

INTEGRATING CLIMATE CHANGE ADAPTATION INTO SECURE LIVELIHOODS

POVERTY

TOOLKIT 3: Developing a programme
strategy and plan of action



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Acronyms

ACT	Action of Churches Together	LDC	Least developed country
AF	Adaptation funds	LNGO	Local non-governmental organisation
CBA	Community-based adaptation	MDG	Millennium Development Goals
CC	Climate change	NAPA	National Adaptation Plan for Action
CPP	Country programme plan	NGO	Non-governmental organisation
CPSP	Country programme strategy paper	N/TFP	Non-timber/timber forest product
DFID	Department for International Development (UK government)	ODA	Official development assistance
DRR	Disaster risk reduction	OVI	Objectively verifiable indicator
EU	European Union	PRECIS	Providing Regional Climates for Impacts Studies
EWS	Early warning system	PPCR	Pilot Programme for Climate Resilience
FEWSNET	Famine Early Warning Systems Network	PRSP	Poverty Reduction Strategy Paper
GEF	Global environment facility	PVCA	Participatory vulnerability and capacity assessment
GIS	Geographic information system	REDD	Reduced emissions from deforestation and degradation
GTZ	German Agency for Technical Cooperation	SCR	Strengthening Climate Resilience
ICRAF	World Agroforestry Centre	SSN	SouthSouthNorth
IPCC	Intergovernmental Panel on Climate Change	UNDP	United Nations Development Programme
INGO	International non-governmental organisation	UNFCCC	United Nations Framework Convention on Climate Change

Cover photo: Evaluating community risk reduction with local leaders, Osh, Kyrgyzstan

Credit: Christian Aid/Richard Ewbank

1. INTEGRATING ADAPTATION TO CLIMATE CHANGE AT PROGRAMME LEVEL

1.1 Aim of this toolkit

Since we identified climate change as a key livelihoods issue in *Turning Hope into Action* (2005), Christian Aid's understanding of the impact that climate change will have on the livelihoods of the poor and marginalised has increased greatly. In Toolkits 1 and 2 of this series ('Framework and Approach' and 'Developing a Climate Change Analysis'), we outlined our understanding of climate change and its impact on livelihoods, looking at how to integrate this into livelihoods projects and how to develop a climate change analysis as the basis for further action.

This toolkit is intended to provide guidance for Christian Aid programme staff in moving on from individual/pilot projects, to integrate climate change adaptation into their overall livelihoods programme.

Working through this toolkit will help you to develop a programme-level plan for climate change adaptation that you can use as the basis for:

- Funding proposals.
- Partnership/project development.
- Review and negotiation.
- Policy/advocacy work.
- Further programme development.

1.2 Who is this toolkit for?

While many international non-governmental organisations (INGOs) have decided to 'mainstream' climate change in all their relevant work, Christian Aid has identified a group of countries to take the lead on integrating climate change adaptation – countries that:

- a) are facing high or extreme impacts of climate change and vulnerability to these impacts; and
- b) are where Christian Aid has an existing secure livelihoods programme to give a basis for further programme development and learning and where there is a niche in which secure livelihoods partners can develop in terms of risk reduction and adaptation.¹

These 'focus countries', where we have already identified climate change adaptation as a priority, are the immediate audience for this toolkit.

However, over time, we would expect to develop adaptation work in all countries with extreme/high vulnerability where we have a potential programme niche in terms of partners and strategic opportunities. In some contexts, the level of vulnerability may be so high that we need to refocus our programme altogether, creating this kind of niche by developing new partnerships and strategies (see Annex 1).

For any region or country programme, the first question in deciding whether to prioritise climate change adaptation is: **how vulnerable are poor and marginalised people in this programme context to the current and projected impacts of climate change?** (See Toolkits 1 and 2 for more guidance on this question.)

An important consideration in answering this question is whether existing livelihoods partners are reporting the impacts of climate change or see climate change adaptation as a priority.

