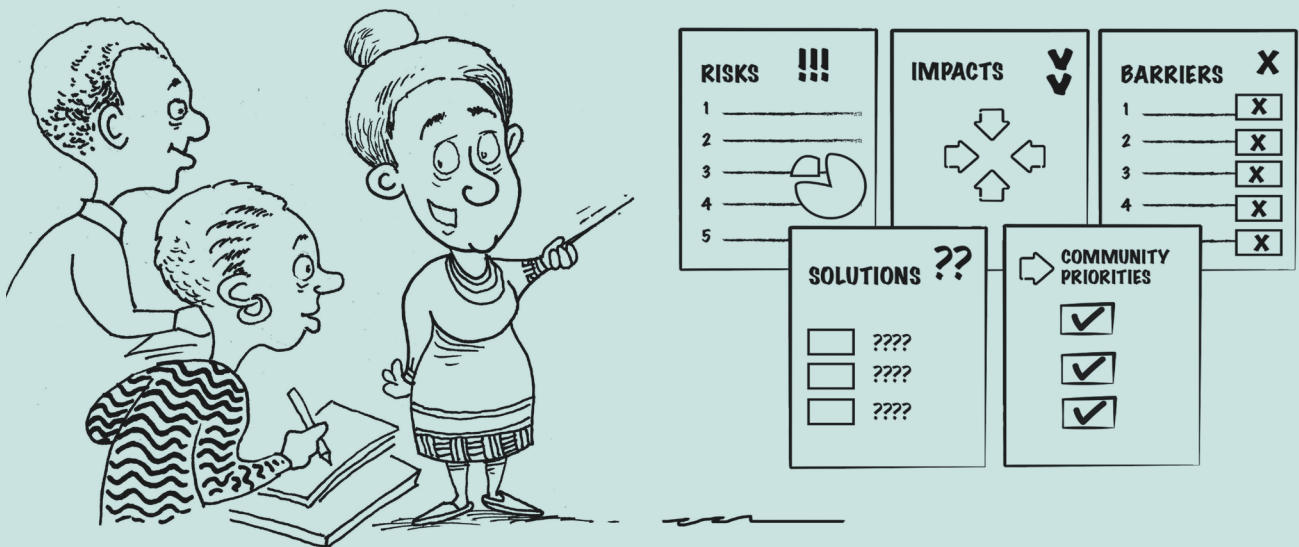




Risk Profiling: Identifying Risks, Assessing Solutions and Determining Community Priorities

Climate risk profiling captures residents' perception of everyday **risks** in their community and ranking of those risks; diagnoses the **impacts** of identified risks; evaluates their current strategies and ideas for potential **solutions** to address those impacts; and assesses **barriers** to taking action to implement their proposed solutions. This process helps determine **community priorities** for addressing local risks. Profiles support **CO-PLANNING** between communities and local governments as well as local, community-led initiatives to provide immediate and short-term benefits during upgrading processes.



Who

Most useful for:

- Local Champions
- Residents
- CBOs
- Urban Poor Federations
- Federation-support NGOs
- NGOs

Also useful for:

- Academia
- Local Governments

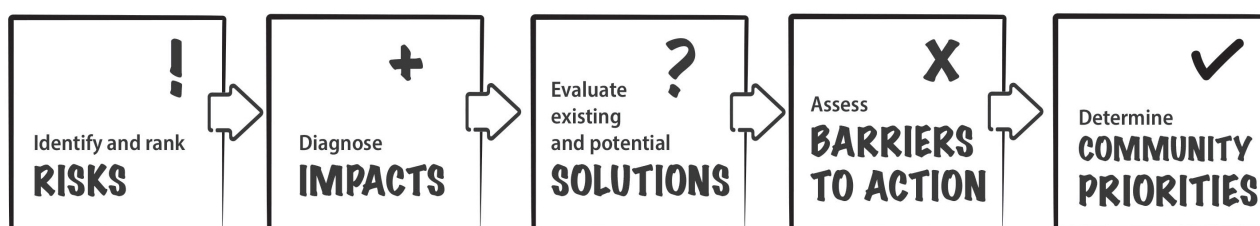


What

Like complementary **COMMUNITY-LED DATA COLLECTION** methods, **community-led climate risk profiling** helps develop a common understanding of challenges and captures community aspirations before the drafting of upgrading plans for building climate resilience in informal settlements. Crucially, it also provides actionable information on a community's priorities for addressing its most pressing risks. This can support complementary initiatives by residents, community-based organizations (CBOs) and civil society partners to provide short-term benefits and build confidence in the upgrading process. Local action to reduce risks in the near-term can include activities like organizing garbage cleanup teams and even coordinating garbage removal with local authorities.

Through individual interviews and group discussions, this method focuses on everyday risks. Like climate resilience, these risks are not just environmental (e.g. floods) but also economic (e.g. price fluctuations), political (e.g. exclusion from decision-making) and social (e.g. violence). It is also a participatory process, recruiting and training co-researchers locally to build capacities and support community ownership of research and planning activities. And it is action-oriented, assessing community priorities and what can be done to confront issues both immediately within the community and through planning with the local government, informing what is a priority in the short, medium, and long terms. Finally, it seeks to meet people where they are, asking questions using language and examples drawn from people's experiences.

The method uses the following **framework** for identifying, assessing and prioritizing risks and solutions:



Local **risks** (i.e. threats, hazards) can be environmental, economic, social or political; and large or small and past, present or future. **Impacts** are the consequences of risks for individuals, households and communities. **Solutions** are actions that residents, government, civil society and development partners can take to address the impacts of risks. They may be solutions already in use by residents or potential solutions. **Barriers** to action are the underlying causes of or vulnerabilities to risks. Residents may view barriers as beyond their control and limiting their capacity to take action. **Community priorities** are the most pressing *risks*, *impacts* and *solutions* as determined through interviews and focus group discussions with residents.

