International Workshop
on Community Risk Assessment

31 May – 2 June, 2005

Protea Hotel Seapoint

Cape Town

Workshop report compiled by Disaster Mitigation for Sustainable Livelihoods Programme (DiMP)
University of Cape Town

Acknowledgments

Table of Contents

CHAPTER 1

Introduction to the International Workshop on Community Risk Assessment

1.1 Background to the International Workshop on Community Risk Assessment

On 31 May – 2 June, 2005 a three-day International Workshop on Community Risk Assessment was held in Cape Town, hosted by the Disaster Mitigation for Sustainable Livelihoods Programme, University of Cape Town, in collaboration with the ProVention Consortium. The workshop was attended by more than forty five delegates from Africa, Asia, Europe, the Pacific, Caribbean and the Americas and included representatives from academic institutions, international non-governmental organisations and their partner organisations, the International Federation of Red Cross and Red Crescent Societies, community-based organisations and mid-level and local government officials with extensive experience in community risk assessment.

Community risk assessment (CRA) in particular was recognized at the Kobe/Hyogo World Conference on Disaster Reduction, January 2005 as critical in identifying, assessing and monitoring risk at a community level, with the purpose of informing the design of locally appropriate risk reduction programmes and assisting in the monitoring and surveillance of risk at a community level.

This report was compiled following the proceedings of the International Workshop on Community Risk Assessment. In addition to the workshop four key academics in the field of disaster risk reduction were asked to reflect critically on the workshop, namely Ian Davis from Cranfield University, Mark Pelling from King's College London, Allan Lavell from La Red and Vanessa Dantas from DiMP. These reflections can be found in Annex 5.

1.2 Workshop aims and objectives

The aim of the CRA workshop was for delegates critically to discuss the strategic use of community risk assessment, whilst sharing experiences on community risk assessment.

The key objectives of the workshop included the following:

- Presentation of in-depth regional experiences/case studies from Latin America, Asia, Africa and the Pacific related to community risk assessment.

- Structured analysis of existing community risk assessment methodologies.

- Discussion on the applicability and relevance of assessment tools from other disciplines.

- Review and evaluation of the user applicability of the ProVention methodologies register, specifically the guidance notes and matrix.

- Presentations on the challenges of integrating community risk assessment with related developmental assessment/planning tools to ensure the sustainable reduction of risk at the local level.

- Debate on the strategic use and impact of CRA in the broader context of disaster risk management, and development planning.

- Discussion on the formalization of a virtual community risk assessment network.

1.3   Institutional arrangements

The Disaster Mitigation for Sustainable Livelihoods Programme (DiMP) at the University of Cape Town worked in collaboration with the ProVention Consortium Secretariat and consultant Ben Wisner in hosting the International Workshop, which was funded by the ProVention Consortium.

1.4   Overview of workshop agenda and methodology

The workshop included a mix of presentations, small focus groups and plenary discussions. On Day 1 and Day 2, presentations were conducted by regional specialists on the application of community risk assessment from Asia, Africa, Latin America and SIDS. In conjunction, presentations were conducted by other specialists conducting risk and vulnerability assessment, with a plenary discussion on the links with other such assessment methodologies and CRA. In the evening of Day 2 a film festival was hosted at the Protea Hotel, with six short films related to community risk assessment and community risk management screened.

The final day of the workshop explored the role of CRA in the broader context of DRM and Development Planning. The workshop concluded with a panel discussion on the establishment of a Community Risk Assessment Network. On Day 4 twenty workshop participants visited Joe Slovo informal settlement in Langa to interview recently fire affected households who were being temporarily housed in tents and emergency homes in Langa.

The workshop was centred around five main themes, namely:

THEME I:	Community Risk Assessment as a New Emerging Discourse
THEME II:	The ProVention Community Risk Assessment Toolkit
THEME III:	Learning from risk and vulnerability methodologies/experiences in other fields
THEME IV:	The role of CRA in the broader context of Disaster Risk Management and Development Planning
THEME V:	Virtual Community Risk Assessment Network: Mobilizing a community of Practice

CHAPTER 2

THEME I – Community Risk Assessment as a New Emerging Discourse

2.1 Introduction

One of the key conclusions from the Kobe/Hyogo World Conference on Disaster Reduction, January 2005, was the recognition that the different actors dedicated to reducing risk need to engage more rigorously with risk assessment, project application and advocacy. To explore the current status of Community Risk Assessment three international experts were asked to present in a panel on their reflections of community risk assessment as a new emerging discourse. The three panel presenters were Ben Wisner from Oberlin College (Ohio, USA), Ian Davis, visiting professor from Cranfield University (UK) and Gustavo Wilches-Chaux from LA Red (Colombia). The panel presentations were facilitated by Ben Wisner and were followed with questions/comments.

2.2 Presentation 1: Community Risk Assessment: Past, Present & Future
     by Ben Wisner
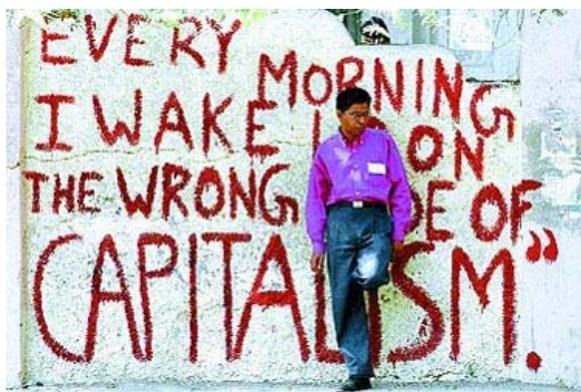
Source : http://barcelona.indymedia.org/ newswire/display_any/156252

Ben Wisner began his presentation with the statement *"Every morning I wake up on the wrong side of capitalism",* which was a graffiti piece from a wall in Porto Alegre, Brazil (see photograph).

He explained that there is an underlying ambiguity to the notion of vulnerability. He explained that "this ambiguity has two aspects. First, all socio-economic-political systems distribute risk socially and spatially. Whether one considers the coal mine "accidents" in China (the most dangerous coal industry in the world today) or the exposure of people fleeing rural violence in Haiti to flash flooding in the outskirts of the city of Gonaives, there is an in-built level of risk that is part and parcel of the organization of society at any point in time. Thus the ultimate "truth" discovered through CRA would be self awareness in small groups (neighborhoods and rural communities) of the root causes of such a distribution of risk. However, at that level and scale, diffuse and separate "ah ha!" experiences generally do not lead to the pressure for change required to deal directly with root causes of vulnerability. The second aspect of ambiguity is getter know: that vulnerability is meaningless without an understanding of its converse, capacity. Here again, all societies limit human potential to some degree. "Capacity" would be huge in poor localities if all children were guaranteed full education from primary through university level and if promotive, preventive, and curative health services were guaranteed as a right of all citizens. Here too, CRA seldom discussed structural limits on capacity but focuses more narrowly on the immediately available (such as levels of cash savings, skills, social networks) rather than the ideally possible."

Ben then defined *Community-Based Risk Assessment, as a method of self assessment to assess coping and capacity*. He described how this method has been slowly developed over the past 40 years, as development workers noticed differential levels of vulnerability/capacity in the face of natural hazards. Ben used three examples to illustrate this notion further, namely the *Sahel Famine* (1967-73), the *1970 cyclone in Bangladesh*, and *hurricane Fifi in Honduras* (1974). He described how death, injury, loss, and the ability to recover (that is, vulnerability) was highly associated with livelihoods – their nature and their security. Vulnerability was not only an economic matter, but depended on location and access to political power. Similarly, vulnerability was not homogeneous in "communities", but varied widely. He further emphasized, however, that capacity also existed, and that farmers in the Sahel had coping strategies that relied on indigenous technical knowledge, social networks, and alternative income activities. He explained that in many cases "national government officials did not understand or trust such capacities, and national counter-disaster strategies generally came (if they existed at all in marginal, peripheral zones) from the top down. On the whole these made the situation worse".

Ben also explained that there was a key distinction between taxonomic versus participatory approaches. He described a *taxonomic approach as one which categorized people into generic groups in terms of their vulnerability* – i.e. women, children, elderly people, people living with disabilities, ethnic and religious minorities, etc. He criticized this approach, saying it did not explain the root causes of vulnerability. On the other hand, *a participatory, situational and proactive approach would engage people in understanding their daily lives*. In referring to Paulo Freire, he explained how this approach focuses on the empowerment of local people to understand their own situational context. By doing so they come up against what Freire described as a "limit situation", which requires local people to become proactive in seeking solutions to the problems they are presented with, otherwise known as "adaptive planning".

Ben then described the *range of methods* used in community-based risk assessment, presenting methods such as hazard mapping, problem trees, wealth ranking, livelihood analysis, time budgeting, seasonal calendars, gender division of labor, and the use of song, storytelling, puppetry, video, still photography and other art forms.

Ben began concluding his presentation with a slide titled "The future: Kobe and Beyond Kobe", which outlined some of the key aspects presented in the Hyogo Framework for Action, which had direct relevance for CRA. He elaborated by saying that *disasters are linked to development,* that "good" developmental practice will reduce disaster risk, and that therefore sound knowledge and good data are the basis of effective disaster reduction planning. He also stated that *partnerships and multi-lateral action are more effective than individual action*, especially when dealing with global threats such as global warming.

In conclusion, Ben presented some of the key challenges for effective community-based risk assessment. These included two key challenges, namely, institutional/professional challenges and the challenge of root causes. In terms of the institutional/professional challenges, he described how experts are challenged to integrate local specialist knowledge into their assessments. In terms of the challenge of root causes, Ben said this brings us back to the beginning of the presentation: "Every morning I wake up on the wrong side of capitalism" (in Cape Town too).

2.3 Presentation 2: The Current State of VCA, (or CRA or CBRA…)
by Ian Davis

Ian began his presentation with asking ten "awkward" questions about the current state of Vulnerability Capacity Assessment (VCA), Community Risk Assessment (CRA) or Community Based Risk Assessment (CBRA). Ian elaborated on these questions as follows:

1. What is distinctive about CRA?

Ian described that most of our assessment tools originate from Mary Anderson, as well as from Robert Chambers' Rural Appraisal tools. He asked the critical question, "When will we have a

<u>distinctive</u> set of tools or approaches that has not been borrowed?". He believes it is time that we worked out precisely what is needed, then to: test – document – share it – apply it and then test it again. He believes that this type of cyclical planning approach encourages innovation.

2. How to link pre- and post-disaster assessments?

There is a need to develop a distinctive methodology that embraces <u>pre-disaster risk assessment</u> (being proactive in creating *speculative* assessments of vulnerability and capacity) and <u>post-disaster damage and needs assessment</u>, (being reactive in identifying hard evidence of *actual* vulnerability and capacities). He also asked how the <u>same group of assessors</u> can become involved in both pre- and post-disaster processes for useful comparative purposes. He believes we need to find ways to fuse the pre- and post-disaster assessment communities into one.

3. How to expand the scope of assessment into all sectors?

Ian questioned how we apply the principles of VCA to <u>all sectors of the subject</u>: social, cultural, political, physical, economic and environmental. He presented the example of the environmental destruction of mangrove swamps and coral reefs in Thailand. If this destruction had been properly assessed in view of increased exposure to tsunamis, and protective action had been taken as a result, many lives could have been saved.

4. How to merge assessment data?

How do we <u>merge all the varied assessment</u> data into a holistic understanding of a given societies overall capacity and vulnerability (i.e. merging social, cultural, political, physical, economic and environmental data)? The critical question then is about who is capable of doing this, given our professional and sectoral divisions, and lack of genuine teamwork. Who can understand the "big picture"?

5. How do we de-professionalize the process?

We need to consider those <u>people who know the community intimately</u> and have a rich local experience to be conducting community risk assessments. They may include midwives, priests and school teachers.

6. How to bridge the NGO-Government divide?

Ian stated that NGOs have been in the forefront and regard the risk assessment process as their own. Antagonism between governments and NGOs has led to a built-in friction in some countries.

7. To whom does CRA data belong?

Ian offered the quotation: "Every good idea needs a home" by David Oakley. He asked <u>where CRA data can be stored</u> so that anyone at risk can access it. Typically, is it stored at universities, libraries, schools, mosques, shops? Is it on a shelf somewhere, or on a laptop?

8. How to develop innovative ways to record risks?

Ian described how in Queensland, Australia, local schools will mark previous flood level heights on trees or telephone poles as part of school projects. He invited <u>creative approaches</u> to assess risk.

9. How to link assessment with action to reduce risks

Ian says this approach seems obvious, given the enhanced motivation that can be built up during the assessment process, but the question remains: how to do it.

10. How to cut the waste of multiple assessments?

Ian stated that often in post-disaster situations there are many reported examples of exceedingly frustrated local leaders protesting about the descent of multiple assessment teams who ask them the same questions (including UNDAC teams, government officials and NGOs). He asked "how can one avoid this wasteful duplication of effort that may spread to the pre-disaster scene?"

Ian concluded by saying that tremendously rapid progress is being made with community risk assessment and that a merging of expertise is happening. However, there is more "interlocking" needed. And so the question is "How to expand this CRA network from Geneva and Cape Town?"

2.4 Presentation 3: Disasters: Expressions of Communication Failures by Gustavo Wilches-Chaux

Gustavo began his presentation with a detailed description of the nature of risk in Latin America, drawing from examples in Bolivia, Bogotá and the Andes. In an example from the Andes he explained how La Paz is intersected by 20 rivers which, during the rainy season, results in flooding of the city. He perceives an indissoluble relationship, which he termed a "*marriage*", between these communities and the natural environment in which they live. The challenge is how to ensure that these local communities and institutions involved in risk reduction learn to manage these complex and sometimes "concatenating" risks, as this "catholic marriage" is indissoluble.

Using the framework of the Jewish cabbala, Gustavo then presented a framework for understanding vulnerability. He described how *vulnerability is comprised of social, economic, institutional, cultural and political fators and processes which are intricately interconnected*.

Gustavo's main argument was that *risk is largely being driven by failed communication between several actors*. Again referring to the framework of the cabbala, he explained that various levels of institutions working on risk-related issues were intricately interconnected. He described how a breakdown in communication between local authorities, NGOs, scientific communities, aid organisations, communications media, the private sector and national and regional authorities, ultimately resulted in disaster risk. In conclusion, Gustavo used the metaphor of the telephone repairman symbolically representing the role of disaster risk reduction practitioners, whose responsibility is now to reconnect these broken lines of communication.

CHAPTER 3

THEME II – ProVention Community Risk Assessment Toolkit

3.1 The ProVention Consortium "Tools for Community Risk Assessment (CRA) and Action Planning" project

The subject of community risk assessment and action planning is central to the work of the ProVention Consortium, its efforts to improve the accuracy and quality of the risk identification process and the implementation of effective risk reduction measures. For that purpose, ProVention initiated the "Tools for Community Risk Assessment and Action Planning" project. It aims specifically to strengthen community level risk assessment and advocate local level risk assessment that will inform and influence decisions, policies and plans at sub-national and national levels. Additional objectives include:

- Reviewing current tools for community risk assessment, identifying gaps and defining elements of "good practice".

- Collecting community risk assessment methodologies and applications and compiling them in a web-based register and compendium. These are to be supported with guidance notes.

- Developing an active virtual network of community risk assessment practitioners and researchers.

- Disseminating the project outputs and promoting risk reduction activities aimed at high-risk communities in developing countries.

3.2 Background to the CRA Toolkit

On May 25-26, 2004 ProVention organised an International Workshop on *"Social Vulnerability and Capacity Analysis"* in Geneva at the International Federation of Red Cross and Red Crescent Societies. The workshop brought together 26 leading academics and practitioners from different organisations and countries, with representation from Central and Latin America, Southern Africa, South and South-east Asia, who contributed to the initiative through the presentation of case studies, research and workshop discussion groups.

Participants highlighted key elements of good practice in VCA but also identified a wide range of technical, social, conceptual and developmental gaps that await closure. Workshop participants also suggested a number of follow-up activities to the workshop. One of their key recommendations was the need to develop a web-based inventory of CRA methodologies and a compendium of good practice case studies.

