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Mainstreaming

- Mainstreaming is not a new concept
- Increasingly popular since the late 1990s to tackle development issues
- More recently adopted in the context of climate change
- Concept is poorly defined and not easily translated into practice
- Described as an 'holistic' or 'development-first' approach, whereby adaptation and mitigation objectives are integrated within development agendas
- Climate change risks inform ongoing development policy-making, planning and activities across all sectors

Source: Oates et al, ODI Background Note, April 2011 www.odi.org.uk

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Mainstreaming

Relevant lesson from HIV/AIDS and gender mainstreaming

- **Conceptual confusion**
 - Mainstreaming is often poorly defined
- **Reductionism**
 - HIV/AIDS seen as a 'health' issue and addressed by adding components to existing programmes. Similarly climate change is seen as an 'environmental' issue
- **Focal points**
 - Need to be in key ministry divisions, have influence over sector budgeting/resource allocation, and receive on-going technical and personal support from the highest levels
- **Implementation**
 - Strategic level change is not necessarily a pre-condition for mainstreaming at the operational level
- **Performance**
 - Policy needs to be translated to action with effective monitoring
 - Indicators very difficult to define for climate change adaptation

Source: Summarised from Elsey et al. (2005) and Mehra and Gupta (2006)

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Mainstreaming

Some key issues

- Climate change effects are increasingly evident
- Many uncertainties
- Lack of national level coordination and integration
- Poor engagement (if any) with grassroots
- Lack of capacity
- Apathy/denial etc.

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Tools/approaches for adaptation planning

- UNDP Adaptation Policy Framework
- WRI National Adaptive Capacity (NAC) Framework
- Integrating climate change adaptation and disaster risk reduction
- Local Adaptive Capacity (LAC) Framework
- Resilience Assessment Workbook
- OECD Policy Guidance
- UNITAR Climate Change Capacity Development (C3D) project
- CARE International toolkit

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Adaptation Policy Framework

Four major principles

- Adaptation to short-term climate variability and extreme events serves as a starting point for reducing vulnerability to longer-term climate change
- Adaptation occurs at different levels in society, including the local level
- Adaptation policy and measures should be assessed in a development context; and
- The adaptation strategy and the stakeholder process by which it is implemented are equally important.

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Objectives

- **Should fit with a nation's development priorities**
- **At an operational level:**
 - Initiation of a process to reverse trends that increase maladaptation and raise the risks for human populations and natural systems
 - Reassessment of current plans for increasing the robustness of infrastructure designs and long-term investments
 - Improvement of societal awareness and preparedness for future climate change, from policy-makers to local communities
 - Increased understanding of the factors that enhance or threaten the adaptability of vulnerable populations and natural systems
 - A new focus on assessing the flexibility and resilience of social and managed natural systems.

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Balance required

- The need to reduce climate change impacts
- Constraints of national policy-making processes
- An effective adaptation strategy will require increased policy coherence across economic sectors, societal levels and time frames

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Intended Adaptation Policy Framework outputs and outcomes

In general, a completed APF process leads to a clarification of adaptation strategies, policies and measures, implementation plan, and enhanced adaptive capacity.

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Outputs

- Policy development
 - Certain aspects of national development strategy
 - Specific geographic areas
 - Key sectors
- Integrated assessments
 - Cross-sectoral integration
- Project formulation
 - At any scale

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Outcomes

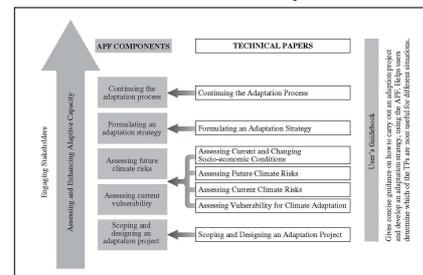
- An on-going policy process
- Public awareness raised
- Enhanced capacity
 - Individual
 - Community
 - Sectoral
 - National
- Policy processes established or modified
- Creation of an 'Adaptation Community'

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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The Adaptation Policy Framework Components



Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Multi-level implementation

- The APF is intended to be accessible to technical analysts, the private sector, the general public and other stakeholders
- In particular, the APF process emphasises both stakeholder engagement and the need to mobilise local action to increase adaptive capacity

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Technical Papers

- The APF is supported by nine technical papers
 - Scoping and designing an adaptation project
 - Engaging stakeholders in the adaptation process
 - Assessing vulnerability for climate adaptation
 - Assessing current climate risks
 - Assessing future climate risks
 - Assessing current and changing socio-economic conditions
 - Assessing and enhancing adaptive capacity
 - Formulating an adaptation strategy
 - Continuing the adaptation process