This method focuses on capturing individuals' views through one-on-one interviews to generate a preliminary risk profile of the settlement. This profile is then used to generate discussions of risks, impacts and solutions during focus groups. These discussions determine community priorities and action plans. See [How](#) for more detail.

Note that this method focuses on current climate risks and addressing existing gaps in services. **Future risk** is beyond the current scope of this method but is important to consider. In the context of rapidly urbanizing African cities and the growing frequency and intensity of climate hazards, assessing and anticipating future risks is increasingly important. To date, there are little to no Participatory Vulnerability and Risk Assessments (PVRA) methodologies that focus on future risks. This is likely due to current deficits being so great but also perhaps because climate change and associated future risks are abstract for many, and engaging in assessments that produce tangible results is a big challenge.

Several avenues to explore include:

- Using **scenarios** to make future climate risks more tangible to residents during PVRA activities (for instance, 'what if floods happened every x months and caused y amounts of damage – how would that affect your living situation, ability to earn, and access to crucial services? What would be your top priorities for confronting these challenges?').
- Developing **community data collection methods** to assess climatic changes over time to generate time series data to better anticipate future changes and associated risks (e.g. the highest watermark for water bodies like rivers within the settlement over the past ten years).
- Inventorying **existing local opportunities for community-based networks** for:
 - **anticipating** climate hazard events (e.g. community early warning systems).
 - **responding** during and immediately after events (e.g. community and local plans for emergency aid).
 - **recovering** during the aftermath (e.g. housing and assisting affected people; addressing damage; assessing redevelopment or relocation plans).

Why

When planning for climate resilience in urban informal settlements, it is important to go beyond methods like [Settlement Mapping](#), [Settlement Profiling](#), and [Household Numbering and Enumeration](#) to gain a deeper understanding of residents' perception of risks, their priorities as a community, and what they think should be done about them. Risk profiling provides opportunities for immediate and short-term action and enables communities to partner with local government and civil society partners to strengthen local capacities and leadership to build resilience to climate risks. It also provides data that communities can use to inform and influence local,

national and international development institutions on policy and practice that impact their resilience to climate change.

It is important to engage residents by speaking to their urgent needs. They may have little capacity for, or interest in, participating otherwise. Providing short-term benefits is crucial for building trust in the upgrading process. It is also an important strategy for building community capacities and enhancing their relationship with local government authorities. Because upgrading projects often require several years, it is important that residents see short-term benefits to build their confidence in the process. These small, complementary initiatives can also stimulate additional partnerships with the local government and at the same time demonstrate the value of community ownership. Additionally, working with residents to do research is also likely the most resource-efficient option.

To address existing gaps in services that leave residents vulnerable to climate and other hazards, you must first assess current risks. Several tools and methodologies for measuring or profiling urban resilience exist and have proven useful for filling data gaps and providing the basis for consultations with local governments and other stakeholders. However, most do not acknowledge the crucial role of locally-led (i.e. community- and local-government-led) upgrading to reduce climate risks in informal settlements. They offer limited support for generating the data needed for upgrading and limited influence to informal settlement residents.

In contrast to these existing tools, this method strives to place communities at the center of planning. It is an adapted version of the [Views from the Frontline](#) methodology developed by the Global Network of Civil Society Organisations for Disaster Reduction. It is largely drawn from the version adapted by Mukuru residents and civil society partners during the SPA planning process. As the case studies in [Examples from the Field](#) demonstrate, it is useful to start with existing methodologies and to adapt them to your local context and project needs.

Where

While this method is broadly applicable, the focus here is on its role in locally-led, inclusive and multisectoral upgrading processes for climate resilience in urban informal settlements. It works equally well in one neighborhood for small-scale interventions or settlement wide for larger-scale planning initiatives. And like other community data collection processes, it can provide great value when aggregated citywide by providing evidence to bargain with local governments.

Community methods training and data collection often follow a concentric instead of linear pattern. This is because community mobilizers and co-researchers often start in familiar territory in their own neighborhoods and expand out from there. The data collection processes

also typically don't have one beginning or end point, instead happening iteratively. Civil society or CBOs often undertake the initial training of local leaders and other motivated residents (youth can be excellent candidates because they learn quickly and may not be employed). Once this initial class of co-researchers is trained, they can recruit additional candidates in their neighborhoods to be trained as well.

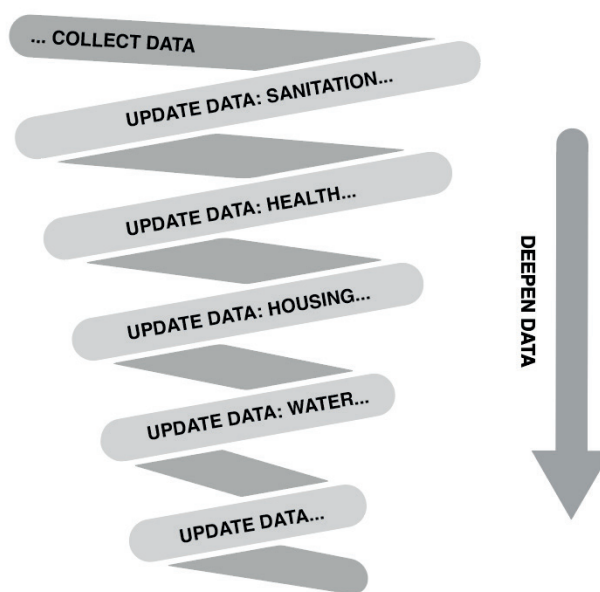
When

This method can build on [Settlement Mapping](#), [Settlement Profiling](#), and [Household Numbering and Enumeration](#). If none of these have been carried out and little data is available on existing conditions in the settlement, you should include additional questions in the survey (see *Risk Profile Interview Form* in [Example Materials](#)) that will provide important context for risk profiling.