In response to these recommendations, the ProVention Consortium Secretariat initiated the development of a register of community risk assessment methodologies and resources. The Toolkit section on the ProVention website currently contains 23 entries, including methods employed in disaster risk assessment, food security and livelihood security assessment. (www.proventionconsortium.org/toolkit.htm, see I c and d). This initiative benefited from broad participation by project partners, with many valuable contributions on methodologies and resources from IFRC, NGOs and academic centres.

3.3   Project partners

The project involves a broad range of partners who play a key role in the development, implementation and evaluation of community risk assessment and action planning tools. The Disaster Mitigation for Sustainable Livelihoods Programme (DiMP), University of Cape Town, and Ben Wisner (Oberlin College, Ohio) were set up to further develop the Toolkit of CRA Tools, which include the register of CRA methodologies and a compendium of case studies.

DiMP is coordinating the further collection and consolidation of the CRA methodologies register. DiMP's main assignment entails the analysis of the different CRA methodologies, involving the development of guidance notes, a matrix aimed at providing a detailed overview of the content of the different methodologies and the development of a typology of methodologies. DiMP is also responsible for the collection of methods possibly useful for CRA but also applied in other contexts. This may include tools for participatory rapid appraisal, social impact assessment, livelihood and food security assessment.

Ben Wisner is developing both the compendium of case studies illustrating the applicability of the CRA methodologies and the guidance notes for the various studies.

3.4   Analysis of Community Risk Assessment tools: overview of preliminary findings

Helen Macgregor, Disaster Risk Research Coordinator of DiMP, gave an overview of preliminary research findings from an analysis of the CRA tools posted on the ProVention site. Her key objective was to explain the scope and diversity of the CRA materials, only one-third of which were community-orientated risk assessment tools. Furthermore, most of the tools were **guidelines** (detailed plans or explanations giving guidance in setting standards or determining a course of action) as opposed to **step by step manuals** (a reference book, usually giving exact instructions on how to do something).

Helen demonstrated that the development of the various materials, both manuals and guidelines often reflected the ideological approach of an organisation. To elaborate on this she presented the various assessment approaches reflected in the CRA toolkit. These included: Households Participatory Rural Appraisal (PRA), Participatory Vulnerability Assessment (PVA), Participatory Disaster Risk Assessment (PDRA), Vulnerability and Capacity Assessment (VCA), Capacity and Vulnerability Analysis (CVA), Hazard Risk Vulnerability Assessment (HRVA), and Household Livelihood Security Assessment (HLSA).

Helen also critically examined the extent to which the materials enabled community participation in the research process. In many cases the assessments were for the benefit of a community, yet the materials did not provide methods to actively involve the community in the process. Only one-third of the materials reviewed were truly participatory in nature. She explained, however, that nearly all the tools were intended for use by an organisation working in the community. Furthermore, it would often be unfeasible for the community to be implementing the assessment without the facilitation support of an external agency.

Helen concluded with a brief overview of the type of analytical tools presented in the materials and outlined key strengths of the materials posted on the site.

Key reflections/comments from participants

Zubair Murshed, from the Asian Disaster Preparedness Centre, pointed out that most of the participatory assessments approaches have been initiated in under-developed countries in Asia. He stressed that many of these approaches were introduced by external NGOs and INGOs who often had marginal success in developing the capacity of local people to identify solutions. However, in a few cases these external actors succeeded in developing the assessment capacity of local government. **Mark Pelling** echoed this statement in his critical reflection "most existing CBDRA have not been initiated, nor are their findings subsequently owned, by those local actors who were the focus of the assessment".

In response to this both **Ian Davis** and **Lorna Victoria** asked whether the CRA tools posted on the ProVention site relied on external support to be implemented. **Kristy Evans**, an independent consultant involved in the review, commented that many of the tools relied on an external facilitator to initiate and guide the assessment process. **Ben Wisner** presented an example from Istanbul where there was training of trainers in the communities where the assessments were conducted in an attempt to address the externally driven nature of the assessment. **Helen Macgregor** said that despite the assessments being driven by external agencies, the tools often advocated the use of facilitators, and it was not a "top-down intervention but a facilitative one". **Rick de Satge** then questioned the extent to which the assessment methods were professionalized and therefore intrinsically embedded with power, as well as the extent to which we should be equating participation with "good".

Mark Pelling further elaborated by stating that "it is important that the project behind the CRA workshop does not follow the international development community by uncritically promoting "participatory" work. The World Bank in particular, but also many developmental INGOs, have faced strong and rigorous criticism for making misleading claims where extractive methods and approaches that fail to challenge local power relations have been undertaken under the name of "participatory" work. Participation is not a panacea; indeed, in many cases it is not appropriate, but we must be clear about what it is if its benefits are to be realised.

Zubair Murshed stated that development workers often naïvely apply CRA tools. He believes that in some projects NGO and other workers are taking the tools and are trying to apply them as they are. He noted that there are serious problems associated with illiterate people and that their participation in the process may be limited. **Zubair** stated that in the light of this, the challenge for disaster risk management practitioners is to equip community members, leaders, local government officials and development workers with tools on risk assessment and action planning, to enable them to take actions for risk reduction. He stated that this is a difficult task as there are several challenges, namely:

- The scale to be covered in terms of orientation of local government officials, development workers and community leaders is huge;

- Language is a major barrier. For effective communication we need to translate and adapt the CRA tools into local languages of the target countries;

- Lack of a learning attitude amongst practitioners and government officials;

- Structural problems: CRA is a participatory methodology. However, in South and South-East Asian countries overall development planning process is not done in a participatory fashion. Therefore, integrating CRA into the local development process becomes difficult;

- Lack of access to information technology particularly by government officials, hinders them from connecting to the Internet, where many of the tools are located.

3.5   Overview of regional experiences

Ben Wisner selected 20 case studies from across the globe to show the application of community risk assessment methodologies. The primary purpose was to provide a cross-sectional review of five case studies in each region. He summarized each case study to provide guidance notes in which he focused on strengths and weaknesses of the assessment methodology applied, as well as analyzing what would be required for the assessment to be "up-scaled" within a wider context. He also explored the state of civil society/government cooperation in the regional application of CRA (see Annex 4 which gives the case study guidance note template). In selecting the case studies, Ben used a mix of assessments conducted in both urban and rural contexts.

Ben posed the following key questions in compiling the guidance notes:

- What actions were actually planned and were there any unanticipated additional benefits resulting from the actions?

- Were there any significant historical, geographic, economic, political, or cultural issues that influenced this instance of CRA and its consequences?

- How has this practice of CRA influenced change in policy and practice at the national level? And has this influenced change in policy and practice at local level?

Ben Wisner invited five regional representatives from Latin America, Pacific, Africa and Asia to review the 20 regional case studies and to present their critical reflections during the International Workshop on Community Risk Assessment. The presentations were conducted on Day 1 and Day 2 of the workshop and were facilitated by Ben.

<u>**Presentation 1:**</u>   **Overview and critical observations and questions on experience with CVA-CRA in Latin America**
by Allan Lavell (FLACSO and LA RED)

Five case studies were selected in Latin America, namely the Lower Lempa Valley, El Salvador sustainable development and risk reduction project; the Guatemala City action-research project on urban community vulnerability to disasters; the Red Cross Belize training course experience with CVA; the Oxfam-promoted Peruvian highland training course on CVA following communities suffering a severe cold spell; and the Caracas earthquake awareness and intervention. The table below summarizes the data.

Country	Location	Agency	Government	Action
El Salvador	Rural	CORDES/ LA RED	Yes	Yes
Guatemala	Urban	FLASCO/ LA RED	Yes	?
Venezuela	Urban	Municipality	Yes	?
Belize	Rural	BSRC	?	?
Peru	Rural	Oxfam	Yes	?

Allan Lavell began his presentation by stating that last year he completed an inventory of 150 case studies at the local level, of which many had elements of community risk or vulnerability analysis. It was from these case studies that Ben Wisner selected the five case studies presented above, three of which were developed by LA RED.

Allan explained that the five case studies varied in terms of time taken to conduct the assessments. The assessment in Caracas was a four-hour analysis, whilst that in the Lower Lempa Valley took two years. He said the assessments also varied in terms of the context in which they were commissioned or undertaken and one could not compare them easily nor generalize about the nature of the assessment. He contrasted two examples, one from Peru, where Oxfam had demanded an assessment following heavy snowfalls, and the case of

El Salvador, where the assessment was conducted by the Ministry of the Environment, while the project was demanded by the local community. Allan said it was "difficult to compare cows and horses. Are these generalizable? Can they be up-scaled? Can elements of the methodology be transferred? The example can't be transferred. It is a response to a situation".

He noted that not all the assessments were orientated towards action planning and that in some cases the final aim was less than an action plan. He also questioned whether an action plan was in fact a necessary outcome of an assessment, especially where the assessment was conducted following a demand from the community, such as occurred in El Salvador. This, he said, implied that the community was already in the process of action by utilizing the assessment for advocacy.

Allan stated that he does like the term community vulnerability analysis and that in Latin America they prefer to use the level of local risk management and analysis. The use of the term "local" instead of "community", he said, arose from the realization that the root causes of risk were not always generated at community level, and that community was therefore an inadequate level to start risk prevention and reduction. He also explained that most projects still take risk and disaster risk as the most important aim of intervention, and that those of us who see risk as arising from inadequate development start from development. Risk of disaster, he sees as being one element in the whole issue of sustainability and development.

He concluded his presentation by stating that if "method determines the process then we are going wrong, so it's the process, context and constitution of a problem from which we should develop an instrument". He said: "we are now finding we are making a lot of mistakes because we emphasise methods more than process, need and demand."

Presentation 2: **Overview of regional experiences in Small Islands Developing States**
by Jeong Park (IFRC)

Five case studies were selected from the Small Islands Developing States (SIDS), namely Solomon Islands, Vanuatu, Cuba, Jamaica, and Madagascar.

Country	Location	Agency	Government	Action
Solomon Islands	Rural	SIRC	Yes	Yes
Vanuatu	Rural	SOPAC	Yes	Yes
Jamaica	Rural	JRCS	Yes	Yes
Cuba	Urban & rural	Oxfam America	Yes	Yes
Madagascar	Rural	CRS	Yes	Yes

Jeong raised four critical points in his presentation. The first point was that all the assessments were project-orientated and initiated by regional agencies. Jeong stated that he had no doubt that communities had contributed to the assessments, however it was hard to find a connection between the assessments and long-term sustainable development.

His second point was that communities do not own the risk assessment tools. This was problematic in that problems were identified, but the extent to which community-based solutions were identified was questionable, with no real "link from problems to solutions".

Jeong's third point was that everyone was respectful of cultural aspects in these studies. However, in most of the studies there did not seem to be any mechanisms to maintain the new system being brought into the community. In the Solomon Islands Red Cross case he said they tried to include a focus on gender, as it was a prerequisite, but in fact there had not been a real understanding as to why gender needed to be included.

His fourth point was that, in the context of the Pacific, local communities do have local coping mechanisms and there is a need to strengthen these, as opposed to introducing new mechanisms.

Presentation 3: **Overview of regional experiences in Asia**
by Lorna Victoria
(Centre for Disaster Preparedness Foundation Inc)

Five case studies were selected in Asia, focusing on rural and urban activities by a wide range of agencies in Bangladesh, Laos, Turkey, Philippines, and Pakistan.

Country	Location	Agency	Governmen	Action
Lao PDR	Rural	World Vision	Yes	Yes
Philippines	Urban	CDP	Yes	Yes
Bangladesh	Urban	ADPC	Yes	?
Turkey	Urban	Bosporus University	Yes	Yes
Pakistan	Rural	Doaba Foundation	Yes	Yes

Lorna gave a wide-ranging and detailed overview of projects carried out in Bangladesh, Cambodia, Laos, Pakistan, Philippines and elsewhere, using best practices in community-based disaster management and community-based disaster risk management. She covered bottom-up and participatory approaches involving learning and action, as well as the community organizing process, and prioritization for action planning and problem solving.

Focus group discussions and semi-structured interviews were used to ensure community participation, using a range of techniques to get complete topographical information of the area, identify risk and resources, ensure problem identification and prioritization, and to learn about coping mechanisms people used during a disaster. A timeline was employed to facilitate community input about the extent of damage in various disasters from 1991-2000.

She outlined a community-based disaster risk management programme in Vietnam in which 140 Red Cross staff trained as DM trainers from 33 disaster-prone provinces and 30 were further trained as master trainers. In addition, 1,050 RC staff at provincial, district and DPC levels and 1,427 key staff at commune level from 33 disaster-prone provinces were trained in disaster management.

In Cambodia, the focus was on a flood mitigation programme, involving preparedness for emergencies, physical safety, and minimizing casualties, suffering and loss, while strengthening livelihood and community access to social services. She spoke about the challenges of mainstreaming and upscaling and covered participation, ownership and sustainability, as well as integrating with local governance and development planning system and process. Risk reduction in the short, medium and long term included addressing vulnerabilities and solving development problems such as poverty, livelihood insecurity, control over and access to resources and environmental constraints.

Presentation 4: **Overview of regional experiences in Africa**
by Pat Reid and Kuda Murwira (consultants)

Five regional case studies were selected in Africa, namely a rural post-conflict assessment in Sierra Leone, a district level risk assessment in the Govuro District in Mozambique; a community risk in Imizamo Yethu informal settlement in Cape Town; a rural household security assessment in Zimbabwe and a rural food security assessment in Zambia.

The table below summarizes the five cases studies selected in Africa:

Country	Location	Agency	Government	Action
Sierra Leone	Rural	SLRC	Yes	Yes
Mozambique	Rural	DiMP/UEM	Yes	?
South Africa	Urban	UCT/SANCO	Yes	No
Zimbabwe	Rural	ITDG	Yes	Yes
Zambia	Rural	ZRCS	Yes	Yes

Kuda Murwira presented an overview of a household security assessment conducted in the Chivi District in southern Zimbabwe in 1991 that was later published in his book "Beating Hunger". Kuda explained how the methodology, defined as "Beating Hunger", was developed over 10 years ago as a result of drought-affected communities in Zimbabwe wanting to share their experiences. This methodology has subsequently been used by both GTZ and Novo Africa. His presentation further detailed the methodology, providing insightful examples of local community-based strategies to reduce drought risk. He concluded by highlighting some of the key challenges in conducting community level assessments. These include:

- Organizing people where there are no existing structures.

- Keeping a balance between promotion of groups and individual talents.

- Minimizing the costs of participation.

- Shifting power from the privileged few towards the majority poor without creating tensions.

- Capacity of government institutions to use the model in a flexible manner.

Ben Wisner remarked that this is a very rich case study and that it was a unique opportunity, which we could learn from.

Pat Reid then presented case studies from South Africa, Sierra Leone and Zambia. She posed some key questions, which included:

- Who initiated each study (government, affected community or independent agency)?

- What was the motive for the study? This included questions on whether it was a short-term project, whether it would identify multiple vulnerabilities and whether it would inform the integrated development planning process?

- How was the field accessed? This gave rise to further questions on whether there was political will and government commitment, whether it a participatory approach was used, and whether there had been a pre-assessment sensitization process to ensure ownership of the process.

- To what extent could it create expectations which may not be realised in terms of both short-term actions and sustainability?

- Should we be focusing on the tools instead of first setting down the principles of the process or producing a template or framework in which a variety of tools should be used?

- Are we not making unsolicited diagnoses based on signs externally observed, instead of conducting a holistic examination?

Ben recalled two previous Red Cross projects. He said Sierra Leone was a post-conflict needs assessment and was inward-looking, enabling the Red Cross to look at its various programmes, whereas in Zambia it had been a shadow district planning operation. Zambia was "an extraordinary case because Red Cross put itself at the service of district government and integrated a food security plan. This happened after 50 years of assessing Lake Kariba on the Zambesi River as a food security resource".

