INTEGRATED DISASTER RISK REDUCTION AND CLIMATE CHANGE

Participatory Capacity and
Vulnerability Analysis (PCVA) Toolkit

Australian Government

AusAID

OXFAM
Australia

Cover photo: Ngaunta Ienraoi stands where her grandmother's
house once was. *"More than 10 people lost their houses
[during a king tide]. The land in front of them was washed
away. I remember seeing all the houses ... floating in the water.
They lost everything,"* says Ngaunta. Her grandmother and
neighbours have since moved further inland, an increasingly
common occurrence in low-lying Kiribati. Photo: Rodney
Dekker/OxfamAUS

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1. INTRODUCTION

This toolkit assembles a set of tools and describes the process for conducting a Participatory Capacity and Vulnerability Analysis (PCVA) of disaster and climate change risks at the community level. This PCVA toolkit is targeted primarily for community-based staff members of development agencies such as Oxfam and national agencies. It follows an integrated approach to assessing disaster and climate change risk, and using this information to support communities to develop community action plans for disaster risk reduction (DRR) and climate change adaptation (CCA).

While the process of conducting PCVA can be elaborate, for simplicity this toolkit highlights the key components and processes of a PCVA — it does not provide a detailed description for using each tool. Links to further resources are provided where relevant, and annexes at the end summarises the different tools used in the PCVA.

There are many other PCVA or related manuals; some of them are listed in the Key Resources section at the end of this document. Some of these manuals have been adapted to the local context or are available in local languages, or may target a specific sector, such as agriculture. The PCVA facilitation team should read these additional documents as necessary, particularly those written in the local language, where further guidance is needed. The PVCA process is a flexible one; different tools can be used where they are considered more appropriate.

It should be highlighted that the PCVA process is not a toolkit for extracting information from communities. It is a process where communities willingly participate in analysing their capacity and vulnerability regarding climate change and disasters. It is a stepping stone to the community's own action plans for strengthening its capacity and reducing vulnerability. The role of the organisation conducting the PCVA with the community is to facilitate the process and assist the community to undertake their own analysis.

This toolkit begins with a brief background on disaster risk reduction and climate change adaptation and explains some key concepts. The main aspects of PCVA and the approach followed in this toolkit are also presented briefly, followed by some guidance notes.

There are nine stages in this PVCA; each of them is discussed here with regards to the purpose, the tasks to be conducted and the tools to be used. The first two stages are pre-facilitation stages, which allow the PCVA facilitators to prepare for the PVCA and become familiar with relevant resources. The next seven stages are about facilitating the PCVA and build upon one another to undertake the whole PCVA process. The PCVA stages are shown in Fig. 1.
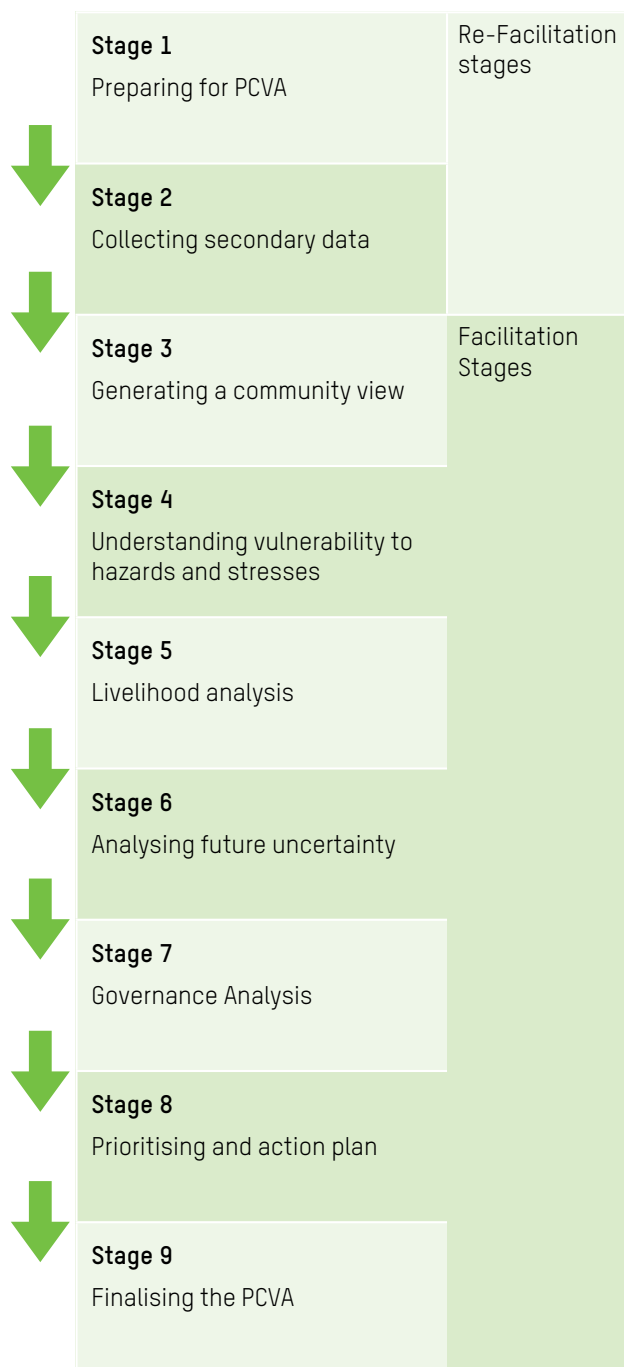
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Fig. 1: Stages of conducting a PCVA

2. KEY CLIMATE CHANGE AND DISASTERS CONCEPTS

Disasters can result from natural and human induced hazards. There are three main types of natural hazards – geological (earthquakes, volcanic eruptions, landslides etc), hydro-meteorological (floods, cyclones, drought, etc) and human induced (conflict, chemical spills, industrial accidents etc). A disaster occurs when the impacts of a hazard exceeds a community's ability to cope using its own resources.

Climate change is impacting on hydro-meteorological (or weather-related) hazards by altering their frequency or intensity, and is expected to become more extreme in the future. Climate change will also have long term impacts such as gradually increasing temperatures, changing seasons, unpredictable rain and rising sea levels.

This PVCA can analyse all types of hazards, how climate change may alter their nature and the long term impacts of climate change.

Understanding the following terms is essential for conducting an integrated climate change and disaster PCVA.

Climate change: a change in climate patterns that persists for decades or longer. It arises from human activity that alters the composition of the atmosphere (ie greenhouse gas emissions) that is over and above natural climate variability.

Climate change adaptation (CCA): actions that people and institutions make in anticipation of, or in response to, a changing climate. This includes altering things they do and/or the way they do them.

Climate change mitigation (CCM): An activity to reduce the drivers of climate change, by reducing emissions of greenhouse gases to the atmosphere. In the context of disasters, "mitigation" means the measures taken before the impact of a disaster to minimise its effects.

Resilience: The ability of a system or community to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient way.

Disaster: A serious disruption of the functioning of a community causing widespread human, material or environmental losses and impacts, which exceeds the ability of the affected community to cope using its own resources.

Disaster risk reduction (DRR): The systematic effort to analyze and manage the causal factors of disasters, i.e. reduce exposure to hazards, lessen vulnerability of people and property, wise environmental management, and improved preparedness for adverse events.

Hazard: Event that has the potential for causing injuries to life and damaging property and the environment.

Capacity: Positive conditions or abilities which increase a community's ability to deal with hazards.

Vulnerability: Conditions that reduce people's ability to prepare for, withstand or respond to a hazard.

Climate or disaster risk is the probability or likelihood that a hazard or long term change will cause injury, damage or loss. It is related to the magnitude of the hazard, and to capacity and vulnerability of the community. If the capacity in a community is high, risk is low, but if vulnerability is high, risk will also be high. Therefore risk reduction involves both increasing capacity and reducing vulnerability.

3. KEY PCVA CONCEPTS

The PCVA toolkit is one of a range of program tools designed at different organisational levels for addressing climate change and disaster risk. For example, decision-making tools support program managers when developing new programs and screening tools allow a higher level assessment of climate or disaster risk in current projects or program portfolios. The PCVA toolkit is designed to be used by field staff and at the community level to help design both new and existing programs.

There are three main objectives:

1. To analyse vulnerability to climate change and disasters at the community level, and the potential capacity within the community for dealing with climate change and disasters.

2. To combine community knowledge and scientific data to gain understanding about local risks.

3. To directly inform local level action plans to reduce the risks from disasters and climate change impacts.

In order to reduce climate and disaster risks, communities need to increase their capacity and reduce their vulnerability. PCVA is a systematic way of understanding and analysing the capacity and vulnerability of communities, and distinct groups within a community, to climate change and disaster risks, and is an important step in planning for and implementing CCA and DRR initiatives.

While many development programs focus on vulnerability, as it is often more evident, there are often hidden capacities – social networks, local knowledge, community resilience, etc – which are not easily revealed. The capacity of marginal groups – women, children, elderly, etc – is often overlooked, although that may have potential for CCA and DRR. Therefore the PCVA approach in this toolkit highlights analysis of capacity as an important way of offsetting vulnerability.

PCVA places importance on local knowledge and draws on information and knowledge of communities, and their analysis of the information. However, as important can be the introduction and analysis of outside information – such as climate information, weather forecasting and disaster records, to support a greater understanding of local risk. It is a participatory process — local communities are at the heart of conducting the PCVA. The main features of a PCVA are shown in Table 1.

PCVA can allow collecting and analysing information to develop specific CCA/DRR initiatives, preferably in an integrated way. It also allows the integration of CCA and DRR into other sector programs such as natural resource, water management/water, sanitation and hygiene (WASH) and sustainable livelihoods. The results of a PCVA can also provide practical evidence for advocacy on climate change and disasters issues.

The PCVA toolkit is primarily used at the beginning of a program to inform program plans and activities. However it can also be undertaken after a program has begun where climate change and disaster risks have not been considered. In this situation a PVCA can help to adjust program activities to better address these risks.

The data and analysis documents and materials (maps, diagrams, charts, etc) can also be used as a baseline to evaluate the project's outcomes and to understand if and how capacities have been strengthened and vulnerabilities reduced. This can be done during midterm or final evaluations of the program. Therefore it is essential that all such documents and resources are stored and maintained until project completion, and to be accessible even afterwards as reference material for other projects.

