or be affected, positively or negatively, by decisions made by primary stakeholders. Participants might vary depending on the area, occupational groups and the objectives of conducting CRA.

Table 1: Category of stakeholders to participate during CRA

Category of Stakeholder	Those affected	Supportive
Primary stake holders	<ul style="list-style-type: none">• women• youth• people with disabilities(PWD)• elderly• farmers (land owners, squatters, share croppers)• fishers and fish farmers• pastoralists• sand diggers	<ul style="list-style-type: none">• Sub-county Disaster Management Committee• Sub-county production and NAADs coordinators• District Natural Resources Officer• District Forestry Officer• District Engineers• NGO and CBO staff in the target areas
Secondary stakeholders	<ul style="list-style-type: none">• Sub County Local Government• Area Councilors• Parish Development Committees• Local Councils 1,2 and 3 representatives	

How to use this guidebook?

The guidebook outlines a step-by-step process of engaging vulnerable communities and empowering them to take the lead in Community Risk Reduction by recognizing community priorities that must be addressed in the current and future community development activities.

The guidebook is presented in 4 chapters below.

Chapter 1: Introduces the concept of CRA and its usefulness. The chapter describes why CRA is appropriate, the target users and who should participate in the CRA.

Chapter 2: Focuses on understanding the basic concepts applicable in this guidebook. It is important that facilitators have some knowledge of the concepts in order to guide the communities appropriately.

Chapter 3: Focuses on understanding the community. The chapter describes the tasks associated with Community Risk Assessment, the methods for conducting the activities and the choice of method depending on the goals and scope of the activities. It also helps prospective Facilitators to use the guidebook, and outlines the time, resources and skills required for conducting CRA.

Chapter 4: Presents the steps for conducting a CRA, with objectives, time, materials, preparation, and expected outputs for each CRA activities.

CHAPTER 2: UNDERSTANDING BASIC DRR CONCEPTS

Effective implementation of DRR requires harmonized understanding of the basic concepts;

Community – Refers to people living in one geographical area, who are exposed to hazards due to their location. They may have a common experience responding to hazards and disasters and will have a stake in planning and implementing risk reduction measures.



Hazard – describes a potential event (natural or human activity) that could cause loss of life, or damage to property or the environment. The effects if not well managed will progress into a disaster situation.

Community Hazard Assessment – describes a participatory process for defining the threats and understanding the nature and behavior of particular hazards. The assessment brings out information on the characteristics of hazards, specifically cause, effects, force, warning signs and signals, forewarning, speed of onset, frequency, period of occurrence and duration.

Vulnerability – Describes to what extent an area, people, physical structures or economic assets are exposed to loss, injury or damage caused by the impact of a hazard.



Community Vulnerability Assessment – Is a participatory process of estimating the susceptibility of 'elements at risk' in the community to various hazards by considering proximity to the hazard source and existing capacity to cope with the hazard effects.

Capacity: A combination of all the strengths and resources available within a community or organization which can be mobilized and accessed, to allow individuals and communities to reduce the level of risk, or the effects of a hazard.

Community Risk Assessment – This refers to the process of gathering all relevant data about the community, such as physical characteristics (e.g., location, area, natural resources, climate, etc.), demographic features, economic and sociopolitical aspects of the community, environmental problems, etc. and determining the nature and extent of risk by analyzing the characteristics of hazards, the degree of vulnerability and the capacity of the community.

Coping capabilities/Capacity: Describes the existing practices and structures people and organizations use to withstand, prevent, prepare for, mitigate or quickly recover from unusual, abnormal, and adverse conditions of a hazard event.



Disaster – describes the serious disruption of the functioning of society causing widespread human, material or environmental losses, which exceed the ability of the affected communities to cope using their own resources. Disasters occur when the negative effects of the hazards are not well managed.

Disaster Risk: The likelihood of harmful consequences resulting from the interaction of hazards (threats), vulnerable (low capacity or coping ability) and the environment (supporting factors).

Disaster Risk Reduction: is a framework and a tool for communities to determine community risks and describe measures to increase capacities and reduce hazard impacts

Survivability: is to manage to stay alive or continue to exist, especially in hazard event.

Mitigation: refers measures which can be taken to minimize the destructive and disruptive effects of hazards and thus lessen the magnitude of a disaster.

Preparedness: Refers to activities and measures taken in anticipation of a disaster to ensure that appropriate and effective actions are taken to reduce the impact of hazard(s).

Examples of preparedness: establishing and operationalizing Early Warning Systems (EWS), evacuation plans, contingency plans, relief stockpiling, evacuation, emergency communications, training of volunteers, community drills and simulation exercises, public education and awareness.

Prevention: Refers to activities designed to stop the occurrence of a disaster event and/or prevent such an occurrence from having harmful effects on communities and facilities.

Readiness: group/community organization functioning as a system, which is prepared for any hazard that might happen.

Resilience/Resilient: the capacity of the community potentially exposed to hazards to adapt, by resisting or changing in order to reach and maintain an acceptable level of functioning. This is determined by how a community organizes itself to increase its capacity for learning from past disasters to effectively plan to improve risk reduction measures.

Relief/Response: The provision of assistance and/or intervention during or immediately after a disaster to meet the life preservation and basic subsistence needs of those people affected. It can be of an immediate, short-term, or protracted duration.

CHAPTER 3: UNDERSTANDING THE COMMUNITY

Community Entry

Community entry is important for successful implementation of Disaster Risk Reduction activities. It is essential for organizations/ development workers to establish good relationship with the district and local leadership and target communities. At this stage, sharing the organization's intentions and leveling community expectation is important.