He then presented the Save Basin Risk Assessment conducted in Govuro District in Mozambique. He described the district's risk profile, explaining that the assessment methodology was comprehensive and illustrated a case of best practice by using a wide mix of methods from background data, participatory community level assessment methods and even GPS mapping.

This case study illustrated how the national concept of disaster management was limited, Ben noted. He underlined that, frequently, district-level government would simply draft lists of relief needs, which either were hidden in the district administrator's desk drawer or were presented to external donors. As a result, risk reduction in Mozambique is largely driven by external donors and their objectives, which he believes need to be counteracted by assisting the Mozambique government to become more proactive in developing preconditions for them.

General reflections on the regional presentations

The discussion following the presentations began with the question "Is it worth it?". **Ian Davis** said the assessments most likely to be sustainable are those which have been demanded from the community rather than from an external agency. He further stated that the process is as important as the product, and that involvement of local communities increases the chances of local change. **Hanna Schmuck** in response posed the question "how often do we go back after 20 years to assess whether there has been a long-term impact?"

Rick de Satge emphasised the importance of participatory risk monitoring and evaluation following the assessment, as the risk is contextual and changing. He asked the question "how will communities know if it is successful? What remedial action must be taken?" Rick said a "longitudinal perspective" is required, in that we may be coming up with case studies that seem successful when, in fact, they may have a series of unintended consequences which we are not aware of. **Ben Wisner** responded by saying that it was problematic that in most of the case studies, monitoring indicators had not been established. **Allan Lavell** concluded the first discussion by stating that risk is dynamic, and that communities should be continuously evaluating their risk.

The second key discussion centred around the question of "community risk assessment for what?" **Ethlet Chiwaka** said that with ActionAid most risk assessments are conducted in the context of a project. **Marla Petal** said we are deluding ourselves by using the term risk assessment if we do not transform assessments into action. **Ben Wisner** suggested that if a single action comes out of an assessment it is a step in the right direction. He also stated that, in practical terms, it is often not possible to address all risks, so if a community chooses one priority risk that is still encouraging.

3.6   Recommendations for strengthening the toolkit

In three break-out groups on Day 2, the workshop participants were asked to critically assess the usefulness, relevance and applicability of the guidance notes for the tools and case studies. Three key questions were presented:

> **Question 1**: Do you think the guidance notes for case studies and methodologies and the search tool/matrix are useful for practitioners? Do you have any suggestions for improving the structure and content?
>
> **Question 2:** Is a web-based toolkit appropriate for your working context?
>
> **Question 3:** Are you aware of any useful CRA methodologies and/or case studies that should be included in this toolkit?

Listed below are some of the key recommendations presented by each of three groups. The recommendations have been clustered into three main categories, namely: general recommendations for strengthening the CRA toolkit, specific recommendations to strengthen the guidance notes, and specific recommendations for strengthening the case studies.

General recommendations for strengthening the CRA toolkit

- Develop a glossary which would explain key terms and concepts;
- Clarify the purpose of the CRA toolkit;
- Keep the structure and content of case studies and template as simple as possible;
- Develop a navigation and search tool to search the 20 CRA tools on the ProVention website. Keywords were recommended;
- Question the appropriateness of a web-based tool and CD-Rom, as in remote areas there is often a lack of computer technology;
- Create linkages between the toolkit and organizations which developed the tools;
- Include training manuals in the CRA toolkit;
- Regularly update the CRA toolkit with new projects and resources, including the development of an interactive site that allows users to update case studies manually;
- Link the ProVention website to the Institute for Development Studies website;
- Include conceptual readings in the CRA toolkit.

Specific recommendations for strengthening the guidance notes and matrix

- Include two reviewers (one of them possibly an external reviewer) to draft the guidance notes;
- Simplify the matrix as it is currently too complex – a search engine was recommended;
- Improve the critical analysis of the guidance notes;
- Include information on the timescale and indicate the resources needed to undertake the assessment.

Specific recommendations for strengthening the case studies

- Distinguish between urban and rural;

- Categorize case studies according to hazards;

- Include a section on lessons learnt in the case studies;

- Characterize the political governmental setting and NGO maturity, because to apply these, whether it vests all responsibility with government or tries to empower civil society, depends on context;

- Develop search terms for the case studies;

- Present the context of the intervention, including information on which tools were used and the conceptual perspective of the project implementers;

- Clarify the criteria used in the selection of the case studies;

- Include a section on the conceptual framework used by the assessment team;

- Include a section for feedback from users of the case study;

- Include case studies which illustrate the application of the CRA tools in the ProVention register;

- Engage the authors of tools to explain why and how they were developed;

- Descriptions could be generated by the authors, but the critical section should be written by a technical specialist.

3.7 Other risk assessment portals, websites, UN-HABITAT ISDR WGIII, VATA and SAVI

The CRA register and compendium is being developed in close collaboration with the OAS/NOAA "Vulnerability Assessment Techniques and Applications (VATA)" initiative, the UN-HABITAT/ISDR WG III "Disaster Vulnerability Assessment Tools" project and the Southern African Vulnerability Initiative (SAVI). In addition, linkages are being made with the IFRC and the Organisation of American States (OAS) on an initiative to develop practices in Vulnerability and Capacity Assessment (VCA) in four Central American countries in order to strengthen community-based disaster risk assessment and reduction.

Presentation: **UN-HABITAT Global Portal – linkages to ProVention CRA Toolkit** *by Esteban Leon*
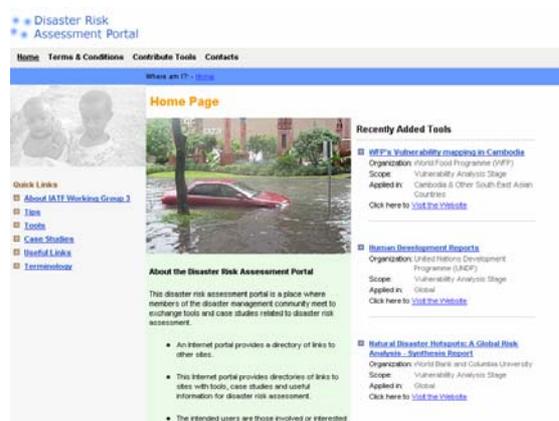
On Day 3 Esteban Leon made a presentation on the linkages with the UN-HABITAT Global Portal and the ProVention CRA Toolkit. Esteban explained that the Global Portal is a UN-HABITAT funded initiative carried out in collaboration with UNDP/BCPR, ADPC supporting the activities of the United Nations – International Strategy for Disaster Reduction / Working Group 3. *(see www.wg3dmportal.org).*

Esteban explained that the disaster risk assessment portal is a "place where members of the disaster management community meet to exchange tools and case studies related to disaster risk assessment".

The portal has four specific aims:

- It provides a directory of links to other sites with tools, case studies and useful information for disaster risk assessment.

- The intended users are those involved or interested in disaster risk reduction at the urban level.

- The portal contributes towards developing a community of practice.

- "The portal could be a way of taking this whole field from talking about what to do, to focusing on how to do it and getting things done." (A. Maskrey)

The linkages between the UN-HABITAT Portal and ProVention site were further explored during the plenary, where Bruno Haghebaert explained that the two risk assessment tools were complementary, as the ProVention CRA toolkit had an implicit focus on community level assessments, whilst the portal focussed on multi-level assessments, primarily with an urban focus.

CHAPTER 4

THEME III – Learning from other risk and vulnerability assessment methodologies and experiences in other fields

4.1 Introduction

As community risk assessment is a new, emerging discourse, the need to learn from other risk and vulnerability assessment methodologies and experiences was recognized as imperative. Six presenters were invited to present on two mini panels on Day 2 of the workshop. Ben Wisner facilitated the two mini panel presentations and discussions.

4.2 Mini Panel (1)

Using Participatory Visual Documentation in Community Risk Assessment: Exploring the Dimensions of Perceived Risk in Mexico *by Gregory Berger – Gringoyo Productions*

Independent film-maker Gregory Berger described how he uses video documentaries as advocacy work for social movements in Mexico. All such movements deal in some significant way with risk, he pointed out, because people do not get organised unless their communities are at risk. Mexico City, which he likened to "one of God's practical jokes", exemplifies this, being filled with risk.

Tens of millions of Mexicans in the Global South are vulnerable to hunger, disease and other hazards. In the capital, earthquakes, an active volcano, annual flooding and mudslides compound these risks. Many communities also feel vulnerable because of lack of access to political and economic decision making. Calling himself "an obedient director" (in that he feels accountable to society) he asked communities to give him agendas for his documentaries.

He made two documentaries on the struggle for survival by the community of San Salvador Atenco, which was threatened by the development of the capital's airport. Significantly, the community identified hazards state officials ignored. In 2000, residents in Tejalpa in Morelos state wanted a film to be made on the impact of local factories on the town's life and culture. People could not grow crops because the water had become contaminated. Gregory worked with community factions whose value system had been shattered by the effects of global capital.

Despite being a responsive and "obedient" witness, Gregory argued for communities to set agendas and participate in such film-making and to have their own media makers, democratizing the film documentation process. He also explained that video documentary and other methods such as still photography can provide local urban and rural groups of people with tools through which they become more conscious of their own social and environmental realities, develop common agendas and demands, and communicate with other groups and potential allies in the struggle for change.

Community Risk Monitoring *by Lezlie Morniere – Independent Consultant*

Lezlie Morniere, an independent consultant, described the Community Risk Monitoring that has grown out of methodology employed by the Madagascar government's Risk and Disaster Management Council (CNS). This technology is itself the offspring of a Famine Early Warning System and Household Livelihood Security frameworks.

A dual approach is used, combining top-down, high-tech technology that involves building capacity in a participatory way among the country's technicians, with low-tech, grassroots methods conceived and managed by communities and commune authorities. The former was developed to guide decision-makers, while the communal systems were developed to empower and alert communities to monitor and act in risk situations.

 "In Madagascar, risk management is built on the knowledge base of shock and vulnerability analysis," Lezlie said. "On this base an early warning system is being developed to guide high-level decision making." This includes hazard analysis (e.g. cyclones, flooding and even locust and cholera) to identify areas most exposed to exogenous shocks. Surveillance systems have been set up to permit monitoring. Vulnerability analysis has focused on the least resilient populations in terms of education, poverty and malnutrition.

Under the national early warning system, a panel of 10 consultants, guided by CARE, has identified 15 key vulnerability indicators to parallel the shock monitoring determined through hazard analysis, as well as community risk monitoring. Commune level risk monitoring systems (known as communal information systems) were piloted in high-risk zones. They were developed in a participatory way by CARE agents at commune level through a series of three-day workshops. Central to this method was the capturing of local perceptions of risk which were intimately understood by local residents.

The dual-level, high-tech/low-tech model feeds decision makers with information from community level while designed to ensure that communities are not disadvantaged by poor policy or incompetence at national level. Nevertheless, Lezlie noted that the government sees the proposed national early warning product (SNAP) as a dangerous tool and wants to find it a "home" and a start-up date.

Mapping and participatory GIS for hazard mitigation and risk management *by Michael McCall – ITC*

Mike McCall's presentation on the concept of participatory computerised mapping generated considerable interest. Geo-Information Science (GIS) has been used for making land resource claims, Mike said. Now it is being used in risk assessment and risk management. The participatory element refers to the use of local, spatial knowledge and cultural space. Mobile GIS is an important tool and involves using a GPS handset linked to an Apple iPAQ or a hand computer. Even 10-year-olds can master it, Mike assured us.

Maps have hard lines, he pointed out, but by using visualisation software one can see things on GIS much closer to the way we really see space. Mike's agency is working critically in Africa, and is a UN affiliate. He indicated a vast range of possible application, from land mine hazards in Cambodia to nuclear contamination of hunting areas in US native lands.

Perhaps the most emotionally affecting of these was the use of GIS in helping children preserve memories of lost homes (for example, after a tsunami) by preserving and recreating a mental map of a lost neighbourhood. Central to GIS is eliciting local spatial knowledge and including local interests and priorities. Data can be compressed at a 25:1 ratio for effectively storing and sending and sensitive information can be protected through the technique of layering.

4.2 Mini Panel (2)

Integrating gender analysis into vulnerability assessment *by Karen O'Brien – SAVI*

Karen works in the field of climate change and spoke about integrating gender analysis into vulnerability assessment in the context of global environmental change (GEC). Gender has been largely invisible in vulnerability assessments connected with GEC, she said. However, gender and vulnerability correlate with increasing male migration, burdening women with more responsibility and work chores. There is a loss of access to resources such as fuel and water, and imbalance in the division of labour.

Within the concepts of vulnerability there is a biophysical discourse and a human environment one. She explored the IPCC vulnerability framework, using a formula that takes account of factors such as exposure, sensitivity and adaptive capacity. Climate change itself takes place within the context of multiple processes of change, she noted, including HIV/AIDS, conflict, urbanization, and economic globalization. A real bias against girls was discovered in some districts. Water scarcity, for example, affects girls because they have to collect it and they miss school.

Karen concluded that gender should be explicitly considered in vulnerability assessments, that women do not form a homogeneous group and that the relevant issue is not about women but about gender inequities. There is a need to identify which women are most vulnerable, and why. Among lessons that emerged in relation to community risk assessment was that multiple processes of change interact and affect response capacities.

Karen also spoke about the Southern Africa Vulnerability Initiative. SAVI focuses on vulnerability in the context of multiple processes of change, with the aim of identifying responses and interventions that enhance human security. Some of the most important processes of change include the spread of infectious diseases, changes in water access and availability, urbanization, and political conflict, as well as climate and environmental change. Understanding the interactions among these processes is critical to addressing present and future challenges to human security in southern Africa.

Participatory methods in risk management and public health *by Marla Petal – GeoHazards International*

Marla Petal's focus was on building bridges between knowledge and action. She explored capacity-building strategies for large urban areas in Turkey and Asia. The participatory research tradition includes such factors as recognising community as a unit of identity, building on community strengths and promoting a co-learning and empowering process.

She outlined how empowerment is achieved in four stages, moving from external to internal resources and from individual to the collective so all are empowered. Dovetailing with this are what she termed rungs on the ladder of empowerment. "The tendency to jump to an abstract empowerment is a problem for us," she said. "We can have success on a village level but how do we replicate this in a city of 10 million and scale up?"

In the traditional temporal disaster cycle the event is followed by an acute response period involving humanitarian relief efforts, followed by a slow period of recovery, with increased consciousness, hopefully some mitigation and preparedness before a new event appears. This model, in use for the past 25 years, is now outmoded, she suggested. In its place, Marla offered a revised Disaster Impact Cycle with a focus on mitigation and preparedness that emphasizes the purpose and the potential impact of community-based mitigation efforts.

Marla presented a comprehensive and detailed assessment of disaster mitigation and the many stakeholders involved. She then reported on a community outreach program in Ümraniye, Istanbul in 2002, in which 10 local women became Basic Disaster Awareness instructors. Armed with flipcharts, they knocked on 1,000 doors and offered to teach earthquake preparedness. In three months they reached more than 4,000 people face-to-face. A family preparedness plan was carried out and fed back research findings to communities in Turkey. This led to an urban earthquake safety initiative. She concluded by saying that California, Turkey and Central Asia had proved to be variations on a theme.

Household Economy Approach *by Feleke Tadele – Save the Children*

Feleke presented on the Household Economy Approach (HEA) adopted in Ethiopia. HEA is designed to answer specific questions about household food and economic security. It aims to answer key questions regarding the impact of different shocks on household-level livelihood options and the need for food or other assistance. It has a conceptual framework (Livelihood), and field assessment methods (PRA, PLA).

It involves a five-step method. It defines the food economies for which analysis is required, defines the distribution of household wealth within each food economy, analyzes access to food, income and expenditure for each wealth group, describes the economic context of hazard at household level and creates a baseline from which to understand the effect of changes in the economic context on household income and food supply.

Methods used include mapping/zoning at national, regional and district level to assess differences between livelihood zones and wealth ranking at village level. Focus group interviews at village level determine income patterns and bad year coping strategies.