PARTICIPATORY CAPACITY AND VULNERABILITY ANALYSIS (PCVA)

Brief description	PCVA is a risk analysis process that is designed to engage with communities in contexts where disasters and climate change are significant drivers of poverty and suffering.
Objectives	A PCVA process may be undertaken to achieve a range of objectives, including the following: • To integrate disaster risk reduction (DRR) and climate change adaptation (CCA) into an existing program • To inform the design of a new program that will integrate DRR and CCA measures • To monitor/evaluate the impact of actions taken to reduce risk and enable CCA, and assist in the identification of new ones • To guide advocacy strategies for DRR and adaptation.
Scale	Community
Framework	1. Collecting secondary data 2. Generating contextual information 3. Conducting analysis 4. Risk prioritisation 5. Formulating action 6. Moving towards implementation
Methods	Community and stakeholder consultations, participatory methods, background research

Table 1: Key features of PCVA

4. GETTING STARTED

This section outlines some of the logistic and management considerations to address when you are planning a PVCA process.

ESTABLISHING THE FACILITATION TEAM

- Decide the specific role(s) of each facilitation team member. Ensure a balanced representation of women and men in the team.

- The facilitation team leader should have significant experience in using participatory tools, strong facilitation skills and a good knowledge of climate change science and impacts.

- Members of the facilitation team should have experience in participatory methods and the PCVA preparatory training in Stage 1 should strengthen their skills. Additionally understanding and knowledge of the local context, as well as a knack for working with communities, are key qualities that the facilitation team members should have.

- Facilitating a PCVA also requires sensitivity and understanding of the potential and challenges of the local context. Team members should have these attributes.

- If necessary, less experienced team members should be accompanied by somebody who is experienced and can provide in-situ training during the process of conducting the PCVA.

- If it is a large team, decide if it can be divided into smaller groups (2–3 team members in each group) to conduct the same exercises to achieve triangulation.

- Ideally women team members will conduct the PCVA process with women community members, or at least include some women team members. It might be necessary to include team members with local language skills or interpreters to ensure adequate participation across the community.

- In some communities, elderly or powerful male community members might feel disturbed by the presence of women team members. Be aware of such local sensitivities and respect them to the extent that they do not affect the outcomes of the PCVA.

- Develop a system for collating, organising and storing documents and other materials. Identify the team member who will be responsible for this.

TIME

- Decide how much time will be allocated for the PCVA process and, if it is part of a larger project, how the PCVA timeline will fit into the overall project time-frame.

- Make a rough estimate of how much time each stage might require. Time requirements will depend on a number of issues such as if previous assessments have been undertaken, the size/scope of the program, and the time availability of the community. As a guide, the community component should be no less than 5 days.

- The PVCA process can be undertaken with communities in one block of time, or spread out over a number of visits, depending on local circumstances.

- For all the PCVA stages, develop a draft schedule and finalise through discussion with the community to ensure suitability and availability of community members. Consider if people will have to take time off from work or other commitments to take part and whether it can be scheduled for when they have free time. This may be different for different groups in the community.

- **It is very important to be flexible.** It may not always be possible to stick to the schedule, so build in generous allowances. PCVA is an elaborate process, so anticipate significant time involvement.

- Also anticipate surprises and unpredictable changes, and be prepared to make last moment changes and revise plans.

BUDGET

- Decide the budget. Do not spend unnecessarily, but also do not be thrifty at the expense of safety, comfort and well-being of the facilitation team and community participants. Utilise funds in a balanced way, in tune with the local context and living standards.

- Allow a budget for: (a) Transport; estimate how much travel is involved and then budget for it; (b) Equipment (photographic, laptops, recorders, batteries, first-aid kit, or any other as required) and stationery (flipcharts, markers, index cards, notebooks, etc); make a list of what will be required and prepare a budget; (c) Daily expenses of facilitation team members; estimate what will be necessary to support carrying out the work effectively.

- Consider a provision for meals, tea/coffee and snacks, and related catering arrangements. Estimate days required, who will supply it, and the required food items, so that a budget can be prepared. Consider if there will be any large community-wide events requiring substantial catering, such as at the PCVA process outset and/or completion. Discuss with the community how this is to be best arranged as well as funding requirements.

- As a general policy, do not offer payment to community members for participating in the PCVA. This can potentially cause problems with the facilitation team and within the community, and may even skew the results of the PCVA. Pay only if any services from the community are used, such as venue rental, catering or transport, but make sure to match it to local standards.

- Budget some money for sundry expenses related to the PCVA. For example, paying for transport of community members to participate in the PCVA; or, paying somebody to relieve women of their household tasks so that they are free to engage in the PCVA. Make allowances for expenses which cannot be anticipated.

HEALTH

- PCVA can at times be a physically demanding process, and in many countries field conditions can be harsh. Ensure that facilitation team members are in good health and able to withstand hardship, if necessary.

- There should be a plan for medical emergencies. Carry a well-equipped first-aid kit, and if possible, at least one of the team members should be trained in basic first-aid.

- Make a note of the nearest health clinic or medical centre in case of emergencies, and have an understanding of the travelling time required and mode of quickest transfer.

- As with the facilitation team, ensure that excessive demands are not placed on the community participants. While maintaining that PCVA is a time-consuming and intensive process, care should be taken that the PCVA sessions and exercises do not exhaust the team and participants. Note the weather conditions (too hot, too cold, rainy, etc) and adjust the sessions accordingly so as not to cause discomfort or physical exertion.

- Ensure all team members are briefed on any security guidelines and that these are followed.

5. WORKING WITH COMMUNITIES

GROUNDWORK

- If the facilitation team is not familiar with the community, make an initial visit to establish preliminary contacts. Try to identify and meet a few key members or leaders of the community, including women leaders, who may act as focal contact points during the PCVA stages. Always be open about the purpose of the PCVA and take care that no expectations are created in regards to funding or material inputs in association with the facilitation team.

- At the early stages of the PCVA, identify key informants within the community – people who have deep knowledge of the local context and the community, or are networked to a wider set of links. Such people can be interviewed separately to complement the findings of the PCVA. This should include a range of people from young to old, women and men.

- Explore options for venues where the PCVA process will be undertaken, which are most preferable to the community. Find out if there is a community meeting hall or communal building where the PCVA can be conducted, and what facilities it has. It may be preferable to conduct the PVCA in a few different locations that are more appropriate for specific groups. There might not be a building or built facility for meetings, so it might be necessary to conduct the PCVA in houses, homesteads, courtyards or fields.

- Make an effort right from the beginning to understand the basic work schedules of the community members, both women and men, and different livelihood groups. Based on this, plan the PCVA sessions around the availability of community members according to time of the day and year. This will vary by season, location, nature of community, gender etc. In many cases shorter seasons are likely to have more people attending. For example in some agricultural communities, a slow period follows the harvest of the main crop, and this might prove to be a suitable time for the PCVA.

- Remember that in marginal or subsistence communities, people have heavy workloads, so do not place undue demands on their time for participating in the PCVA process. Discuss with them to what extent they are able to contribute their time and adjust the scope and schedule of the PCVA accordingly.

GENDER AND INCLUSION

- **In all cases attempt to ensure balanced representation of women and men in the PCVA process.**

- As part of the preparation, meet with local leaders and other community members to discuss who will participate in the PCVA process.

- Find out the most vulnerable groups in the community (including the elderly, disabled and ethnic/social minority groups) and identify the best ways to involve them. Separate PCVA sessions or individual meetings might be necessary, requiring a corresponding set of skills within the facilitation team.

- Ensure that barriers to participation for women are addressed as much as possible from the beginning. For example, provisions for childcare might allow participation of women, especially if nearby to the place where the PCVA is held. Or paying somebody to collect firewood would release women from this task and allow them to participate in the PCVA.

- In most societies, women have responsibility for childcare, domestic and livelihood activities. In such situations, while women may be quite visible in the community they are likely to have a heavy work burden, often working longer hours than men. The facilitation team will need to be sensitive, and plan and conduct the PCVA without making undue demands on time, and make provisions for women's participation.

- It is important that the PVCA group processes are undertaken separately with groups of women and groups of men, ideally led by female and male facilitators respectively. Women and men are likely to speak more freely in separate groups, and it removes gendered roles that often see women sitting quietly in mixed gender meetings. Women and men will often have different knowledge bases, vulnerabilities and capacities, which are critical to capture through the PVCA processes.

- Where separate PVCA groups have been used, a final plenary session including all the groups should be held, where the PCVA findings are presented and discussed. This would promote transparency and minimise any potential for misunderstanding between the different groups.

- In many societies, children begin taking part in household work and community matters from an early age, and hence can have valuable knowledge and experience that can contribute

to the PCVA process. Make an effort to include children as active participants in the PCVA process, and make provisions that their education or household activities are not affected. For example, pay somebody from the community to provide tuition to make up for lost time at school, or arrange for other children to help in household tasks of those children who participate in the PCVA process.

- The elderly often have knowledge and understanding that is not always easily apparent. Endeavour to get the elderly to contribute to the PCVA process and to have a stake in the community's planning for CCA and DRR. The knowledge of the elderly, both women and men, can provide valuable contributions to the outcomes of the Historical Timeline and Long Term Trend Analysis (see Annexes 7 and 9).

LANGUAGE AND LITERACY

- While noting PCVA outcomes on paper is ideal for capturing information and keeping a record, in some cases it might be more appropriate to draw or write on the ground with sticks, or use some other local materials. In such cases, try to take photographs of the outcomes so as to have a record for future reference. Prints of the photos should be given to the community so that they have ownership of the PCVA outcomes.

- Literacy might be an issue — some communities might be partly or not literate. Often women will have higher illiteracy rates. In such cases, pictures and symbols that are locally used and understood should be identified, and if necessary, the facilitation team should familiarise itself with them. During the course of the PCVA, such pictures and symbols should be used. Even where communities are literate, pictures/symbols can be used effectively to communicate information and ideas; be open to using such techniques.

- It is important that the community owns the data and analysis documents, and it stays in the community as an ongoing reference point for future projects. With the community's permission, the facilitation team should make a set of copies of all the documents for the organisation's archives; leaving originals in the community.

Malawi: Leyla Kayere, aged 76, works her rice field. Photo: Abbie Trayler-Smith/Oxfam.