Activities to facilitate effective community entry include:






- Obtaining secondary data about the community and
- Identifying key people who should be contacted in the community to work with (elders, local leaders, opinion leaders, etc)

It is therefore important that representatives of the relevant social and occupational groups are identified to participate in the CRA process. The CRA Facilitators should have a basic understanding of the social and biophysical situations, people and their livelihoods, type and extent of hazards in the locality, and traditional preparedness and coping mechanisms for the existing hazards.

Table 2: Relevant secondary data which should be collected before the field activities, and sources

Secondary Information Required	Sources of information
Location (Sub County, Parish and Village)	Sub County local government
Population demographics	Target sub County and Parish Chiefs
Education (primary, secondary and institutions)	Area Education Officers
Health and Family Planning	Sub County Health Educator
Communication (roads, bridge, culverts, etc)	Sub County Local Government
Water sources	Sub County and Parish Chiefs
Economic Activities (livelihood options)	Parish Chiefs and Local Council leaders
Social – Religious Groups	Sub County Community Development Officer
Terrain	(NECOC OPM)
Land use practices	Sub County Community Development Officer
Soil Type	Sub County NAADS and Agriculture Extension Officer
Forestation	Sub County Forestry Officer
Water and Sanitation	NGOs, Water Officers
Livestock	Sub County Veterinary Officers

Task 1: Social Resource Mapping

 Objective	Collect information on the landscape, settlement, physical infrastructure, institutions, land use, disaster prone and impacted areas and natural drainage of the area among others.
 Time:	<ul style="list-style-type: none"> • 1 hour.
 Materials	<ul style="list-style-type: none"> • Participants collect local materials such as grass, stones, ash to represent features identified e.g. wetlands, hazard spots, etc, Flip charts, markers, masking tape, pencils
 Participants	<ul style="list-style-type: none"> • primary stakeholders from target parishes: women, youth, PWDs, farmers, fishers, (30 – 40 persons), • secondary stake holders: Sub County Chiefs, Area Councilors, Parish Development Committees, Local Councils 1,2 and 3 representatives (10 – 16 persons)
 Preparation	<p>The Facilitator should prepare all necessary materials before the participants come to the venue.</p> <ul style="list-style-type: none"> • A co-Facilitator should prepare to take notes of the discussions • Encourage participants to collect local materials represent features like ash, leaves, and stones etc.






🔁 Process:

- During the orientation session, the Facilitator will explain the objectives of social resource mapping and clarify any doubts regarding the exercise and the role of the participants in the exercise.
- Participants will start by drawing the perimeter and common physical features of the area and then add landscape, settlement, physical infrastructure, institutions, trading centers, land use, disaster prone and impacted areas.
- In case of different perceptions, information will be recorded only when participants reach consensus.
- The Facilitator should refrain from taking part in the discussions; their role would be limited to facilitating and coordinating the sessions only.



Output: Social Map showing villages/settlement, physical infrastructure, institutions, commonplaces, land use disaster prone and impacted areas and natural drainage of the area.

Task 2: Transact Walk

 Objective	To generate clear understanding of the area and its natural resources, land use, local problems, among others.
 Time:	<ul style="list-style-type: none"> • 2 – 3 hours
 Materials:	<ul style="list-style-type: none"> • Community resource map indicating common physical features and available resources, notebook, pen/pencil.
 Participants	<ul style="list-style-type: none"> • Primary stakeholders from target parishes: women, youth, PWDs, farmers, fishers, (30 – 40 persons), organized in smaller groups (8-10 people)
 Preparation	<ul style="list-style-type: none"> • Use the social map to agree on routes to take either diagonally, horizontally or vertically. Try not to walk through the routes commonly used which will omit many of the features (e.g. ponds, crop fields, homesteads, bushes) along the walkway.






Process:

- The Facilitator will build a good relationship with the community through frequent field visits and informal discussions prior to the task.
- Agree on the routes to take in order to get clear understanding about the area and its natural resources, land use, plants and animals among others.
- Encourage the team to take note of every related issue during the walk.
- Talk with everybody you meet during the walk to understand benefits of biodiversity, use and benefits of medicinal plants, degraded areas, etc.
- To know each of the specific issues mentioned above, take advantage of 6 questions: what is it? When does it occur? What takes place? Who does what? Why do they do that? Through who?
- Once the transect walk comes to an end, groups present findings for further input and necessary additions, modification, change or deletion.



Output: Cross-sectional information on the area and its natural resources, land use practices and wildlife biodiversity among others.

Task 3: Focus Group Discussions (FGD)

	Objective	To gain in-depth understanding about the area, people, their livelihoods, hazards and local traditional preparedness and coping mechanisms.
	Time:	<ul style="list-style-type: none"> • 1:30 hours
	Materials	<ul style="list-style-type: none"> • Checklist in Annex1, FGD checklist notebook, marker, flipchart or board, masking tape, pen.
	Participants	<ul style="list-style-type: none"> • Primary stakeholders from target parishes: women, youth, PWDs, farmers, fishers, (30 – 40 persons) • secondary stake holders: Sub County Chiefs, Area Councilors, Parish Development Committees, Local Councils 1,2 and 3 representatives (10 – 16 persons)
	Preparation	<ul style="list-style-type: none"> • Mobilize primary and secondary stakeholders mentioning date, time and venue. • Identify a suitable venue for conducting the FGD. • Arrange all necessary materials for conducting the FGD session. • Prepare a checklist to guide the FGD session before the start. • A co-Facilitator should prepare to take notes of the discussion.