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Applying the APF

- Firstly establish the nature of the output desired (e.g., policy development, integrated assessment, or project formulation)
- Identify specific approaches, methods, and tools that are appropriate, considering the resources available
- In evaluating project priorities, desired outcomes, and resources users should address several aspects of an APF including:
 - Approach
 - Coverage
 - Methods and tools
 - Components

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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APF Adaptation Approaches

APF Approach

- **HAZARD-BASED**
Top-down, scenario-driven, formal risk mapping for hazards
- **VULNERABILITY-BASED**
Bottom-up: no mapping or scenarios, vulnerability combined with general hazard information
- **ADAPTIVE CAPACITY**
Bottom-up: providing options for adapting
- **POLICY-BASED**
Top-down/bottom-up: adaptation via policy intervention

Project Outcome Examples

- **Ameliorated impacts** in high-risk areas, early warning, response measures
- **Reduced vulnerability** of population and high-risk groups: improve access, livelihoods, security
- **Enhanced adaptive capacity** better preparedness, awareness, empowerment, livelihood options
- **“Adaptation friendly” policies,** programmes, strategies, that discourage high risk or maladaptive behavior

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Work within your resource base

- Applying the APF does not necessarily require an abundance of high-quality data, or extensive expertise in computer-based models
- It is possible to use the APF to conduct a project in entirely qualitative terms
- Applying the APF requires thoughtful assessment of adaptation to climate change, a robust stakeholder process – and what would be considered manageable costs in terms of time and funding

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Key elements

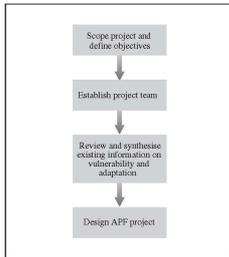
- Careful application of the scoping and design process
- A strong stakeholder engagement process
- Assessment and enhancement of adaptive capacity
- Analysis of adaptation to cope with current and future climate change
- A programme to monitor and evaluate the impact of adaptation

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Scoping and designing an adaptation project



- Checklist**
- Defined **priority systems** and project boundaries?
 - Established a plan for identifying and engaging **stakeholders**?
 - Determined **project objectives** and desired **outcomes**?
 - Developed a **plan for communication** of results to stakeholders and decision makers?
 - Selected the adaptation project **team**?
 - Identified, assembled, and reviewed **pertinent information**?
 - Selected an **approach** (e.g., from the four recommended)?
 - Analysed the national **policy-making process and barriers** in the context of adaptation?
 - Prepared **terms of reference** for the overall project?

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Assessing vulnerability for climate adaptation

Checklist

- **Characterised** climate variability, extremes, and hazards?
- Described **socio-economic conditions** affecting current vulnerability and risk?
- Conducted an assessment of the **adaptation baseline**?
- Identified and characterised the **vulnerability** of the priority system to current climate hazards?

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

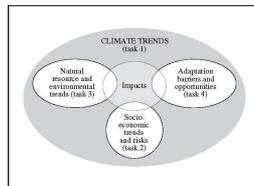
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Assessing future climate risks

Checklist

- **Characterised** climate trends, risks and opportunities?
- Described scenarios of **socio-economic (and environmental) conditions**?
- Addressed **uncertainties** in the choice of methods and tools for trend predictions?
- Laid a basis for its incorporation into **risk management strategies**, and planning under uncertainty?



Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

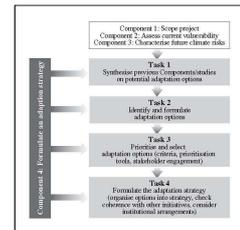
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Formulating an adaptation strategy

Checklist

- **Taken stock** of what has emerged thus far in the APF process?
- Characterised **adaptation options** in terms of their costs, impacts, and barriers?
- Created a **ranked set** of adaptation interventions?
- Prepared the adaptation **strategy document** that outlines measures, implementation plans, timeframes and operational issues?



Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

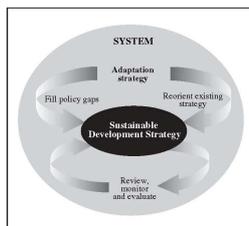
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Continuing the adaptation process

Checklist

- Developed a detailed plan for effective **incorporation** of the adaptation strategy into national development plans?
- Prepared an adaptation **implementation plan** and identified how to institutionalise follow-up?
- Assembled a strategy for **reviewing, monitoring, and evaluating** adaptation impacts?



Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Engaging stakeholders

- Stakeholder involvement at different levels and stages is crucial to successful adaptation
- Three major tasks:
 - Identify stakeholders
 - Clarify the roles of stakeholders
 - Manage the dialogue process

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Assessing and enhancing adaptive capacity

- Identifying ways to increase adaptive capacity is a universal activity that cuts across all APF Components
- View adaptive capacity as a policy change process, and stakeholders as change agents
- Adaptive capacity is a multidisciplinary approach to respond to different dimensions of climate change

Source: Adaptation policy frameworks for climate change: Developing strategies, policies and measures, UNDP

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Buzz groups (5 mins)

- Briefly discuss what you've learned about the Adaptation Policy Framework approach
- What do you perceive as its strengths and weaknesses?

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Other tools/approaches to consider

- WRI National Adaptive Capacity (NAC) Framework
- Integrating climate change adaptation and disaster risk reduction
- Local Adaptive Capacity (LAC) Framework
- Resilience Assessment Workbook
- OECD Policy Guidance
- UNITAR Climate Change Capacity Development (C3D) project
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The National Adaptive Capacity (NAC) Framework

Developed by the World Resources Institute
Focus on functions rather than assets

- The National Adaptive Capacity Framework identifies a fundamental set of national-level functions that all countries will need to perform if they are to be adapting effectively over time.
- The framework can be used to assess how well functions are being performed, in order to identify opportunities and priorities for building adaptive capacity and implementing key activities.

<http://www.wri.org/project/vulnerability-and-adaptation/nac-framework>

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Key national adaptation functions

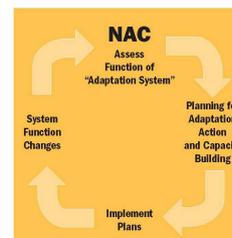
- **Assessment** Assessment is the process of examining available information to guide decision-making.
- **Prioritization** Prioritization means assigning special importance to particular issues, areas, sectors, or populations.
- **Coordination** Adaptation requires action by disparate actors at multiple levels, both within and outside of government.
- **Information Management** Information management consists of collecting, analyzing, and disseminating knowledge in support of adaptive activities.
- **Climate Risk Reduction** Different development priorities will face different risks from climate change. Addressing these risks depends on the above adaptation functions, but also requires a distinct process.

Source: WRI 2009

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The NAC Framework



- For use by planners, evaluators, advocates
- Key characteristics
 - Adaptation as a process
 - 'Learning by doing'
 - Participatory, transparent, multi-stakeholder
 - Start where you are
 - Flexibility

<http://www.wri.org/project/vulnerability-and-adaptation/nac-framework>

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Local Adaptive Capacity (LAC) Framework

- Traditional frameworks to conceptualise adaptive capacity, both at national and local levels, have focused largely on assets and capitals as indicators
- The LAC framework gives more attention to *processes*
- Developed by the Africa Climate Change Resilience Alliance (ACCRA) <http://community.eldis.org/accra/>

Source: Jones et al., 2010, Towards a characterisation of adaptive capacity: a framework for analysing adaptive capacity at the local level. ODI Background Note

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LAC Framework

Five characteristics:

- The asset base
- Institutions and entitlements
- Knowledge and information
- Innovation
- Flexible forward-thinking decision making and governance

Draft framework for consultation/feedback

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Climate change adaptation and disaster risk reduction

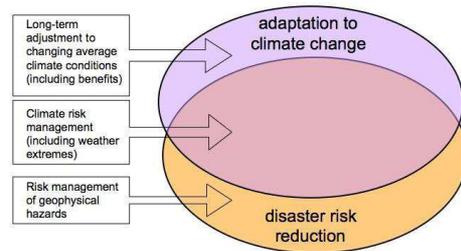
- **Climate change adaptation:** An adjustment in natural or human systems in response to actual or expected climate stimuli or their effects, which moderates harm or exploits benefit opportunities.
- **Disaster risk reduction:** The broad development and application of policies, strategies and practices to minimise vulnerabilities and disaster risks throughout society, through prevention, mitigation and preparedness.

