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# Tools and indicators for community-based assessments

Strengthening Urban Climate Governance Project  
(SUCCESS)  
Activity 1.2



# This presentation

1. Tools and indicators for assessments
  - i. Sustainable Livelihoods Framework (SLF)
  - ii. Urban Climate Resilience Framework (UCRF)
  - iii. UN-ISDR Self-Assessment Tool (LG-SAT)

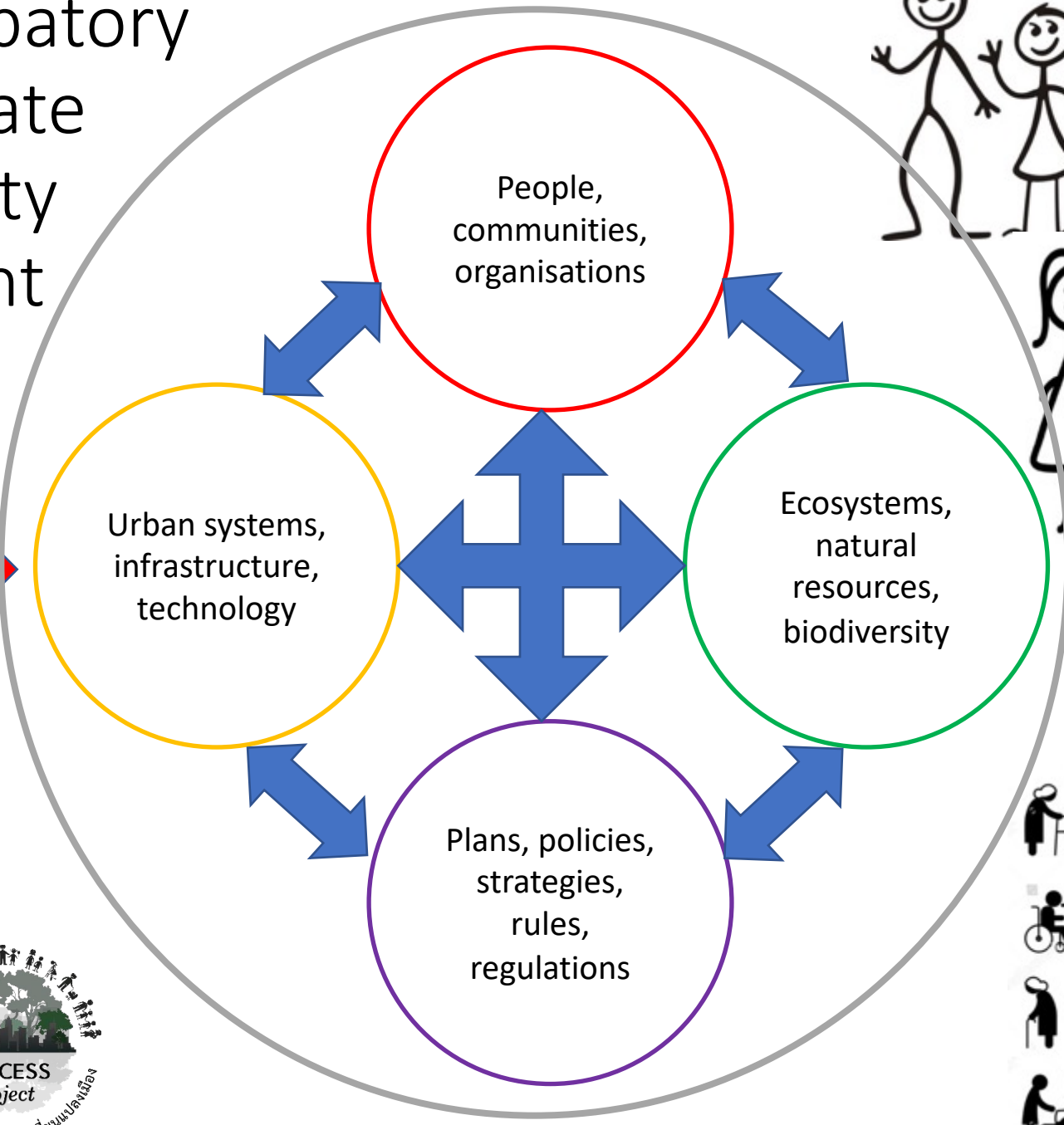


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# Step 3 –Participatory Urban Climate Vulnerability Assessment