Process:

- The Facilitator welcomes all the participants to sit together in a large group.
- Use an ice breaking activity during introduction of participants mentioning their name, respective village and occupation).
- The Facilitator explains the purpose and the detailed tasks of the session so that the participants can freely participate in the session.
- The Facilitator gives an introduction to the disaster risk environment and benefits of disaster risk reduction
- The Facilitator guides the discussion in line with the checklist prepared to gain in-depth information about the area, people, their livelihoods, local risks and local/traditional preparedness and coping mechanisms.
- The Co-Facilitator takes notes of the discussion.

Output: Information obtained about the target area, people, their livelihoods and institutional arrangements.

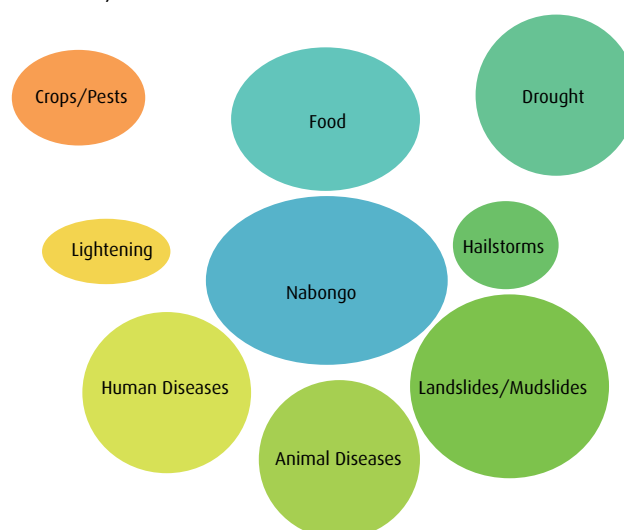


Task 4: Hazard Venn diagram

 Objective:	To identify and analyze the common hazards of the area, their magnitude and likelihood.
 Method	<ul style="list-style-type: none"> Venn diagram.
 Time:	<ul style="list-style-type: none"> 30 minutes.
 Materials	<ul style="list-style-type: none"> Flip chart, different sizes of manila paper and colour, marker, masking tape.
 Participants:	<ul style="list-style-type: none"> primary stakeholders from target parishes: women, youth, PWDs, farmers, fishers, (30 – 40 persons) secondary stakeholders: Sub-county Chiefs, Area Councilors, Parish Development Committees, Local Councils 1(10 – 16 persons)
 Preparation:	<p>The Facilitators should make the following preparation beforehand:</p> <ul style="list-style-type: none"> Have some knowledge on common hazards, their frequency, damage caused, and risks. Identify an appropriate venue suggested by participants. Prepare all necessary materials.







Process:

- The Facilitator requests the participants to list common hazards in the area.
- The Facilitator asks if there is anything is left out. If anything new is suggested by participants, it should be added.
- The Facilitator requests participants to select round-shaped pieces of art paper of different sizes prepared earlier by the Facilitator for each of the hazards. The size depends on the intensity and damage caused by the hazard: The bigger-sized paper for the more intense and damaging hazards.
- Write down the hazard on the flip chart and hang it.
- Participants discuss among themselves and agree about the position of each of the hazards considering the frequency of occurrence of each of the listed hazards,
- The Facilitator asks the participants questions: why do you think in this way? Why are you putting one close and another farther away?
- During the discussion, participants can change the position of a hazard, through consensus.



Output: A consensual Venn diagram of hazard based on their consequences, likelihood and the vulnerable people.

Task 5: Hazard Mapping

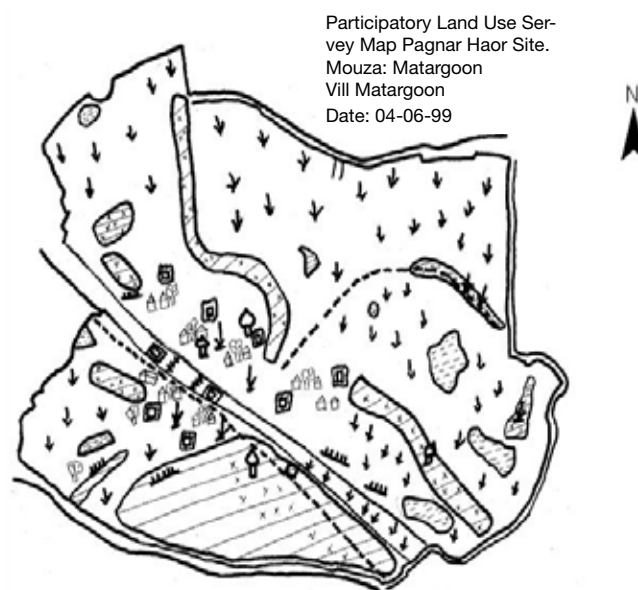
	Objective	To locate the areas affected by specific hazards within the target sub counties
	Method	Hazard Map
	Time:	<ul style="list-style-type: none"> • 40 minutes
	Materials	<ul style="list-style-type: none"> • Social resource map generated, markers, masking tape
	Participants	<ul style="list-style-type: none"> • primary stakeholders from target parishes: women, youth, PWDs, farmers, fishers, (30 – 40 persons) • secondary stake holders: Sub County Chiefs, Area Councilors, Parish Development Committees, Local Councils 1,2 and 3 representatives (10 – 16 persons)
	Preparation	<p>The Facilitators need to make the following preparations beforehand:</p> <ul style="list-style-type: none"> • Facilitators should have an idea on the local hazards, their intensity and frequency, damage caused, and risks, etc. • The venue should be as suggested by the participants. • Prepare all the materials for the training

Process:







- The Facilitator presents the list of common local hazards in the area.
- The Facilitator discusses the target area boundary map and physical features so that the participants can easily identify locations in the map.
- The Facilitator requests participants to locate and draw identified hazards on the maps within the target area boundary.
- Throughout the session the Facilitator allows participants to discuss and come to a consensus, carefully note down the points.