Source: Mitchell and van Aalst, 2008

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Climate change adaptation and disaster risk reduction

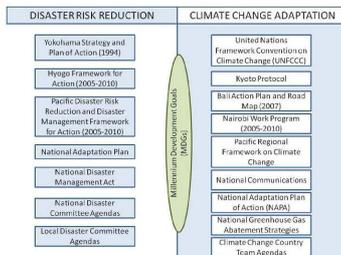


Source: Mitchell and van Aalst, 2008

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CCA & DRR global to national/local in Pacific Island Countries



Source: Gero et al., 2010

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Reinventing the wheel?

- DRR focus is normally at the community level
- CCA stems from global initiatives
- At local level DRR strategies are very similar to CCA strategies
- In Papua New Guinea, developing climate change and DRR policies has been very much top-down, frequently initiated with limited community consultation or involvement

Source: Mercer, 2010

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Examples of community vulnerability and assessment tools

Tool	Organisation
Community Risk Assessment (CRA) Tool Kit	Prevention Consortium
Vulnerability and Capacity Assessment (VCA)	International Federation of the Red Cross Societies
Community Based Risk Screening Tool - Adaptation and Livelihoods (CBRSTAL)	IFSD, World Conservation Union-IUCN
Climate change and Environmental Degradation risk assessment (CEDRA)	TeeFond
Opportunities & Risks of Climate Change & Disasters (ORCHID)	Institute of Development Studies (IDS)
Capacity and Vulnerability Assessment (CVA)	Citywide Based & Development-Oriented Disaster Response (CEDRO)
Disaster Risk Assessment	UN-HABITAT
Vulnerability and capacity assessment (VCA)	Emergency Preparedness Canada
Hazard Risk Vulnerability Assessment (HRVA)	British Columbia, Provincial Emergency Program
Hazard, Vulnerability and Capacity Assessment (HVCA)	Climate Disaster Response Network (CDRN), Philippines
Participatory Vulnerability & Capacity Assessment (PVCA)	PROVAs
Participatory Disaster Risk Assessment	Asian Disaster Preparedness Centre
Participatory Vulnerability Analysis (PVA)	Accionaid
Resilience and Vulnerability Assessment (RVA)	Emergency Management Australia (EMA)
Community Vulnerability and Adaptation (CVAA)	SPEEP, part of GCOMAPIC Project
Climate Witness	WWF

Source: Gero et al. 2010

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Best practice methods for integration

- Holistic approach to vulnerability reduction
- Use of multi-sectoral and multi-stakeholder approach
- Ensure genuine community participation
- Overcome fragmented policy frameworks
- Focus on both "hard" and "soft" solutions to vulnerability reduction
- Draw upon traditional knowledge where possible and where possible,
- Link local observations of climate change to scientific knowledge
- Practising of roles and responsibilities for disaster response, since severe weather may become more frequent and intense with climate change

Source: Gero et al., 2010

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Social protection, disaster risk reduction and climate change adaptation

Social protection describes all initiatives that transfer income or assets to the poor, protect the vulnerable against livelihood risks, and enhance the social status and rights of the marginalised. Its overall objectives are to extend the benefits of economic growth and reduce the economic or social vulnerability of poor, vulnerable and marginalised people. (IDS 2006; Devereux and Sabates-Wheeler 2004).

Disaster Risk Reduction (DRR) describes the development and application of policies, strategies and practices that minimise vulnerabilities, hazards and unfolding disaster impacts throughout a society in the broad context of sustainable development.

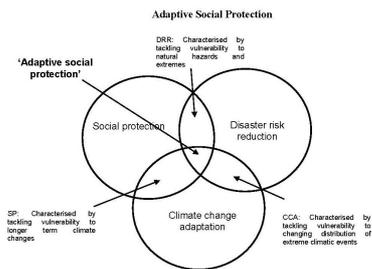
Climate Change Adaptation is about reducing the risks posed by climate change to people's lives and livelihoods (DFID, 2006).

Source: Davies et al., 2009, OECD

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SP, DRR & CCA



Source: Davies et al., 2009, OECD

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SP, DRR & CCA

Table 9. Key Characteristics of social protection, adaptation and disaster risk reduction

	Social protection	Adaptation	DRR
Core disciplinary grounding	Development and welfare economics	Social development and physical sciences	Physical sciences
Dominant focus	Implementation of measures to manage risk	Enabling processes of adaptation	Prevention of disaster events
Main shocks and stresses addressed	Multiple	Climate-related	All natural hazard-related, including climate
Informational/coordination	Informal, OECD task group	UNFCCC - Nairobi Work Programme	UNISDR Hyogo Framework for Action
Main Funding	Ad hoc multilateral and bilateral	Coordinated international funds: Global Environment Facility, UNFCCC/Kyoto Protocol funds. Ad hoc bilateral	Coordinated international funding: ISDR, GDRR, Ad hoc civil sponsored and bilateral