Pluses include the fact that the system provides more detailed information on the household level food security situation than Ethiopia's early warning system and targets needy people. Previously the food deficit was targeted but now intervention is precisely targeted, he said, because it gives more information on access to food.

The method has proven to work best in pastoral and worst-affected areas, but involves intensive work going from village to village. Extrapolation and projection are difficult. He concluded that the household food economy approach works best if it is linked to the early warning system, in order to know who is affected, where and when. He noted that the early warning system was highly politically charged because it had toppled governments in Ethiopia. If the state did not handle it correctly it could create mass movement of people. The approach was found to be less effective in the highly diversified economic system of crop-dependant areas. Generalization of data to understand the national or regional picture is difficult.

Feleke concluded that the Early Warning System and HEA can complement each other and yield reliable predication about disaster. However, effective assessment by itself does not guarantee a positive response due to political factors. The entire process requires transparency and openness among government, civil societies and donors.

Reflections from workshop participants

Ben Wisner commented he had picked up a juxtaposition between approaches that empower and thinking (specifically Marla's literature on that) and those that still objectify people and manipulate people. He spoke of an element of "what we do in approaches that invite surprise". Other approaches because of how they are funded and conceptualised and set up, even exclude surprising results. "Where in the work you have been doing is the empowerment in any form, and if not why not?" he asked. "Where are the windows for the surprises, the risks that emerged that you didn't look for and the coping strategies?"

Marla Petal said some of the biggest surprises and validation of the approach she had reported on had come about through doing field work and putting people's stories into a format and sharing this with them, which had built trust. People then felt validated as advocates for communities and came to realise they could begin to advocate their own stories.

She added that disaster is an equaliser that transcends all kinds of status. "In Turkey and Central Asia these programmes have given the people several orders of magnitude. The provincial ministry of education caught on. Now it's a national programme that will reach 25,000 teachers. Start at the bottom and the top will meet it."

Karen O'Brien noted that there are lots of hidden opportunities, not just stressors. A response that made perfect sense in itself might make no sense in long-term climate change, even if agricultural output was good. One needed to think about the bigger picture.

Feleke Tadele said that even to declare a disaster in Ethiopia was the sole responsibility of government. "What we have learned is the development of the early warning data collection method has helped centralise responsibility and breed confidence. The government was shy on that before, because they didn't know what to do." The creation of the system had helped share responsibilities ahead of time before disaster occurred. "Now we have legitimacy and data and key responsibility in taking part in management of resources."

Ian Davis said the disaster cycle shown in Marla's presentation was useful for many purposes because it defined responsibilities. "The diagram shows there is chaos in the system but there's no continuity. If you change it that diagram will remain behind to describe the jobs of disaster staff."

Marla Petal disagreed. "We have engaged the scientific community in taking responsibility. In Turkey after the Kojali quake they rounded up 2,000 people waiting for the next quake. We convinced them they could become educators. Now they are out there teaching disaster awareness and community response."

Rajib Shaw commented that in India the main problem was that climate predictions were not accurate. **Karen** replied that there was so much uncertainty about climate one could not tell people what might happen. "We don't know. You have to adapt to uncertainty."

Khamarunga Banda said the problem with climate change and gender was how to make the issue concrete at the local level. "We have tried to piggyback these issues on other issues like doing food assessment and gender and climate change on that. They can only be concrete if they piggyback. How do we bring the scientific community into a group like this one?"

Commenting on how gender, climate change and science interface, **Ben Wisner** said that in Tanzania he and others had been trying to do fieldwork that discussed with women how their mothers and grandmothers adapted to extreme weather events such as flood and drought. "They will have to do the same for their daughters. The various ministries have lots of recommendations for rural people from the international research communities, whole packages around sorghum and maize. The project invites women to respond with their critiques."

CHAPTER 5

THEME IV – Community Risk Assessment in the Broader Context of Disaster Risk Management and Development Planning

5.1 Introduction

Following discussions and presentations on methodologies and tools for the practice of Community Risk Assessment, the third day was dedicated to the integration of Community Risk Assessment within the field of Disaster Risk Management, and within Development Planning. This theme, subject to various comments in Day 1 and Day 2 and currently under theoretical and institutional debate across the discipline of disaster studies, was approached firstly by Pat Reid's presentation on the South African experience of integrating CRA into Disaster Risk Management and Development Planning at institutional level, and subsequently, in breakout groups, from which critical reflections were drawn.

5.2 The Challenges in Integrating Risk Assessment Findings into Local Risk Management and Development plans/policies, *by Pat Reid*

Pat Reid is an independent consultant based in South Africa. She has been involved in the development of South Africa's National Disaster Management legislation since 1994 when the first Green Paper on this legislation was passed.

Pat's presentation began with a background on the historical development of the National Disaster Management Act, which was finally promulgated in 2002. Pat explained that following serious flooding on the Cape Flats in 1994, the South African government realised that a developmental approach to reducing disaster risk was required.

The Disaster Management Act (No 47 of 2002) implicitly states that all government departments, NGOs and the private sector should be involved in the reduction of vulnerability of "at risk" areas, communities and households. In addition, the National Disaster Management Framework passed in 2005, presents four key performance areas, within which risk assessment is identified as a key priority. These include institutional capacity for DRM, Disaster Risk Assessment, Disaster Risk Reduction and Response and Recovery.

Pat explained that the Disaster Management Act [section 33(1)] requires that all provinces, to the extent that they have the capacity, should carry out disaster risk assessments to identify priority risks relevant to them. The Act specifies that these should be carried out inter-departmentally and, where necessary, in collaboration with national government and other stakeholders. The National Disaster Management Framework presents the following specific guidelines:

- Conducting DRAs with emphasis focused on community-based risk assessments (ground truthing);
- Generating a national indicative disaster risk profile;
- Consolidating and classifying disaster risk information;
- Monitoring and updating disaster risk information;
- Disseminating information and early warnings;
- Conducting quality control.

Complementing the Act is the Municipal Systems Act (2000) in which integrated development planning (IDP) is a core component. Pat explained that there are specific mechanisms to ensure that disaster risk reduction planning and operations are integrated into developmental planning. She stated that all developmental projects had to be submitted for scrutiny to avoid high-risk developments and to ensure prioritization in the context of risk reduction.

Pat concluded by presenting challenges which she envisaged in the "roll out" of the Disaster Management Act (2002) and the National Disaster Management Framework (2005).

Critical reflections from workshop participants

The discussion began with a critical question from **Ian Davis** on "why is institutional capacity not part of risk assessment?" **Pat Reid** responded by saying that there is a need for mechanisms to allow capacity building to be built into the risk assessment process. Indicators linked to job descriptions and posts in which people have responsibilities for DR management have been written into the National Disaster Management Framework. She further stated that every organ of state at all three levels has to assess its responsibilities for its functional area, ensure it has capacity to do this and enter into partnerships if it does not have capacity. In addition advisory forums at provincial and municipal levels will be in a position to play a supportive role to assessment teams, which will be required to assess local level risk. She also said that risk reduction is "*everybody's business*", and that every level of government should be developing policy to ensure combined planning and joint practice.

Pat Reid noted that in South Africa, there is a need for multidisciplinary assessments teams to conduct holistic assessments, which filter into the integrated planning process. In addition, it is a prerequisite for the head of the DRM centre to fully participate in the IDP forum. She also explained that the new legislation has required a paradigm shift with disaster managers, who are now required by the Act to mitigate against priority risks, as opposed to focusing solely on emergency response.

Zubair Murshed posed a second critical question around funding for risk assessment. He said that in the Philippines three per cent of the local development budget is placed in a contingency fund, but the problem is that one can use it only *after* a disaster. **Pat Reid** explained that there are certain operational costs for which a provision has been made, but that the bulk of the funding for vulnerability reduction projects must be funded by the IDP, which would be informed by the risk assessment.

Allan Lavell responded by presenting an example from Colombia where something was set up for similar reasons. However, he said he was very sceptical of the application of the Act and Framework. He stated that in "Colombia, Nicaragua and Bolivia the local government cannot collect rubbish, let alone implement a development plan. This is a wonderful plan created by intellectuals". **Pat Reid** responded by saying that there are discussions currently taking place to establish a research programme to monitor the implementation of the Act.

David Peppiatt said that, globally, there is a demand for indexes or profiles to support development planning. He stated that country system strategies have huge influences on planning and financing, yet there is limited evidence to suggest that community risk assessment and advocacy can influence those processes. He concluded that "the model on paper looks as if it will influence the national profile, but the question is how much is that happening globally where communities can influence development processes.

5.3 Integrating CRA into the broader context of disaster risk management and development planning: Critical reflections from workshop participants

The workshop participants were divided into three groups and presented with the following questions to guide the breakout group discussions.

What is the broader context of disaster risk management and development planning?

What is integration?

Who are the role players?

What are the instruments for achieving integration of DRM into development planning? (legislation, funding, education, advocacy).

The three group discussions have been summarized below:

Critical reflections 1 *facilitated by Mark Pelling*

Mark Pelling said that the breakout discussion began with the question "what are we trying to integrate"? Several examples had been presented of cases where indigenous knowledge had been integrated into mainstream policy. Mark explained that there are tools for integration, such as economic cost benefit analysis, but there is also the need for local tools for integration instead of national level quantitative tools.

Mark said a particular challenge is "how to scale up data in a participatory way, such that data collected in one community could be up-scaled to another community or to a city-wide level". Several examples from the Philippines, South Africa and Madagascar were used to illustrate the challenges of up-scaling assessments.

Mark concluded the discussion by stating that the dissemination of best practice should become an important priority. He said there is a need for a long-term commitment to learning practice which, ideally, should be supported by local level government.

Critical reflections 2 *facilitated by Jeong Park*

Jeong reported that the discussion centred around the question on "*how to scale up a CRA approach to a broader level and integrate it into development policy*". He explained that one of the problems is that development plans do not always address the root causes of vulnerability. In response, **Kuda Murwira** presented an example from Zimbabwe, where the community had organised itself to form a committee which was linked to service providers. Another example was given by **Johan Minnie** on the *Working for Water Programme,* which was developed to reduce fire risk in Cape Town and simultaneously provide job creation opportunities to the poor through a public works programme.

Paul Venton concluded by describing how several donors had problems with mainstreaming CRA. These included the institutional burden to mainstream CRA findings and the issue of ownership. He asked whose responsibility it was to integrate CRA into development planning.

<u>Critical reflections 3</u> *facilitated by Rajib Shaw*

Rajib explained that the group spent 40 minutes discussing the issues of integration, mainstreaming and development planning, which they concluded with a discussion on scaling up and getting to root causes.

Ian Davis posed a critical question around South Africa's new legislation. Although he believes it to be one of the most ambitious systems of IDPs in the world, he questioned whether it is affordable. He said the cost of integrating risk assessments will be "colossal", especially as funding for development often does not account for risk reduction. Ian said **Virginia Jimenez-Diaz** said we should talk more about the development process than about planning.

Pat Reid explained that in the South African Disaster Management Act, they are not suggesting that Disaster Risk Management is a separate exercise. She said that every line function has activities and we are not trying to duplicate those but that they should be integrated development plans where all parts of the puzzle fit together.

5.4 Concluding remarks: Community (and local) Risk Analysis as a Component of Overall Disaster Risk Management *by Allan Lavell*

Allan Lavell reflected in his report on the need to consider arguments that support the idea that community and local risk analysis is an essential component of disaster risk management. He stated that the perception that CRA is part of or related to development planning perhaps derives from a false paradigm or notion that has separated off one thing from another as if they were independent areas of enquiry and intervention.

Allan explained that perhaps, in our intent to increase consciousness as to the risk and disaster problem, we have taken a step too far and created the image of an independent area of enquiry and intervention. Now, the argument is that we have to integrate this area with other areas such as development planning and development process. This, he stated is as opposed to recognising from the beginning that risk is a function of some sort of economic, social and political process (development process?) and thus automatically part of this. Thus, instead of "integration" or "incorporation" into, we really need discovery of the role risk reduction plays in the absolute definition of what development is all about.

Development experts and planners must discover and promote this, not "disaster" specialists as such, although these may play a catalyst role. To study and intervene in "disaster risk" is not the same as to study and intervene in "disaster", although the two are obviously linked in causal terms. Risk is, or should be, the fodder of development specialists, especially in the developing world and in poor population contexts. On the other hand, disaster is the fodder of other specialists along with development specialists.

CHAPTER 6

THEME V – Virtual Community Risk Assessment Network: Mobilizing a "Community of Practice"

6.1 Introduction

The CRA workshop aimed to formalize a virtual community risk assessment network, which would act as a platform from which the practice of CRA could become more integrated, inclusive and sustainable. The platform would be constituted by [1] *human capital* – the individuals involved, [2] *material resources* – the methodologies and case-studies, and [3] a *Virtual CRA Network* – the communication and exchange of *materials* between the *individuals* in a sustainable and proactive manner.

ProVention viewed the CRA workshop as essential in mobilizing a community of practice, including practitioners, academics and governments who are interested in sharing their expertise, learning from alternative methodologies and advocating for international best practice in the field of CRA. In this context, the CRA *Network* would be a virtual network in which CRA practitioners could engage with each other, in an informal but structured manner, and very importantly, across geographical barriers.

The *Virtual CRA Network* would enable individuals to exchange information about specific methodologies, including challenges and strengths, about projects, experiences, needs, funding, and about the exchange of human and material resources for conducting CRAs. It is important to reiterate that the virtual CRA network was presented in parallel to the CRA Toolkit (described in Theme 2), a web-based ProVention Consortium initiative, which enables the use and exchange of methodologies and case studies by individuals.

6.2 The role of regional networks in the CRA network: Panel presentation

During the CRA Workshop a panel discussion was held, in which representatives from five southern hemisphere regional networks and one global network presented on their role and possible linkages with the CRA network.

The following are summaries on each regional network.

[1] **LA RED**, represented by *Allan Lavell* – a South American regional network primordially dedicated to analytical research and publishing of training materials and, more recently, to consultancy work. Currently, as a regional network, it has become a dynamic structure, allowing for the exchange of material and human resources in South America ***through its webpage***, which is up-dated regularly. *(www.desenredando.org)*

[2] **AURAN** (African Urban Risk Analysis Network), represented by *Helen Macgregor* – an African regional network of research and academic institutions funded by ProVention and UNDP, focusing on the analytical study of urban disaster risk across Africa, which will soon start operating ***through a website***. *(www.auranafrica.org)*

[3] **Peri-Peri**, represented by *Helen Macgregor* – an African partnership which was initially dedicated to enhancing the resilience of at risk communities in Africa, by establishing partnerships between institutions whose focus was disaster risk across southern and East Africa. Currently, Peri-Peri is not actively functioning as a network, given that it does not have a structure for communication, and because it does not have projects which ***bring the partners together.*** *(www.egs.uct.ac.za/dimp/periperi.htm)*

[4] **SOPAC**, represented by *Atunaisa Kaloumaira* – a Pacific inter-governmental organisation with 20 member countries, having three programme areas: research and global programmes; the Philippine lifeline, which signifies investment in road and sewerage driven by private investments; and community programmes outreach. SOPAC is sustained by continuous projects and goals which **bring governments** and the **private sector together.** *(www.sopac.org)*

[5] **ADPC** (Asian Disaster Preparedness Centre) represented by *Zubair Murshed* – an inter-governmental organisation network operating in southeast Asia and south Asia. Their programmes vary from: networking initiatives that allow organisations to share resources and receive advice and guidance from ADPC, mainstreaming Community Disaster Risk Management through the development of a multi-sector network, coordinating the NGOs regional offices, and training. Their focus is on capacity building of structures at local government level. The success of the Asian regional networks is due to its **centralised management** by ADPC, their **links with government at various levels** and the shared goals between governments. *(www.adpc.net)*

[6] **IFRC** (International Federation of the Red Cross) represented by *Abdel Qader* – Through its 181 national societies around the world, the IFRC has tried, with limited success, to establish a global network favouring the exchange of ideas, obstacles and experiences on community risk assessments. Abdel Qader reflected that the reason the initiatives have been only marginally successful is that **practitioners are too entangled in their field work** and current activities, and not investing in such a network. Furthermore, **cross-regional communication exchange is complex to manage and maintain**. *(www.ifrc.org)*

Critical reflections from workshop participants

Bruno Haghebaert commented that there seemed to be no consensus on setting up a global network. He asked whether the workshop participants thought it would be useful for ProVention to help set up a virtual CRA network to share resources among participants.