6. OTHER POINTS TO CONSIDER

SELECTING THE RELEVANT TOOLS

- The tools and resources presented in this toolkit are some of the important ones and if used properly, should yield useful results. They are, however, by no means a complete set of tools. Participatory methods (RRA, PRA, PLA, etc) have been developed and used for a wide range of purposes during the last few decades.

- Many participatory methods have been adapted to local situations and used according to local needs. The first task in conducting a PCVA process is to become informed about the range of relevant toolkits available, and review them. This should be followed by an examination of the tools and resources presented here, and a decision made as to which ones are most suitable for the particular context.

- If there are other tools that seem potentially useful, consider how they might be used in the PCVA. Do not follow this toolkit mechanically; apply judgement based on the local situation and its needs and thereby decide what may or may not work. Be open to using other tools and resources, and combine and balance these with those in this toolkit.

TRIANGULATION OF DATA

- Some of the tools in this toolkit provide analysis of similar issues in different ways (for example, Resource Map/ Hazard Map and Transect Walk; Historical Timeline and Long Term Trend Analysis). This allows cross-checking for inconsistencies in information, a process known as 'triangulation'.

- Other tools beyond this toolkit can be used to triangulate the information. Therefore, even if some of the tools seem repetitive, still use a number of tools to collect and analyse similar types of information, as this will give more accurate results.

- Triangulation can also be done by asking different groups about the various issues as they relate to the community. For example ask men about women's activities and vice versa.

- Also, conduct the same exercises with different groups that characterise the community (see Annex 1) – women and men, poor and wealthy, etc – which will allow a comparison of perceptions across the different groups.

- If resources allow, triangulate further by having different members of the facilitation team collect the same information independently and then cross-check.

INVOLVING LOCAL AUTHORITIES

- Although the PCVA is intended as a community-based exercise, in many places it can be difficult to carry out the work without the approval of local government authorities. While this can present a challenge, it can also be an opportunity. Firstly, local officials can be useful key informants and can contribute to the PCVA sessions on Governance Analysis and other local knowledge. Secondly, it may help to increase government understanding of local issues and create better linkages between the community to the government for support in implementation of community action plans.

UNDERSTANDING AND ADDRESSING THE ROOT CAUSES

- Be careful to understand the key differences between disasters and climate change impacts. Climate variability and weather fluctuations due to climate change can lead to extreme weather events, which can result in disasters, discussed above in the section on Key Climate Change and Disasters Concepts. However climate change is also gradually altering long-term seasonal patterns. Although this may not result in disasters directly, it can be a hazard in itself as it may affect agriculture and eco-systems based livelihoods, on which many communities are reliant.

- To understand future uncertainty (Stage 6), it will be necessary to identify hazards that may possibly be caused by climate change and/or could increase because of climate change in the future.

- Climate related changes (variable rainfall, increased heat or cold, etc) are often hard to separate from other factors causing change such as deforestation, urbanisation and population growth. Significant time and effort need to be given to find out all the changes affecting the community, to review secondary information and analyse with the community what the actual climate-related impacts are and other root factors that may be impacting communities.

- Similarly, infrastructure development can cause environmental problems (eg reduced water flow in a river due to a dam). Caution is necessary so that such effects are not confused with climate change impacts. However, there could be linkages; such developments combine with climate change and magnify impacts on communities. The PCVA should examine such changes that contribute to the community's vulnerability.

- The actual activities identified by the PCVA might be work being done already (tree planting, drought resistant crops, etc), but the analysis should be documented to identify any DRR activity that is being modified or expanded based on the climate change analysis. For example, a well might be built to store water in an area experiencing longer dry seasons. But if that area is also experiencing heavier rainfall during the wet season, building a check dam would regulate excess water flow. The well is a DRR measure and the check dam is a CCA measure. The PCVA should help identify such measures that link DRR and CCA for the community's action plans.

Sre Kosaing village, Cambodia: Villagers with a water level gauge installed as part of a disaster preparedness plan.
Photo: Sak Sivin/OxfamAUS.

7. GUIDANCE ON PCVA STAGES

This section provides guidance on each of the nine stages of the PCVA process. A set of instructions and requirements are listed first for each stage, followed by a table with an explanation of its purpose, the tasks required and questions to be answered, and the key related resources.

Stage 1 is about preparation for the PCVA and Stage 2 is concerned with supplementary secondary sources. Stages 3 to 8 comprise the main body of the PCVA, which include a series of activities to analyse various aspects of the community's capacity and vulnerability to climate change and disasters. Stage 9 is about completion and follow-up. The annexes following this section provide details on the specific tools required to carry out the PCVA process.

Lepo village, Timor-Leste: Secondary school student Juvita Soares in Lepo village where work is being undertaken to identify and act on the impacts of climate change. Photo: Timothy Herbert/OxfamAUS.

STAGE 1 – PREPARING FOR A PVCA

INSTRUCTIONS/REQUIREMENTS:

- It is important to be well prepared before starting the PCVA process. If done properly, PCVA can be an elaborate and detailed process requiring significant time and skill inputs, as well as funding. Adequate preparation prevents any disruption to and discontinuity of the sequence of the PCVA stages and ensures its smooth operation.

- A few key persons at management level within the organisation will need to oversee the PCVA process including budgeting, financial accountability, selection of facilitation team members, arranging training and review of reporting by the facilitation team. At this stage, the management staff will play the key role, in consultation with the facilitation team.

- Select the appropriate persons for the facilitation team. It is important that they have the right skills to conduct the PCVA – understanding of the local context, empathy for vulnerable and marginal groups, gender sensitivity, as well as ability for prolonged community engagement. The team leader should have significant experience in community level facilitation.

- The management staff should decide who will conduct the training/induction of facilitators. Whether the trainers can be drawn from within the organisation or consultants will be required should be assessed.

- Decide how much time this stage is likely to take. As a rough guide, within one month and the training of the facilitation team should not take more than 7 days.

- At the completion of this stage, the facilitation team will be staffed by suitably skilled members, both women and men, who will have strong understanding of the tools and techniques required for the PCVA process

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
Preparing for a PCVA	To prepare for conducting the PCVA	Define and develop Terms of Reference (ToR) for the process. Key considerations: • What will be the role of the facilitation team? • Will there be need for consultants to be part of the team or to support the team (eg in-situ training)? • Who in the team will be accountable for leadership and reporting? Select and train the facilitation team. Key considerations: • Who will provide the training (within the organisation or from outside)? • How many team members? • Gender balance and sensitivity? • Availability and time commitment? Allocate necessary resources and organise logistics. Key considerations: • Cost-effectiveness? • Time-frame? • Venue? • Material and equipment?	• This toolkit itself will be a key training resource. To use it as a training tool, PowerPoint presentations will need to be prepared and training exercises developed. • General Training of Trainers (ToT) toolkits, such as: Frankiewicz, C. and Parrott, L (2006) Participant's Manual: A Guide to Key Content and Resources: Training of Trainers. Kenya, MicroSave. **http://www.microsave.org/toolkit/training-of-trainers-toolkit** • Relevant Oxfam training resources, such as: Turvill, E. and Dios, H.B.D. (2009) Participatory Capacity and Vulnerability Analysis Training Pack. Oxford, Oxfam. **http://disastermanagementbangladesh.org/oxfam_tools/index.php**

STAGE 2 – COLLECTING SECONDARY INFORMATION

INSTRUCTIONS/REQUIREMENTS:

- Before staring the PCVA process, an extensive and thorough review of locally relevant secondary information will allow the facilitation team to gain the necessary background knowledge. This secondary information will also allow cross-checking and comparing of the information collected in the PCVA process.

- A comprehensive list is provided below, but not all the information might be available or even exist in many places. Attempt to collect as much as possible within the limitations of the situation.

- On the other hand, do not collect too much information which can lead to overload. Keep a focus on the project at hand and the level of information and detail required. Use judgement to screen information so that information relating directly to the context and the community is selected.

- Collate the information under a few key groupings: (a) Demographic, social and economic (including livelihoods information); (b) Environment and resources; (c) Disasters and hazards; (d) Climate change; (e) Development and poverty. This will allow linking the information to the key concerns of the PCVA.

- A system for collating, organising and filing information will need to be developed based on the groupings above. Decide who will be responsible for doing this and managing the system.

- Interpreting the information will be linked to how it relates to the community. Wider national level data will need to be interpreted at the scale of the community.

- The information might be in various forms – books, reports, policy documents, maps, etc. Each of these will have to be reviewed and interpreted differently, but with the common objective of understanding how it relates to the community.

- If it is a literate community, make a set of copies for the community so that it can be stored together with the PCVA outcomes. You may need to summarise or simplify information that is complex or technical, or convert into formats that are more accessible to community members.

- Establish key contact points at sources of secondary information. Use local knowledge and networks to identify the right people and sources. Make arrangements for getting permission if necessary to access and use the information..

- Divide the key tasks among the facilitation team – collecting, collating, interpreting – according to skill sets. Although all team members should have a level of involvement in all the tasks, dividing up the main roles will allow better utilisation of time and resources.

- Arrangements for making and funding photocopies will have to be made.

- Arrangements and funding for transport of data collection will have to be made.

- Decide how much time this stage is likely to take. Do not spend a significant amount of time on this stage, roughly a couple of weeks, so that more time can be allocated for the PCVA itself.

- At the end of this stage, the facilitation team should have a good understanding of the local context and how key issues relate to the community. The team should also have a collection of secondary resources to compare with the findings of the PCVA.

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
Preparing for a PCVA	To prepare for conducting the PCVA	Collect, compare and review information about local, regional and national level issues, such as: • Local demographic aspects – population density and growth trends, migration patterns, etc. • Community structure, including gender disaggregated information. Key aspects include male–female ratio, age groups, ethnicity and religion, culture and behaviour patterns.	Sources for national, regional and local data including: • National census and statistics offices. • Local, municipal and district government offices. • Resource centres of NGOs and UN agencies. • Local urban and regional development planning offices. • GIS and cartography offices for maps.