While risk profiling could be undertaken to support negotiations with the local government, its greatest value is during the planning phase of an upgrading project. The data collected and discussions about community priorities among residents and their partners can inform decision-making and provide important inputs for upgrading plans.

Given an existing community mobilization network and trained co-researchers, risk profiling can take place over a few weeks. This will obviously vary according to the size of the settlement, existence of any adversarial stakeholders, political complexities, or other unforeseen factors.

Community-led data collection is not a one-and-done process. In the context of resource-poor informal settlements, data collection activities have a significant cost – you should only do as much as is required at the time to further current advocacy and planning efforts. The environments in informal settlements also change rapidly and data will quickly become out-of-date. Therefore, data collection is a highly iterative process. You will continually return to sectors to update data and fill in gaps where data lacks the depth needed for detailed sector-level planning.



How

Recruit and Train Community Co-Researchers

Recruit local residents to work as co-researchers. If possible, rely on residents who already have experience with data collection. If few to no residents have experience, you will also need to train them in data collection practices. Local leaders and youth often make good candidates. Recruit residents locally in each area within the settlement; this is essential as residents will distrust people they don't know from other parts of the settlement. Make sure to recruit people of different groups including women, men, youth, the elderly and disabled.

See [Recruiting and Training Community Mobilizers and Co-researchers](#) for more detail.

Even for experienced co-researchers, you will need to provide specialized training in this method. Walk them through:

1. The purpose and approach of the method (covered in [What](#) , [Why](#) , [Where](#) and [When](#)).
2. The steps in the data collection and analysis process (covered here in [How](#)).
3. How to fill out the data collection forms (see [Materials](#)).



Test Interviews Before Scaling

To ensure that the data collection tools make sense to residents, first have co-researchers test them out with a few people before conducting the rest of the interviews. This also gives them a chance to try out their approach to talking with residents. After they have performed this test, hold a meeting where they can share their experiences with each other and provide input on any updates needed for the interview form.

Select Interview Participants

Strive to select a representative sample of residents. This includes:

- **Sociodemographic groups:** A roughly equal number of people of different genders, ages, incomes, educational levels, occupations, and (dis)abilities.
- **Location:** Households from different areas of the settlement.

Once you have established who is in different sociodemographic groups and locations, randomly select participants. You can do this by:

1. First, assigning residents a number (this could be their address code assigned during [Household Numbering and Enumeration](#)).
2. Then, use a 'random number generator' (freely available on the internet) to select participants.

Numbers returned by the random number generator will provide your randomly selected sample of residents to participate in interviews.

Make sure to **interview at least 100 people per area** (i.e. neighborhood). While the general rule of thumb for a representative sample is 10 percent of the population (for instance, if there are about 1000 people, you should interview 100 people), talking to that number of people may prove infeasible.

If useful, you could also interview local government and civil society stakeholders using the same interview form.



Conduct Individual Interviews

Co-researchers will visit participants in their homes to conduct interviews (or a location near their home like a community center). Be conscientious of each participant's time. The interview will be in two parts (see *Risk Profile Interview Form* in [Example Materials](#)):

1. Survey: Fill in the survey questions to create a profile for each participant, including:

- Respondent's basic information (e.g. age, gender).
- General profile (e.g. education level).
- Socioeconomic profile (e.g. income).
- Community profile (e.g. effects of disasters).

2. Discussion: Capture the respondent's perceptions of and views on risks. Questions include:

- *What risks do you, your household and your community face?* Identify the 5 biggest risks that affect you. Write them down in order from most impact (1) to least impact (5).
- For each of the 5 risks identified, answer the following questions:
 - **Impacts:** *What effect does the risk have on you, your household and your community?* List up to 5 impacts for each risk.
 - **Solutions:** *What actions can you or your community take (or have already taken) to reduce the impact of this risk?*
 - **Barriers:** *What barriers exist to taking action to reduce the impact of this risk? These can be in or outside the community.*



Create Risk Profiles: Identify Impacts, Solutions and Barriers to Action

Co-researchers can use simple tables (like in [Example Materials](#)) to compile interview data and do the following analyses:

1. Identify the highest ranked risks

a. **List risks:** In a table, list each risk identified in the interviews.

Respondents will inevitably use different words to describe the same risk; make sure to consolidate these into one risk so that only unique instances of each risk appear in the list. For example, '*water in house*' and '*river floods*' would be simply 'Flooding'.



b. **Assign points:** Once you have a list of all unique instances of risks, assign each the following number of points based on how each respondent ranked the risk during the interview:

- | | |
|--------------------------|----------|
| 1. Highest ranked | 5 points |
| 2. Second highest ranked | 4 points |
| 3. Mid-ranked | 3 points |
| 4. Second lowest ranked | 2 points |
| 5. Lowest ranked | 1 point |

c. **Tally points:** Once each unique instance of a risk has all its points assigned, add up the points to identify the highest priority risks in the community.

d. **Sort risks:** Finally, sort the table so that the highest priority risk appears at the top of the list and the lowest priority risk at the bottom.

You now have the data you need to create materials to present to the community in focus group discussions. These data not only show priority but also the range of risks present in the community.

See *Analysis: Identify and Rank Risks* in [Example Materials](#) for an example table.

2. Identify most frequent impacts

a. **List impacts:** In a table, list each impact identified in the interviews.

Respondents will inevitably use different words to describe the same impact; make sure to consolidate these into one impact so that only unique instances of each impact appear in the list. For example, '*house damaged*' and '*roof fell in*' would be 'Structure damage'.



b. **Tally impacts:** Count each mention of an impact and add up the total number of mentions.

c. **Sort impacts:** Finally, sort the table so that the most mentioned impact appears at the top of the list and the least mentioned impact at the bottom.

See *Analysis: Identify and Rank Impacts* in [Example Materials](#) for an example table.