1.3 Secure livelihoods and climate change adaptation

In the recent 'refresh' of Turning Hope into Action, we committed to strengthen our focus on **resilience** across all our secure livelihoods work (see Figures 1 and 2). Resilience is the ability of poor women and men to protect themselves from threats to their livelihoods, whether these are:

- Immediate disaster risks such as drought or floods;
- Longer-term threats to development such as deforestation or conflict;
- Deep-rooted processes of vulnerability and exclusion, eg from markets or government policy and decision-making.

A key step in building resilience is to acknowledge the inevitability of both immediate and longer-term risks and threats, and adopt a risk cycle management approach to them (see Figure 7 in Toolkit 1). In many of the countries where we work, climate change is an increasingly significant cause of risks. This suggests that almost all our livelihoods work would be stronger for taking a more focused and integrated approach to reducing the risks of disasters, increasing sustainability of livelihoods and adapting to climate change.

Fig 1. Christian Aid 'Turning Hope into Action' goals for 2010-12

(Note: directly climate-related issues are in bold)

Goal 1: Strengthening and protecting livelihoods

To strengthen the ways the poor and marginalised make a living, and protect their lives and livelihoods from shocks and emergencies.

Evidence of change

- Poor men and women are making a living in ways that build their assets, **are increasingly resilient** and offer greater dignity and equality.
- More vulnerable and marginalised people are supported in times of emergency by responses that meet international humanitarian standards of practice.
- Loss of life and assets in vulnerable communities affected by emergencies is reduced.

Goal 2: Enhancing community resilience

To strengthen poor and marginalised people so that they can manage risks and resources they need to make a living more effectively.

Evidence of change

- More poor and marginalised people exercise their rights and sustainable control over the natural resources they need to make a living.
- **Vulnerable communities are deploying effective mechanisms to: identify climate threats and other risks;** protect common resources from shocks; and prepare for and respond to emergencies.

- Women and other previously excluded groups are securing equal access to, and shared control over, collective resources.