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
		• Livelihoods: Key local livelihoods, including gender disaggregated information. Information on home-based livelihoods and work by children and the elderly.	• Remote sensing offices for satellite photos and maps.
		• Environment: Both natural (topography, elevation, forest cover, water bodies, etc) and man-made (land-use patterns, agriculture, settlement patterns, infrastructure, etc).	• Meteorological offices and weather stations.
		• Natural resources: Water, soil, minerals, vegetation, forest, riverine and marine products.	• National and local libraries.
		• Disaster profile: Hazard types, frequency and intensity. Focus primarily on hydro-meteorological disasters, but if other disasters are significant in the area, those would also need to be taken into consideration.	• Civil sector forums. Key policy and strategy documents including: • National development plan, poverty reduction strategy paper.
		• Changes in weather patterns and resource availability: Local weather data and historical trends, and whether these have amplified recently. Pay particular attention to rainfall, heat, cold and dryness.	• National Adaptation Program of Action (NAPA), climate change target program or strategy paper.
		• Climate projections: Downscaled local climate change models, and national and local climate studies.	• National DRR platform. • Hyogo Framework of Action monitoring reports. • UNFCCC national communications.
		• Development plans, policies and strategies: National poverty reduction strategy papers, climate change strategies, disaster risk reduction policies, and urban and regional planning policy frameworks.	• Intergovernmental Panel on Climate Change (IPCC) assessment reports – regional chapters. • UNISDR campaigns.
		• Organisations working on DRR/CCA: Dedicated national line ministries and departments, key bi/multi-lateral programs, INGOs, local NGOs and CBOs. Focus on those that are most active in the area where the PCVA is being conducted.	• UNDP, UNOCHA or UN country office journal articles.

STAGE 3 – GENERATING A COMMUNITY OVERVIEW

INSTRUCTIONS/REQUIREMENTS:

(Most of the following also applies to subsequent Stages 4–8)

- This is a critical stage as it promotes a better understanding of the nature of the community, its environment and resources; serving as a stepping stone to an analysis of capacity and vulnerability. Time spent on this stage also helps to build and strengthen rapport with the community.

- Establish contact with the community and decide a date, time and place for an initial community meeting.

- For transparency and accountability, make sure that the community is aware of the nature and purpose of the PCVA process, and understand that the information will be used for action planning for CCA and DRR of the community. Spend as much time as necessary at the beginning so that the community is fully aware of this and there are no wrong expectations.

- Highlight that the participation of community members is voluntary and connected to strengthening capacity and reducing vulnerability within their own community, and the organisation does not have any vested interest. Explain that participants are free to withdraw at any stage of the PCVA, but it would be useful to discuss the reasons for that with the facilitation team.

- The team should be open to receiving any feedback, questions and complaints throughout the course of the PCVA, and explain that all effort will be made to address these to mutual satisfaction.

- Decide the location(s) where the PCVA process will be undertaken. If there is no community building, discuss and seek agreement on suitable places within the community.

- Collaboratively decide who and how many persons from the community will participate in the PCVA process.

- Ensure balanced representation (the participation of women, children and the elderly).

- If it is easier, the facilitation team can identify a list of specific questions to answer through this process, relevant to the community and the project/process the PVCA is connected to. This may help to maintain a focus, particularly if there are time limitations. However, this does not mean discussions led by community members should be stopped if they do not answer questions, rather they can act as a guide for facilitating discussions.

- Should involve sessions with a range of community members to triangulate the information gathered (see section 6 above). Depending on the local circumstances, triangulation might involve meeting separately with community leaders and then with specific groups (e.g. women and men, wealthy and rich, different livelihood groups, etc). It is always useful to identify key informants and have separate meetings with them.

- Finalise the schedule through discussion with the community according to suitability and availability of community members. Consider if people will have to take time off from work to take part in the PCVA and whether it can be scheduled for when they have free time. Consider if special provisions and associated funding will be required for women and other vulnerable groups to participate.

- Ensure provision and funding for equipment and stationery. Find out if these materials can be stored safely in the community during the duration of the PCVA. If these materials are not appropriate for the community, assess locally suitable materials (eg sticks to draw on the ground, stones, seeds, etc).

- Make arrangements and provide funding for local transport to the community. Find out if community participants will require funding for transport to attend the PCVA.

- Develop a system for collating, organising and filing information. Once again, distribute these tasks between the team.

- Decide how much time this stage will take and how much time to allocate for each session. Prepare a workshop-type agenda with time slots for different sessions. However, be flexible. It may not always be possible to stick to the schedule, so build in allowance for that in the schedule. As a rough estimate, a few days should be adequate, but will depend on a range of factors — time availability of community members, weather, previous assessments etc.

- Consider if there will be provision for lunches, tea/coffee and snacks, and related catering arrangements.

- At the completion of this stage, the facilitation team should have an understanding of how the community is structured, what groups exist within it and their relative significance. Knowledge should also be gained of the living patterns of the community, power structures, its environment, resources and infrastructure.

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
Generating a community overview	To generate a shared understanding of the community's composition, social and political structures, livelihoods and resources.	Organise community meeting to introduce purpose, process, who is involved and expectations of the community. Begin the PCVA process through participatory community engagement. Find out the following contextual information: • Gender and generational roles in the community. • Community power structures and hierarchies. • Which groups and organisations exist within the community, particularly with regards to CCA and DRR. • Which governmental, NGO and private sector institutions exist within the community, and what other external institutions do community members interact with. • What natural and physical resources are important to livelihoods, life and well-being in the community.	• Plate Diagram to show the composition of population groups (Annex 1). • Daily Time Chart to show how people spend their time over the course of a day (Annex 2). • Venn/Circle Diagram to show different actors in the community and how they interact (Annex 3). • Resource map to record information about natural and physical resources (Annex 4). • Transect walk to make observations about the community, its resources and infrastructure (Annex 5). This can also be a tool to look for evidence of past hazards and change, feeding into the work done in the next Stage 4.

INSTRUCTIONS/REQUIREMENTS:

- Much of the instructions/requirements for Stage 3 will also apply to this stage including those concerning gender balance, inclusion of vulnerable groups, flexibility, triangulation and logistics (timing, location, catering, etc).

- This is a key stage as it builds on the previous stages to focus on issues central to the PCVA, that is, capacity and vulnerability.

- At this stage it is important to go beyond only past hazards and disasters and identify changing climatic patterns. This can include changed rainfall and seasonal patterns, variation in river flows, saltwater intrusion, and other related changes such as fruit/vegetable ripening, insect infestation or bird migration.

- The secondary information collected in Stage 2 can be used to complement the discussions on community knowledge and experience on climate change and disasters.

- During this stage also observe and record evidence of hazards, if any — marks left by flooding indicating flood level, damaged houses, dry wells or fields, etc. The Transect Walk tool discussed in Stage 3 can be useful at this stage to look for evidence of past hazards and change.

- The participation of elderly community members, both women and men, is very important at this stage to get an understanding of the history of disasters and changed climatic patterns.

- If it is easier, the facilitation team can identify a list of specific questions to answer through this process, relevant to the community context and the project/process the PVCA is connected to. This may help to maintain a focus, particularly if there are time limitations. However, this does not mean discussions led by community members should be stopped if they do not answer questions, rather they can act as a guide for facilitating discussions.

- As this stage is central to the PCVA, devote adequate time to it. Although there are fewer exercises compared to some of the other sessions, spend sufficient time in the analysis and triangulation process. This stage can take up to one week.

- At the completion of this stage, the community should have a clearer understanding of its capacity and vulnerability and the facilitation team members should have an expanded understanding of the context and community in terms of its past and present hazards, weather and climatic patterns.

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
Analysis of hazards and stresses, and vulnerability and capacity	To enable community members to analyse different hazards and their stresses, and their vulnerability and capacity to deal with them.	Identify aspects of vulnerability being experienced in the community, discussing and collecting information on: • History of disasters in the area, and if patterns relating to these events have changed (and why). • Observations on other changes to climate conditions. • Other events, conditions or trends that the community feels unable to cope with or adapt to. • What the impact of such events and changes has been. • How communities (and different groups) have managed these events and changes. • Social, environmental or economic assets within the community that have been relied on. • Social, environmental or economic assets outside of the community that have been relied on.	• Hazard Map to record information about different types of hazards (Annex 4). • Seasonal Calendar for weather patterns during an annual cycle (Annex 6). • Historical Timeline to understand the broad history of disasters, and climatic trends over time (Annex 7). • Key informant interviews to find out about different social and livelihood groups in the community and their perceptions about vulnerability and capacity. Possibly specific members of the community may have better knowledge on the above issues (especially elderly persons) than the community members taking part in the PCVA. Seek the help of such people as key informants. • Hazard Map to record information about different types of hazards (Annex 4).

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
		• Experiences of household food security. • Groups living in poverty and the reasons for that (gender, disability, religion, ethnicity, etc). Build on the above information and find out more in-depth information on different types of hazards and stresses that impact on the community, and capacity within the community for resilience and adaptation. Explore beyond the obvious and try to reveal hidden strengths and potential resources.	• Seasonal Calendar for weather patterns during an annual cycle (Annex 6). • Historical Timeline to understand the broad history of disasters, and climatic trends over time (Annex 7). • Key informant interviews to find out about different social and livelihood groups in the community and their perceptions about vulnerability and capacity. Possibly specific members of the community may have better knowledge on the above issues (especially elderly persons) than the community members taking part in the PCVA. Seek the help of such people as key informants.

STAGE 5 — ANALYSIS OF LIVELIHOODS

INSTRUCTIONS/REQUIREMENTS:

- Much of the instructions/requirements for Stage 3 will also apply to this stage including those concerning gender balance, inclusion of vulnerable groups, flexibility, triangulation and logistics (timing, location, catering, etc).

- This stage is important as it will allow a better understanding of the impacts of disasters and climate change on livelihoods in the community. Particularly in poor and marginal communities, livelihoods are crucial and highly vulnerable to hazards and weather fluctuations. It is therefore very important to include such information in the development of community action plans.

- However a focus on livelihoods should not exclude discussion on other issues important to the community. Additional tools/activities can be undertaken to analyse other sectors such as health, WASH or natural resource management.

- Discussions on livelihoods, income and poverty can be sensitive. Respect local sensitivities and the values of the PCVA participants and other community members.

- In some cases, it might be useful to make site visits to places where people work. With permission record the details of such work places with photographs as future reference material.

- The Transect Walk tool can also be useful to know about the places where people work and the important livelihood areas of the community.

- Ensure that the analysis of livelihoods is disaggregated by gender. Explore the involvement of children and the elderly in livelihood activities.

- This is a relatively focused stage and should require up to a few days to complete, and can be undertaken in conjunction with Stage 4.