3. Identify existing and potential solutions

- List solutions:** In a table, list each solution identified in the interviews. Respondents will inevitably use different words to describe the same solution; make sure to consolidate these into one solution so that only unique instances of each solution appear in the list. For example, 'build drainages' and 'dig canals' would be 'Construct storm drains'.
- Tally solutions:** Count each mention of a solution and add up the total number of mentions.
- Sort solutions:** Finally, sort the table so that the most mentioned solution appears at the top of the list and the least mentioned solution at the bottom.



See *Analysis: Identify and Rank Solutions* in [Example Materials](#) for an example table.

4. Identify barriers to action

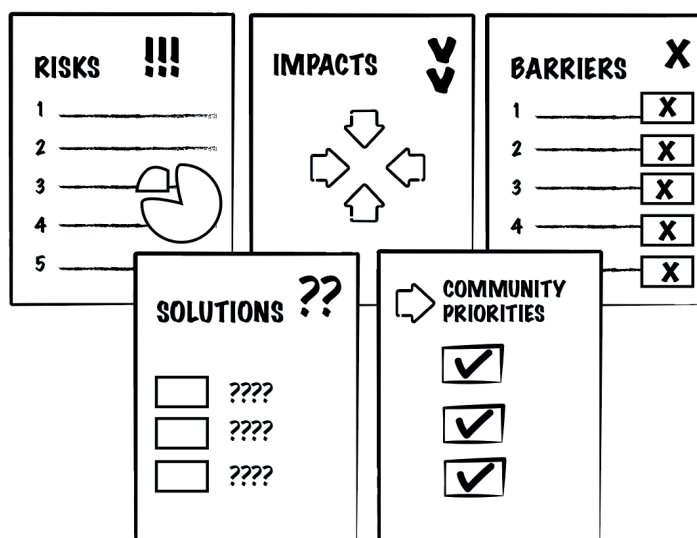
- List barriers:** In a table, list each barrier identified in the interviews. Respondents will inevitably use different words to describe the same barrier; make sure to consolidate these into one barrier so that only unique instances of each barrier appear in the list. For example, 'difficult to engage government' and 'local government disinterested' would be simply 'Local government shows little interest'.
- Tally barriers:** Count each mention of a barrier and add up the total number of mentions.
- Sort barriers:** Finally, sort the table so that the most mentioned barrier appears at the top of the list and the least mentioned barrier at the bottom.



See *Analysis: Identify and Rank Barriers to Action* in [Example Materials](#) for an example table.

Risk Profiles: Create Visual Materials to Present Results in Focus Groups

From the data generated during analysis for the risk profile, charts, infographics and diagrams to visually communicate findings.



Select Focus Group Participants

Co-researchers will mobilize residents in their area to participate (as they will not trust people they don't know). Like for interviews, strive to select a representative sample of residents for focus groups. This includes:

- **Sociodemographic groups:** A roughly equal number of people of different genders, ages, incomes, educational levels, occupations, and disabilities.
- **Location:** Households from different areas of the settlement.

Hold **one focus group in each cluster** (of about 100 households) with **12-15 people** each.

Ideally, you will hold multiple focus groups in each area. Multiple focus groups are important so that you can have one for women, one for men, one for youth, one for disabled people, etc. This ensures that there is space for less vocal residents to share their views.

Conduct Focus Group Discussions

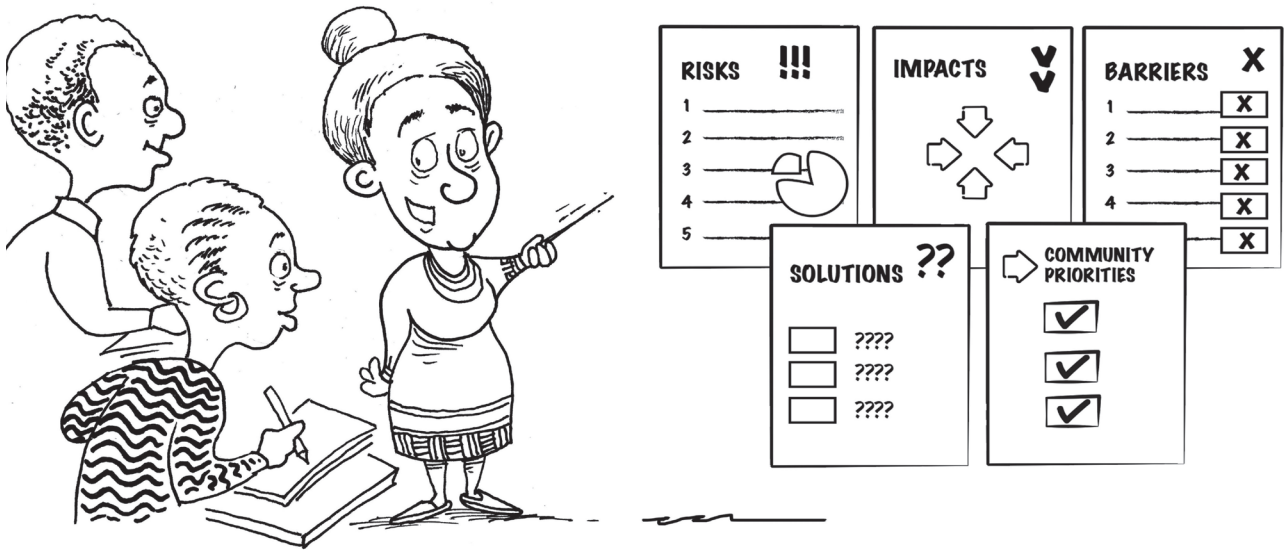
You should assign at least one facilitator and one note taker (ideally from the community) for each focus group. The facilitator will likely be a staff member of a federation-support NGO or other local NGO.

