DiMTEC-EHS Block Course Reducing vulnerabilities and strengthening Coping and Adaptation Strategies for Sustainable Development Pretoria, South Africa, 12-23 Feb. 2018 Video Lecture on 14 Feb. 2018

Indicators for vulnerability and risk assessment. Emphasis on environmental components

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Outline

✓ Part 1: Basic concepts and application

- Introduction to indicators
- Case study floods in Germany
- Case Study in West Africa

✓ Part 2: Focus on ecosystem component

- Brief introduction to ecosystem services
- The Global Delta Risk Index

Part 1 Introduction to indicators

Indicators: definitions

"a quantitative or qualitative measure derived from a series of observed facts that can reveal relative positions in a given area. An indicator can point out the direction of change across different units and through time"

"a **composite indicator** is formed when individual indicators are compiled into a single **index** on the basis of an underlying model. It ideally measures **multi-dimensional concepts** which cannot be captured by a single indicator alone"

(Nardo et al. 2005; OECD 2008)

Slide prepared by Michael Hagenlocher (UNU-EHS)

Indicator vs. Index

- Indicator vs index (composite indicator)
 - "a quantitative or qualitative measure derived from a series of observed facts that can reveal relative positions in a given area. An indicator can point out the direction of change across different units and through time"
 - "a composite indicator is formed when individual indicators are compiled into a single index on the basis of an underlying model. It ideally measures multi-dimensional concepts which cannot be captured by a single indicator alone"



Indicators: purposes

A central element of defining an indicator should be the **vision or goal** behind the indicator development process rather than having an interest in an indicator itself

Indicators as "symbolic representations designed to communicate a property or trend in a complex system or entity"

Criteria for Indicator Development 1/2

Indicators should respect the following criteria:

- ✓ Validity and accuracy: The indicator has to give a true reflection of the issue under consideration and must be developed in a consistent analytical framework
- ✓ Relevance: The indicator has to clearly relate to the topic and goal of the analysis
- ✓ Reproducibility: The indicator should be reproducible within defined and acceptable limits for data collection over time and space
- Sensitivity: The indicator should respond to a broad range of conditions or perturbations within an appropriate time frame and geographic scale
- Understandability: An important and often neglected prerequisite for the usefulness (and acceptance) of indicators is that the users must understand them

Criteria for Indicator Development 2/2

Indicators should respect the following criteria:

- Ease of interpretation: The interpretation of data must be simple and publicly appealing. The indicator should inform clearly about the extent of the issues represented
- Data availability: Data must be either available or should be obtainable through measurement

 Policy relevant: An indicator has to monitor the key outcomes, inform on any progress, measure processes, and provide specific information

Procedure for the Development of Indicators



Part 1 Flood case study, Germany

Vulnerability Assessment – Modified SUST Model

Source: Turner II et al. 2003. A framework for vulnerability analysis in sustainability science. *PNAS 100:8074-8079*. MODIFIED – Marion Damm (2010) Mapping Social-Ecological Vulnerability to flooding: A sub-national approach to Germany. Graduate Research Series Vol 3, UNU-EHS, Bonn

Indicator development process

Selecting Indicators

Indicators Forest	Validity	Understandability	Data availability/data quality	Reproducibility
People employed	xx	xx	xx	xx
in F.S.				
Timber production	х	xx	0	0
Gross value added	xx	xx	xx	xx
Forested area	xx	xx	xx	xx
Unemployment rate	xx	хо	xx	xx
F.S.				
Unemployment rate	xx	хо	xx	xx
district				
Financial debts of	x	x	0	0
municip.				
Insolvency rate	x	xx	0	0
Windfall areas	xx	xx	хо	хо
Mean crown	xx	xx	xx	xx
defoliation				

Use of SUST for specific sectors Indicators

Weights and Aggregation

Vulnerability Maps

Vulnerability Maps

Part 1 Community-based risk assessment in West Africa

Research area

Stepwise process of risk assessment

Asare-Kyei et al (2016): PLoS ONE 12(3): e0171921. doi:10.1371/journal.pone.0171921

Conceptual framework

Asare-Kyei et al (2016): PLoS ONE 12(3): e0171921. doi:10.1371/journal.pone.0171921. Bssed on Kloos et al (2015)

Approach to indicator development

 The indicator development looks at appropriate Participatory Action Research (PAR) methods that could be used to involve local communities and at risk populations in developing the indicators.