- At the end of the stage the facilitation team should know what the main livelihoods are in the community, how they are vulnerable and what potential exists for increasing capacity. For the community, the analysis should assist not only in understanding the vulnerability of their livelihoods, but also what underlying strengths exist in the community that can reduce risks and facilitate adaptation of livelihoods to present (and future) hazards and climate change.

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
Analysis of livelihoods	To identify socio-economic characteristics of groups in the community and understand their resources for resilience to climate change and disasters.	• Take into account information already collected, particularly in Stages 2 and 3, and discuss further and collect more information to complete a livelihoods analysis: • Main livelihood groups within the community and what cycles they follow. • What other external agents are involved in the livelihood groups (e.g. markets, transport, input providers). • Which groups or livelihoods are more economically vulnerable or unable to cope with hazards or stresses (eg women). • Positive and negative coping strategies. • Key constraints and opportunities faced by each vulnerable livelihood group. • Whether livelihoods are being affected by longer term changes (eg weather patterns and climate), which will need to be explored more. • Where community members might seek support in developing their livelihoods. • Alternative livelihood opportunities. • Gaps and opportunities in relation to external institutions which affect livelihoods.	• Seasonal Calendar to identify livelihood activities during the year (Annex 6). • Ranking through focus group discussions to identify key poor and vulnerable livelihood groups (Annex 8). Also cross-refer to information collected in Stage 3 and Stage 4. • Key informant interviews or group interviews representing different vulnerable livelihood groups. If it proves convenient, combine these interviews with key informant interviews of Stage 4.

INSTRUCTIONS/REQUIREMENTS:

- Much of the instructions/requirements for Stage 3 will also apply to this stage including those concerning gender balance, inclusion of vulnerable groups, flexibility, triangulation and logistics (timing, location, catering, etc).

- This is an important stage as it should reveal long term issues affecting the community, especially climate change. Though efforts should be made to understand climate change impacts, because of discussions on disasters as well, less scope for discussion on long term impacts of climate change might be available. In this stage more focused attention can be given.

- In Stage 4, some of the key issues regarding climate change should have been discussed. In this stage, discuss them further to explore how these changes are contributing to future uncertainty.

- The discussions in this stage will elaborate on the impacts of hazards and climate change, and highlight the various strands that contribute to risk facing the community.

- At this stage, the secondary information collected in Stage 2 can be particularly useful. It will allow cross-checking and analysing consistencies or inconsistencies of the community's observations and experiences of climate change with scientific data.

- Spend time on finding out all the changes affecting the community, review the secondary information collected in Stage 2 and analyse with the community what the actual climate change impacts are, distinct from other factors (urbanisation, population growth, infrastructure, etc).

- Include investigation of how the community currently accesses new knowledge and resources, and what has worked successfully. Focus specifically on knowledge related to climate and hazards data.

- The participation of elderly community members, both women and men, is important at this stage to get an understanding of historical patterns.

- In some cases, it might be necessary to involve some people from outside the community, such as local government officials or local NGOs/CBOs, to get a good understanding of the knowledge networks in the area and how the community might be able to access them.

- For the storytelling sessions, explore if this can be done informally. Be innovative – spend time in the community and interact casually after work hours, in local teahouses or restaurants, or share meals, or other such informal activities.

- As by this time significant groundwork has already been done, the analysis at this stage can be focused and completed within a few days.

- At the completion of this stage, both the facilitation team and the community participants will have an understanding of the long term trends (including climate change) relating to the community. It will also identify the sources of scientific and technical information and how such information can be merged with community knowledge for an adequate analysis of possible future impacts on the community.

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
Analysis of future uncertainty	To understand significant changes over time that are contributing to people's vulnerability, and how they could build resilience and adaptive capacity.	Taking into account information already gathered, further explore future uncertainty and possible impacts on the community. Identify: • long terms trends including climate change affecting the community. • how changes may affect women and men differently. • how people understand the causes of these trends or changes. • how people access (or don't) relevant and timely information to help them reduce risk or adapt. • how people are adapting to change now, and what resources they have for adaptation. • whether they feel confident about their ability to adapt to future changes.	• Long Term Trend Analysis to explore historical patterns of issues that affect development (Annex 9). • Knowledge Network Mapping to explore different sources of information relating to climate change or other trends (Annex 10). • Storytelling and discussion to allow people to share experiences of how their livelihoods have been impacted by trends. • Review of secondary scientific information to analyse consistencies or inconsistencies of the community's observations and thereby synthesising the two strands.

STAGE 7 — GOVERNANCE ANALYSIS

INSTRUCTIONS/REQUIREMENTS:

- Much of the instructions/requirements for Stage 3 will also apply to this stage including those concerning gender balance, inclusion of vulnerable groups, flexibility, triangulation and logistics (timing, location, catering, etc).

- The importance of this stage lies in the possibility of achieving clarity on the connections of the community with governance structures, in order that rights and entitlements are understood and channels for advocacy identified.

- Discussions on governance can sometimes be sensitive depending on the political situation in the country. The community can also be divided along political lines. Local government representatives may want to participate in or observe the PCVA. This stage requires a careful assessment of the local situation and interpreting the analysis accordingly.

- Local government officials can often be useful key informants for this stage. Sometimes approval by local authorities for conducting the PCVA might be required; involving them in some sessions, or as key informants, can ensure their cooperation and support.

- Similarly, local NGOs/CBOs might be active in the area and have strong connections with the community. Some of them might be involved in advocacy for the community. Seek to gain their inputs as key informants and in some sessions in this stage.

- Governance should consider both government and traditional/local leadership and power structures. Consider both female and male structures. Analyse local patronage links and power networks.

- Understand the legal obligations and responsibilities of different governance structures and what the community is entitled to and what its rights are. The secondary information collected in Stage 2, particularly regarding national policies on DRR/CCA and poverty, can be utilised to enable the community to analyse their rights and entitlements.

- Seek the participation of local traders for the market mapping sessions.

- Market mapping might not be applicable to all contexts. In a community where trading or farming is of less significance this tool is not relevant.

- Spend up to a day on this stage.

- After completing this stage, all participants should have an understanding of the community's linkages with different external and internal governance and institutional structures, including markets, and how such linkages can contribute to DRR and CCA.

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
Governance analysis	To understand the roles played by different organisations both within and outside the community, how accessible they are, and how they are contributing to improvements in the community.	Using the information gathered and issues raised in previous stages (especially Stages 2 and 3) identify: • what agencies, organisations, community or governance structures exist within the area and how do communities interact with them? • what governance structures (and policies) have responsibilities for supporting communities in DRR, CCA or livelihoods (or other relevant sectors)? • which organisations, policies and processes are contributing to the occurrence of hazards, exposure to hazards, livelihood vulnerability, or future uncertainty? • which organisations, policies or processes could (or have) strengthen livelihoods security and diversification, support disaster risk reduction efforts and/or adaptive capacity? How? • what constraints and opportunities exist for improving the governance situation? • what are the effective channels for advocacy and lobbying for support to DRR and CCA? What has worked in the past and what could be strengthened?	• Problem Tree to identify policy and institutional blockages that may underline a particular problem (Annex 11). • Institutional Mapping to map different institutional service providers (Annex 10; Annex 3). • Market Mapping to identify different market chain actors to identify bottlenecks and opportunities (Annex 12). • Interviews with key informants to provide further insight into institutional limitations and opportunities. Can be combined with interviews of Stages 4 and 5, if convenient.

STAGE 8 — PRIORITISATION AND ACTION PLAN

INSTRUCTIONS/REQUIREMENTS:

- Much of the instructions/requirements for Stage 3 will also apply to this stage including those concerning gender balance, inclusion of vulnerable groups, flexibility, triangulation and logistics (timing, location, catering, etc).

- This is a conclusive stage of the PCVA process, where the information from previous stages are synthesised with the objective of developing community action plans. The PCVA is not a standalone process, but part of a sequence of activities that are eventually translated into action. This stage is important for understanding how the work done so far can lead to concrete actions.

- Before beginning this stage it will be necessary to review what has been done, feeding back information gathered and analysed to the community to ensure all participants are aware of, and understand, its implications. Triangulate this review with different community groups, so that gaps in understanding can be identified and addressed. This will promote agreement on the accuracy and usefulness of the information before initiating the action planning.

- Different members within the community may have different priorities, and hazards may affect them differently. Therefore Hazard Ranking can be a sensitive exercise. Use triangulation as a way of understanding the differences and then develop plans that most community members agree would benefit the community as a whole.

- Key element to discuss at this stage is who will take ownership of the action plan and be accountable for implementing it. The need to articulate who from the community will be involved in implementing the action plan (and what role the organisation facilitating the PCVA will have in the action plan) is also required.

- Need to ensure that together with past hazards and current risks, future anticipated slow onset climate change impacts are also addressed in the action plans.

- As this is a crucial planning stage and various priorities and agendas within the community would have to be taken into consideration, it might require a lot of discussion, time and sensitivity. This could take several days.

- At the completion of this stage, the community should have an implementable community action plan with clearly outlined roles within the community and of the organisation.

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
Prioritisation and action plan	To prioritise issues identified for inclusion in action plan.	Using the information gathered in the previous stages identify: • which hazards and stresses present the highest risk to the community? This should include different groups within the community (women, young people, people with disabilities, elderly etc) • which hazards and stresses the community would like to address (present and future) as a result? • how the community would like to address prioritised hazards and stresses (present and future)? • how they would like to manage risk and uncertainty? • how they would like to address the underlying causes of vulnerability and increase adaptive capacity?	• Risk Quadrant to develop a common understanding of risk and to compare different sources of risk (Annex 13). • Ranking to identify key hazards and stresses community member would like to address (Annex 8). • Validity Quadrant to develop a common understanding of the effectiveness and sustainability of different strategies selected (Annex 13). • Solution tree and Tree Pruning (Annex 11) to identify key actions to be included in action plan.

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
		Undertake to record this information into an action plan: • Direct actions and who is/are responsible. • Indirect actions and who is/are responsible. • When actions will take place. • What resources they require (community, other). • Costs. Present draft action plan to community assembly to discuss and agree upon: • Establishment of adaptation and risk reduction committee (balanced male/female representation) • Briefings with stakeholders to take forward actions.	• Wall plan, impact chain or log frame to record key interventions planned (Annex 14).