A typical program for a focus group is:

1. **Introduce risk profiling:** Explain the purpose of the meeting and discuss the rules of engagement for group discussions.
2. **Explain framework:** Describe the interviews and analyses of interview data. Explain the framework used:
 - a. Identifying and ranking risks
 - b. Diagnosing associated impacts of those risks
 - c. Evaluating existing and potential solutions
 - e. Assessing barriers to action for those solutions
 - f. Determining community priorities
3. **Present findings:** Using the charts, infographics and diagrams created from analyses, show participants the results from the risk profiling interviews.
4. **Discuss:** As a group, discuss these findings. Try to reach consensus. Questions could include:
 - a. *Do you agree that these are the highest priority risks? Impacts? Solutions? Barriers?*
 - b. *Do you have a different view? If so, why?*

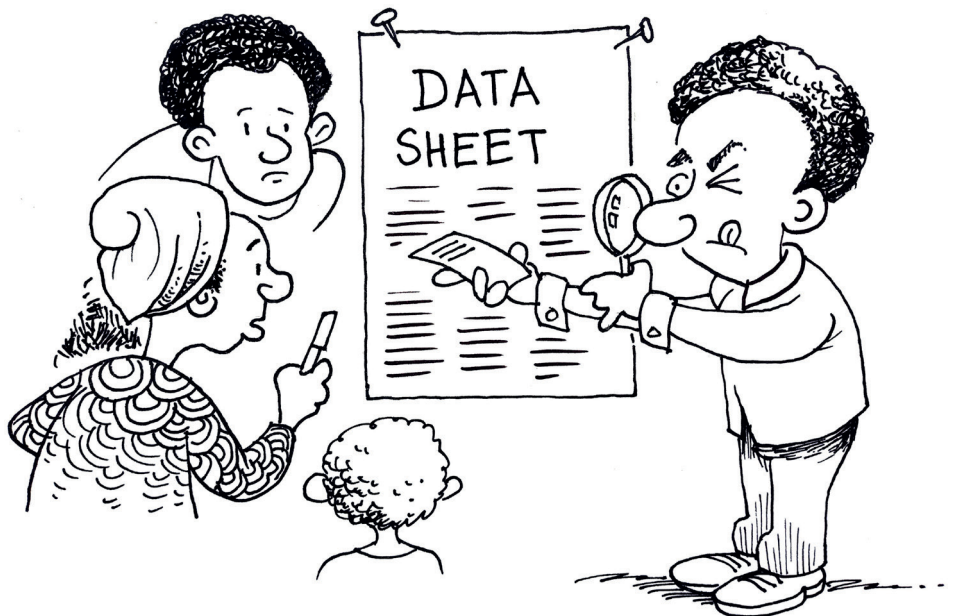
c. How would you prioritize risks, impacts, solutions and/or barriers differently?

d. Are there any other existing or potential solutions? Other barriers to action?



Identify Community Priorities

Analyze the data from the focus group discussions to formulate a final risk profile and set of community priorities. This analysis will support co-planning with local government as well as other local action to build resilience.



Plan Actions to Be Taken

Beyond supporting co-planning with government, the risk profile can be used for complementary local action by residents, CBOs and civil society partners. It is important to engage residents by speaking to their urgent needs. They may have little capacity for, or interest in, participating otherwise. Providing short-term benefits is crucial for building trust in the upgrading process. Local actions could include organizing garbage cleanup teams and even coordinating garbage removal with local authorities.

You Can Plan Using This Framework of Activities and Actions to Be Taken by Different Stakeholders

| Activity | Action | | | Person responsible | Deadline |
|-------------|-----------|------------------|---------------|--------------------|----------|
| | Community | Local government | Civil society | | |
| Short-term | | | | | |
| Medium-term | | | | | |
| Long-term | | | | | |

Considerations

How can we ensure that the method will work in our location?

The method should never be taken as is. Work with co-researchers and other knowledgeable residents and local leaders to customize it for your context. Pilot test interview questions with a few residents to find the right language and approach. Hold reflection sessions with co-researchers to discuss how they can be improved. Most of all, reflect on what your top goals are for the research and adapt the data collection tools and research process as needed.

How can we ensure participants understand key concepts in risk profiling?

Make sure to discuss key concepts (e.g. risks, impacts, solutions, barriers) with local leaders and knowledgeable professionals who work in the settlement to determine what words will be most meaningful to communicate them to residents. Also look for relevant local examples to provide context for concepts. This will enable participants to draw on their own experiences and ensure a greater depth of engagement during risk profiling activities.

You can also train co-researchers to respond to frequently asked questions, providing a set of clear answers for them to rehearse and build on as they go.

Should we compensate community mobilizers and co-researchers?

Yes, provide some small compensation as possible. Residents' time is precious and few may be able to contribute consistently without some consideration of the cost of their time.

Challenges

Formal Language Used in Questions

Co-researchers and residents alike may struggle with formal language used on forms. To overcome this, discuss during co-researcher training sessions and have them take the forms home overnight to familiarize themselves with them and rehearse. Then discuss approaches and wording as a group so that co-researchers are prepared for interviews.

Residents' Distrust, Lack of Awareness, and Misinformation

Residents in informal settlements have faced a long history of land grabs and evictions as well as many development projects that have failed to produce tangible results. There are also inevitably opportunists inside and outside the community that will seek to use upgrading efforts to their own benefit. Residents are therefore often skeptical of upgrading projects and fearful when they see you walking around with a map in your hand. You can overcome this through patient dialogue, inviting trusted local leaders to speak about the project, inviting local government staff to speak to residents, and striving to provide near-term, incremental benefits to build confidence in the process. It is also essential to include community participation from the start as residents will not trust people they don't know. Additional strategies include: training a core team that understands the method and its promise for bringing benefits to the settlement; and involving trusted local leaders, including from the local government administration (e.g. ward chiefs).

For interviews, pair co-researchers with residents then can best speak to (e.g. youth with youth, elderly with elderly, women with women, disabled with disabled). In particular, if you can recruit structure owners and informal service providers as co-researchers to speak to other structure owners and service providers, this will go a long way to building trust with these groups.