In response, **Mark Pelling** said some actors might find it very useful to have a web resource and get tools and contacts, but larger institutions may not need this. His perception was that the network should be kept to a small, manageable group.

Rajib Shaw said his expectation from this panel was to learn how individual panellists thought about possible linkages of their networks and the proposed CRA network, but that this was not clear. He proposed that the group explores how regional networks could link with the potential CRA network.

Marla Petal thought there was a huge constituency of both experienced and emerging practitioners who could act as valuable resources. She said she hoped it could become not just another website, but that momentum could be created for a community of practice. She believed the virtual network needed to be practical and allow busy users to interact with the site with ease.

Bruno Haghebaert saw a need for people to promote the CRA network in their own context and a large enough constituency of practitioners to interact with the network. He said that from past experience a webmaster often had to encourage users to respond. Bruno cautioned that "the establishment of a virtual CRA network is a big investment in time, money and energy, and that we have to be sure of the demand".

Abdel Qader responded that we may want to consider establishing a small working group from different regions, from which we can develop terms of reference and objectives for a network and link it with toolkits and IFRC and other networks.

Zubair Murshed also expressed caution, saying that an active webmaster would not be enough to sustain the network. He said people need a financial and professional interest.

Allan Lavell said that due to the frailty in LA RED, he would not suggest that they play a lead regional role, but that the Latin American and Caribbean Regional Disaster Documentation Centre should rather lead the network for Latin America.

Helen Macgregor said the perception was that the virtual CRA network could be a potential resource for midstream professionals and government officials. She posed a series of questions around the role of technical CRA experts.

The discussions concluded with **Atu Kaloumaira** stating that we need more strategic planning before the network can be formalized. **Bruno Haghebaert** said they would be setting up a task force to discuss the establishment of a virtual CRA network.

Concluding remarks

The three-day International Workshop on Community Risk Assessment ended with a presentation and some concluding remarks by Gustavo Wilches Chaux. His presentation was followed by each workshop participant briefly reflecting on their key impressions of the workshop.

Concluding remarks by Gustavo Wilches Chaux

Gustavo presented in true community level style by using a flipchart. He presented two analogies to explore the complexity of establishing of community of practice. His first analogy was drawn from a workshop on artificial light which he attended 10 years previously. The analogy began with the description of how someone at the workshop had put four little arrows onto a computer screen and then ran a programme. The four arrows converged neatly. However, when they ran the same programme with 1,000 arrows, they swam with the same complexity "as a flight of birds or a stream of anchovies". He explained that it was simply the "rules" of the programme which, over some hours, created complexity. This was described as emerging behaviour.

His second analogy was of the behaviour of ants, which the Indians of the Amazon call "tachiwa". He explained that 20 ants do not make a colony or 20 bees make a hive – you need a lot more ants or bees. For this reason, the virtual network would need to be supported by many people. He further related this analogy to possible community risk assessment by stating that communication and intentionality would be the vital ingredients needed to create what he described as a "dynamic and organic" network with its own unique identity.

Gustavo concluded by saying that "we need to put our discussions in a dream for the future, for how we think the world could be. Emergent behaviours have their own dynamics".

Selected final remarks from workshop participants

Bruno Haghebaert: "All the work put into the tools, etc. should be useful and make a difference in many countries. That's the drive for our team with Ben and Helen. We hope that by sharing this ideal fewer people will eventually be affected by disaster risks."

Esteban Leon: "I think we already have a network. I believe in people. If we feed back and strengthen this group we already have a network. You see passion here. Next time grab some UN people. Informal networks are good because the formal ones are political."

Ian Davis: "We need a meeting to bring together pre- and post-disaster assessment practitioners and a specific meeting for governments. Where are the UN and government people at this meeting?"

Kuda Murwira: "The risk is we might over-empower ourselves with this knowledge. Whose risk are we talking about? Can we move beyond this point and add to Ian's list, and can governments and communities learn from this practice? If we build capacities in others they can assess themselves."

Ben Wisner: A haiku:

"Wind doctor blows through,

spreads fire and TB; Cape Flats

waits for winds of change."

With this haiku poem, Ben Wisner called attention back to the issue of the root causes of vulnerability – gross economic disparities and lack of livelihood opportunities as well as the "ordinariness" of disasters embedded into the daily life of the poor such as the chronic diseases of poverty and shack fires. He also attempted in this small Japanese style poem to situate the lessons of the workshop in the realities of 21st Century Cape Town. "Where the poor in the vast Cape Flats slum exposed to winter gales coming from the Antarctic refer ironically to these storms as the "wind doctor"."

Abdel Qader: "I was puzzled where I was going and wondered how we could clear our way forward and identify objectives for the future. Then I wondered how I would benefit from all this. I take with me another burden to convince the national society to start accepting new approaches."

Rick de Satge: "It's been a great privilege to meet so many extremely talented people. I didn't know what to expect. This is not my core discipline but the three days have shown me the value in extending the conversation with people in related disciplines. The challenge is to broaden this so every new professional has this."

Lezlie Morniere: "What worries me is the need to make information more readily available. There are many new innovative methodologies which have not yet been documented and so our next challenge is to find ways to support this."

Gabriella Rakotomanga: "This is the first time I have been exposed to low and high tech CRA tools. I am convinced that there is a point where the two can meet."

Mike McCall: "An amazing amount of effort and energy has gone into these three days. I hope it will be aimed towards achievable objectives. Informed users, our clients, are looking for these tools and for a helpline."

Zubair Murshed: "I think as the disaster risk reduction community we must be very optimistic about the work we do. If we come to meet and have an optimistic approach it will help all of us. It is our task to promote CRA tools in our different contexts."

Annex I

International Workshop on Community Risk Assessment

WORKSHOP PROGRAMME

31 May – 2 June, 2005

Cape Town

Tuesday 31st May

Introduction to International Workshop on Community Risk Assessment

09:00 – 09:30   Registration and coffee

09:30 – 09:50   **Welcome and opening remarks**
Mike Meadows, Environmental and Geographical Science Department (HOD), University of Cape Town

09:50 – 11:00   **Introductions and workshop overview**
- Introductions: DiMP, ProVention, Workshop Participants
- Overview of CRA Project
Presentation by Bruno Haghebaert (ProVention)
- International Workshop on Community Risk Assessment: objectives and outcomes
Presentation by Helen Macgregor (DiMP)

11:00 – 11:30   Tea/coffee Break

11:30 – 12:30   **Reflections: Community Risk Assessment as a New Emerging Discourse**
Ben Wisner / Gustavo Wilches-Chaux / Ian Davis
Comments and questions from workshop participants

12:30 – 13:30   Lunch

The ProVention Community Risk Assessment Toolkit

13:30 – 14:15   **Development of the ProVention Community Risk Assessment Toolkit**
Presentation by Ben Wisner/ Helen Macgregor

14:15 – 15:00   **Analysis of CRA methodologies: overview of main findings**
Presentation by Helen Macgregor

15:00 – 15:15   Tea/coffee Break

15:15 – 16:45   **Overview of regional experiences (1):**
- Introduction: *Ben Wisner*
- Latin America: *Alan Lavell* (LA RED)
- SIDS: *Jeong Park* (IFRC)

Wednesday 1st June

09:30 – 11:00 **Overview of regional experiences (2):**
- Introduction: *Ben Wisner*
- Asia: *Lorna Victoria* (Centre for Disaster Preparedness Foundation Inc)
- Africa: *Pat Reid* and *Kuda Murwira* (Consultants)

11:00 – 11:15 Tea/coffee break

11:15 – 12:30 **Break out groups on the relevance and applicability of the toolkit for academics, practitioners and communities at risk**

12:30 – 13:30 Lunch

Learning from risk and vulnerability assessment methodologies & experiences in other fields

13:30 – 14:30 **Mini panels (1)**:
Facilitated by *Ben Wisner*
- Using Participatory Visual Documentation in Community Risk Assessment: Exploring the Dimensions of Perceived Risk in Mexico (*Gregory Berger* - Gringoyo Productions)
- Community Risk Monitoring (*Lezlie Moriniere* - Independent Consultant)
- Mapping and participatory GIS for hazard mitigation and risk management (*Michael Mc Call* - ITC)

14:30 – 15:00 **Comments and questions from workshop participants**

15:00 – 15:30 Tea/ coffee break

15:30 – 16:30 **Mini-panels (2):**
Facilitated by *Ben Wisner*
- Integrating gender analysis into vulnerability assessment (*Karen*
- *O' Brien* - SAVI)
- Participatory methods in risk management and public health (*Marla Petal* - GeoHazards International)
- Household Economy Approach (*Feleke Tadele* - Save the Children)

16:30 – 17:00 **Comments and questions from workshop participants**

20:00 – 22:00 **CRA Film Festival**

Thursday 2nd June

Community Risk Assessment in the Broader Context
of Disaster Risk Management and Development Planning

09:30 – 10:30   **The Challenges in Integrating Community Risk Assessment Findings into Local Risk Management and Development Plans/ Policies**
Presentation by Pat Reid (Independent Consultant)

10:30 – 10:45   Tea/coffee Break

10:45 – 11: 45   **Break out groups on integrating CRA into the broader context of disaster risk management and development planning**
- Group 1: *Mark Pelling* (King's College London)
- Group 2: *Ethlet Chikwana* (Action Aid)
- Group 3: *Rajib Shaw* (Kyoto University)

11:45 – 12:30   **Feedback to plenary**

12:30 – 13:30   Lunch

13:30 – 15:00   **Panel discussion on the establishment of a CRA network and links to other risk and vulnerability assessment databases**
Facilitated by *Bruno Haghebaert*
- *Presentation by Esteban Leon (UNHABITAT)*
- *Presentation Graham Betts - Symonds (IFRC Virtual Network)*
- *Presentation by Atu Kaloumaira (SOPAC)*
- *Presentation by Zubair Murshed (ADPC)*

15:00 – 16:00   **Closing Remarks by Gustavo Wilches & Ben Wisner**

20:00   **Dinner at the Mannenberg Jazz Café**

Friday 3rd June

Field Visit to Joe Slovo Informal Settlement

09:00 – 09:15	Meet in lobby of hotel
09:15 – 09:45	Travel to Joe Slovo
09:45 – 10:30	**Guided tour of Joe Slovo informal settlement by *Lennox Mashazi*, City of Cape Town Disaster Management**
10:30 – 11:30	**Meeting with Disaster Management and Community Leaders at fire victims camp in Langa**
11:30 – 12:00	Travel to Hotel

Annex 2: List of Participants

Name	Organisation	Address
Al Hadid, Rad *Disaster Management Coordinator*	Jordan Red Crescent	Amman, Jordan Tel: 962-795662227 Fax: 962-5339722 Email: rad.alhadid@elf.mcgill.ca
Banda, Khamarunga *Executive Director*	Novafrica	109 Lyyleton Road Clubview Centurion South Africa Email: khamarunga@novafrica.org.za
Berger, Gregory *Independent Film maker/ community media activist*	Gringoyo Productions	Calle Dolores 223, Poblado de Octotepec Cuernavaca, Morelos, Mexico Tel: (52) 777 382 5620 Email: gringoyo_2000@yahoo.com
Bouris, Stephanie *Community Based Programs Harmonization Project*	IFRC	P.O. Box 372/17 Ch des Crêts/ Petit Saconnex 1211 Geneva, 19 Switzerland Tel: 41 22 730 4435 Email: Stephanie.Bouris@ifrc.org
Chiwaka, Ethlet *International Emergencies Team*	Action Aid International	Hamlyn House MacDonald Road, Archway London N19 5PG U.K. Tel: 20-75617562 Email: ethlet.chiwaka@actionaid.org
Davis, Ian *Visiting Professor*	Resilience Centre, Cranfield University	97 Kingston Road Oxford, OX 2 6RL U.K. Tel: 44-1865-556473 Fax: 44-1865-516865 Email: i.davis@n-oxford.demon.co.uk
De Satge, Rick *Independent Consultant*	Developmental Services	11 Smith Road, Rosebank Cape Town South Africa Tel/fax: 27 21 689 9347 Email: landtill@iafrica.com
Haghebaert, Bruno *- Senior Officer*	ProVention Consortium Secretariat	17, Ch. des Crêts, Petit-Saconnex P.O Box 372 1211 Geneva 19 Switzerland Tel : +41 22 730 44 98 Fax : +41 22 733 03 95 Email : bruno.haghebaert@ifrc.org

Jimenez-Diaz, Virginia *Independent Consultant*		Caracas, Venezuala Tel: 58+414+330 7719 Email: virginiaj@cantv.net or virginiaj20@yahoo.com
Alex, Joseph *Senior Project Officer – Disaster Mitigation Project*	Discipleship Centre	42-44 Commercial Complex Manaushree Building Dr. Mukerjee Nagar Delhi 110009, India Tel: 09312002963 Fax: 91-11-27652719 Email: alexjomed@hotmail.com Disciple@del2@vsnl.net.in
Kaloumaira, Atunaisa Taleasiga *Adviser – Community Risk Programme*	SOPAC Secretariat	Private Mail Bag GPO Suva Fiji Islands Tel: 679-3381377 ext. 257 Fax: 679-3370040 Email: atu@sopac.org
Kavalayil Alex, Roy *Manager – Disaster Management*	Evangelical Fellowship of India Commission on Relief	Eficor 308, Mahatta Tower B-Block, Community Centre, Janakpuri New Delhi, India, PIN 110058 India Tel: 91-11-25516383/4/5 Fax: 91-11-25516383/4/5 ext.150 Email: eficorhq@vsnl.com
Lavell, Allan *- Researcher & Coordinator*	Flacso and La Red	Villas Jade 220, Llorente de Tibas San Jose Costa Rica Tel: 506-2410035 Email: allan_lavell@yahoo.com
Leon, Esteban *Disaster Management Specialist*	UN-HABITAT	P O Box 30030 Gigiri, Nairobi Kenya Tel: 254-20-624191 Fax: 254-20-624263 Email: esteban.leon@unhabitat.org
Macgregor, Helen *Risk Research Coordinator*	Disaster Mitigation for Sustainable Livelihoods Programme	Environmental and Geographical Sciences University of Cape Town Rondebosch Tel 27 21 650 4115 Fax 27 21 689 1217 Email: helenmac@enviro.uct.ac.za
McCall, Michael *- Assoc. Professor*	ITC – International Institute for GeoInformation Science & Earth Observation	P O Box 6 7500 AA, Enschede The Netherlands Tel: 31-53-4874223 Fax: 31-53-4874575 Email: mccall@itc.nl

Minnie, Johan *Coordinator: Disaster Management Liaison and Marketing*	Disaster Management, City of Cape Town	P O Box 16548 Vlaeberg Cape Town, 8018 Tel: 27-21-4872266 Fax: 27-21-4872052 Email: johan.minnie@capetown.gov.za
Moriniere, Lezlie *Risk and Disaster Manager*	Independent Consultant	6 Impasse Touraine 97418 Plaine des Cafres Reunion Island Tel: 262-692-495567 Fax: 262-692-598505 Email: tarisk@wanadoo.fr
Murshed, Zubair *Program Manager*	Asian Disaster Preparedness Centre (ADPC)	Regional Resource Centre on Disaster Risk Reduction ADPC, AIT, Klong Luang, 12120 Pathumthani Thailand Tel: 66-70364724 Fax: 66-02-5245360 Email: mzubair@adpc.net
Murwira, Kudakwashe *Rural Development Facilitation*	Independent Consultant	Lot 3 of Lot 1-B Kelly's Park Old Mutare Box 1094 Mutare, Zimbabwe Tel: 263-20-65199 Cell: 263-11-406893 27-72-0217970 (SA) Email: kmurwira@zol.co.zw
Nicholson, Lavenia *Senior admin officer*	Provincial Disaster Management	Private Bag x 9083 Cape Town 2000 Tel: 27 21 483 2338 Fax: 27 21 483 5015 Email: lnichols@pgwc.gov.za
Park, Jeong H *Regional Disaster Management Delegate, Regional Delegation for the Pacific*	IFRC and Red Crescent Societies	77 Cakobau Road P O Box 2507 Government Buildings Suva Fiji Islands Tel: 679-3311855 Fax: 679-3311406 Email: jhpark01@yahoo.com ifrcfj03@ifrco.org
Pelling, Mark *Senior Lecturer*	Kings College London	Department of Geography The Strand WC2R 2LS London U.K. Tel: 44-20-78482462 Fax: 44-20-78482287 Email: mark.pelling@kcl.ac.uk