Crises  
Shocks  
Disasters  
Climate impacts

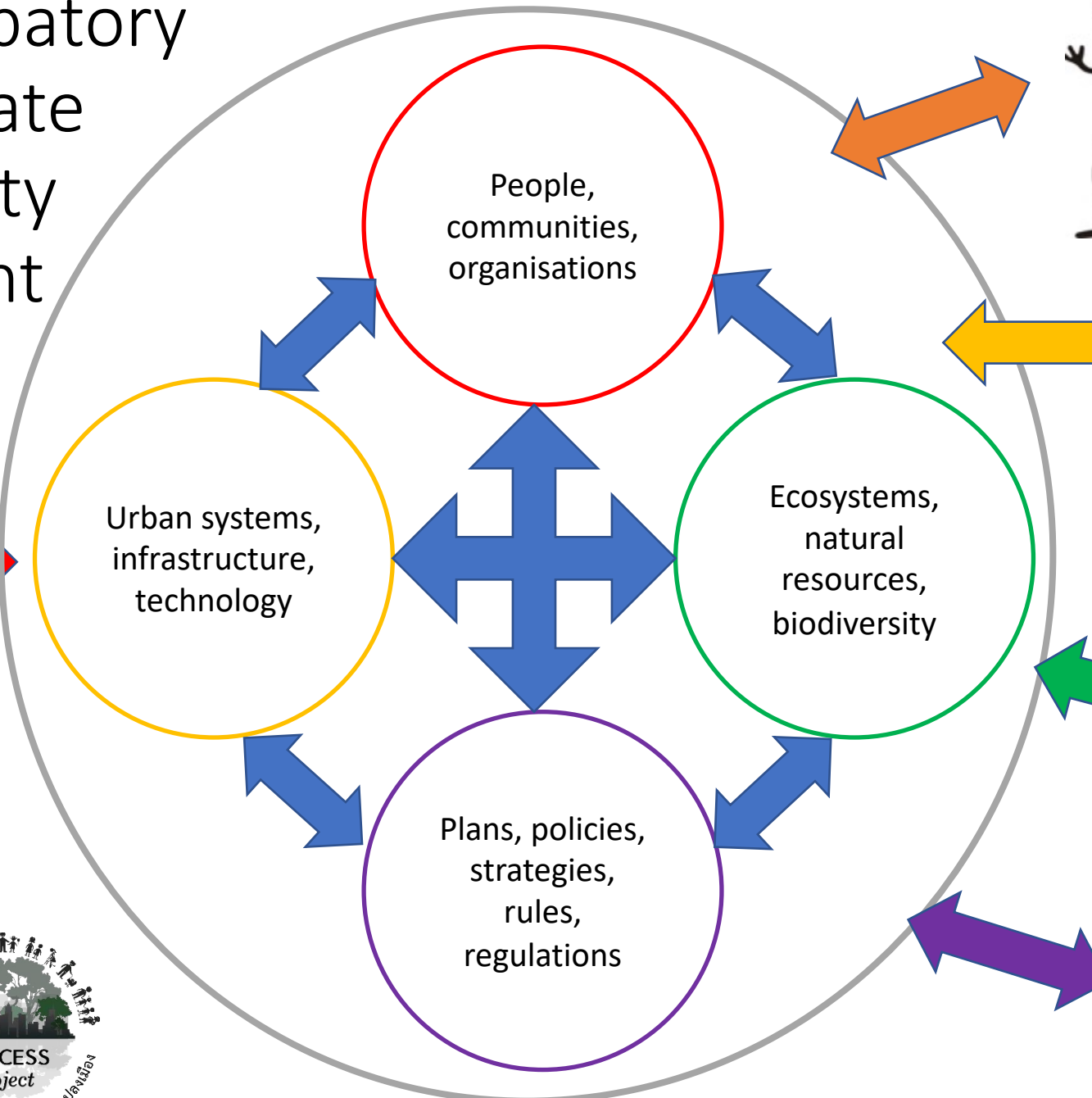


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# Step 3 –Participatory Urban Climate Vulnerability Assessment

Crises  
Shocks  
Disasters  
Climate impacts



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# Steps for strengthening adaptive capacity and urban climate resilience

## **Step 3. Participatory Vulnerability Assessments**

Focusing on families / households / different community groups (e.g. women, low-income, urban poor, disabled, elderly, and marginalised)

What are the differences in terms of access to urban systems and infrastructure, implications of urbanisation, and impacts of disasters and climate?

Why are they vulnerable to urbanisation and climate change?

- Inclusiveness, equitability, inequalities



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# Tools and indicators for participatory vulnerability assessments

1. Sustainable Livelihoods Framework (SLF)
2. Urban Climate Resilience Framework (UCRF)
3. UN-DRR Self-Assessment Tool (LG-SAT)

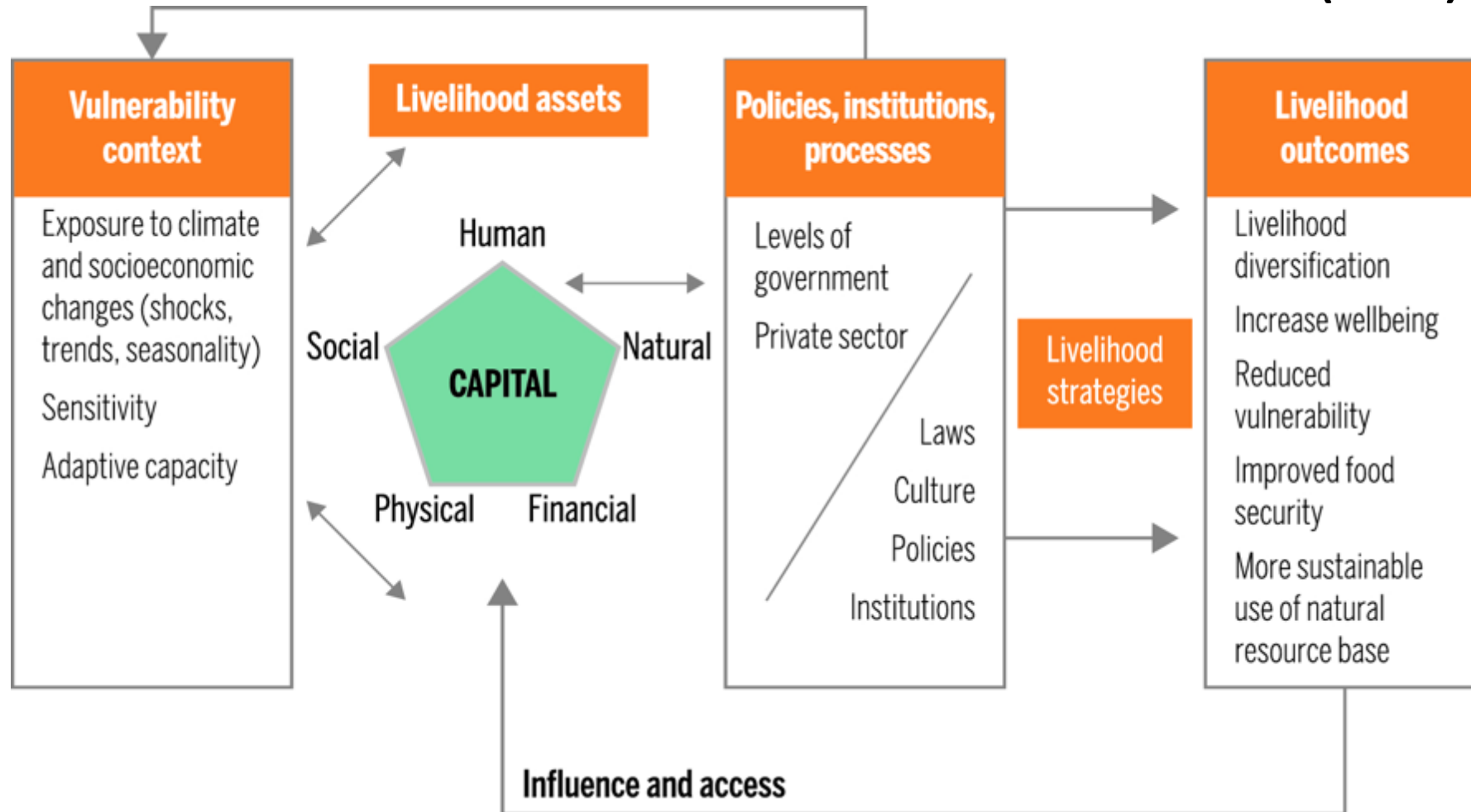


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# Tools and indicators for participatory vulnerability assessments

## 1. Sustainable Livelihoods Framework (SLF)



# Tools and indicators for participatory vulnerability assessments

## The Sustainable Livelihoods Approach

- To understand the livelihoods of different community groups (e.g. low-income households, urban poor, marginalised, women, disabled, elderly)
- To support planning process of development plans
- People-centred and holistic
- Making the connection between people and enabling factors that influence the outcomes