 This indicator development phase is a crucial first step in understanding the vulnerability and risk of exposed populations.

Participatory indicator development

Asare-Kyei et al (2015): International Journal of Disaster Risk Reduction 11:13–34

Number of indicators elicited and validated

Country	Scale of assessment							
	Local level	National level						
Ghana	37 (5*)	25 (8*)						
Burkina Faso	34 (6*)	22 (3*)						
Benin	37 (4*)	25 (6*)						

* Number of indicators that are unique to each country

Unique indicators

Ghana	Vulnerability component	Burkina Faso	Vulnerability component	Benin	Vulnerability component
Crop type	Sus.ES	Household size	Sus.Ss	Forested area	Eco. robust
Unimproved drinking	Sus.SS	Agroforestry cover	Eco-robust	Erosion	
water source		Soil depth	Eco-robust	rates	Sus-Es
Physical infrastructure	Exp. assets	Number of bas- fonds (small	Eco. robust	Land ownership	Adaptive capacity
Population density	Sus.ss	reservoirs)		Total soil nitrogen	Eco. robust
Female headed		NDVI	Eco-robust		
households	Sus.Ss	Early warning system	Coping capacity		

Unique indicators have good bearings with realities on the ground

Asare-Kyei et al (2015): International Journal of Disaster Risk Reduction 11:13-34

Differential ranking of indicators

Even for indicators that were common and run through all the 3 countries, they differ in their rankings.

This differential ranking has significant implications for weighting during risk estimations and hence the risk faced by people in different societies

And it arises from differences in perceptions of risks, cultural, political and socioeconomic disparities in different countries

Vulnerability index

Asare-Kyei et al (2016): PLoS ONE 12(3): e0171921. doi:10.1371/journal.pone.0171921

Exposure profiles

Community ranking of exposure of the SES to droughts and floods

	Vea study	area (Ghana)	Dano study aı	rea (Burkina faso)	Dassari stu	dy area (Benin)
Rank	Community cluster	Exposure (%)	Community cluster	Exposure (%)	Community cluster	Exposure (%)
	L Kula river drain	58.14	Loffing- Yabogane	59.01	Porga	40.47
	2 Vea main drain	49.55	Batiara	58.45	Tankouri	26.93
	Valley zone	34.85	Bolembar	55.42	Setchen <u>d</u> iga	23.04
4	I Balungu	34.14	Gnikpiere	55.06	Nagassega	22.36
ļ	5 Kolgo- Anateem	31.31	Yo	54.20	Ouriyori	22.12
	6 Anafobiisi	29.98	Complan	53.54	Firihoun	19.19
	7 Apatanga	29.73	Tambalan	52.31	Pouri	15.35
	3 Samboligo	29.70	Dano sector 1,2,4	48.19	Tetonga	13.85
9	Soe	29.54	Kpeleganie	46.24	Tigniga	12.07
10) Tarongo	19.54	Lare	28.34	Tihoun	12.00
11	L Beo Adaboya	19.29	Sarba	27.48	Dassari	11.32
12	2 Bongo zone	16.42	Dano sector 7	23.59	Koulou	4.42
13	3 Kanga	13.44	Meba Pari	22.47		

Composite community vulnerability index

Asare-Kyei et al (2016): PLoS ONE 12(3): e0171921. doi:10.1371/journal.pone.0171921

West Sudanian Savanna Community Risk Index (WESCRI): Computation

Risk and vulnerability profiles_{1/2}

Risk

Risk and vulnerability profiles_{2/2}

Risk

*Alternate food and income source

Summary

Opportunities

- Can summarize complex, multidimensional phenomena with a view to supporting decision makers
- Easier to interpret than a battery of indicators
- Comparative analysis & identification of hotspots
- Monitoring of trends
- Facilitate communication with decision makers, practitioners and the public

Challenges / limitations

- Data (availability, quality)
- "Subjectiveness" of indicator choice
- Validation
- May send misleading policy messages if poorly constructed or misinterpreted
- May invite simplistic policy conclusions
- Technocratic → may fail to consider the actual root causes of vulnerability