Peppiatt, David *Head*	ProVention Consortium Secretariat	17, Ch. des Crêts, Petit-Saconnex P.O Box 372 1211 Geneva 19 Switzerland Tel : +41 22 730 44 99 Fax : +41 22 733 03 95 Email : david.peppiatt@ifrc.org
Petal, Marla *Director of Community Mitigation Programs*	GeoHazards International Bogazici University	200 Town & Country Village Palo Alto California 94301 U.S.A. Tel: 650-6149050 / 408-8067888 Fax: 408-5165841 Email: mpetal@imagins.com
Qader, Abdel *Regional Disaster Management Delegate*	Middle East/North Africa delegation in Amman	19 Maroff al Rasafi Street Al Shmesisani P.O.Box 830511 Zahran Amman 11183 Jordon Tel: 00 962 79 5544 705 Fax: 00962 6 569 4556 Email: ifrcjo05@ifrc.org

Rakotomanga, Gabriella
Head of Programming
	Catholic Relief Serves
	(CRS)
		Cite 67 ha – Logement 1148 Bis
		Antananarivo (101)
		Madagascar
		Tel: 261-20-320715683/
		     261-20-2220666
		     261-20-2226534
		fax: 261-20-2231696
		email: grakotom@crs.mg

Reid, Pat *Independent Consultant*	Pat Reid Consulting CC	P.O.Box 10121 Linton Grange Port Elizabeth 6015 Tel: 41 360 1397 Email: patreid@patreid.co.za
Schaerer, Maya *Senior Assistant*	ProVention Consortium Secretariat	17, ch. des Crêts, Petit-Saconnex P.O Box 372 1211 Geneva 19 Switzerland Tel : +41 22 730 44 71 Fax : +41 22 733 03 95 Email : maya.schaerer@ifrc.org
Schmuck, Hanna (Dr) *Regional Disaster Management Coordinator for West & Central Africa*	IFRC and Red Crescent Societies	FIRC-DRAOC, B.P. 25956 Dakar-Fann Dakar Senegal Tel: 221-6379674 Fax: 2218602002 Email: ifrcsn39@ifrc.org

Shaw, Rajib *Associate Professor*	Kyoto University	Graduate School of Global Environmental Studies Yoshida Honmachi Sakyo-ku Kyoto 606-8252 Japan Tel: 81-75-7535708 Fax: 81-75-7535708 shaw@global.mbox.media.kyoto-u.ac.jp
Sonn, Leigh *MANDISA Coordinator*	Disaster Mitigation for Sustainable Livelihoods Programme	Environmental and Geographical Sciences University of Cape Town Rondebosch Tel 27 21 650 2945 Fax 27 21 689 1217 Email: sonn@enviro.uct.ac.za
Tadele, Feleke *Country Representative*	Save the Children Canada	Addis Ababa Ethiopia Tel: 251-9-219203 Fax: 251-1-206346 Email: isp.sc@thionet.et or cr-sccanada@ethionet.et
Ulia Es Dantas, Vanessa *Researcher*	Disaster Mitigation for Sustainable Livelihoods Programme	Environmental and Geographical Sciences University of Cape Town Rondebosch Tel 27 21 650 4115 Fax 27 21 689 1217 Email: vdantas@science.uct.ac.za
Venton, Paul *Disaster Mitigation &* *Preparedness Officer*	TEARFUND	100 Church Road Teddington, Middlesex United Kingdom Tel: 44-208-9437995 Fax: 44-208-9776552 Email: paul.venton@tearfund.org
Victoria, Lorna *Program Director*	Centre for Disaster Preparedness Foundation Inc.	Rm. 813 8/F Ortigas Bldg Ortigas cor. Merlaco Aves. Ortigas Centre Pasig City Philippines Tel: 632-6347281 Fax: 632-6319326 Email: cdp@info.com.ph or oyvictoria@yahoo.com
Wilches – Chaux, Gustavo *Member, freelance consultant* *and writer*	La RED	Diagonal 94 # 3-55- Apartment 302 Bogota Colombia Tel: 571 691 3134 Fax: 571 691 3134 Cell: 573 315 298 6969 Email: wilcheschaux@etb.net.co

Wisner, Ben *Independent Researcher and consultant*	Disaster Prevention Research Institute (DPRI), Kyoto, Japan; Crisis States Programme, LSE; Benfield Hazard Research Centre, University College London; Oberlin College; & ProVention (consultant)	373 Edgemeer Place, Oberlin, OH 44074, U.S.A. Tel: +440-775-1390 Fax: +440-775-8898 bwisner@igc.org
Ziervogel, Gina *Project Coordinator*	University of Cape Town	Shell Environmental & Geographical Science Building South Lane, Upper Campus, Rondebosch Cape Town, South Africa Tel: 27 21 6502999 Tel: 27 21 6503791 Email: gina@egs.uct.ac.za

Annex 3: Methodology guidance note template

Title	The name of the document being analysed.
Organisation	The organisation(s) responsible for the creation of the document being analysed. Includes a description of the organisation(s), their specific focus and a link to their website.
Author	The person(s) who wrote the document.
Bibliographical details	Provides information including the year of publication, where the document was published, number of pages, file size and the availability (i.e. web link).
Link	Website address where the document is available.
Abstract	Provides a brief overview of the document including the purpose of the material, as well as what tools and methods are used
Intended end users	Describes whom the material within the document is intended to be used by. This may include: fieldworkers , community-based organisations , communities, local government, emergency managers, Red Cross facilitators, community-based disaster risk practitioners/managers, field staff, practitioners, UN organisation professionals, donors, risk researchers
Geographical focus	Describes where the material in the document is intended to be used or where it was created.
Type of Material	Provides an overview of what material is found in the document. For instance it discusses whether the document is a manual (A manual is a reference book, giving instructions on how to do something), guideline (A guideline is a detailed plan or explanation to guide you in setting standards or determining a course of action) or toolkit. It also describes how the material is presented and what is provided with regards to appendices, case studies and exercises for the intended users.
Language	Describes what language the material is available in.
Scale of assessment	Describes what level of analysis the material utilizes. For instance, this section describes whether community-level analysis or multi-levelled analysis is used.
Conceptual framework	Provides a description of the established theoretical and practical contexts that the material utilizes.

Analytical methodologies/tools	Provides an overview of the methodologies (A body of practices, procedures, and rules used by those who work in a discipline or engage in an inquiry; a set of working methods) and tools (A tool is an instrument/device/means in which a task is accomplished.) used throughout the material. The methodologies and tools include: Timelines, seasonal calendars, interviews, transect walks, risk mapping/profiling, problem tree/objective analysis, vulnerability matrix, cost/benefit analysis, Venn diagram, Delphi techniques, environmental impact assessments, f:N curves, potential loss study, scanning/scoping, social impact assessment, surveys/questionnaires, trend extrapolation, cross impact analysis, scenario analysis/planning, assessment matrices, community disaster plan, resource mobilization matrix, STREAM manual, Harvard framework, livelihood analysis, Moser Framework.
Notes on methods	Provides notes on how many details are provided on the method/tools presented, as well as a broad overview/summary of that nature and extent of the methods. I.e. Whether the methods/tools are participatory/technical.
Keywords	Provides a list of key terms and concepts used throughout the document.
Resource people	Provides details of the authors and organisations that created this document. Email addresses and phone numbers will be provided.
Author of guidance note	Provides details of the author of the guidance notes. Includes name and email address.
Link to case studies	Provides links to practical applications of the methodology reviewed.

Country:

Location:

Date:

Sector focus:

Spatial focus:

Title:

Bibliographical reference:

Abstract:

Technical description:

- Hazard/risk type:
- Type of assessment:
- CRA process:
- Methods used:
- Was livelihood analysis used?
- Was external specialist knowledge introduced?

Vulnerability Analysis:

Capacity Analysis:

- Resources available:
- Limitations to Capacity:

Action Planning and Implementation:

- What actions were actually planned?
- Were all actions actually carried out?
- Have these actions turned out to be sustainable?
- Were their any unanticipated additional benefits of the actions?
- Were there any unanticipated negative consequences of the actions?
- Limitations on action/ sustainability of actions:

Indicators:

Contextual notes:

- Existence/ role of prior or contemporaneous conflict?
- Role of displacement/ relocation?
- Role of prior disaster & prior recovery attempts?

- Significant historical, geographic, economic, political, or cultural issues that influenced this instance of CRA and its consequences?

Strategic notes:

- How has this practice of CRA influenced change in policy and practice at the national level?

- How has this practice of CRA influenced change in policy and practice at local level?

- How has this practice of CRA influenced the level of organization and solidarity in the locality where it was carried out?

- Less divided along class, gender, age, ethnic lines?

- More divided along these lines?

- Have new civil society organizations have been created directly or indirectly because of this practice of CRA?

Lessons learned:

Keywords:

Resource person(s):

INTERNATIONAL WORKSHOP ON COMMUNITY RISK ASSESSMENT
CAPE TOWN, JUNE 2005

The Usefulness and Applicability of the CRA Toolkit
(Tools/Case Studies)

Reflection piece by Ian Davis

Visiting Professor
Resilience Centre
Cranfield University, UK

Context

This paper contains a series of personal reflections concerning what I heard during the workshop, or read concerning the usefulness and applicability of the CRA Toolkit that were described, analysed and in some cases debated during this workshop. I will move beyond the title I was asked to write on, since I have been looking for '*usable*' rather than just *'useful'* outcomes. However, this wider concern is implicit in the title with its focus on applicability, since it is obviously not possible to apply tools that are not usable.

Scope of Paper

What are some of the ingredients of useful, usable and applicable tools? Following a brief description a list of questions has been listed.

CRA tools need:

- **To be placed within a broad context,** to enable users to understand how and why this tool(s) came to exist. No tool exists in isolation; it is always a means to an end. Therefore it needs be set in a context that may relate to a time frame (when and for how long?) as well as the geographical context, that will need to include a summary of the hazard threats in the selected area. The context will also need to expand to embrace wider issues such as the developmental, social, economic and political context. A further key contextual issue concerns the source of funding of a given assessment project. It will always be useful to know the source of this support and what influence this might have had on the design of a project as well as its outcomes. Then there is the issue of scale. Some tools will work for modest assessment exercises while different approaches will be needed to cope with the demands of much more ambitious projects.

    Summary Questions concerning Context:

    o   *How was the tool developed?*
    o   *Why was the tool developed?*
    o   *What was (is) the time frame for the tools application?*
    o   *What was (is) the geographical context, (country/region, urban or rural?)*
    o   *What are the hazards in the given area?*
    o   *What is the developmental context?*

- What is the social context?
- What is the economic context?
- What is the political context?
- What was the funding source?
- Were there any constraints that related directly or indirectly to this funding source?
- Scale of project: (community, village, town, etc.)

- **To possess a clear Aim and Objectives.** Has a single specific aim been defined for the tool? And have a series of objectives also been set as steps to reach this aim in the application of the tool? Has the sector focus been clearly defined?

  Summary Questions concerning the Aim and Objectives:

  - What is the aim?
  - What are the objectives?
  - What is the sector focus?

- **To be personal, rather than anonymous.** It is helpful to know which author(s) or agency developed the tool, since this will assist in providing essential credibility to the users, and they may need to be contacted to resolve any queries concerning their use. Therefore contact details are needed with instructions concerning the use of the tool.

  Summary Question concerning Authorship:

  - Who designed the tool? (individual author as well as their agency)
  - Why was it developed?
  - What are their contact details?

- **To be focused specifically on the requirements of a <u>specific</u> audience**, (or possibly very few selected audiences), but not vaguely intended, without direction towards multiple users.

  Summary Questions concerning the Audience or Users of the Tool:

  - Who is intended to use the tool (if more than one user is identified, then list in priority order)

- **To include a combination of prescriptive advice and reported experience, to be a 'strategic' tool or to be a 'tactical 'tool?**
  Tools are needed that describe what to do, when, where, how, why, to whom and with whom. But they also describe and analyse relevant positive as well as negative lessons gained from their past use. In effect a good tool is both a *'cookbook'* as well as being a *'nutrition guide'*.

  Summary Questions concerning the function of the Tool:

  - Is the tool specific, 'tactical' (i.e. similar to a cookbook?). or
  - Is the tool more general 'strategic' (i.e. similar to a nutrition guide?) or
  - Is it designed to achieve both functions?

- **To recognise that the design of the tool is critical.** It needs to be clearly set out**,** so that instructions are well written and easily accessible to well defined users. In addition is it **relevant, or appropriate** for the context for which they were designed. However, good tools will inevitably find a use with wider communities, well beyond the intentions of original authors. **Sharp, well designed tools** that fit the assessment and risk reduction task and stand a good chance of achieving their intentions.

  Summary Questions concerning the Design of the Tool:

  - Have checks been made to verify whether the potential users know precisely how to use the tool?
  - How did those applying the tool find how to use it, (i.e. through training, or through instruction guidance notes)?

- o *Is the tool relevant or appropriate for the job in hand?*
- o *Following use is the tool effective, if the answer is yes, how was this known and if it was not effective, how was this determined?*

Summary

During the workshop I repeatedly found myself hoping that the various presentations would include a good description of the tools they had used to assess capacities and vulnerabilities. However, most presenters were preoccupied with content, describing what was discovered and what impact this had on the communities being assessed and I do not recall any of their assessment tools being described in detail or distributed for comment.

Therefore I hope that as the project proceeds, all the case studies presented in Cape Town will be published with the assessment tools set out in an appendix to each document. The above paper, and the questions raised may form a useful checklist concerning what is needed to enable comparisons to be made.

Community Risk Analysis, Disaster Risk Management and Development Planning: Roles and Relations with Particular Reference to the Local Level

Reflection piece by Allan Lavell

Researcher and Coordinator
Flacso and La Red

The Cape Town meeting was convened to specifically consider experiences with community (disaster) risk and vulnerability analysis in the developing world. Presentations and forthcoming discussion both in plenary and working group sessions raised numerous issues with regard to risk analysis concept and practice including the process-method link; scales of analysis from community through local to extra local, regional and national; issues of participation, ownership and empowerment; specificity and opportunities for generalisation and scaling up, amongst others. Amongst these "others" the issue of the relationships between disaster risk and other more frequent or every day risks, between development processes (root causes) and the generation of disaster risk, between analysis of disaster risk at local and community levels and in site analysis of development opportunities, capabilities and difficulties, and between sector and spatial development planning and risk management, were topics either insinuated or discussed more explicitly in the course of the meeting.

The objective of this very short piece is to take up on these latter or "other" issues providing some succinct ideas as to the role of community or local risk analysis in the wider context of integral risk management and as to the roles these may, should or do play within the overall context of development planning, particularly with reference to the local level.

In order to do this we will start with a brief exposition of various concepts, notions and relations that eventually will help to substantiate and delimit the needs and relationships. (The definitions or notions we develop may or may not comply with accepted opinion and are presented here only as a means of getting to the main issues raised for discussion in this short document. The definitions are taken in general from Lavell, A et al, 2004. *Local Risk Management: Notions and Practice*. CEPREDENAC and UNDP, Panama. Available at: www.cepredenac.org).

Disaster risk: the magnitude of probable future damage and loss associated with the occurrence of hazards of natural and anthropogenic origin.