Output: A consensual hazard map for the target sub-county.



Task 6: Livelihoods Seasonal Calendar

 Objective	Identify local livelihood activities and seasonality dimensions.
 Method	<ul style="list-style-type: none"> Livelihoods Seasonal Calendar
 Materials	<ul style="list-style-type: none"> Flip chart paper, scale, colour markers, and masking tape
 Time:	<ul style="list-style-type: none"> 1 hour
 Participants	<ul style="list-style-type: none"> Primary stakeholders from target parishes: women, youth, PWDs, farmers, fishers, (30 – 40 persons), Secondary stakeholders: Sub-county Chiefs, Councilors, Parish Development Committees, Local Councils 1, (10 – 16 persons)
 Preparation	<p>The Facilitators need to make the following preparations beforehand:</p> <ul style="list-style-type: none"> The Facilitator should have knowledge of the local livelihood options, their seasonality, changing trends and intensities, etc. Select a suitable venue. Prepare flip charts formatted with months as indicated below Prepare all the required materials

Process:

1. The Facilitator initiates the discussion by asking questions around the topic; for example, (s)he invites participants to state what livelihood activity they are going to do and why. Questions may be: livelihood options available in their area and the seasonality
2. The Facilitator requests the participants to identify livelihood activities in their area.
3. The participants identify the months when livelihood activities are carried out







Livelihood activities identified by the community (list one per line)	Month of occurrence											
	J	F	M	A	M	J	J	A	S	O	N	D
Clearing gardens		←→										
Planting stating the specific crops				←→			←→					
Harvesting specific crops				←→				←→				

4. The participants discuss the livelihood activities among themselves and after agreement mark the months on the chart when the activities are carried out.
5. The participants graphically represent the intensity of the operation throughout the selected months by options.



Output: A consensual seasonal calendar of livelihood options with seasonality dimensions.

Task 7: Hazard Seasonal Calendar

 Objective	To identify the occurrence and intensity period of listed hazards, their changing trends and climate changes in the area.
 Method	Seasonal Calendar
 Materials	Brown paper, colour markers, board, and adhesive tape
 Time:	<ul style="list-style-type: none"> • 1 hour
 Participants	<ul style="list-style-type: none"> • Primary stakeholders from target parishes: women, youth, PWDs, farmers, fishers, (30 – 40 persons) • Secondary stake holders: Sub County Chiefs, Area councilors, Parish Development committees, Local councils 1, (10 – 16 persons)
 Preparation	<p>The Facilitators need to take following preparation before hand:</p> <ul style="list-style-type: none"> • Have knowledge on the physical setting, common hazards, their seasonality, changing trends and intensities. • Select a suitable venue • Prepare flip chart paper formatted with months at the top and a column to write the local hazards on the left hand side. • Prepare all the required materials.

Process:

- The Facilitator presents to the participants a list of common hazards already identified and listed. A participant reads out the list and the Facilitator asks if anything is left out.
- The Facilitator initiates a discussion by asking when the identified hazards occur in their area and the months when the situation worsens.
- The Facilitator requests participants to prepare a hazard calendar for the area considering the months of occurrence and also identify the months when the situation worsens.

Hazards affecting the community (List one per line)	Month of occurrence											
	J	F	M	A	M	J	J	A	S	O	N	D
Floods					←→			←→				
Drought												

- The Facilitator asks the participants particularly the elderly to describe specific hazard situation 20-30 years ago. The Facilitator asks if they have they observed any difference in the occurrence, period and intensity with respect to the present. Any difference found should be marked on the seasonal calendar, after agreement, using a different coloured marker or sign.
- The participants represents the variability of the hazards graphically.



Output: A consensual seasonal calendar of hazards with the seasonality

CHAPTER 4: CONDUCTING COMMUNITY RISK ASSESSMENT

Introduction

This chapter describes the core activities of CRA for building consensus among the different stakeholders on actions (interventions) for hazard management and mitigation. It details the steps in the Planning stage of CRA.

Step-1: Hazard identification

Step-2: Vulnerable sector identification

Step 3: Identification of hazard specific risks in each vulnerable sector






Step-4: Risk analysis and evaluation

Step-5: Building consensus on risks

Step-6: Specific risk reduction options

STEP 1: Community Hazard Assessment Facilitators engage the community representatives to identify the most likely natural or human-made hazards or threats to the community, and seek to understand their nature and behavior. The assessment brings out information on the characteristics of hazards, specifically warning signs and signals, speed of onset, frequency, period of occurrence and duration.

Activity 1: Identification of all hazards, using PRA tools

	Objective	<ul style="list-style-type: none"> To identify the hazards affecting the community
	Time:	<ul style="list-style-type: none"> 30 minutes
	Materials	<ul style="list-style-type: none"> Flip charts, markers, masking tape, documentation format Annex 2
	Method	<ul style="list-style-type: none"> Large group discussion
	Preparation	<p>Facilitators be prepared with the following:</p> <ul style="list-style-type: none"> Should have a clear understanding of the definitions of hazards. Should have prior knowledge on relevant local hazards in the area. Collect all the materials needed for the sessions as stated above. Have a co-facilitator to take notes on the whole process.