STAGE 9 — FINALISING THE PCVA PROCESS

INSTRUCTIONS/REQUIREMENTS:

- Need to be clear what information the community wants and if there is any additional information they want access to.

- It is important at this stage to highlight continuity in terms of follow up and possible support for implementing the action plans.

- Need to establish focal persons in both the facilitation team and community who will lead future liaison and follow-ups.

- Spend a day or two on this wrap-up stage, but build in extra time for follow-up activity.

- At the completion of this stage, the community should know how to approach the organisation in the future and access any further information if necessary.

- You may want to consider a celebration/event to celebrate the completion of the PVCA and to showcase the new community plans.

STAGE	PURPOSE	TASKS AND QUESTIONS	TOOLS AND RESOURCES
Finalising the PCVA process	To finalise the PCVA process and set in place follow-up actions.	Prior to departing the team should: • Establish a liaison group within the community and a system for communication. • Agree on a process to compile the PCVA outputs, prepare a report and share it. • Arrange follow up meeting(s) with the community. • Compile a report on the PCVA process including of community action plan to be implemented.	• Email list, written contact group and/or organisational chart. • Report template.

8. ANNEXES

ANNEX 1: PLATE/CIRCLE DIAGRAM OR PIE CHART

Plate or Circle Diagrams (also called Pie charts) are used for comparisons of a small number of categories (see Fig. 4, right). Using more than five categories can make a Plate Diagram difficult to read. It is very important to label the slices to make the comparison easier. The slices should be also coloured or shaded differently for easier comparison.

Discuss with the participants what the key different groups in the community are. This can be along the lines of gender, age, religion, ethnicity or any other grouping that they think characterises their community.

Explain the Plate Diagram using an illustration and ask participants to draw such a diagram using the categories they suggested. Remember to mention that the proportions do not have to be exact, but can be approximate.

Divide the participants into groups of 4–5 per group, taking care that each group represents a balance in gender, age, etc. Once the Plate Diagrams are completed, have an open discussion and compare them to arrive at a final diagram.

ANNEX 2: DAILY TIME CHART

A Daily Time Chart (see Fig. 5, below) allows collecting information on the daily activity patterns of community members and to compare the patterns of different
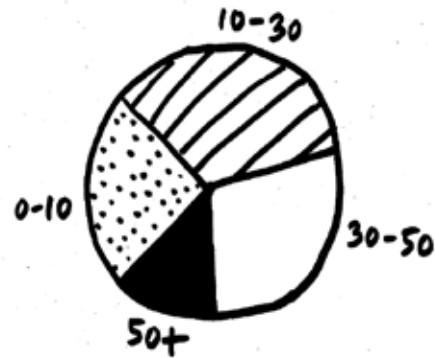
Fig. 4: Example of a Plate Diagram showing age groups in a community

groups in the community (women, men, old, employed, unemployed, etc). Based on the Plate Diagram, Daily Time Charts to be prepared for each group identified as important in the community through discussions with each group.

If the participants find it difficult to easily identify general patterns, individual Daily Time Charts should be made and then compiled into a general one for the group.

Do remember that this does not have to be perfect. The aim should be to understand the overall general pattern. Focus on what is important and do not make the diagram too complex. Facilitate the discussion to make the participants concentrate on the general pattern of time allocation to different activities and use of the time.
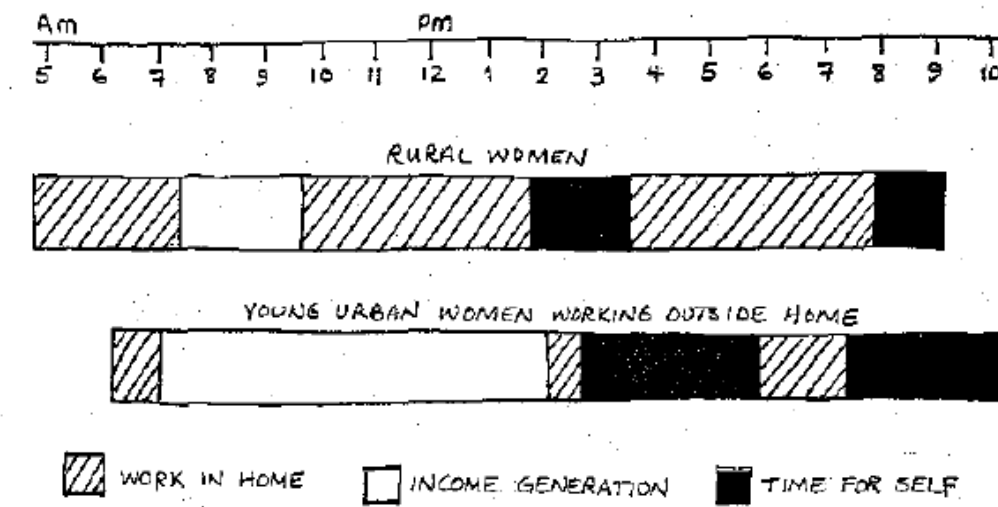
Fig. 5: Example of a Daily Time Chart of women's activities in the Gaza Strip (from Theis and Grady 1991)

ANNEX 3: VENN DIAGRAM

A Venn or Circle Diagram (Fig. 6) shows the key institutions in a community and their importance and relationships. Discuss with participants and identify the key institutions in their community and also those that have a relationship with the community. Identify the degree of contact and overlap between the institutions and with the community in terms of decision-making or services delivery.

Follow the basic guide: Separate circles = no contact; Touching circles = information passes between the institutions and/or to the community; Small overlap = some cooperation; Large overlap = significant cooperation. Most important institutions should be drawn as the largest circles and less important ones as smaller circles.

Venn Diagrams might be difficult for those not familiar to them, so draw a simple example. Draw the diagram in pencil first and adjust the size and arrangement until participants are satisfied.

Fig. 7: Example of a Resource Map using symbols to show natural and human-made features of an area in Kenya (from Kalibo and Medley 2007)

ANNEX 4: RESOURCE MAP/ HAZARD MAP

A Resource Map (Fig. 7, above) is prepared by a community to provide an understanding of which places and resources are used for what purposes in their locality. A simple sketch map with hand-drawn symbols is the most common type, but communities can also be trained to use more sophisticated methods such as the use of a GPS. Do not look for accuracy as such maps typically are not to scale. The Resource Map is mainly used to indicate the spatial layout and accessibility of the community's natural and physical resources and features, and their inter-relationships.

Similarly, a Hazard Map (Fig. 8, below) of the community can be prepared. First plot the main features of the area such as houses, community buildings, fields, natural features, etc. Once again, exact details are not necessary. For example, not all the houses have to be mapped, only the area where the houses are located, using the symbol for a house. Then identify the hazards and which areas and resources are the most affected.

Fig. 6: Example of a Venn Diagram showing water use/control in Sudan (from Theis and Grady 1991)

Fig. 8: Example of a Hazard Map in a village in Ghana (Daze et al 2009)

ANNEX 5: TRANSECT WALK

A Transect Walk is a diagram of main land-use zones in an area. It complements a Resource Map by comparing the main features, resources, uses and problems of different zones.

Walk with community participants through their area and surroundings and discuss the characteristics of each zone. After returning from the walk, work with the participants to prepare the transect walk diagram, as shown in below in Fig. 9 (right). Ask participants to use symbols that they are familiar with, as in the Resource Map. A Transect Walk can also be used to complement a Hazard Map.

ANNEX 6: SEASONAL CALENDAR

A Transect Walk is a diagram of main land-use zones in an area. It complements a Resource Map by comparing the main features, resources, uses and problems of different zones.

Walk with community participants through their area and surroundings and discuss the characteristics of each zone. After returning from the walk, work with the participants to prepare the transect walk diagram, as shown in below in Fig. 10 (below). Ask participants to use symbols that they are familiar with, as in the Resource Map. A Transect Walk can also be used to complement a Hazard Map.
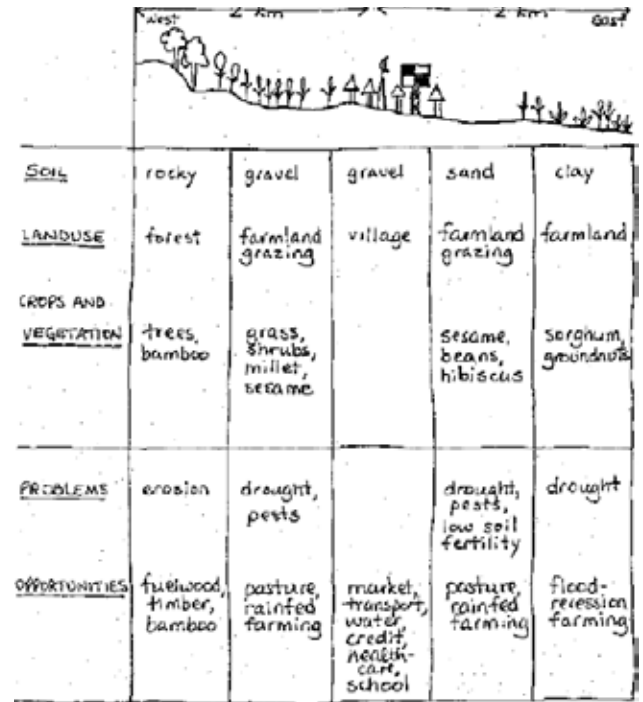
Fig. 9: Example of a Transect Walk diagram from a village in Sudan (from Theis and Grady 1991)
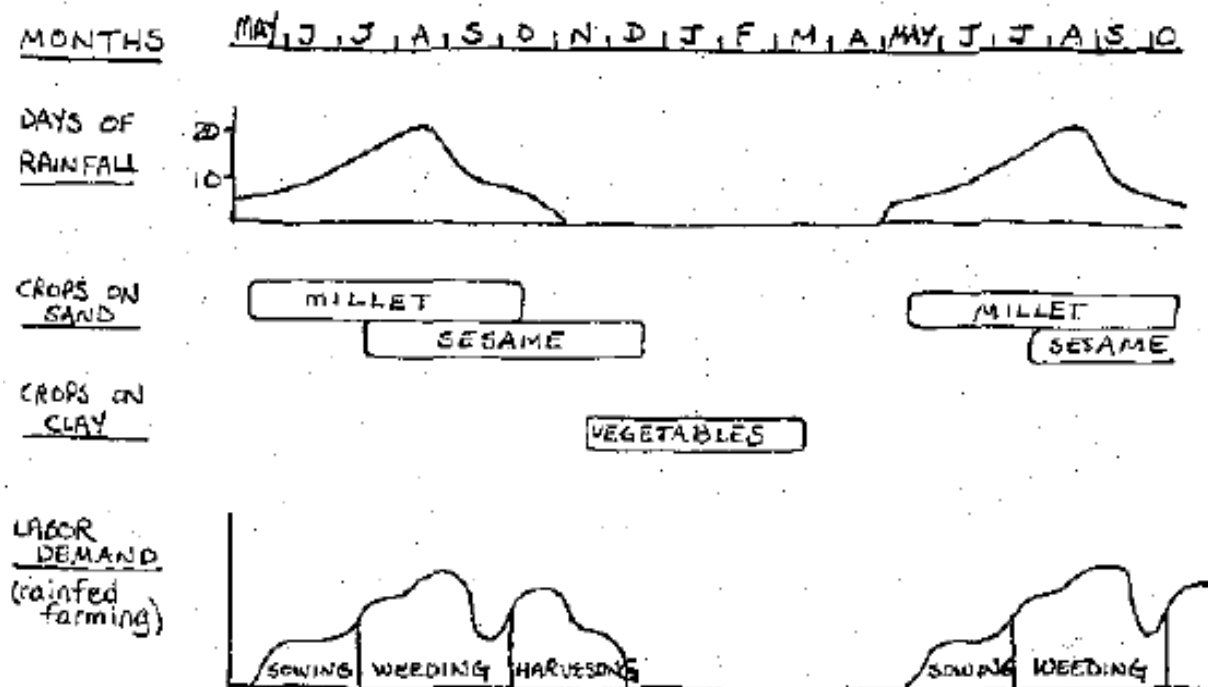
Fig. 10: Example of a Seasonal Calendar from a village in Sudan showing rainfall, crop patterns and labour demand (from Theis and Grady 1991)