Every day (or chronic) risk: prevailing social contexts or factors that severely limit current sustainable human development and restrict advance in the future. Many of these factors or contexts in fact help define "poverty" and social exclusion: lack of incomes, stable, remunerative employment, health and housing; exposure to social and family violence and drug and alcohol abuse; low educational levels and social or productive capacities and abilities.

Social construction of risk: social processes which derive from or delimit development models, styles and processes and which lead to the existence of concrete conditions of risk for the population and their livelihoods. The idea of social construction refers to both hazards and vulnerabilities and directly relates to the notion of "root causes" and "dynamic pressures"

developed by Blaikie, Wisner, Davis and Cannon. The (disaster) risk construction process and the generation of every day risk factors are many times intimately related and correlated. The risk construction processes many times signify a complex and concatenated playing out of causes and effects at different social and spatial scales such that risk expressed at the local or community level relates to processes and causes expressed and played out at other territorial levels, with and through other social actors.

(Participatory) Community (Local) Risk Analysis-CRA: the process by means of which objective and subjective information and knowledge is generated as regards existing disaster risk and risk factors, the underlying processes and causes and their social and spatial expression, the existing social capabilities and options for risk reduction and intervention. Although such analysis is optimally undertaken as a dynamically participative process where analysis is relevant for both community or local actors and external agents, the basic notion of community or local risk analysis does not exclude per se other operational modalities which may involve greater or lesser levels of participation and results generated for and relevant to either local actors or external agents, or both.

Disaster Risk Management-DRM: a social process aimed at the identification, measurement and evaluation of disaster risk and its causal factors, and at the reduction, prevision and control of risk in society. This should optimally be framed within and carried out as a component or facet of sustainable development and sustainable development planning.

Local Risk Management-LRM: a social process undertaken with the maximum level of participation and ownership by local actors, and optimally integrated with local development planning, that seeks to identify, measure and evaluate disaster risk and promote coordinated intervention, leading to the reduction, prevision and control of risk at the local and community levels.

Sustainable Development Planning-SDP: policies, strategies, instruments and actions that seek to increase overall human welfare, whilst maintaining, conserving or permitting the renewal of the natural resource base and the global natural environment.

Having established these brief definitions let us now look at the two major relations we wish to make more explicit: CRA and DRM; and CRA/DRM/LRM with SDP.

1. **Community (and local) Risk Analysis as a Component of Overall Disaster Risk Management**

The primary basis for any rational or intentional intervention in existing or future risk levels must be the knowledge of risk, its component factors and causal processes. Although risk may be seen in an aggregated fashion with reference to a country, region, sector, or social group, for example, it is **best represented and dimensioned at the micro level-local through community and family**. Risk and, ultimately, damage and loss, are expressed at these micro levels and through aggregation of multiple local or micro losses we may then speak of overall national or regional impacts of particular physical events. Hazards best express themselves locally as do particular vulnerability contexts and factors.

At the same time, risk has both an **objective and subjective** dimension that is also very micro or locally determined or manifested. The objective dimension refers here to the probable magnitudes and types of loss and damage that would occur under determined hazard contexts and corresponds to an actuarial type of calculation; on the other hand, subjective connotations of risk relate to the ways people or social groups perceive, see, sense, feel, and internally dimension risk and this is affected by numerous contextual (life style, welfare levels, cultural mores etc) and psychological factors. The play off between objective and subjective levels, manifestations and determinations of risk is critical for any process of decision making and decision taking leading to concrete action to reduce or limit risk. Technical or scientific views,

measures, evaluations and decisions on risk and on risk levels and needs and possibilities or opportunities for intervention will many times not coincide with popular, people oriented, family, community or local visions.

Given these factors and characteristics of risk it is clear that any intervention that attempts or establishes the reduction or control of risk in society as an objective must commence or at least closely consider the participatory local dimensioning, analysis, evaluation and images of risk.

Evidence suggests that the optimum level at which risk management should commence is the micro or local level and that integral-holistic risk management is in fact a process of coordination and concatenation or derivation of interventions in multiple local circumstances. In saying this, no implicit or explicit argument is being put forward to suggest that the community or local levels are autonomous and self sufficient when it comes to risk reduction, neither economically nor process wise. All that is being suggested is that the process should start at this level and then scale up and establish mechanisms that guarantee that decisions and processes generated at other spatial and social scales are commensurate with the aims of risk reduction at the micro and local levels. This is so because the spatial manifestation of risk, loss and damage does not necessarily coincide with the social and spatial scale of causal processes which many times derive from ongoing social and economic processes at the regional, national and international levels.

Thus, community and local risk analysis is an essential and indispensable component and part of integral risk management seen from the national level.

2. Community (and Local) Risk Analysis and Sustainable Development Planning with Emphasis on the Local Level

The social construction of risk involves economic and social processes, many times euphemistically known as development processes, by which determined social groups, persons, types of livelihood etc are subjected to conditions of possible and probable loss and damage when affected by physical hazards. That is to say, an important part of disaster risk is a function and feature of inadequate or skewed development practices and there is a high level of correlation in many circumstances between every day, chronic, and specific disaster risk.

By the same argument, risk reduction, prevision and control may only be adequately dealt with where such objectives are sought in the framework of overall sustainable development planning. Risk reduction instruments and practice carried out independently of integral development objectives may only lead to temporary alleviation of problems and conservative mitigation and prevention practice. That is to say, they may achieve the mitigation of disaster risk, but don't affect the continuation in general of poverty and inadequate welfare and livelihood conditions. On the other hand, where disaster risk reduction and prevision and control are seen as an integral component of development goals and planning, risk reduction can be fostered jointly with ongoing improvements in welfare and livelihoods. Thus, risk reduction and sustainable development are seen to be part of the same formula and risk reduction is considered an objective of development and not an end in itself, with its own instruments, practices and goals. Increases and improvements in welfare and livelihoods come to be seen as an additional mechanism for disaster risk reduction, which then becomes progressive as opposed to conservative.

Following on from the previous argument, we can then deduce that where risk reduction and risk management are seen as derivations or components of overall sustainable development planning, any apparent contradiction in goals and aims disappears, and facets of risk management such as local and community risk analysis may be examined and designed from an overall development perspective and planning framework.

This will signify that although there may be arguments that at times justify a specialised type of independent disaster risk analysis at local levels (and others), optimally such analysis, and the participatory methods it should employ, would be designed and carried out in the framework and methodology of integral local level analysis and appraisal of development problems and

opportunities. That is to say, it is not a problem of finding the links and needs for relating disaster risk analysis with local, regional or national development planning, but rather finding the most adequate way to guarantee that such analysis is an integral part of analysis and evaluation used as a basis for development interventions and change. Therefore, such development oriented techniques as rural and urban rapid social and economic appraisals; integral participatory development diagnoses, environmental impact assessments etc. should be the place and basis for risk analysis.

Seen from the organizational and promotional perspective this will also imply that there can be few arguments to substantiate the idea that risk reduction at the local or even national levels should be based on a special, specialised and distinctive organizational matrix. Rather, risk reduction and prevision should be incorporated as a component of the work of local development and environmental agencies and introduced into local sector and territorial development plans from the start.

3. Some concluding remarks

The need to consider arguments that support the idea that community and local risk analysis is an essential component of disaster risk management or that these are part of or related to development planning perhaps derives from a false paradigm or notion that has separated off one thing from another as if they were independent areas of enquiry and intervention. Perhaps in our intent to increase consciousness as to the risk and disaster problematic we have taken a step too far and created the image of an independent area of enquiry and intervention. And, now the argument is that we have to integrate this area with other areas such as development planning and development process. This, as opposed to recognising from the beginning that risk is a function of some sort of economic, social and political process (development process?) and thus automatically part of this. Thus, instead of "integration" or "incorporation" into, we really need discovery of the role risk reduction plays in the absolute definition of what development is all about. Development experts and planners must discover and promote this and not "disaster" specialists as such, although these may play a catalyst role. To study and intervene in "disaster risk" is not the same thing as to study and intervene in "disaster", although the two are obviously linked in causal terms. Risk is, or should be, the fodder of development specialists especially in the developing world and poor population contexts. On the other hand, disaster is the fodder of other specialists along with development specialists.

Community based disaster risk assessment:
what can be learnt from experience in other fields?

Reflection piece by Mark Pelling

Senior Lecturer
Kings College, London

Introduction

This note presents a method for categorising community based disaster risk assessments (CBDRA), it then considers the implications for CBDRA of a number of questions raised within the wider literature on participatory assessments and concludes by noting two ways in which CBDRA can contribute to wider agendas in disaster risk management.

What is CBDRA?

What differentiates community based approaches from other research/policy interventions? No single definition exists at present. This is not a bad thing in itself. This reflects the diversity of interests and agencies involved with CBDRA, but a lack of common understanding can lead to misplaced or exaggerated claims of participation, inclusiveness or most difficult of all of empowerment.

Drawing from the wider literature, three lines along which to identify different approaches within the broad school of CBDRA are proposed:

- **Procedural**: assessments that are initiated and possibly conducted by local actors, who might also be the audience for and owners of the results. Assessment goals could be quite instrumental leading to local action planning or bids for local government, private sector or civil society support and need not have the intent of empowering those at risk.

- **Methodological**: assessments that predominantly use qualitative data collection and analysis tools such as those associated with Rapid Rural Appraisal (RRA), Urban Participatory Appraisal (UPA) and Participatory Rural Appraisal (PRA). There is no presumption that those at risk are involved in any way other than as sources of data and targets for post-assessment interventions, CBDRA might be used because it is thought to be cheaper or more rapid than social survey type data generation.

- **Philosophical**: assessments are seen as a process, probably long-term or continuous, and as a mechanism for self-reflection, 'conscientisation' and self-empowerment with the potential to catalyse change in social or material structures of life that influence the distribution of vulnerability. Assessments might be initiated and/or facilitated by non-local actors but would become owned by those at risk as empowerment takes hold.

The axies are used in Figure 1 to form a three dimensional graphic on which to map those approaches claiming to be part of CBDRA. Mainstream, extractive approaches, e.g. disaster impact household assessments, predominantly fall into the grey cube. They tend to be quantitative, owned by the executing or funding agency and do not seek to confront existing power-inequalities. The yellow cube is the space claimed by many 'participatory' CBDRA approaches – qualitative methods producing data owned by the subjects of the research with the research process contributing to empowerment. In fact most of this work is better placed in the green cube. Qualitative methods are employed but seldom do the subjects of the research own the outputs and even more rarely is the process empowering. This is not to say that green and grey work is no less valuable, simply that it is necessary to differentiate between approaches. The water is muddied further by an international development funding environment since the late 1990s that has emphasised 'participatory' work without local ownership or empowerment being prioritised!

Figure 1: The constellation of 'participatory' methodologies
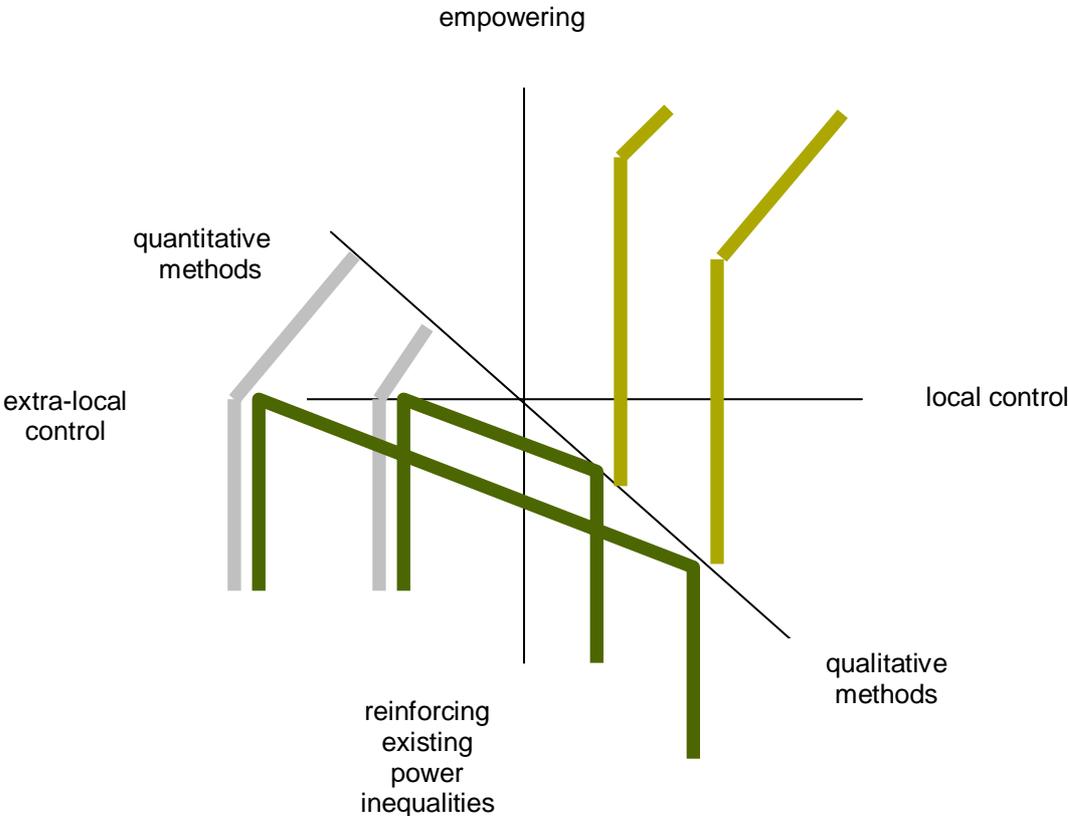
In the Cape Town workshop (CT), although much was said about the empowering potential of 'participatory' methods there was only limited evidence of work to support this claim. Even here the methods by which empowerment and ownership were measured was not clear. As was pointed out in CT, most existing CBDRA have not been initiated, nor are their findings subsequently owned, by those local actors who were the focus of the assessment. Similarly, case studies of CBDRA presented at CT included those using social survey tools to develop quantitative data.

It is important that the project behind the CT workshop does not follow the international development community by uncritically promoting 'participatory' work. The World Bank in particular, but also many developmental INGOs, have faced strong and rigorous criticism for misleading claims where extractive methods and approaches that fail to challenge local power

relations have been undertaken under the name of 'participatory' work. Participation is not a panacea, in many cases it is not appropriate, but we must be clear about what it is if its benefits are to be realised.

How can the wider literature inform CBDRA?

This note takes a broad view on CBDRA approaches drawing on work that has applied 'participatory' methodologies to the monitoring of social status (poverty assessments and academic research) and impact of development interventions. Reflecting on the large literature on 'participatory' poverty reduction and assessment tools stemming from PRA, PPA and UPA, five themes are identified that could contribute to thinking on CBRDA. This is not an exhaustive list, merely five points that strike the author as being particularly pertinent and that connect to discussion points raised at CT.

1. Is it ever justifiable to undertake CBDRA that does not aim to be empowering?

It is of course, for those involved in CBDRA to answer this question for themselves. CBDRA draws on many traditions of research: from Freire's 'conscientisation', to Chamber's empowering potential of participatory methodologies and the World Bank's more instrumental use of local qualitative data.

The wealth of ways in which 'participation' of the 'community' has been interpreted suggests there is no ideal level of participation but rather that the depth, inclusiveness, pace and place of local involvement within the research-action-review cycle as identified in CT will depend on context and the aims of those initiating the assessment. Stages in the research-action-review cycle as identified in CT, where local actors might be involved include: initiating the assessment, identifying what is at risk, sources of hazard, vulnerability and capacity, designing assessment methods, collecting data, analysing data, drawing conclusions for action, acting on results, reviewing the usefulness of the assessment. In 'participatory' assessments, it is very rare for involvement of local actors in more than one or two of these stages, even in projects that claim to be empowering. Is this a concern? Perhaps not, but lets be clear about the limits of participation.

At the core of this question are tensions between efficiency (less labour and time costs) and a rights-based argument for participation and on how far participation should be seen as an end in itself.