Research Fatigue and Disbelief

Again, because so many research initiatives and development projects fail to produce promised results, residents may not want to participate in data collection activities and be skeptical that promised benefits will ever materialize. Residents may not be able to distinguish between research that is a one-and-done extraction and research that supports larger community-building and upgrading processes. Help them understand the difference. But be careful not to over engage residents or overpromise benefits. This is why it is so crucial that work be iterative and incremental. Residents need to see tangible benefits to invest their time. They also need help as soon as possible. Therefore, projects that only think long-term will largely fail in this challenging context.

Participants Asking for Compensation

Residents who participate in the interviews and focus groups may feel like they should be compensated for their time and the information they share. Providing payments, however, may prove cost prohibitive. Explain to them that this research is a community good and that they will receive benefits indirectly through investments in new infrastructure and services.

Examples from the Field

Mukuru, Nairobi (Kenya)

Facilitators in community planning forums in 2018 used an adapted version of the risk profiling tool called Views from the Frontline (VFL) to inform residents about local priorities in Mukuru. As part of the process, community mobilizers trained during the SPA process introduced other residents, in particular youth and women, to the methodology. These residents went on to collect data on risks in areas across all three settlements in Mukuru. It also proved useful as an engagement strategy in villages (i.e. neighborhoods) where residents were skeptical and resistant to the SPA process.

Participants in the VFL forums identified risks like fire, insecurity, diseases, contaminated water, poor sanitation and eviction as priorities. Community mobilizers also worked with professionals in the SPA consortia whose sectoral planning work sought to address risks identified during risk profiling activities.

One short-term outcome of these planning fora were weekly community clean-ups by volunteers. Garbage had been identified as an important cause of risks like fire, contaminated water and poor sanitation. Mobilizers also collaborated directly with the Nairobi city government to schedule free monthly waste collection. Risk profiling activities encouraged community action for local solutions and stronger ties with external stakeholders. Short-term benefits like this built confidence in the SPA process and supported continued partnerships with government by demonstrating the value of community-led contributions.

Dar es Salaam (Tanzania)

Residents and their partners also used an adapted version of the VFL methodology but with an explicit focus on profiling community climate and health risks. This proceeded work to create community action plans based on community-identified priorities and subsequent ranking of scaled-down interventions that residents can afford to collectively implement on their own. The process emphasizes the lived experiences of residents to climate change impacts. Equally exposed but unevenly impacted, this exercise allowed communities to deliberate and share their adaptation strategies collectively.

Lilongwe, Blantyre and Mzuzu (Malawi)

The Malawi Alliance, a Slum Dwellers International (SDI) affiliate, undertook risk profiling in seven informal settlements in the cities of Lilongwe, Blantyre and Mzuzu between 2018 and 2020. It has since been scaled up to an additional 22 wards across the three cities. The Alliance used an approach developed by SDI based on their experience in several countries across Africa and Asia. Called Community Data for Change (CDfC), the approach empowers communities to generate data about their communities through community-led profiling, mapping, and enumeration.

Under the CfDC approach, poor communities are mobilized and organized to collect and validate data about their vulnerabilities, risks and needs. This information does not usually exist for informal settlements, making the planning of interventions difficult. Peer-to-peer exchange and stakeholder engagements follow, to map findings, and develop Community Resilience Plans or Risk Management Frameworks.

In Lilongwe, for instance, community mobilization efforts centered on raising awareness about climate-induced disasters and their impacts on the lives of people, aimed at building a critical mass of organized urban poor to influence authorities and service providers.

After mobilization, young people and community leaders were trained in community-led data collection and analysis, including through the use of technologies such as Global Positioning System (GPS) to map and identify areas of high risk, and Kobo Toolbox, an open-source software to collect and analyze data in real time.

The process of data collection, dissemination, and analysis that followed was grounded in the participation of communities. Fifty community members from each settlement were then involved, along with the Lilongwe City Council (LCC) and other key stakeholders, in co-producing knowledge to understand and map climate risks and vulnerabilities in each settlement and produce Community Resilience Plans and Risk Management Frameworks.

An adaptive cycle of action and critical reflection was employed, to build capacity and understanding over time. Community meetings took place regularly. Existing community governance structures were the entry point into the community. For example, existing Ward Civil Protection Committees served as a key point of contact between the community and the government. Community members gained skills and knowledge to lead on climate adaptation and disaster risk reduction efforts, through training workshops. In addition to technical information, local knowledge was reflected during the process of data verification and analysis by communities.

The participatory analysis process provided key insights into the local drivers of climate vulnerability. For instance, it highlighted the extreme vulnerability of individuals living in houses made from flimsy building materials; and the importance of solid waste management in managing flooding to reduce the vulnerability of residents during storms. In Mtandire, for instance, the data

collection and analysis process revealed that the majority of the houses (65%) affected during the extreme events of 2019 and 2002 used temporary building material, 28% used semi-permanent building materials, and 7% used permanent building materials like cement and baked bricks. The damage to most of the houses built with temporary material was non-repairable.

Findings such as these have helped communities understand their collective risks to hazards, and at the same time identified individuals and households that are the most exposed and vulnerable. Collective understanding has helped overcome denial and apathy, infusing a new energy to solve problems as a community and creating buy-in and support for solutions. It has helped anchor community dialogues on resilience-building, and support conversations with local authorities and external agencies. In Lilongwe, for instance, multiple actors, including LCC, the Department of Disaster Management Affairs (DoDMA), the Lilongwe Water Board, civil society organizations and others, have come together to form partnerships to support the communities in managing climate risks and in sourcing finance. Community resilience plans drawn up through the data collection and analysis process became blueprints for community-led processes to enhance resilience, and important tools to negotiate support from funders.

The outputs of the data collection, analysis and resilience planning processes are invaluable for local governments. While city councils are mandated to involve communities in disaster risk reduction plans, they face several challenges such as inadequate funding and lack of capacity. The project helped overcome these challenges and promoted genuine relationships between communities and government, where each helped the other to overcome gaps, while enhancing government accountability and sustainability.