Process:

1. The Facilitator welcomes all the participants participating in the CRA.
2. The Facilitator explains the purpose of the CRA
3. The Facilitator explains the activities to be carried and the principles of working in groups.



4. The Facilitator clearly defines a hazard in the local language and engages the participants to discuss and identify the hazards affecting them. The hot spots of the hazards identified should be indicated on the social map.
5. The Facilitator prepares a list of the hazards identified by the participants, without duplication.
6. The Facilitator helps communities prioritize the hazards.
The hazards identified are to be ranked based on criteria set by the community. This guidebook emphasizes the SMUG system during the ranking. This is where the community members rank the hazards based on the Seriousness of hazard effects, whether the community can Manage to do something to reduce the impact of the hazards, the Urgency to address the problem and external opportunities for Growth/building on their efforts). Prioritizing the hazards helps the communities to decide on the hazards that they feel are more pressing and urgent to deal with through agreed interventions. The PRA tool scores voting. Then the hazard with the highest scores is subjected to further analysis.
7. Facilitate the communities to profile the hazards through characterization.
To address the hazard and its impact it is important for the community to undertake a careful analysis and consider relevant information about the priority hazards.

The Source Force Tree is useful here:






Request the community members to draw a tree, label the trunk to represent the hazard, ask the community members to label the roots as the causes of the hazard and the fruits as the effects. This exercise helps the community to understand their problems and link them to the root causes.

Output: A primary list of hazards affecting the community identified, characterized and prioritized.

STEP 2: Identification of Vulnerable Sectors, Community Elements and Location

It is important to carry out a community vulnerability assessment to understand the level of exposure of 'elements at risk' in the community to various hazards based on unsafe location and capacity to cope with the impact of the hazard.

Activity 2: Identification of all vulnerable sectors, community elements and locations

 Objective	<ul style="list-style-type: none"> • To identify the key sectors within the community (e.g. agriculture, housing, livestock), key elements (e.g. people, infrastructure, livelihoods, houses and personal property, community buildings) and locations that could potentially be affected by the identified hazards.
 Time:	<ul style="list-style-type: none"> • 1 hour
 Materials	<ul style="list-style-type: none"> • Flip chart paper, marker pen, making tape, documentation format
 Method	<ul style="list-style-type: none"> • Open discussion in large group
 Preparation	<p>Facilitators should be prepared with the following:</p> <ul style="list-style-type: none"> • Collect all the materials needed for the sessions as stated above • A co-Facilitator should be ready to take notes on the process • Facilitators should have a clear understanding of the key hazard risks so that he/she can assist the participants to identify the risks relevant to the community elements, location and sectors.

🔗 Process:

1. Facilitator welcomes all participants for the session.
2. The Facilitator explains the purpose and the process of the exercise.
3. The Facilitator asks participants to identify the relevant sectors affected by the hazards.
4. The Facilitator writes the sectors and hazards on a flipchart in the format indicated in table 3.

Table 3: Vulnerable sectors;

Vulnerable Sectors	Hazards				
	Floods	Drought	Hailstorms	Animal diseases	River Bank erosion
Agriculture	√	√	√	√	√
Health	√	√	√	√	-
Education					

Steps in conducting community vulnerability assessment

- i. Identify the elements at risk: with reference to the map, the Facilitator asks the community members to identify elements that are at risk, categorizing them into human (considering gender, sex, socio-economic status) and non-human elements (productive assets and critical facilities).
- ii. Identify where these elements are located in the community.
- iii. Community members decide the level of vulnerability of the elements considering the proximity of the element at risk to the hazard and explain their reasons for the ranking.
- iv. The Facilitator summarizes the information in the table below.

Vulnerability Assessment form for each priority hazard






Hazard profile	Elements at risk	Level of vulnerability			Reasons for level of vulnerability
		High	Medium	Low	
	a) Human elements; gender, age				
	Women				
	Men,				
	Youth				
	Children				
	Disabled,				
	Elderly				
b) Non human elements					
	<ul style="list-style-type: none"> • Productive assets (forests, swamps, farm land) 				
	<ul style="list-style-type: none"> ▪ Critical facilities (roads, schools, hospitals, energy, communications, relief supply depots) 				

Summary of the vulnerability Assessment

STEP 3: Identification of hazard specific risks in each vulnerable sector

Systematically determine and rank the most in need/most at risk; e.g. poorest of the poor in the community and those in high prone areas.

Activity 3: Development of Risk Statement associated with Hazards in each Vulnerable Sector

 Objective	<ul style="list-style-type: none"> • To generate a list of the risks that result from the interaction of the hazard with a vulnerable elements
 Time:	<ul style="list-style-type: none"> • 2 hours
 Materials	<ul style="list-style-type: none"> • Flipchart papers, marker pens, process documentation format
 Method	<ul style="list-style-type: none"> • Small group discussions and presentation in large group and open discussions.
 Preparation :	<p>Facilitators should make the following preparation;</p> <ul style="list-style-type: none"> • Should have prior knowledge of the area, relevant hazards, and social and physical conditions of the area • Should have a clear understanding of the definition of hazard specific risks so that he/she can assist the participants to identify and write the right kind of risks. • Collect all the materials needed for the sessions as stated above. • A co-Facilitator takes notes on the process

Process:

- The Facilitator welcomes all the participants for the session.
- The Facilitator explains the purpose and process as well as the detailed tasks of this session so that

the participants can freely respond in it.