ANNEX 7: HISTORICAL TIMELINE

A Historical Timeline (Fig. 11) reveals information for understanding the present situation in a community. It allows insight into past hazards and changes in their nature and intensity, and how they have resulted into the current situation.

Ask the participants to list major events and disasters in chronological order. Events that may have contributed to vulnerability or capacity, such as change in government or major political events, should also be listed. Seek the help of key informants such as elderly members of the community.
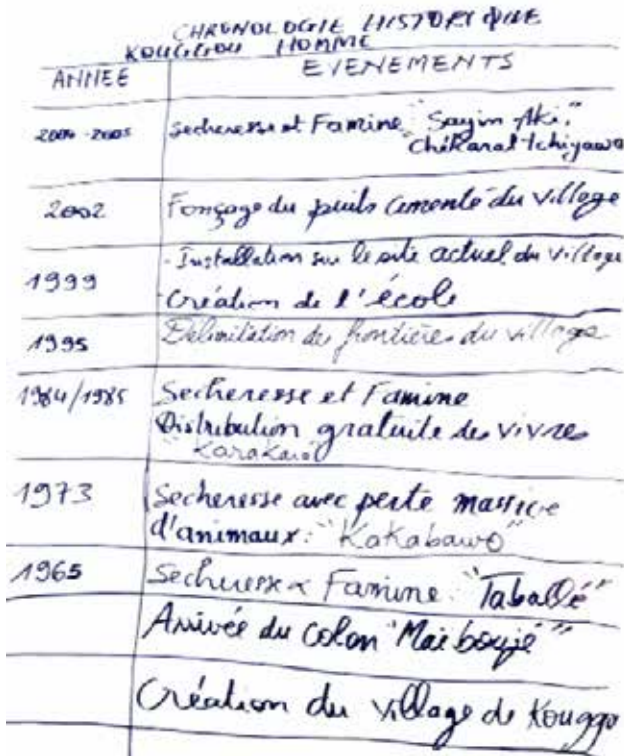
Fig. 11: Example of a Historical Timeline prepared in Niger showing events such as famines gradually weakening the community (Daze et al 2009)

ANNEX 8: RANKING

Ranking of wealth or wellbeing can be elaborate when used for poverty alleviation programs. For the PCVA, a simple ranking of different livelihood groups should be done to understand vulnerability.

In consultation with the participants, decide on a few main wealth groups (see Fig. 12 for an example). This can also be based on the findings of the Plate Diagram (Annex 1). Allocate a number to each household in the community and write each number on separate cards. Divide participants into three or more groups and ask each group separately to order the cards into the different wealth groups. Use separate baskets or boxes to sort the cards according to each wealth group.

Compile the findings from the different participant groups into one ranking table. Seek the help of key informants if the ranking between the groups vary too much and also validate by observing the living conditions of the different households. Note the criteria used by the participants for ranking (see Fig. 12).

Criteria	Poorest of the Poor	Poor	Better off Poor
House	Cottage (9-24 m²)	Wooden house with leaf wall and roof (25-45 m²)	Wooden house with leaf wall and zinc roof (48-60 m²)
Draft animals	None	1-2	2-4
Cattle	None	1	2-3
Pig	None	1	2
Poultry	2-5	6-10	More than 10
Agricultural land (ha)	None	0.25ha	0.5 ha
Home land (m2)	20-100 m²	101-300 m²	301- 500 m²
Main source of income	Sell labor	Rice production and sell labor	Rice production
Other source of income	None or non-timber	Farming and non-timber	Farming and non-timber
Food	Lack of food 7-10 months	Lack of food 3 - 6 months	Just enough food

Fig. 12: Example of a Ranking of well-being in Cambodia (CWS 2010)

Hazard Ranking can be done similarly, listing hazards affecting the community from the most severe hazards to less severe ones.

ANNEX 9: LONG TERM TREND ANALYSIS

A Long Term Trend Analysis can be done using the findings of the Daily Time Chart (Annex 2), Seasonal Calendar (Annex 6) and Historical Timeline (Annex 7). For the PCVA, this tool is used to understand future uncertainty, particularly climate change, based on past trends.

Participants should be asked to analyse what the root causes of the changes are and how they vary between different wealth/ social groups within the community. Having analysed important historical trends, participants can then be asked what changes they expect to take place over the next 10–15 years or so. Using familiar symbols, the analysis can be compiled into a diagram as a series of pictures showing the nature of change (see Fig. 13 below).
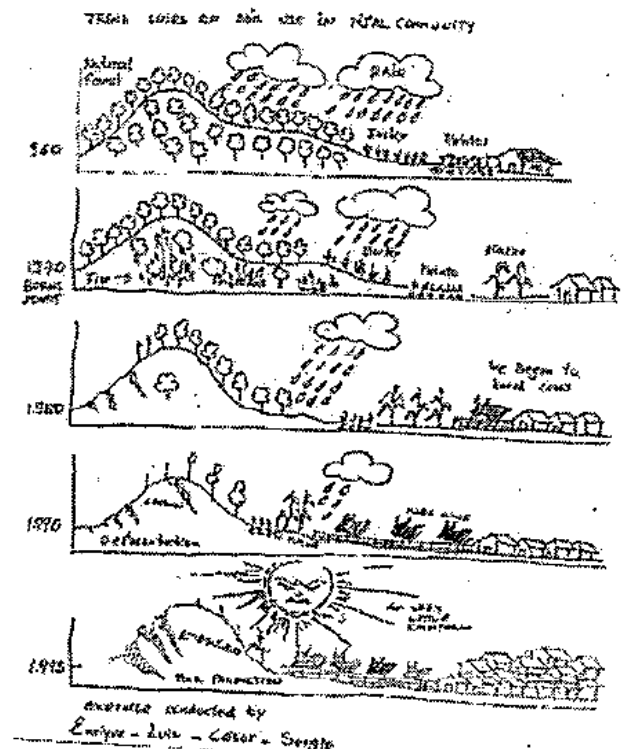

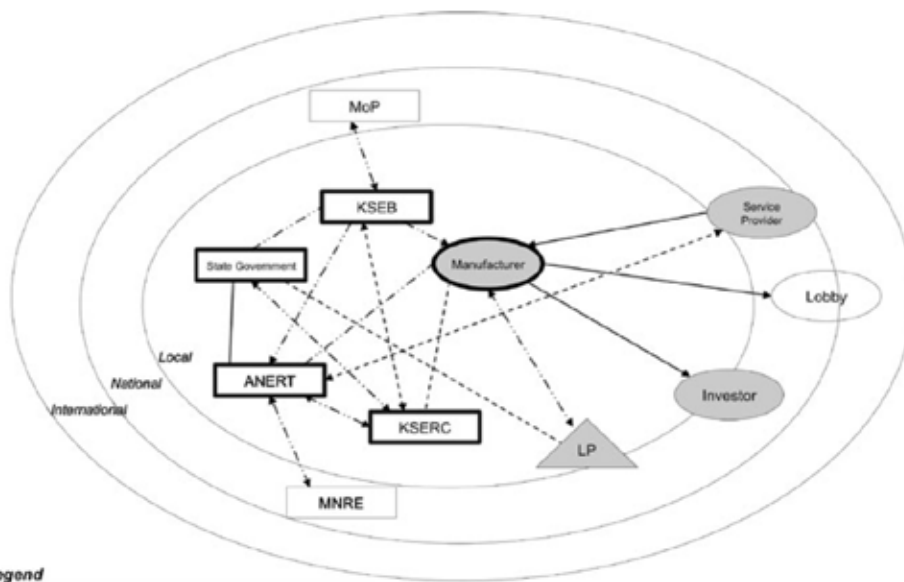Fig. 13: Example of a Long Term Trend Analysis (CIDT 2001)

Fig. 14: Example of a Network Map from India showing different types of links between various groups by using different types of lines (Benecke 2011)

ANNEX 10: KNOWLEDGE NETWORK MAPPING

With participants, list the knowledge sources on climate change and disasters within the community and outside within and external to the community. These can be organisations, social groups, households and/or individuals.

Draw a diagram with these sources represented as circles or some other shape and label them (Fig. 14, above). Place the sources within the community inside an inner circle and the others outside the circle. Use different types of lines to connect the sources (such as dotted, thick, thin, etc) or use different colours to represent strong to weak connections or networks between them. The direction of the arrows can be used to indicate direction of knowledge flow.

Knowledge Network Mapping can also be done using a Venn Diagram (see Annex 3). A technique similar to Knowledge Network Mapping or a Venn Diagram can be used for Institutional Mapping to identify key institutional service providers and connections between them and links to the community.