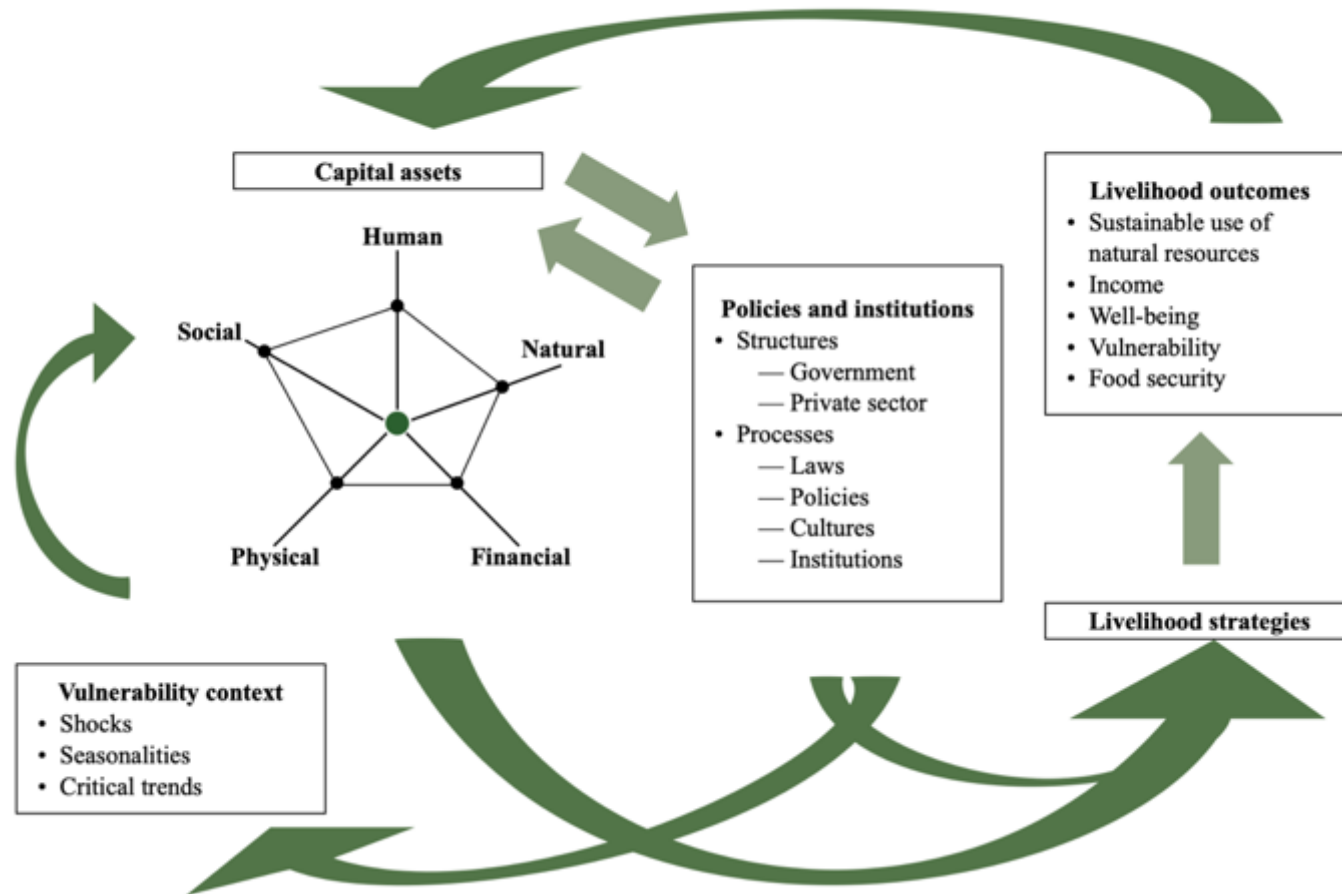
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# 1. The Sustainable Livelihoods Approach

Figure: The Sustainable Livelihoods Framework



**Capital Assets** – factors that enhance or constrain livelihood opportunities

- Different individuals, families, households, and community groups have different livelihood assets

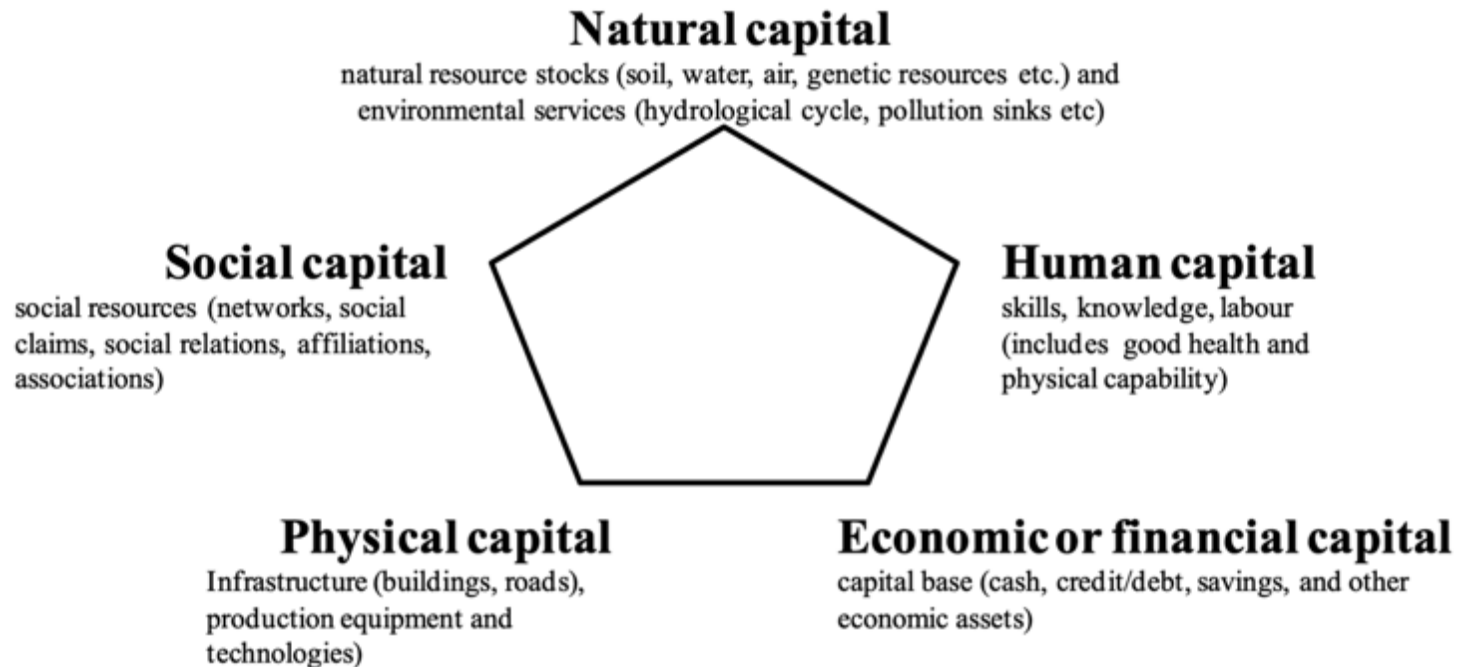


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# 1. The Sustainable Livelihoods Approach

## Capital Assets



- **Human capital** – health, education, knowledge, skills
- **Social capital** – networks, connections, relationships
- **Natural capital** – land, water
- **Physical capital** – infrastructure, house, water supply, sanitation
- **Financial capital** – savings, debt, wages