- The Facilitator subdivides the participants into 2–3 small groups of 8-10 members. The Facilitator supplies necessary materials to the sub-groups.
- The Facilitator explains the activities to be done by the sub-groups.
- The Facilitator clearly explains the hazards and their effects.
- The Facilitator asks the participants to identify hazards and their specific risks in the area.
- The Facilitator explains clearly how to write detailed but concise risk statements so that the outputs are specific to the situation and location.

Example of risk statements






Flood: 1500 lives may be lost and over 1000 people will be injured if a major flood event above 3 meters occurs	Flood: A major flood above 2 meters will cause water inundation of approximately 200 homesteads
Drought: prolonged dry spell for more than 3 months will result in food insecurity among 600 HH	

After the small groups have identified the risks, the participants will meet in one large group.

- The Facilitator requests group representatives to present the risks they identified.
- While one group presents their hazard-specific risks, other groups should carefully listen and put ticks (✓) on similar hazard related risks, which they also identified.
- Once the presentation of the first small group is over, other groups will sequentially present their identified risks, except the common ones, which marked with ticks (✓).
- The presenter of each group answers the questions from other groups, if any explanation of the reasons for selecting the said hazards specific risks is needed.
- The Facilitator prepares a risk statement list compiling all the risks identified by the small groups, without duplication.
- If any risk associated with the vulnerable sector/elements/locations is missing after this listing, the Facilitator asks the participants to fill gaps, after agreement.

Output: A primary list of hazards and specific risks relevant to all vulnerable sectors/community elements/locations is prepared from the perspective of different stakeholder groups.

Activity 4: Categorizing risks (Hazard Specific Risk Selection)

 Objective	<ul style="list-style-type: none"> To select hazard specific risks from the primary list of risks
 Time:	<ul style="list-style-type: none"> 30 Minutes
 Materials:	<ul style="list-style-type: none"> Primary risk list, flip chart paper, masking tape, and markers.
 Method	<ul style="list-style-type: none"> Plenary discussions
 Preparation	<ul style="list-style-type: none"> Facilitators should have a clear understanding of the type and nature of hazards and specific risks the project or organization will address.






Process:

- The Facilitator explains to the participants the goal of the project or organization and potential future actions to be undertaken from the project.
- The Facilitator displays two separate cards side by side, one of which is entitled 'Hazard Related Risks' and the other General Community Social Problems.
- The Facilitator asks the participants to categorize the risks under 'Hazard Related Risks' and 'Non-Hazard Risks'.
- Once the problems are categorized, the Facilitator explains to participants that CRA will address only the 'Hazard Related Risks' in the next steps

Hazard Related Risks	General community social problems
Flood: 1500 lives may be lost and over 1000 people will be injured if a major flood event above 3 meters occurs	Limited Scope of Work: during lean period 50% population of the locality becomes unemployed.
Flood: A major flood above 2 meters will result in inundation of 200 homesteads	

Output: List of 'Hazard Related Risks' and general Community Social Problems based on the opinion of the participants. This exercise helps in addressing future potential risks.

Activity 5: Community Risks/Problem Assessment

 Objective:	<ul style="list-style-type: none"> To analyze and evaluate the risk statements to have an accurate picture of each risk and their respective potential consequences.
 Time:	<ul style="list-style-type: none"> 2:30 hours
 Materials	<ul style="list-style-type: none"> Risk statement list, filled in vulnerable sector/elements/location list, flip chart paper, marker, masking tape, process documentation Format
 Method	<ul style="list-style-type: none"> Large group discussions
 Preparation	<p>Facilitators should take preparation on following aspects:</p> <ul style="list-style-type: none"> The Facilitator should be able to define very specific risk consequences, impacts, vulnerability, and affected population. The Facilitator should understand how to prioritize risk statements

🔊 **Process:**

- The Facilitator presents the hazard specific risks to the participants and explains to them how to identify specific potential consequences against each of the risk statements.
- The participants write potential consequences one by one against each of the risk statements listed in Activity 4.
- The participants agree on the likelihood of occurrence of each risk and rank the risk statements according to their likelihood and potential consequences.
- After risk rating, the participants discuss whether the potential consequences for a specific risk are manageable by the community (i.e. acceptable risk) or require external help (i.e. unacceptable risk) based on the risk evaluation.
- For better understanding by the participants, the Facilitator can give examples. However, examples should not be related to any of the risks they identified, which may bias (or influence) the participants' considerations.
- The Facilitator writes two separate lists, of acceptable and unacceptable risks and explains to the participants that the CRA process will analyze the unacceptable risks.

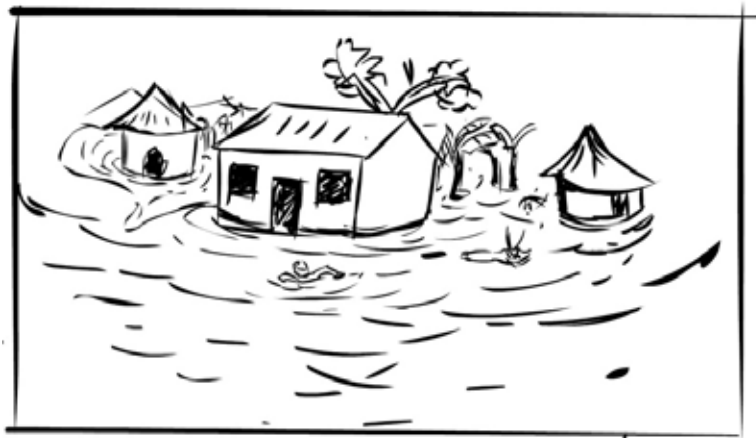


Table 4: Community Risks/Problem Assessment.