Part 2 Brief introduction to Eco-DRR ecosystem services

Ecosystem-based DRR/CCA

The sustainable management, conservation, and restoration of ecosystems to reduce disaster risk and adapt to the consequences of climate change, with the aim of achieving sustainable and resilient development

Chapter 1 of Renaud et al (2016): Ecosystem-Based Disaster Risk Reduction and Adaptation in Practice, Springer. DOI 10.1007/978-3-319-43633-3_1. Photos: F. Renaud/UNU-EHS

Eco-DRR/CCA, Ecosystem Services, and the components of risk

 Regulating services:
 ✓ Erosion regulation
 ✓ Environmental hazard regulation
 ✓ Carbon storage
 ✓ Exposure reduction

Eco-DRR/CCA, Ecosystem Services, and the components of risk

- Regulating services
 - ✓ Carbon storage
 - ✓ Erosion regulation
 - ✓ Environmental hazard regulation
 - ✓ Exposure reduction
- Provisioning services
 - ✓ Fish and seafood✓ Fire wood

Photo: Fabrice Renaud/UNU-EHS

Eco-DRR/CCA, Ecosystem Services, and the components of risk

- Regulating services
 - ✓ Carbon storage
 - ✓ Erosion regulation
 - ✓ Environmental hazard regulation
 - ✓ Exposure reduction
- Provisioning services
 ✓ Fish and seafood
 ✓ Timber
- Cultural services
 - ✓ Recreation & tourism✓ Cultural heritage

Photos: Fabrice Renaud/UNU-EHS

Mountain forest

Forests on steep slopes

Protection against avalanches, particularly during the snow melt

- Protection against landslides and rock fall, particularly following storms or sudden earth movements
- Slowing rate of flood waters
- Slope stabilization

Source: Dudley, N., Buyck, C., Furuta, N., Pedrot, C., Renaud, F., and K. Sudmeier-Rieux (2015). Protected Areas as Tools for Disaster Risk Reduction. A handbook for Practitioners . Tokyo and Gland, Switzerland: MOEJ and IUCN., photo: Sudmeier-Rieux

Forest (floodplains)

Element	What it provides
Forests	 Protection against extreme weather events and sudden water, earth and lava movements Storage and sequestration of carbon to mitigate climate change Emergency supplies of human food and livestock fodder in times of drought and famine Medicine supplies during times of disaster and epidemic
Forests beside rivers & streams	 Slowing and buffering discharge rates in floods Bank stabilization against erosion

Source: Dudley, N., Buyck, C., Furuta, N., Pedrot, C., Renaud, F., and K. Sudmeier-Rieux (2015). Protected Areas as Tools for Disaster Risk Reduction. A handbook for Practitioners . Tokyo and Gland, Switzerland: MOEJ and IUCN., slide: Sudmeier-Rieux, picture: El Cangrecal river, Honduras[©] C Warmenbol

Sand dunes

Barrier islands & sand dunes

 Buffering against ocean surge and other inundation as a result of typhoons, hurricanes and tsunamis

Source: Dudley, N., Buyck, C., Furuta, N., Pedrot, C., Renaud, F., and K. Sudmeier-Rieux (2015). Protected Areas as Tools for Disaster Risk Reduction. A handbook for Practitioners . Tokyo and Gland, Switzerland: MOEJ and IUCN., slide: Sudmeier-Rieux, picture: Sri Lanka ©McAdoo

Part 2 The Global Delta Risk Index

Global Delta Risk Index (GDRI)

"DELTAS: Catalyzing action towards sustainability of deltaic systems with an integrated modelling framework for risk assessment"

DFG

> UNU-EHS Institute for Environment and Human Security

Slides adapted from a presentation by Fabrice Renaud an Mihael Hagenlocher/UNU-EHS

Global Delta Risk Index (GDRI) Study sites

Global Delta Risk Index (GDRI) – Objectives

To support the planning and implementation of DRR and adaptation measures in deltas facing multiple hazards by:

- Developing a conceptual framework for assessing multi-hazard vulnerability (and risk) of SES at the sub-delta level
- Defining **indicators** that:
 - Represent vulnerability of the SES
 - Respond to multiple hazards in a hazard specific way
 - Are quantifiable at the sub-delta scale
 - Are transferable to different delta contexts
- Conduct an assessment of multi-hazard risk in the three model deltas at the sub-delta scale

Global Delta Risk Index (GDRI) – Workflow

Source: Hagenlocher et al. (forthcoming), based on Nardo et al. (2005), OECD (2008), Hagenlocher & Castro (2015)

Global Delta Risk Index (GDRI) – Identification of indicators

Local stakeholder consultations in the three demonstration deltas:

- O Mekong:
- O Ganges Brahmaputra-Meghna:
- O Amazon:

2-3 April 20143-4 September 201412-13 May 2015

Selection of participants (inclusive approach):

- Government,
- Academia
- Civil society
- Independent consultants,
- Project partners
- **.**...