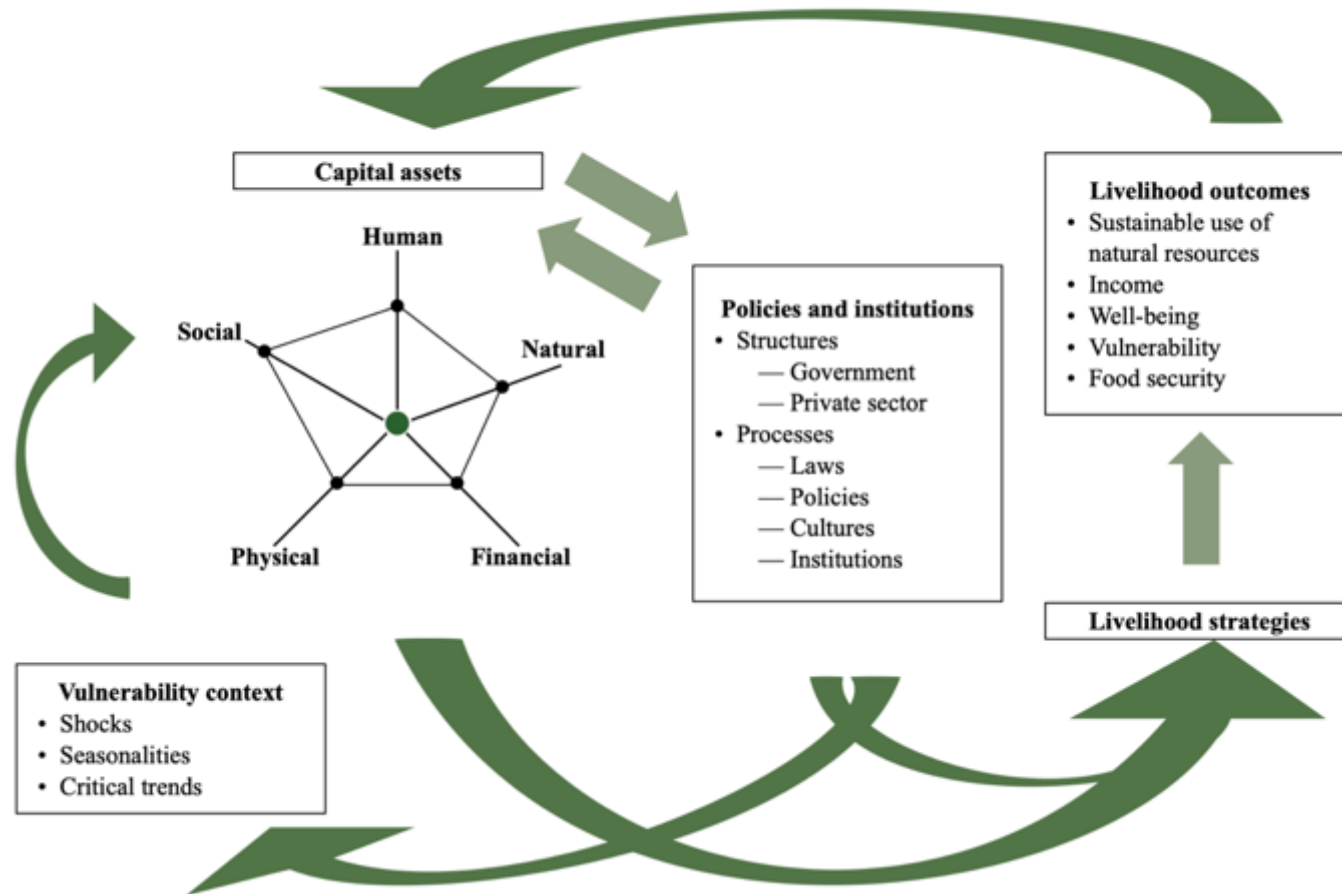


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# 1. The Sustainable Livelihoods Approach

Figure: The Sustainable Livelihoods Framework



## Vulnerability Context

- Factors that affect well-being and assets of individuals, households and communities
- Factors that people have limited or no control

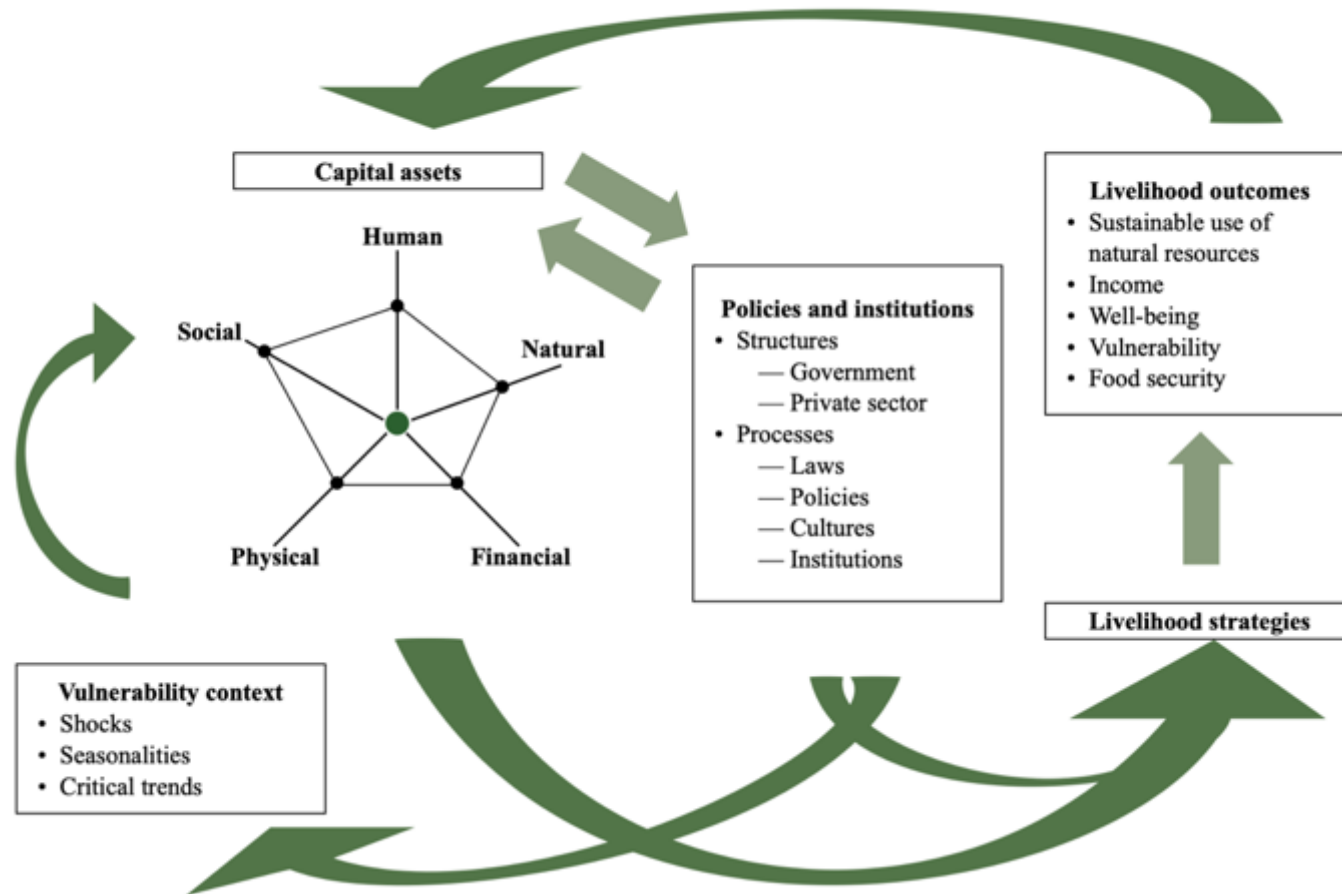


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# 1. The Sustainable Livelihoods Approach