Risk	Potential consequence	Consequence	Likelihood	Rating	Acceptability
1) There is risk that flooding of farmland will destroy crops and livestock	Loss of cash crops and livestock. Shortage of food. Damage to property.	Major	Possible	High	Unacceptable
2) There is a risk that flooding will destroy homesteads	Relocation Food insecure Increase in anti-Outbreak of communicable diseases – health hazards poverty	Moderate	Likely	Moderate	Unacceptable






Output: List of potential consequences by the specific risk statements, likelihoods and whether the risk is acceptable to the community and its members, or unacceptable, requiring actions to either eliminate the risk or reduce its impact.

STEP 4: Community Risks/Problem Analysis and Evaluation

Guide the community to prioritize their problem so that actions and available resources can be allocated accordingly. Ensure that disaster risk reduction is cost effective and sustainable. Identify available external resources and risk reduction strategies to address vulnerabilities that the community cannot address by itself.

When community risk assessment is carried out well it produces baseline data that can be used in the generation of community development and contingency planning and also creates opportunities for development agencies and government to support community initiatives for building resilience.

Activity 6: Community Risk/Problem Prioritization

 Objective	<ul style="list-style-type: none"> To assess the importance of relevant hazards and specific risks and select the priority risks for implementation
 Time:	<ul style="list-style-type: none"> 1 hour.
 Materials	<ul style="list-style-type: none"> Community Unacceptable Risk Statement (compiled output of activity 5), marker, flip chart, making tapes
 Method	<ul style="list-style-type: none"> Scoring
 Preparation	<ul style="list-style-type: none"> Each participant collects 5 small stones Arrange the relevant materials as stated above.

Process:






- The Facilitator explains to participants about scoring and the methods to be followed.

- The Facilitator presents the unacceptable risk statements on flip chart papers placed on the ground and explains to the participants how to score the risks.
- The Facilitator reads aloud each risk to the participants at least 2 times so that everybody understands and recognizes each of the risks.
- The Facilitator requests participants to each collect small stones in a quantity of half the number of risks. Participants then score the risks according to their own choice. In doing so, each participant can put all the stones on one risk statement or distribute their stones on several risks of their own choice/priority.
- Once the scoring is over, the Facilitator counts the stones and writes the total score against the respective risks.
- The Facilitator arranges the risks according to the scores in ascending order.
- The Facilitator seeks the participants' consensus to resolve tied scores, during prioritization.
- The Facilitator writes the risks according to the priority based on participants' scoring.
- The Facilitator selects at least 8 – 10 priority hazard specific risks ranked in consensus with the participants for consideration and further analyses.



Prioritized Community Risks/Problem Statements	Rank
1500 lives may be lost and over 1000 people will be injured if a major flood event above 3 meters occurs	1
A major flood above 2 meters will cause water inundation of approximately 200 buildings.	2
etc.	3

Activity 7: Causal Analysis

 Objective	<ul style="list-style-type: none"> • To identify the potential causes of specific community risks/problem and solutions for risk reduction
 Time:	<ul style="list-style-type: none"> • 1 hour
 Materials:	<ul style="list-style-type: none"> • List of prioritized community risk/problem statements, vulnerable sectors/community elements/locations, (Annex 3), flip chart paper, markers, tape.
 Method	<ul style="list-style-type: none"> • Large group discussions and answering questions
 Preparation	<p>Facilitators should prepare with respect to the following aspects:</p> <ul style="list-style-type: none"> • Draw format on flip charts papers as suggested in Annex 3. • Should have clear understanding of causes and effects of specific risk statements.

🔑 Process:

1. The Facilitators displays and facilitate further discussion of the list of prioritized risk statements once again.
2. The Facilitator displays the causal analysis table on a wall.
3. The participants identify solutions for each of the causes or groups of causes, being very specific regarding the plan for action, and where.
4. For the participants to have better understanding, the Facilitator can give life examples can be given. However, examples should not be related to any of the priority risks they identified for analysis, which may bias (or influence) the participants' opinions.
5. Once the participants have identified the causes and solutions, the Facilitator writes their opinions in the format below.






Example Causal Analysis of Risk Statements

Community Risk/problem	Cause	Solutions
1500 lives may be lost and over 1000 people will be injured if a major flood event above 3 meters occurs	Lack of EWS Lack of flood control measures like dikes, levees, diversion channels	Establish and operationalize Community managed EWS

Output: Potential causes of specific risk statements and possible options identified.

STEP 5: Building Consensus on Community Risks/problems and solutions

Activity 8: Building consensus

 Objective:	<ul style="list-style-type: none"> • To build consensus on priority community risks/problems and solutions for implementation
 Time:	<ul style="list-style-type: none"> • 2 hours
 Materials	<ul style="list-style-type: none"> • List of all hazard, vulnerable community elements/sectors/locations, general risk statement, prioritized risk statements, causal analysis and management priority displayed on flip chart., notebook
 Method	<ul style="list-style-type: none"> • Large group discussions and answering questions
 Preparation	<p>The Facilitator should prepare the following:</p> <ul style="list-style-type: none"> • Arrange venue for planning session. • Invite and ensure participation of secondary stakeholders • Arrange the relevant materials as stated above.