Lack of employment, and resulting poverty, was identified as a key driver of climate vulnerability in most of the settlements. Strengthening livelihoods was therefore recognized as a key strategy to address the root causes of vulnerability. “We cannot talk about building climate resilience if people’s livelihoods are frail,” says Modester Kaphala, National Leader of the Federation of the Rural and Urban Poor (a member of the Malawi Alliance). Skills development opportunities such as tailoring and designing, shoe making, tie and dye, mushroom farming, and peanut butter production are provided for community members, with a focus on women. Climate resilience of livelihoods was emphasized, for example, through the creation of a business cooperative LCC distributing food to people affected by floods in Kawale. Community Data for Change in Malawi’s Urban Informal Settlements called Zamanja Network (Zamanja is a Chichewa term for “handwork”) in Lilongwe. Similar cooperatives are being set up in other cities.

The project has so far supported seven informal settlements in Malawi to develop Community Resilience and/ or Risk Management Frameworks, and to set up local committees to implement them. For instance, committees have been established for waste management; water and sanitation; floods response; housing and infrastructure; and security. These committees include a minimum of 20 community members, 60 percent of them women.

Materials

1. Risk Profile Interview Form
2. Analysis: Identify and Rank Risks
3. Analysis: Identify and Rank Impacts
4. Analysis: Identify and Rank Solutions
5. Analysis: Identify and Rank Barriers to Action
6. Audio or video recording device for focus groups (optional but highly recommended)

Example Materials

| [1] Risk Profile Interview Form | | Form last updated Oct 2022 |
|---|---|--|
| 1 | Data collector name | <i>Patrick Njoroge</i> |
| 2 | Data collector contact | <i>075600091</i> |
| 3 | Date | <i>13 October 2022</i> |
| (1) Survey: About the respondent | | |
| A. Basic Information | | |
| A1 | Affiliation | (a) Community (b) Civil society (c) Local government |
| A2 | Gender | (a) Female (b) Male (c) Other |
| A3 | Age | (a) Less than 11 (b) 12 – 17 (c) 18 – 25 (d) 26 – 60 (e) More than 60 |
| A5 | Settlement name | <i>Mukuru Kwa Njenga (MN)</i> |
| A6 | Area name | <i>Riara (R)</i> |
| A7 | Block name (if applicable) | <i>A</i> |
| B. General Profile | | |
| B1 | Do you know how to read and write? | (a) Yes (b) No |
| B2 | Do you have any disabilities? | (a) Yes (b) No |
| B3 | Are you part of an indigenous/ traditional group? | (a) Yes (b) No |
| B4 | What is the highest level of education you have completed? | (a) Some primary (b) Primary (c) Some secondary (d) Secondary (e) Vocational training (f) Some tertiary (g) Tertiary |

| C. Socioeconomic Profile | |
|---------------------------------|--|
| C1 | Do you have a steady income? (a) Yes (b) No |
| C2 | Do you own your residence? (a) Yes (b) No |
| C3 | Is your residence in a good state? (a) Yes (b) No |
| C4 | How many years have you lived in this community? (a) 0 – 3 (b) 4 – 6 (c) 7 – 10 (d) 11 – 20 (e) More than 21 |
| C5 | What is your socioeconomic status relative to the rest of your community? (a) Much worse off (b) Worse off (c) Equal (d) Better off (e) Much better off |
| C6 | What is your socioeconomic status relative to the rest of your country? (a) Much worse off (b) Worse off (c) Equal (d) Better off (e) Much better off |
| D. Community Profile | |
| D1 | What scale of risk most affects your everyday life? (a) Small-scale, local risks (b) Large scale risks |
| D2 | What change in loss and damage has occurred in your community since the year 2005? (a) Substantial increase (b) Some increase (c) No change (e) Some reduction (f) Substantial reduction |
| D3 | How many people have been KILLED by disasters in your community? Over the last year (a) 0 (b) 1 (c) 2 – 5 (d) 6 – 10 (e) 11 – 50 (f) 50+ Over the last five years (a) 0 (b) 1 (c) 2 – 5 (d) 6 – 10 (e) 11 – 50 (f) 50+ |
| D4 | How many people have been INJURED by disasters in your community? Over the last year (a) 0 (b) 1 (c) 2 – 5 (d) 6 – 10 (e) 11 – 20 (f) 21 – 50 (g) 51 – 100 (h) 101 – 500 (i) 500+ Over the last five years (a) 0 (b) 1 (c) 2 – 5 (d) 6 – 10 (e) 11 – 20 (f) 21 – 50 (g) 51 – 100 (h) 101 – 500 (i) 500+ |
| D5 | How many people have been AFFECTED by disasters in your community? Over the last year (a) 0 (b) 1 – 10 (c) 11 – 50 (d) 51 – 100 (e) 101 – 200 (f) 201 – 500 (g) 500+ Over the last five years (a) 0 (b) 1 – 10 (c) 11 – 50 (d) 51 – 100 (e) 101 – 200 (f) 201 – 500 (g) 500+ |

(2) Discussion: About risks

E. Identify and prioritize risks

E1 **What risks do you, your household and your community face?**

Identify the 5 biggest risks that affect you. Write them down in order from most impact (1) to least impact (5).

| | |
|----|--|
| 1. | <i>Floods</i> |
| 2. | <i>Theft</i> |
| 3. | <i>Diseases/Poor health</i> |
| 4. | <i>Hunger/Lack of food/Food insecurity</i> |
| 5. | <i>Lack of safe drinking water</i> |

F. Assess each risk's impacts and solutions

F1 **For each of the 5 risks identified, answer the following questions:**

1. **Impacts** – What effect does the risk have on you, your household and your community? *List up to 5 impacts for each risk.*
2. **Solutions** – What actions can you or your community take (or have already taken) to reduce the impact of this risk?
3. **Barriers** – What barriers exist to taking action to reduce the impact of this risk? These can be in or outside the community.