ANNEX 11: PROBLEM/SOLUTION TREE & TREE PRUNING

The Problem Tree shows the relationships between different aspects of a problem. It allows understanding of the root causes of the problem and the consequences. It helps to develop actions to address the root causes of vulnerability, in the case of the PCVA, to disasters and climate change.

Give participants small pieces of paper and ask them to write one major problem relating to disasters and/or climate change. Then group the problems according to similarity. Then draw the Problem Tree – the trunk represents the problems, the roots the causes and the leaves the effects. Identify institutional and policy blockages.

In the same way, a Solution Tree can be produced.

Here instead of problems, list the solutions. The trunk represents the solutions; the roots are the actions for implementing the solutions and the leaves the results of the actions.

Tree Pruning can be used to further define the Solution Tree. Remove the leaves and roots that represent problems that would be impossible to address in the short term. Keep the leaves and roots that can be addressed through feasible action plans.
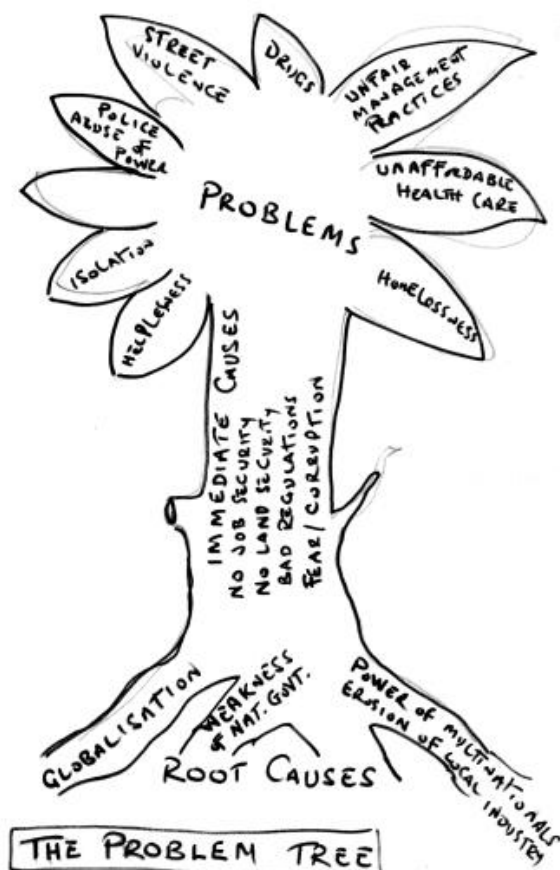

Fig. 15: Example of a Problem Tree to analyse social problems (Community Media undated)

ANNEX 12: MARKET MAPPING

Market Mapping allows small-scale farmers, traders or producers to make action plans to access markets and sell their products. This can reduce economic vulnerability and increase capacity of community members.

As in the Knowledge Network Mapping (Annex 10) first create a diagram of the main actors of the market supply chain of a particular product important in the community and identify their relationships (see Fig. 16, below). At a later session, include as many representatives from these actors as possible and discuss to identify barriers, and 'win-win' solutions agreeable to all the actors. Then develop an action plan to overcome the barriers and move the solutions forward.

ANNEX 13: RISK QUADRANT

Use information from the Hazard Map (Annex 4) and Hazard Ranking (Annex 8), and also the Historical Timeline (Annex 7). The hazards affecting the community can be displayed in a Risk Quadrant or Matrix to understand risk in terms of impact and probability (Fig. 14).

Draw a four-quadrant matrix as shown in Fig. 17 (right). Ask the participants to list the hazards that are most likely and can have high impact in the top right box. Hazards that can have high impact, but low likelihood should be listed in the top left box. Less likely and low impact hazards should be listed in the bottom left box. Hazards that are very likely, but having low impact
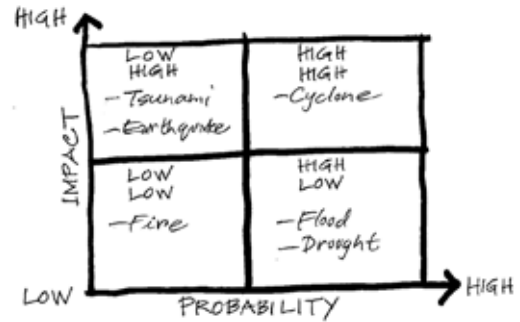

Fig. 17: Example of a Risk Quadrant

should be listed in the bottom right box. This allows analysing which hazards pose most risk and hence should be prioritised for action.

A guide to develop risk reduction action plans based on the Risk Quadrant can be as follows: High–High – work actively to prevent these hazards; Low–Low – keep a watch-out; High–Low – reduce likelihood of impact; Low–High – be prepared for this to happen.

Similarly, a Validity Quadrant can be made. Here plot the different ARR action plans or strategies according to effectiveness and sustainability in four boxes. Strategies in the High (effectiveness) – High (sustainability) box should be prioritised, while those in the Low–Low box can be considered for action much later in the future.
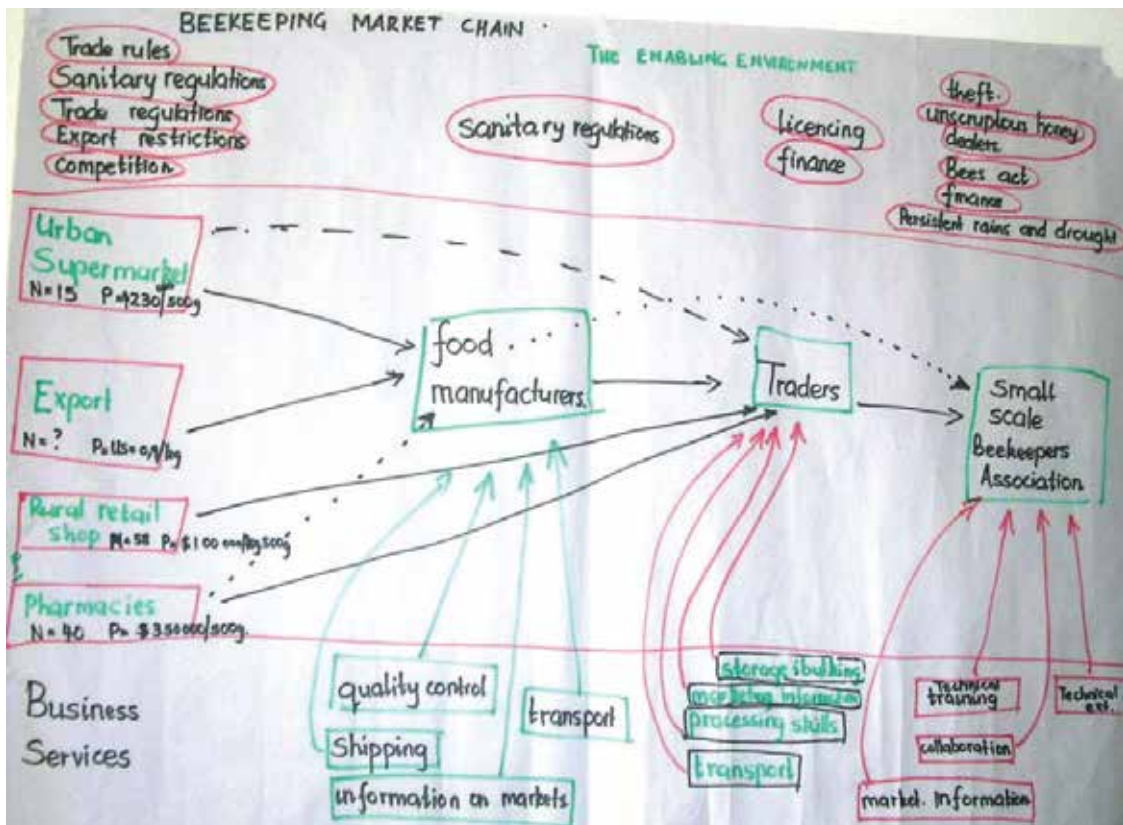

Fig. 16: Example of Market Mapping for bee products in Nepal (Practical Action 2008)

ANNEX 14: WALL PLAN/ IMPACT CHAIN/ LOG FRAME

There are various project management tools and the action plan developed through the PCVA process will have to utilise such a tool to monitor progress and measure its impact.

A simple Wall Plan involves listing the action plan or project timeline on a series of large sheets of paper fixed to the wall of the project office or the place in the community from where the project is being managed. It should indicate regular milestones for reviewing progress and developing actions to keep progress on track. An Impact Chain is another such tool. It answers a key question, "What do we want to achieve?" according to resources, activities, output, usage/ target group and impact.

The Log Frame (Fig. 15) is a more sophisticated tool, and although it can be effective, it requires substantial training to understand and use it. The Log Frame should be used right from the beginning of project design. It allows defining what the project will do, and produce, its objectives and assumptions, and how the project's impact will be measured, monitored and evaluated.

Activity Description	Indicators	Means of Verification	Assumptions
Goal or Impact – The long term development impact (policy goal) that the activity contributes at a national or sectoral level	How the achievement will be measured – including appropriate targets (quantity, quality and time)	Sources of information on the Goal indicator(s) – including who will collect it and how often	
Purpose or Outcome – The medium term result(s) that the activity aims to achieve – in terms of benefits to target groups	How the achievement of the Purpose will be measured – including appropriate targets (quantity, quality and time)	Sources of information on the Purpose indicator(s) – including who will collect it and how often	Assumptions concerning the Purpose to Goal linkage
Component Objectives or Intermediate Results – This level in the objectives or results hierarchy can be used to provide a clear link between outputs and outcomes (particularly for larger multi-component activities)	How the achievement of the Component Objectives will be measured – including appropriate targets (quantity, quality and time)	Sources of information on the Component Objectives indicator(s) – including who will collect it and how often	Assumptions concerning the Component Objective to Output linkage
Outputs – The tangible products or services that the activity will deliver	How the achievement of the Outputs will be measured – including appropriate targets (quantity, quality and time)	Sources of information on the Output indicator(s) – including who will collect it and how often	Assumptions concerning the Output to Component Objective linkage

Fig. 18: Example of a Log Frame matrix (AusAID 2005)

9. KEY RESOURCES AND REFERENCES

RESOURCES AND FURTHER INFORMATION

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