🔑 Process:

1. The Facilitator explains to the participants the priority community risks/problem.
2. The Facilitator reads aloud to the participants the priority community risks/problems.

3. While reading the priority risks, if a participant suggests any modification, addition or elimination, the co-Facilitator takes notes and shares them with the audience after the readings have been finished.
4. The Facilitator invites participants to present their opinions and if the community participants have doubts regarding any related issue, the Facilitator allows for discussion to come to consensus.
5. The co-Facilitator takes detailed notes on the discussions and comments.



Output: Stakeholders build consensus on priority risks.

3). Community Risk Reduction and Climate Change Adaptation plan

Name of district.....sub county..... Parish.....

Solutions	Activities	Objectives	Inputs and sources				When to implement	Person/partner responsible	Impact indicators	Budget estimate	Remarks
			Materials and source		Manpower required and source						
			Materials and tools	Source and budget	Unskilled labour	Source					

STEP 6: Community Managed Early Warning System and Contingency Planning

Early warning is critical for preparedness and emergency response because the information generated helps to forecast likely effects through indicators set by the community based on the communities coping capacities.

Communities have traditional early warning systems they use to monitor hazards like drought, floods, conflicts and household food situation, among others. It is therefore important to integrate both traditional and technological early warning knowledge during the establishment of a community-managed early warning system.

Principles in establishment of a community managed EWS

- The Facilitator has reviewed the list of the hazards identified by the community.
- The Facilitator has consulted elders, and experts in meteorology, flood control, agriculture and health.
- The vulnerable communities are known, with regard to the risk they face
- The Facilitator develops an appropriate warning system in consultation with the community.
- The Facilitator conducts simulation exercises to show the community how to respond.
- The Facilitator engages participants to map actors and assign roles and responsibilities.
- The Facilitator engages communities to agree on the mode of early warning communication to trigger action.

The principles of an effective EWS

- Ensure that the appropriate beneficiaries receive the warning.
- Ensure that the community knows about the threat and knows what to do in response.
- Ensure the community understands the message.
- The authority to disseminate early warning should rest on the people whom the community respects and recognizes as credible or trustworthy.

Contingency Planning

- a) The Facilitator engages stakeholders to generate scenarios to enhance preparedness and response to the community risks.

Community Risk	scenario	Indicators	Community Intervention
Floods	Normal	Community identifies indicators for a normal situation in the community	Community states what should be done
	Alert	Community identifies indicators for a situation requiring alerting the community	Community identifies action and channels for alerting the community
	Emergency	Community identifies indicators that call for emergency response	Community identifies actions for emergency response
	Recovery	Communities identify indicators that show that the community is recovering	Community identifies activities for the community to engage in

- b) Emergency Profile Matrix for the scenarios

What if scenario	Potential consequence in terms of number of affected people, assets, critical facilities affected	Local coping mechanism (those that can cope with internal means)	What we need to plan for in emergency response (specific type of support)
Flood level rises by 2 metres	1. 1000 homes will be relocated	60 HH will be reconstructed on raised ground	Evacuation of 100 HH
	2. 500 HH will lack clean water	100 people will have access to clean and safe water	Provision of water purification unit

Response Plan:

Intervention	Activities	Resources and source	Time	Community Systems	Roles and responsibilities
Intervention 1					
Intervention 2					

Annex 1: FGD Checklist

Locality:	location, area, soil type, livelihood options, accessibility during flood, safe places for evacuation, means/mode of communication, culverts, embankments, electricity, management of wetlands, forest, plantation, state of water and sanitation, local institutions and their services, state of biodiversity and threat to biodiversity
People and Livelihoods	population (gender disaggregated), education, social and religious groups, occupation, crops, production level, hazard and crop loss, natural sources, effects of hazard livelihoods
Main changes in the community	Discuss the main changes that have taken place in the area in the last 10 years. What are the causes of these changes? What have been the effects of these changes on the community?
Causes	Discuss main causes or reasons for the change.
Hazard (past, present and future):	<p>Types of Hazards Natural hazards(e.g., floods, hailstorms, earthquakes, strong winds, drought) Human induced (e.g., river bank erosion, deforestation)</p> <p>Categories of hazards: Hazards are categorized as:</p> <ol style="list-style-type: none"> a. Slow onset hazards; those that take relatively longer periods of time to take effect on a community. The effects or impact however may be severe. Examples are drought, slowly increasing pollution of rivers, deforestation and landslides. Indicators for impending hazards are easily recognized and early warning systems can be established. b. Rapid or sudden onset disasters here the hazards give little or no warning before they occur. Examples are flash floods, fires and volcanic eruptions. <p>Extent: describe the geographical area that the hazard affects depending on the nature, intensity of the hazard and the vulnerability of the communities.</p> <p>Predictability: Probe the community on the indigenous early warning signs to determine how the hazard sets in. Weather patterns can be predicted in sufficient time for communities to be warned of the hazard and get prepared. Drought is one example of a hazard communities could prepare for.</p>
Local coping strategy:	Discuss traditional preparedness and coping mechanisms against the hazards.

Annex 2: List all hazards identified

No.	Hazard	No.	Hazard
1	Flood	4	Drought
2	Landslides	5	Hail Storm
3	Cyclone	6	----- etc.

Annex 3: Community Risk/problem Prioritization

Hazard	Community Risk/Problem	Score

Annex 4: Community Risk Reduction Activities

Rank	Community Risk/Problem	Community Risk Reduction Activities



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