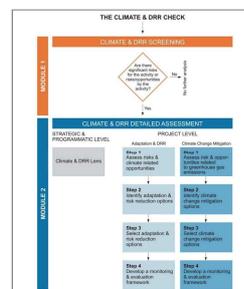
Source: Davies et al. 2008, Institute of Development Studies

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Climate and DRR screening

Swiss Agency for Development and Cooperation

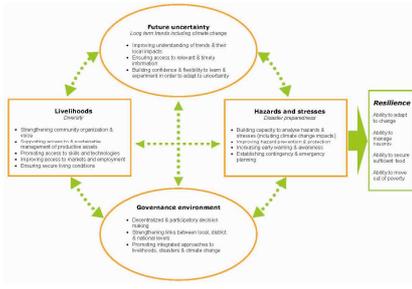


- Developed by Swiss Agency for Development and Cooperation to support SDC staff and their partners
- Based on OECD Policy Guidance
- Goes further by integrating DRR and mitigation

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Vulnerability to resilience



Source: Practical Action

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Resilience defined

Resilience is...

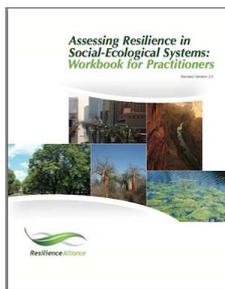
the ability to absorb disturbances, to be changed and then to re-organise and still have the same identity (retain the same basic structure and ways of functioning). It includes the ability to learn from the disturbance. A resilient system is forgiving of external shocks. As resilience declines the magnitude of a shock from which it cannot recover gets smaller and smaller. Resilience shifts attention from purely growth and efficiency to needed recovery and flexibility.

Source: www.resalliance.org

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Resilience workbook

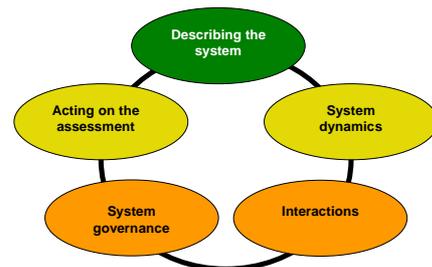


'Resilience assessment integrates a set of key concepts to provide an alternative way of thinking about and practicing natural resource management'
www.resalliance.org

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Resilience Assessment Framework



Source: Assessing Resilience in Social-Ecological Systems: Workbook for Practitioners www.resalliance.org

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OECD Policy Guidance



The objectives of this policy guidance are to:

- promote understanding of the implications of climate change on development practices and the associated need to mainstream climate adaptation in development co-operation agencies and partner countries
- identify appropriate approaches for integrating climate adaptation into development policies at national, sectoral and project levels and in urban and rural contexts
- identify practical ways for donors to support developing country partners in their efforts to reduce their vulnerability to climate variability and climate change.

Development practitioners are the core audience, but also of relevance to policy makers

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Four step approach



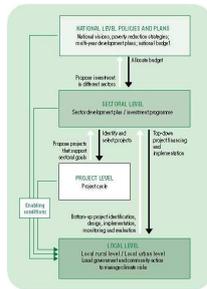
- Identify current and future vulnerabilities and climate risks
- Identify adaptation measures
- Evaluate and select adaptation options
- Evaluate "success" of adaptation

Source: Policy Guidance: Integrating Climate Change Adaptation into Development Co-operation, OECD

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Multi-level



Source: Policy Guidance: Integrating Climate Change Adaptation into Development Co-operation, OECD

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UNITAR C3D+ initiative

- The objective of this project is to improve the ability of developing countries to address climate change by the development of adaptation measures and the planning of mitigation strategies
- In-depth training
- <http://www.c3d-untar.org/>

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CARE International

- Useful resources for development practitioners
- <http://www.careclimatechange.org/toolkits>

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Reminder

Build on existing knowledge, capabilities and resources

Seven psychological principles that can help foster positive actions in addressing climate change:

- Promote success stories
- Provide positive future visions
- Focus on opportunity not risk
- Support social impulses
- Identity with place
- Fairness is vital
- Ownership of change/being heard

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Buzz groups (5 mins)

- Briefly review what you have learned
- Do you believe these approaches will be useful in addressing lessons learned relating to:
 - Conceptual confusion
 - Reductionism
 - Focal points
 - Implementation
 - Performance

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