Figure: The Sustainable Livelihoods Framework



## Vulnerability Context

- Shocks – storms, floods, disease, illnesses
- Seasonalities – employment opportunities, market prices
- Critical trends – created through environmental, social, and economic change
- Risks

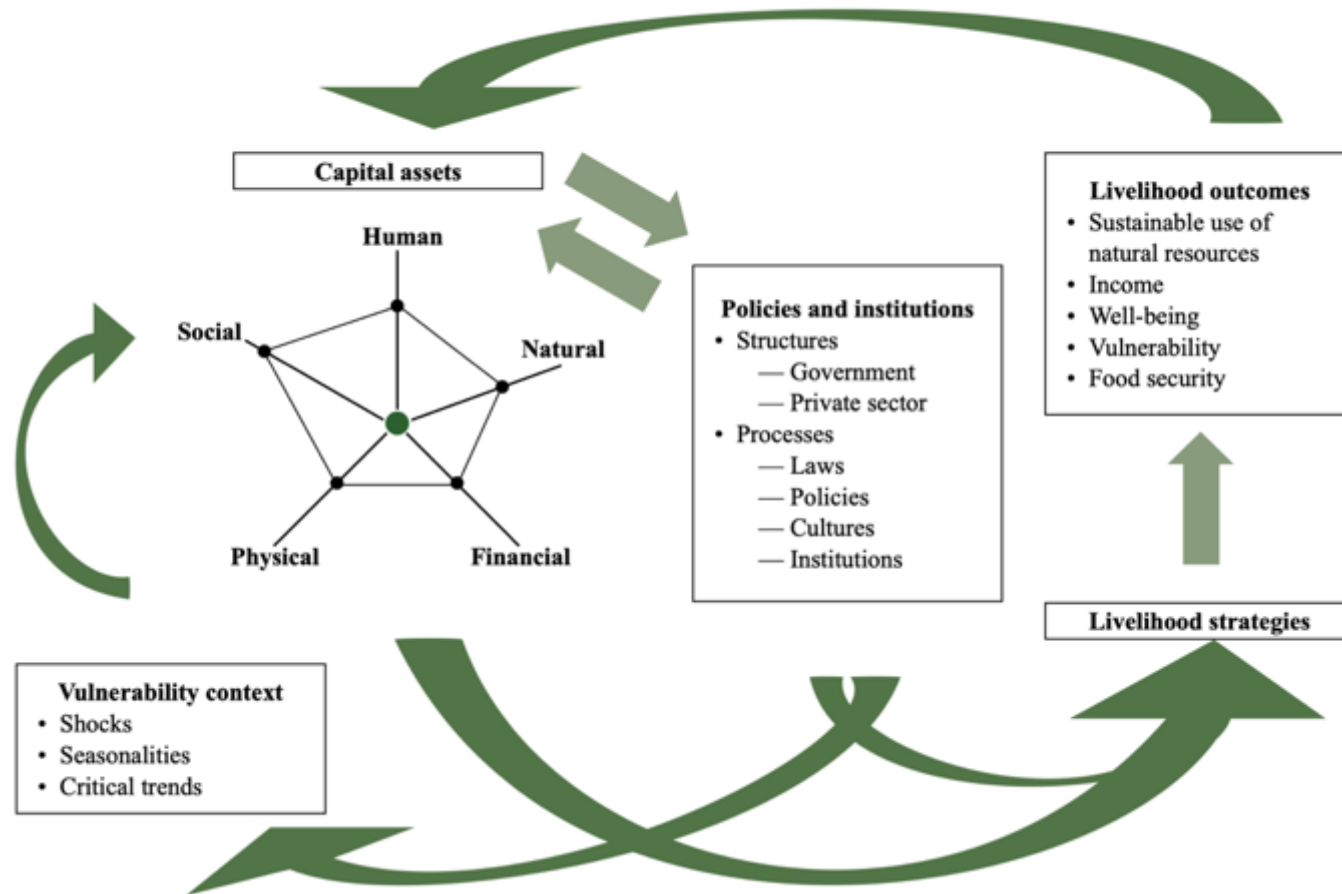


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# 1. The Sustainable Livelihoods Approach

Figure: The Sustainable Livelihoods Framework



## Policies and institutions

- Structures – organisations that are responsible for setting and implementing policy, deliver services, operate and maintain infrastructure
- Processes – laws, policies, regulations, formal and informal practices