| Risk No. 1 <i>Floods</i> | | |
|---------------------------------|---|--|
| Impact | Solution(s) | Barrier(s) |
| a <i>House damage</i> | <i>Dig canals</i> | <i>Lack of interest/funding from city government</i> |
| b <i>Diseases</i> | <i>Build a health center</i> | <i>Lack of interest/funding from city government</i> |
| c <i>Loss of time to work</i> | <i>Government assistance during disasters</i> | <i>Lack of interest/funding from city government</i> |

| Risk No. 2 <i>Theft</i> | | |
|--------------------------------------|---------------------------|--|
| Impact | Solution(s) | Barrier(s) |
| a <i>Loss of property</i> | <i>Community patrols</i> | <i>Lack of time/organization/ resources in community</i> |
| b <i>Lack of sleep</i> | <i>Street lights</i> | <i>Lack of interest/funding from city government</i> |
| c <i>Increase in money borrowing</i> | <i>Low-interest loans</i> | <i>No formal banking institutions in settlement</i> |

Risk No. 3 *Diseases/Poor health*

| Impact | Solution(s) | Barrier(s) |
|--------------------------------|--|--|
| a <i>Disease outbreaks</i> | <i>Build drainage</i> | <i>No funds</i> |
| b <i>High medical costs</i> | <i>Build a health center</i> | <i>Lack of interest/funding from city government</i> |
| c <i>High infant mortality</i> | <i>Build an infant and maternal health center</i> | <i>Lack of awareness</i> |
| d <i>Loss of time to work</i> | <i>Additional income-generating opportunities near house</i> | <i>Lack of funds to start personal business</i> |
| e <i>Lack of sleep</i> | <i>Low-cost medication</i> | <i>No government health center</i> |

Risk No. 4 *Hunger/Lack of food/Food insecurity*

| Impact | Solution(s) | Barrier(s) |
|-------------------------------------|---|---|
| a <i>Malnutrition</i> | <i>Better quality, low-cost food vendor options</i> | <i>High cost of food; unreliable supply; poor conditions for storing food</i> |
| b <i>Loss of time to work</i> | <i>Build a marketplace</i> | <i>Lack of interest/funding from city government</i> |
| c <i>Disease</i> | <i>Better quality and cheaper food</i> | <i>Lack of awareness in community</i> |
| d <i>High daily/weekly expenses</i> | <i>Cheaper food close to home</i> | <i>No space for a stable marketplace</i> |

Risk No. 5 *Lack of safe drinking water*

| Impact | Solution(s) | Barrier(s) |
|--|--|--|
| a <i>Disease</i> | <i>Safe drinking water in the plot</i> | <i>Disinterest from landlord</i> |
| b <i>High daily expense to buy water</i> | <i>Piped water from network</i> | <i>Lack of interest/funding from city government</i> |
| c <i>High medical costs</i> | <i>Low-cost medication</i> | <i>No government health center</i> |

G. Notes

G1 Write down any additional observations about the interviewee:

| [2] Analysis: Identify and Rank Risks | | | | | | Form last updated Oct 2022 |
|---------------------------------------|---------------------------------|--------------|--------------|--------------|-------------|----------------------------|
| Risk | Number of instances by priority | | | | | Total points |
| | (1) 5 points | (2) 4 points | (3) 3 points | (4) 2 points | (5) 1 point | |
| <i>Fires</i> | / | - | /// | // | //// | 22 |
| <i>Floods</i> | //////// | //// | // | //// | / | 70 |
| <i>Violence</i> | / | / | / | / | / | 15 |
| <i>Diseases/Poor health</i> | ////////// | //////// | ////// | //// | - | 108 |
| <i>Unemployment</i> | /// | //// | // | //////// | /// | 60 |
| etc... | | | | | | |

| [3] Analysis: Identify and Rank Impacts | | | Form last updated Oct 2022 |
|---|--------------------------------------|-------|----------------------------|
| Risk | Number of instances | Total | |
| <i>High medical costs</i> | //////////////////////////////////// | 51 | |
| <i>Work days lost</i> | //////////////////////////////// | 25 | |
| <i>Air pollution</i> | //////// | 11 | |
| <i>High cost of living</i> | ////////// | 18 | |
| <i>Vermin and insects</i> | //// | 6 | |
| etc... | | | |

| [4] Analysis: Identify and Rank Solutions | | | Form last updated Oct 2022 |
|---|--|-------|----------------------------|
| Risk | Number of mentions | Total | |
| <i>Build marketplace</i> | //////// | 10 | |
| <i>Piped water</i> | //////////////////////////////////// | 41 | |
| <i>Latrines in plot</i> | //////////////////////////////////// | 62 | |
| <i>Build government health center</i> | //////////////////////////////////// //////// | 77 | |
| <i>Build storm drains</i> | //////////////////////////////// | 22 | |
| etc... | | | |

| [5] Analysis: Identify and Rank Barriers to Action | | | Form last updated Oct 2022 |
|--|--|-------|----------------------------|
| Risk | Number of mentions | Total | |
| <i>Poor transport options</i> | //////// | 12 | |
| <i>Lack of community interest</i> | //// | 7 | |
| <i>Disease</i> | //////// | 18 | |
| <i>Lack of interest/funding from city government</i> | //////////////////////////////////// //////////////////////////////// | 97 | |
| <i>Corruption</i> | //// | 6 | |
| etc... | | | |

Related Components

Methods

- [Recruiting and Training Community Mobilizers and Co-researchers](#)
- [Settlement Mapping](#)
- [Settlement Profiling](#)
- [Household Numbering and Enumeration](#)

Sources

Interviews (2022) with staff from SDI-Kenya and the Akiba Mashinani Trust as well as a review of relevant documents and data collection forms from these same organizations.

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