Global Delta Risk Index (GDRI) – Identification of indicators

Global Delta Risk Index (GDRI) – Identification of indicators

- Comprehensive review of vulnerability assessments and indicators in the three model deltas
 - O geomorphic terms related to coastal river deltas: ("delta* OR estuary* OR coast* OR shore*"),
 - O assessment terms: ("risk OR vulner* OR resil*", and "eval* OR assess* OR profile OR index OR indic*")
 - O geographic terms: ("Bangladesh OR Ganges OR Brahmaputra OR Amazon OR Mekong")

Global Delta Risk Index (GDRI) – Identification of indicators

55 papers reviewed systematically:

- O 236 indicators identified and classified according to the SES vulnerability framework
- Indicators of ecosystem susceptibility and robustness are underrepresented even in SES-type studies
- truly integrate social and ecological indicators
 SES-TYPE ASSESSMENTS
- account for vulnerability and risk in multi-hazard settings
 MULTI HAZARD ASSESSMENTS

Global Delta Risk Index (GDRI) – Indicator library

SOCIAL SUSCEPTIBILITY INDICATORS					drought	floods (pluvial/fluvial)	salinity intrusion	coastal flooding	pollution	
Category	Indicator	Code	Data (yes/no)		Haz	ard s	etting	9 **		Indicator library (potential proxies)
Gender	Percentage female-headed households (%)	S_SOC3	×	+		+		+		Percentage female population (%)
Remoteness	Travel time to closest city (mins)	S_SOC4	×	+		+		+		Percentage rural population (%)
Disability &	Percentage of the population with disabilities (%)	S_SOC5	×	+	+	+		+		
nealth status	Percentage malnurished population (%)	S_SOC6		+	+	+	+	+	+	Stunting children (%); infant mortality rate (%)
	Percentage of population with chronic illnesses (%)	s_soc7			+				+	Percentage of the population with HIV, tuberculosis, malaria, cardiovascular, respiratory disease, cancer (%)
	Percentage of illiterate population (%)	s_soca	×	+	+	+	+	+	+	Number of teachers per 10,000; gross school enrolment rate (%); distance to schools (km); density of schools
Poverty &	Percentage of population below national poverty line (%)	S_ECO1	×	+	+	+	+	+	+	Percentage of the population below 1 US\$ per day (%); asset-based poverty index
inequality	Dependency ratio (%)	S_ECO2	×	+	+	+	+	+	+	Percentage of children < 5 years (%); percentage of population in retirement (%)
	GINI index (0-100)	S_ECO4	×	+	+	+	+	+	+	GDP per capita PPP; income per capita PPP
Agriculture	Dependency on agriculture/forestry/fisheries for livelihood (%)	S_OCU1	х	+	+	+	+	+	+	Percentage of contribution of agriculture/forestry/fisheries to GPD (%) per province
	Percentage of households without access to irrigation (%)	S_OCU2	х		+					
Public	Percentage of population without access to (improved) sanitation (%)	S_INF1	×	+	+	+		+		
initiatitation	Percentage of population without access to clean water (%)	S_INF2	×	+	+	+	+	+	+	
	Percentage of population without access to electricity (%)	S_INF3	×	+	+	+	+	+	+	
Settlement &	Percentage of population living in informal settlements (%)	S_HOU1		+	+	+	+	+	+	
nousing	Percentage of population living in poorly-constructed houses (%)	S_HOU2		+		+		+		
	Percentage of reinforced/elevated houses (%)	S_HOU3		-	+	-		•		
	Percentage of floating houses (%)	S_HOU4		+		-		-		
	Percentage of houses with more than one floor (%)	S_HOU5				-		-		
	Percentage of households without official land title (%)	S_HOU6		+	+	+	+	+	+	
Stability	Prevalence of population who experience violence (%)	S_STA1	×	+	+	+	+	+	+	Homicide rate per 100,000 inhabitants; % of population who experienced sexual violence
	Prevalence of population affected by armed conflict (%)	S_STA2		+	+	+	+	+	+	Density of armed conflict events (km2)
	Number of fatalities caused by terrorists per 10,000 per year	S_STA3	×	+	+	+	+	+	+	Global Terrorism Index (GTI)