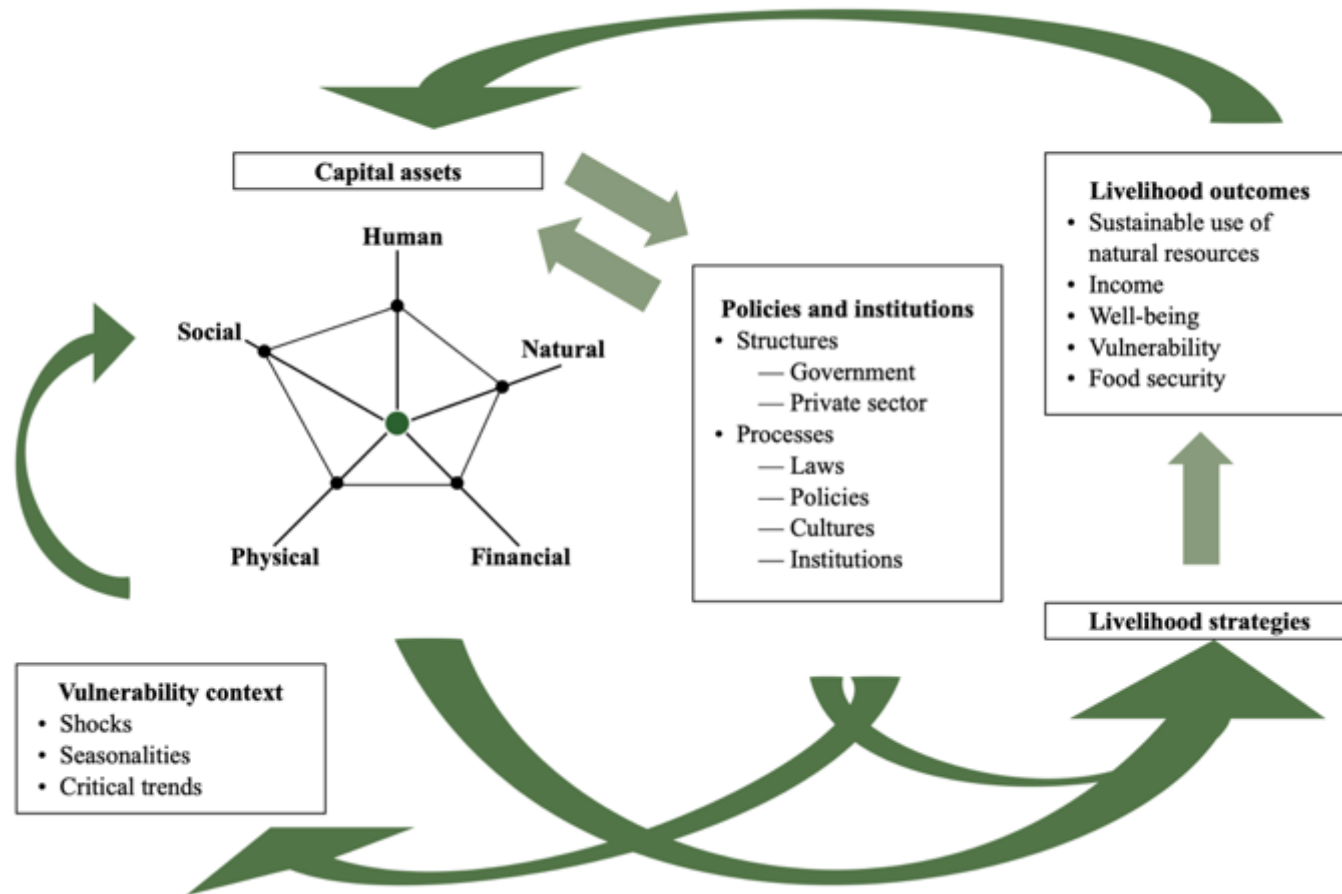


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# 1. The Sustainable Livelihoods Approach

Figure: The Sustainable Livelihoods Framework



## Livelihoods Strategies and Outcomes

- Livelihood outcomes – short-term and long-term
  - For example - more income, increased well-being, improved food-security, reduced vulnerability
- Livelihood strategies – how to achieve those outcomes



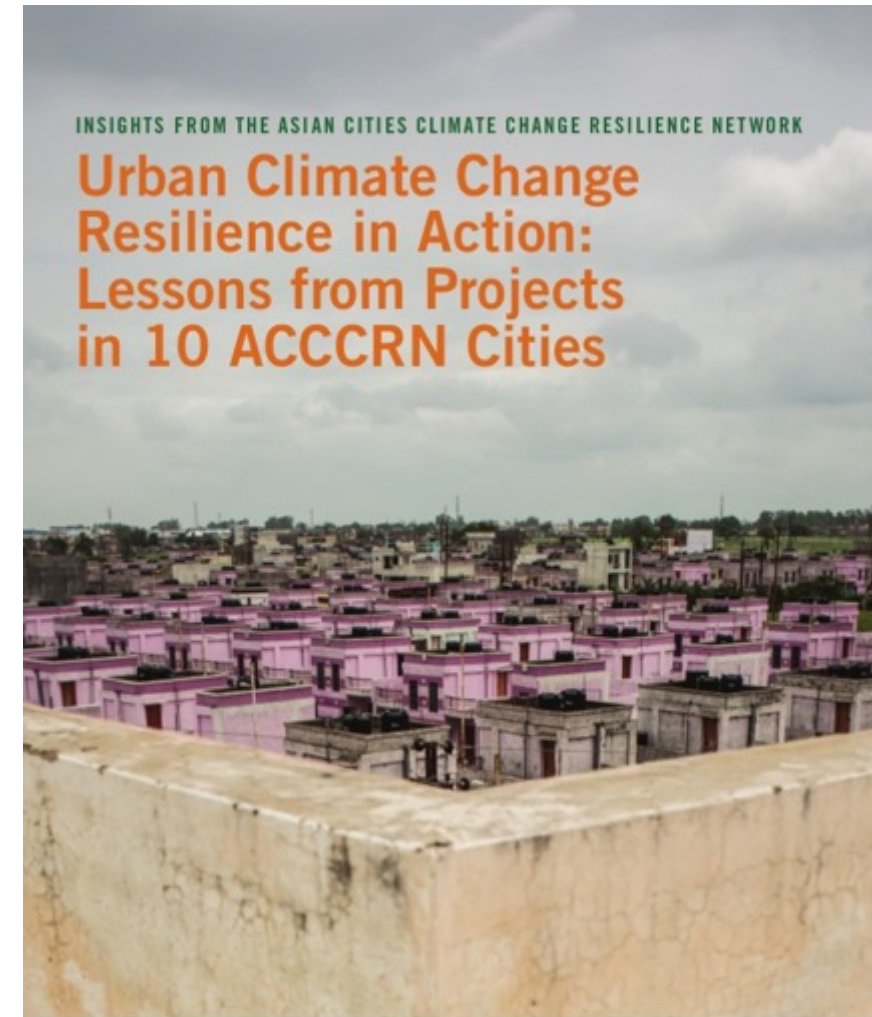
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# Tools and indicators for participatory vulnerability assessments

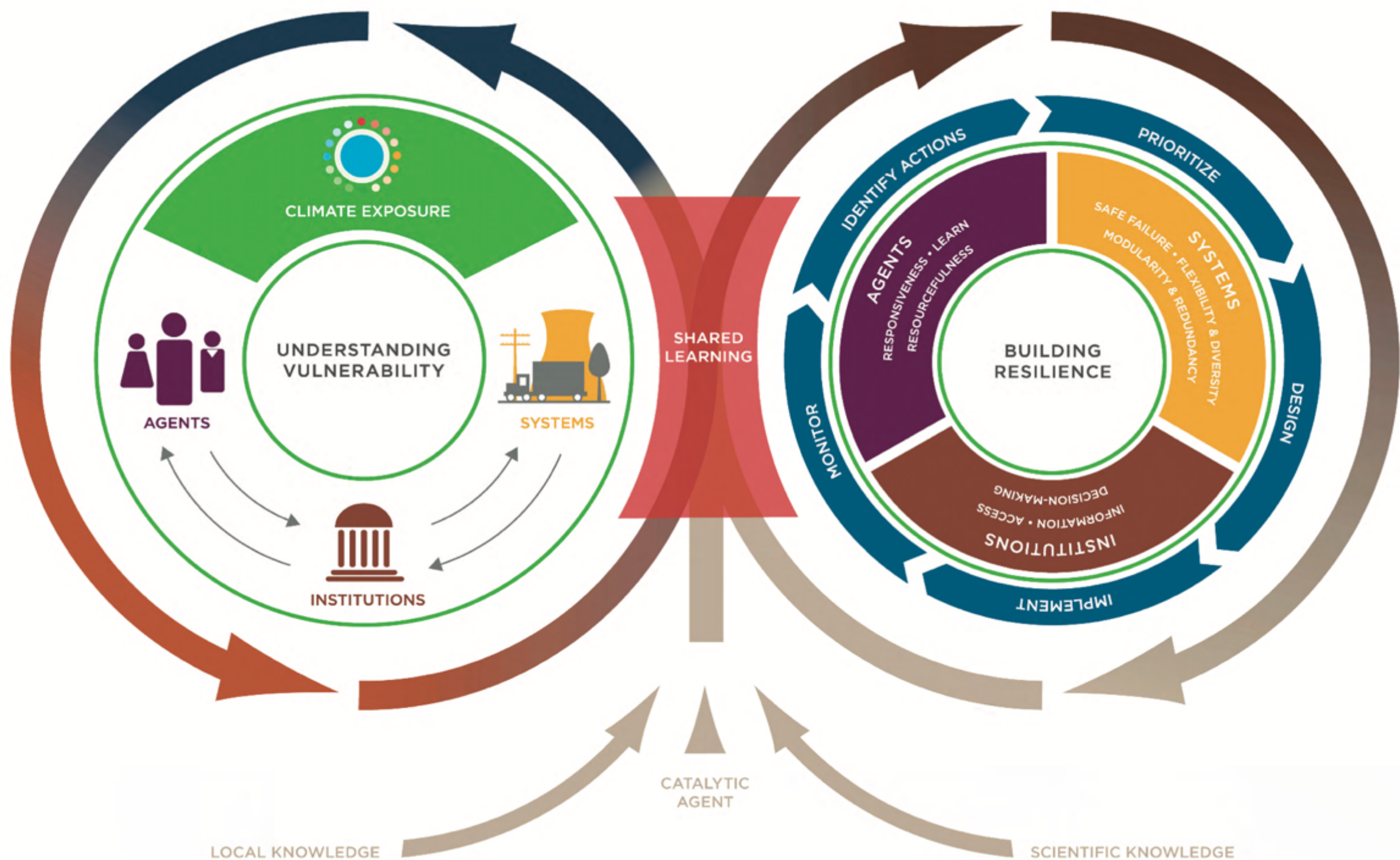
## 2. Urban Climate Resilience Framework (UCRF)