The challenge of participation is well summarised by de Cunha et al. (1997 in Laderchi, 2001: 13), 'because participation is a social act that springs from a pre-existing set of social relations it is more readily applied in situations that condone and reinforce the set of social relations'. This can make it difficult to disentangle the voices of the marginalized from existing power structures. Careful design in data collection, analysis and presentation can overcome this from a methodological perspective, though claims for transformation are more difficult to maintain.

2. What kind of knowledge can reasonably be generated through CBDRA?

Cornwall (2000) identifies two principles of participatory methods: 'optimum ignorance' – find out only as much as you need to know; and 'appropriate imprecision' – there is no need to know everything exactly. These are quite challenging principles in the face of more established scientific methodologies. The degree of ignorance and imprecision that is acceptable will depend on the aim of the assessment. It is worth remembering that imprecision and subjectivity can also be raised as critiques of even the most quantitative and extractive positivist methodologies in social research.

The literature makes an interesting point in noting that field workers do not always produce accurate or unbiased work, but that they are also often underused as a source of appropriately imprecise information. Disaster impact assessments could (and perhaps do) make good use of

pre-disaster 'reporters' – Red Cross volunteers, teaching, religious leaders, local health promoters etc.

Those conducting participatory assessments will influence findings, if not through the way data is collected, then in the structuring of its analysis and presentation. This was a major criticism of the World Bank's Participatory Poverty Assessment (PPA) programme culminating in its *Voices of the Poor* series. Imposing analytical structures from the outside is tempting especially when trying to up-scale data but doing so reduces the potential for unearthing unexpected views or data.

What if local people do not have appropriate local knowledge? This will be a particular case for households faced with multiple hazards or with infrequent or chronic hazards and vulnerabilities where more immediate and frequent hazards and demands on resources have prominence. This suggests the positive contribution that external/scientific knowledge can make, as was noted in CT local and external knowledge should be balanced, neither raised on a pedestal.

3. Can CBDRA be scaled-up?

Community based methods have been successfully applied to the assessment of individual project impacts or local level assessments of vulnerability/capacity. For Chambers, the essence of participatory approaches was to understand and give voice to local conceptions of reality through local people's own analysis of challenges and capacities. This means each local assessment has its own uniquely derived conceptual framework, making comparison and aggregation across sites very difficult.

Despite this, a number of programmes have scaled-up using 'participatory' methods. Examples include:

- The World Bank's Participatory Poverty Assessments that were aggregated from local to national and national to global scales for input to the 2000/01 *World Development Report*. As discussed above, The World Bank's approach has been criticised for being extractive, and for the imposition of an externally derived analytical framework. Booth et al (1998, in Laderichi, 2001) also report bias in the selection of analytical categories at the country level as report writers felt pressure to highlight findings that had immediacy for policy makers as well as being influenced in the organising of themes by the strategic policy framework adopted by the World Bank. A case of shaping the data to fit the perceived values of the target audience.

- Moser (1998) undertook a comparative analysis of vulnerability to economic restructuring amongst marginalized urban populations in Zambia, Philippines, Ecuador and Hungary. A mixture of social survey, open interview and participant observation in group meetings was used to provide scope for respondents to influence the kinds of data generated, while maintaining the necessary rigour needed for comparative research.

- ActionAid is one of the more frequently cited development actors engaged in 'participatory' approaches. An example of scaling-up is noted by Chambers. Here participatory visual analysis was used in over 130 villages in Nepal in 1992.

- Chambers also notes work by Save the Children for SADC, where pile sorting and other participatory methods were used in 20 districts in Malawi, Zambia and Zimbabwe to understand in aggregate how poor farmers coped with the 1992 drought.

Scaling-up is made easier when local data is collected or derived in quantitative form. A common example, and one relevant to CBDRA, is the ordinal data generated from community based, household wealth rankings.

4. Negotiating change through CBDRA

There are no cast iron rules for social engagement in participatory work. However, the ways in which participatory projects and assessments intervene in the everyday playing out of power-

relations at the local level is a frequent theme of more critical assessments of participatory methodologies.

Marxist inspired views of making change identify conflict as a necessary precursor to the re-distribution of power, in many cases this might be a correct analysis. An alternative view (and currently fashionable, though no less ideological) argues for energy to be put into seeking to make change through building consensus. Work on gender in development provides examples of success and failure to make lasting positive change from conflict and consensus approaches.

From a poverty reduction perspective, Novafrica's Learning Together for Renewal in Community Development: community emancipation through fostering innovation and local organisational capacity programme provided an example during CT of the consensus approach. Here village chiefs were courted and praised even when identified as contributing to resource inequality or undermining inclusive local governance. It is argued that this enabled chiefs (alongside villagers) to develop ownership of change making processes and outputs, while countenancing change that led to material re-distributions of resources at the local level. Novafrica argue that the consensual approach was central to the self-sustaining processes that it is claimed are generated.

A frequent remark made at CT, and supported in the literature, is the importance of not raising false expectations when initiating a community based assessment. Expectations of what can and cannot be achieved and timelines for outcomes must be realistic. Stimulation of local self-reflection, leading to the self-organising of a one-off drain cleaning exercise is a more achievable goal than self-organised social change. Indeed the former might be an early step on the pathway towards the latter. Successful community activists frequently remark on three rules for maintaining local enthusiasm: keep meetings/projects frequent, relevant and fun.

5. Multi-methods approaches

Connected to the scaling-up debate is a discussion in the literature on the legitimacy of combining 'participatory' methods with social surveys. In support of combination, Laderichi (2001) reports on work in Armenia that found single pensioners experienced greatest 'poverty', this finding was not based on income levels but an outcome of 'participatory assessment' which enabled their sense of social isolation to be included in analysis.

The most common view is that RRA and PRA type tools (focus groups, key informant interviews) can be used to identify key themes and that social research methods, such as structured questionnaire surveys, can then be used to generate more readily aggregated data. The food security/rural livelihoods surveys coordinated by FEWS NET would be useful to review in this regard.

Wealth ranking is the only RRA/PRA tool that is frequently cited as a potential addition to more aggregate analysis. In the transfer of tools from 'participatory' to 'extractive' data collection one must remember that the transformative aims of participatory approaches will be left behind.

CBDRA and Disaster Risk Management

CBDRA can contribute towards wider policy initiatives within DRM, in particular by:

1. Enhancing the visibility of disaster risk in the Millennium Development Goals (MDGs).

The indicators used to measure progress in the MDGs do not directly include disaster risk or vulnerability (with the arguable exception of hunger – MDG1). As thinking on the MDGs moves from simply aiming to meet targets to thinking about the pathways through which they may be met an opportunity opens for DRM. The contextual and normative data collected though participatory approaches is particularly useful for showing linkages between policy and outcomes, including those that were unanticipated, making it easier or more difficult for countries to meet the MDGs. For example, CBDRA could shine light on the sustainability with which MDG1 is being approached locally and nationally – do interventions that aim to reduce national indicators for

poverty and hunger in the short term also reduce disaster risk? If not any gains might be quickly lost.

2. Providing a mechanism for moving towards integrated disaster risk assessment methodologies.

The last two years have seen rapid progress in the development of global indexes of national vulnerability and disaster risk. For example, UNDP's Disaster Risk Index and World Bank's Hotspots project are both built from internationally accessible archives of national level socio-economic and disaster impact data.

CBDRA methods could complement these top-down indexes by providing more grounded and contextual assessments of vulnerability. Complementarities will be increased if elements of CBDRA can be aggregated to match the lowest scale of analysis developed by the global indexes (for Hotspots this is 25km² grid cell). Where this is possible CBDRA and global indexes could also be used for triangulation.

References and Reading

Chambers, R (1997) *Whose Reality Counts? Putting the last first*, ITP, London

Cornwall, A (2000) *Beneficiary, Consumer, Citizen: perspectives on participation for poverty reduction*, mimeo Institute of Development Studies, University of Sussex, UK

Davies, R (1997) *Guidance Notes on Increasing the Participation of the Poor in the Assessment of the Impact of Development Interventions*, an ODA funded ActionAid project accessed from www.mande.co.uk/docs/guidance.htm

Laderichi, CR (2001) *Participatory Methods in the Analysis of Poverty: A critical review*, QEH working paper series, working paper # 62

Moser CON (1998) The asset vulnerability framework: reassessing urban poverty reduction strategies, *World Development*, 26 (1), 1-19.

Pelling, M (in press) Measuring Vulnerability to Urban Natural Disaster Risk, Special issue of the *Open House International* on Managing Urban Disasters.

The Global Community Risk Assessment Network

Reflection piece by Vanessa Dantas e Sá

CRA practitioner / researcher
Disaster Mitigation for Sustainable Livelihoods Programme
University of Cape Town, RSA

Human capital, material resources and the Global Network

The CRA workshop aimed to put forward a platform from which this practice could become more integrated, inclusive and sustainable. The platform would be constituted by [1] *human capital* – the individuals involved, [2] *material resources* -- the methodologies and case-studies, and a [3] *Global Network* – the communication and exchange of *materials* between the *individuals* in a sustainable and proactive manner.

The Workshop was essential in starting the establishment of a community of practitioners who are interested in sharing their expertise and in learning from alternative methodologies and international case-studies – *the human capital*. In parallel, the CRA Tool Kit, a web-based ProVention Consortium initiative, enables the use and exchange of methodologies and case-studies by individuals –*material resources*. The subsequent step is the establishment of a structure in which these individuals can communicate about the shared materials, regardless of the limitations posed by geographical, political, economic and social factors – *a Global Network*.

In this context, the *Global Network* would be a virtual network in which CRA practitioners can engage with each other, in an informal but structured manner, and very importantly, across geographical barriers. The *Global Network* would enable individuals to exchange information about specific methodologies, including challenges and strengths, about projects, experiences, needs, funding, and about the exchange of human and material resources for the conduction of CRAs.

Lessons learnt from the Regional Networks

The establishment of such a *Global Network* is challenged by several factors which need prior consideration, such as its management, its financial sustainability, and easy, free and wide access by the CRA practitioners. During the CRA Workshop a panel discussion was held, in which members of five southern hemisphere regional networks and one global network discussed the main challenges which their networks encountered throughout their existence. The following are summaries of each network. Subsequently, I present the essential elements which could enable the establishment of the *CRA Global Network.*

[1] **La Red**, represented by *Allan Lavell* – a South American regional network primordially dedicated to analytical research and publishing of training material, and more recently to consultancy work. Currently, as a regional network, it had become a dynamic structure, allowing for the exchange of material and human resources in South America only possible through its webpage, which is up-dated regularly.

[2] **AURAN**, represented by *Helen Macgregor* – an African regional network of research and academic institutions, informed my partner local NGOs, focusing on the analytical study of urban disaster risk across Africa, which will soon start operating through a webpage.

[3] **Peri-Peri**, represented by *Helen Macgregor* – an African partnership which was initially dedicated to the enhancement of the resilience of African communities, through the establishment of partnerships between institutions whose focus was disaster risk, across Southern Africa. It initiated the rainwater harvesting project, currently formalised in seven African countries. Presently Peri-Peri is not actively functioning as a network, given that it does not have a structure for communication, and because it does not have projects which bring the partners together.

[4] **SOPAC**, represented by *Atunaisa Kaloumaira* – *a* Pacific inter-governmental organisation with 20 member countries, with three programme areas: research and global programmes; the Philippine lifeline, which signifies investment in road and sewerage driven by private investments; and community programmes outreach. SOPAC is sustained by continuous projects and goals which bring governments and the private sector together.

[5] **ADPC** (Asian Disaster Preparedness Centre) represented by *Zubair Murshed* – an intergovernmental organisation network, operating in southeast Asia and south Asia. Their programmes vary from: networking initiatives which allow for organisations to share resources and receive advice and guidance from ADPC, mainstreaming Community Disaster Risk Management through the development of a multi-sector network, coordinating the NGOs regional offices, and training. Their focus is on capacity building of structures at local government level. The success of the Asian regional networks is due to its centralised management by ADPC, their links with government at various levels and the shared goals between governments.

[6] **IFRC** (International Federation of the Red Cross) represented by *Abdel Qader* – Through its 181 national societies around the world, the IFRC has tried, with no success, to establish a global network favouring the exchange of ideas, obstacles and experiences from the conduction of community risk assessments. Practitioners are too entangled in their field work and current activities, not investing in such a network. Furthermore, cross-regional communication exchange is complex to manage and maintain.

Do we need a Global Network?

In hearing about each regional network one understands the potential role that a Global Network could have in the practice of Community Risk Assessments. A Global Network facilitates exchange of knowledge amongst practitioners. Secondly, it sustains the practice, allowing for the access to best-practice case studies and suitable methodologies. Thirdly, it constructs a structure which allows for the integration of governmental and non-governmental organisations. Fourthly, it facilitates intergovernmental management of transfrontier disaster risks. Fifthly, it allows for the creation of a global disaster risk data-base. Lastly, the Global Network is symbolic of a global pro-active voice towards the mitigation of local risks which have global triggers and global consequences.

How can we establish an integrated, inclusive and sustainable CRA Global Network?

It was my perception that there was no consensus, amongst the CRA Workshop participants, on a way to move forward in the establishment of such a network. This lack of consensus was due to the poor understanding of its importance and of the role that the network can have in CRA practice. From the learnt lessons, and based on some of the discussions conducted during the workshop I now propose the essential elements to the establishment of an integrated, inclusive and sustainable CRA web-based Global Network :

1. **Centralised Management**: It is crucial that the network is managed and maintained by one organisation, preferably in Southern Hemisphere. The organisation would be responsible for mastering the web-page, networking with donors, networking with Governments and non-governmental organisations, organising virtual meetings, liaising with other global and regional networks and appointing tasks to its regional sub-committees.

2. **Clear objectives and vision**: The Network should have clear objectives and a shared vision, regarding its future role in CRA practice and its contribution to sustainable development.

3. **Regional sub-committees**: Each geographic region should be divided into regional sub-committees to facilitate the information coming from each region, and to allow for smaller-scale networking, at regional and local levels.

4. **Global access**: Individuals from all levels of authority and part of any type of organisation, should be able to be part of the Network, so far as interest and/or experience in CRA practice is demonstrated.

5. **Management of the CRA Toolkit**: The CRA Toolkit should be managed by the Global Network. In this manner, it would allow for communication arising from the use of methodologies and case-studies.

6. **Interactive space**: An interactive space would allow for the opportunity of CRA practitioners to engage with field experts. A space in which questions would be posed, and allocated to experts, previously tasked to engage in the network with this type of collaboration.

7. **Advertisement**: The Global Network would advertise tenders for CRAs, training and vacancies, in the CRA field. In this manner, the webpage would have constant audience, and to provide a sustainable platform for the sharing of human resources. It could be linked to other networks, such as Reliefweb.

8. **Formal links with all governments**: Governments should endorse the Global Network. Furthermore, governments should be liable to inform the network of ALL community risk assessments conducted in their countries. This leads to the following point,

9. **Global disaster risk data-base**: The creation of a data-base for global, regional, and local information on disaster risk centrally managed. This facility would be a phenomenal achievement in terms of sharing, archiving and using historical information to inform current CRAs.

10. **Sustainable Funding**: The Global Network would start by being funded by the ProVention Consortium, and then move to construct a financial system towards which governments would contribute. Being part of the Global Network should be seen as an asset, for it allows governments and non-governmental organisations to share their achievements and their challenges, and fight global disasters. The Advertisement component would also bring revenue.

11. **Arriscando**: Lastly, I propose that the Global Network is called www.arriscando.org which means taking a risk. We are in the field of disaster risk, and such an initiative involves taking a risk and believing that it would bring governments and NGOs to work together towards sustainable development across the globe, in light of Global Climate Change and an increase of disasters triggered by natural causes. Arriscando, if well managed, could facilitate and better the practice of CRA, which in turn betters the lives of millions of individuals.

The ProVention Consortium is a global coalition of international organisations, governments, academic institutions, the private sector and civil society organisations dedicated to reducing the risk and social, economic and environmental impacts of natural hazards on vulnerable populations in developing countries.