Source: Hagenlocher et al. (forthcoming)

Global Delta Risk Index (GDRI) – Indicator library

storms	drought	floods (pluvial/fluv	salinity intrusio	coastal floodin	pollution	
		uvial)	u	Бu		
						1

Category	Indicator	Code	Uata (yes/no) *	Hazard setting 🛤		,**	Indicator library (potential proxies)		
Habitat									
Habitat destruction	Percentage of wetlands drained (wetland loss)	ES_DES1			+	+	+	+	+
	Freshwater scarcity	ES_DES2	×		+		+		+ Global fresh water resources; baseline water stress
	Percentage of deforested area (%)	ES_DES3	x	+	+	+		+	•
	Percentage of shoreline eroded (%)	ES_DES4		+			+	+	
Habitat	Wetland connectivity	ES_FRA1			-	-	-	-	
ragmentation	River connectivity	ES_FRA2	x		-	-	•	-	- Number of dams and sluice gates per river (# per km)
	Forest connectivity (RS)	ES_FRA3	x		-	-			
Habitat degradation	Water quality of freshwater bodies	ES_DEG1	×		-	-			- Water Quality Index; Water quality for major watersheds; upstream protected land; Biochemical Oxygen Demand (BOD) in
oogradation	Groundwater quality	ES_DEG2	×	+	+	+	+	+	+ Arsenic in groundwater (probability of occurrence)
	Return Flow Ratio	ES_DEG4	×		+	+			*
	Soil organic matter	ES_DEG6	×		-	-			Average carbon content in the topsoil as a % in weight (%)
	Thickness of the soil organic layer	ES_DEG7			-				+
	Cation exchange capacity	ES_DEG9					-		
Ecosystem									
Fragile	Percentage of area covered by "problem soils" (%)	ES_FRG1			+				
22009010110	Percentage of area covered by critical sites for conservation (danger of extinction)	ES_FRG3		+	+	+	+	+	*
Biodiversity	Species richness adjusted by intactness	ES_BIO1a		-	-	-	·	-	

Global Delta Risk Index (GDRI) – Structure

Global Delta Risk Index (GDRI) – Results: multi-hazard exposure of the SES

Amazon

- flooding

- storm surges
- cyclones
- salinity intrusion
- flooding

- salinity intrusion
- flooding

Global Delta Risk Index (GDRI) – Results: multi-hazard exposure of the SES

Amazon

Global Delta Risk Index (GDRI) – Results: multi-hazard vulnerability of the SES

Across delta comparison

EQUAL WEIGHTS!

Variability within delta

Global Delta Risk Index (GDRI) – Results: multi-hazard risk of the SES

Variability within delta

Global Delta Risk Index (GDRI) – Policy messages

Exposure (mul	ti-hazard			
	Min	Max	Mean	Std
Amazon delta	0.01	0.32	0.17	0.08
GBM delta	0.01		0.34	0.19
Mekong delta	0.19		0.31	0.11
	-			
Vulnerability (multi-ha	zard, SES)		
	Min	Max	Mean	Std
Amazon delta	0.45	0.54	0.51	0.02
GBM delta	0.52		0.62	0.04
Mekong delta	0.46	0.53	0.51	0.02
Risk (multi-ha	zard, SES)			
	Min	Max	Mean	Std
Amazon delta	0.01	0.17	0.09	0.04
GBM delta	0.01		0. 21	0.12
Mekong delta	0.09	0.24	0.14	0.05

- Exposure, vulnerability and risk and are highest in the GBM Delta but also the spatial variability
- In case exposure would increase with e.g. climate change, the risk could dramatically increase in the Amazon

Global Delta Risk Index (GDRI) - Feedback on indicators / results

Source: Hagenlocher et al. (forthcoming)

Thank You!

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