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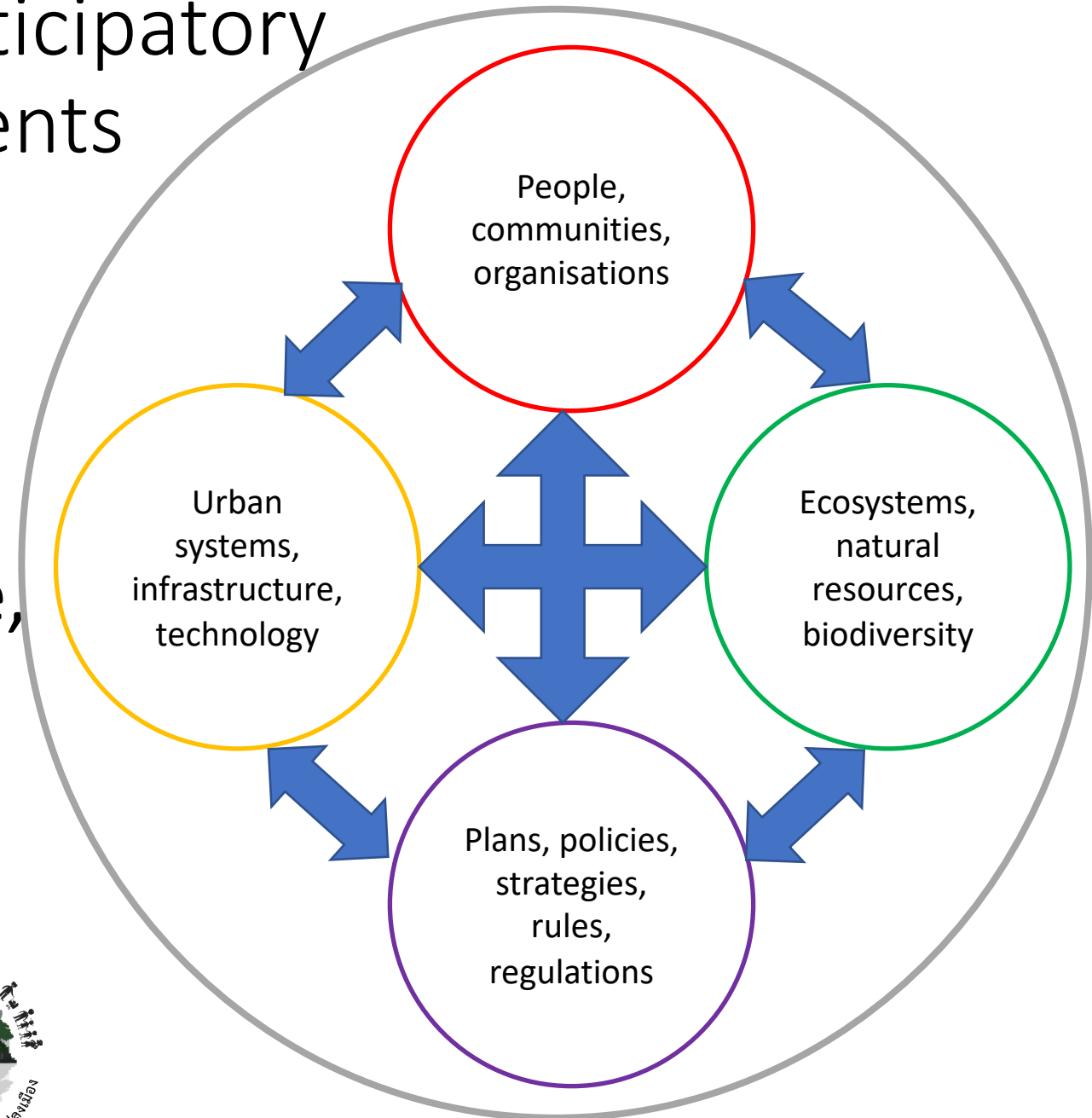




# Tools and indicators for participatory vulnerability assessments

## 2. Urban Climate Resilience Framework (UCRF)

- Agents
- Urban systems, infrastructure, technology
- Ecosystems
- Institutions



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## 2. Urban Climate Resilience Framework (UCRF)

- Institute for Social and Environmental Transition (ISET) launched UCRF for ACCCRN
- Tyler and Moench 2012
- TEI team applied UCRF in ACCCRN, M-BRACE, UCRSEA



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# 2. Urban Climate Resilience Framework (UCRF)

‘Who’

‘What’

‘How’



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## 2. Urban Climate Resilience Framework (UCRF)

### ‘Who’ – Agents

- People, individuals, households, organisations

### Characteristics

- Responsiveness
- Resourcefulness
- Capacity to learn



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## 2. Urban Climate Resilience Framework (UCRF)



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### ‘Who’ – Agents

- People, individuals, households, organisations

### Characteristics

- **Responsiveness**

Ability to organise, reorganise, plan and prepare for threats and respond quickly

- **Resourcefulness**

Capacity to mobilise assets and resources for action, through coordination and collaboration

- **Capacity to learn**

Ability to internalise past experience, avoid repeated failures, and learn to improve preparedness for next disasters / crises

## 2. Urban Climate Resilience Framework (UCRF)

### ‘What’ – Physical systems

- Urban systems, infrastructure, technology, ecosystems

### Characteristics

- Flexibility and diversity
- Redundancy and modularity
- Safe failure



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## 2. Urban Climate Resilience Framework (UCRF)



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### ‘What’ – Physical systems

- Urban systems, infrastructure, technology, ecosystems

### Characteristics

- **Flexibility and diversity**

System can operate under a wide range of conditions; key components are spatially distributed and functionally linked

- **Redundancy and modularity**

Having the capacity to accommodate unexpected demand or events; components and pathways provide multiple options

- **Safe failure**

Failure in one part of the system will not lead to cascading failures of elements or systems

## 2. Urban Climate Resilience Framework (UCRF)

### ‘How’ – Institutions

- Policies, laws, regulations, informal and formal practices

### Characteristics

- Rights and entitlements
- Decision-making
- Information
- Application of new knowledge



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## 2. Urban Climate Resilience Framework (UCRF)



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### ‘How’ – Institutions

- Policies, laws, regulations, informal and formal practices

### Characteristics

- **Rights and entitlements**

For equitable access to critical urban systems and services, enabling collaborative groups to re-organise and act

- **Decision-making**

Decision-making processes related to urban systems and infrastructure are transparent, accountable, participatory

- **Information**

Access to information to determine actions, solutions and choices

- **Application of new knowledge**

Using evidence, applying knowledge, encouraging inquiry

# Tools and indicators for participatory vulnerability assessments

## 3. UN-DRR Self-Assessment Tool (LG-SAT)



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### 3. UN-DRR Self-Assessment Tool (LG-SAT)

- United Nations Office for Disaster Risk Reduction (UNDRR) (formerly UNISDR)
- The Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters
  - Campaign – Making Cities Resilient: My City is getting ready!
  - Thai cities – Hat Yai
- The Sendai Framework for Disaster Risk Reduction 2015-2030

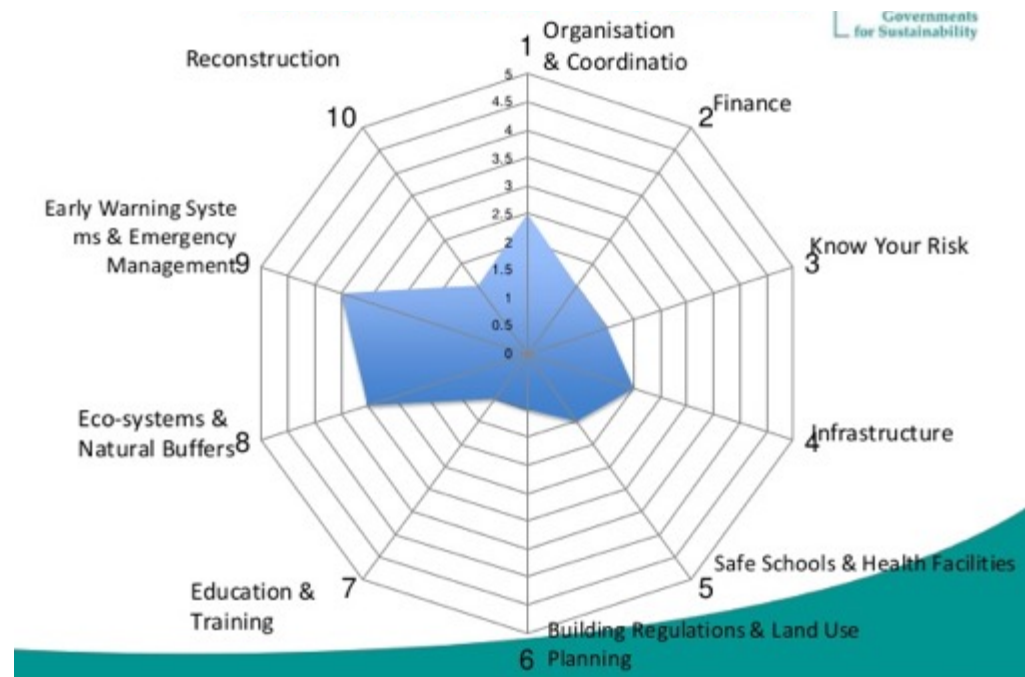
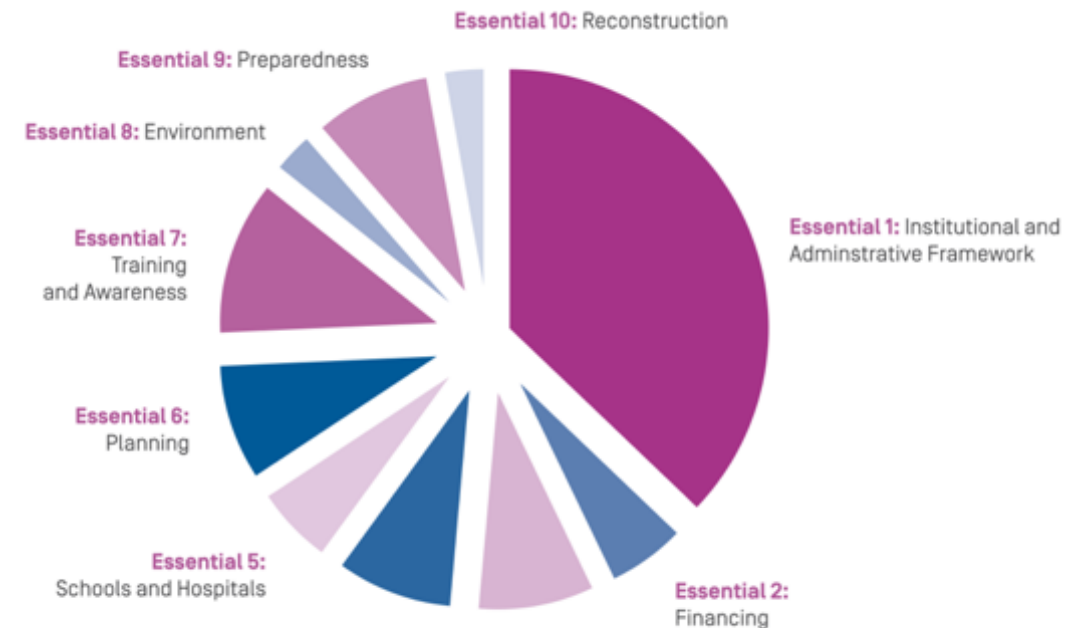


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# 3. UN-DRR Self-Assessment Tool (LG-SAT)

- Participatory checklists and score system to serve as a guide for local-level actions
- 10 Essentials



# Participatory vulnerability assessments

- A suite of tools and indicators can be applied
- Need to involve multiple stakeholders – both non-state and state actors, particularly women groups
- Need to understand how the linkages between agents, urban systems, infrastructure, ecosystems and institutions, and how they shape vulnerabilities
- Need to understand why some community groups are more vulnerable, what are key root causes



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# SUCCESS Project

## For more information

- Please contact - [successprojectinfo@gmail.com](mailto:successprojectinfo@gmail.com)

For updates and resources, please see

<https://www.facebook.com/UrbanClimateResilienceThailand/>

[www.tei.or.th/thaicityclimate/success.html](http://www.tei.or.th/thaicityclimate/success.html)



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