Goal 3: Influencing policy on livelihoods

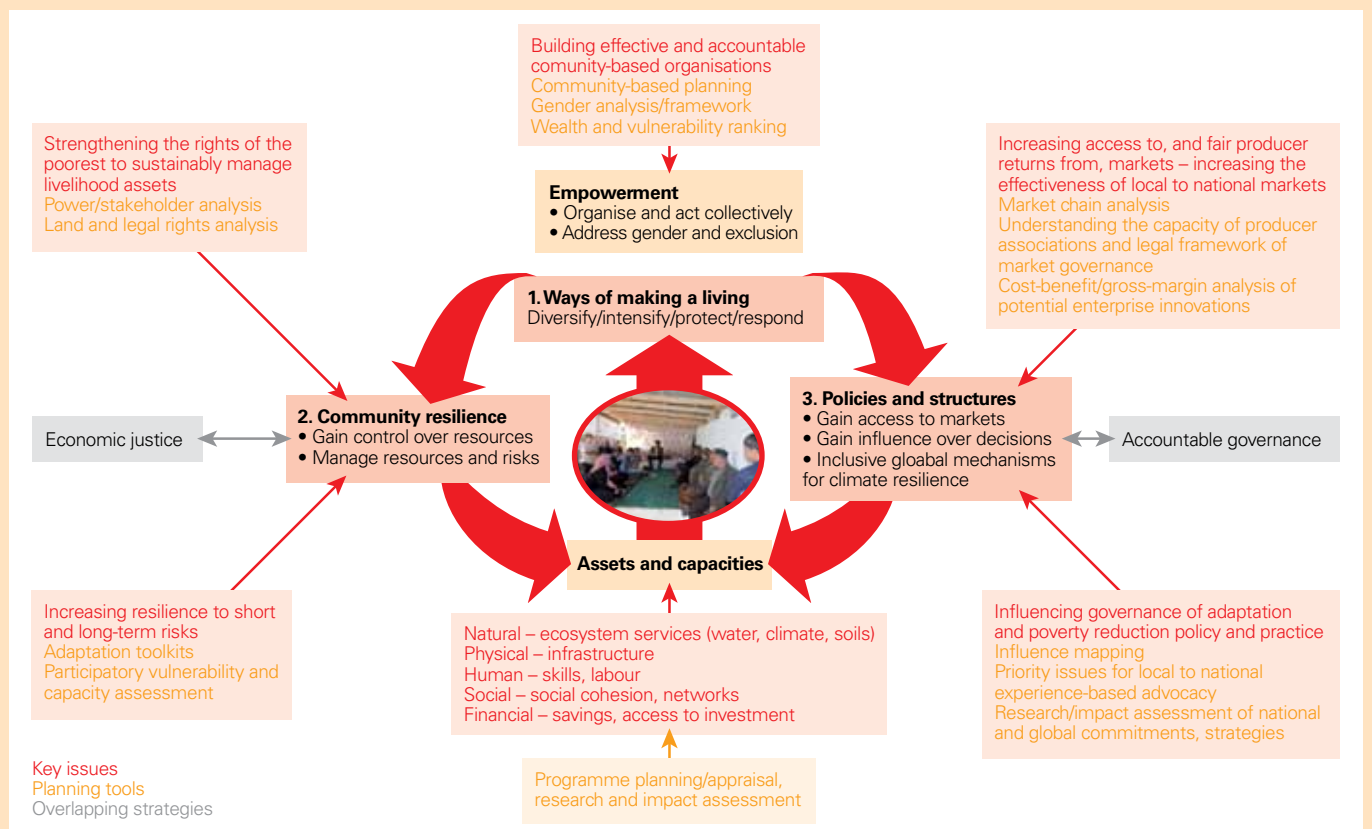
To enable poor and marginalised women and men to have greater influence in decisions and structures that affect how they make a living.

Evidence of change

- More poor and marginalised people secure better market access and better prices for their products.
- National policy frameworks are being agreed and/or implemented so that poor and marginalised people can make a secure and decent living, and so that development is inclusive and **resilient to climate change.**
- **Global mechanisms are being agreed and/or implemented for funding, knowledge and technology transfer so that poor and marginalised people can adapt to climate change, and poor countries can achieve low-carbon development.**

Source: *Turning Hope into Action: Strategic Framework 2010-12*, Christian Aid 2010

Fig 2. Resilience and the secure livelihoods framework



Christian Aid’s secure livelihoods framework² shows how secure livelihoods are achieved through access to a range of livelihood resources (natural, physical, human, social and financial assets and capacities) that are combined in the pursuit of different livelihood strategies (such as agricultural intensification, livelihood diversification or migration). The concept of **community resilience** is central to the framework, as are the range of formal and informal organisational and institutional structures and processes that influence secure livelihood outcomes.

1.4 What does integrating climate change into a programme look like?

Climate change adaptation has progressed significantly in many of the regions and countries identified as key focus areas. However, while the nature of work varies from programme to programme, in most areas it remains mainly in the ad hoc piloting stage (see Figure 3) of small-scale initiatives building on ongoing secure livelihoods and disaster risk reduction (DRR) work.

The challenge is therefore to move to a more programmatic approach that brings adaptation partners into collaborative groups to implement larger-scale initiatives in a coordinated and coherent way. These would integrate risk reduction and community-based adaptation (CBA) to address key

vulnerabilities, typically within specific geographic/ecological regions or across particularly vulnerable livelihoods sectors.

As well as maximising the leverage and impact of unrestricted grants, this kind of joined-up adaptation initiative is the perfect basis for institutional funding proposals. Christian Aid has few individual partners able to absorb the level of funding on offer for adaptation (for example from the EU). Developing a larger-scale, multi-partner plan means we will be in position rapidly to put together high quality and effective funding proposals as calls are published.

They also serve as ‘models’ of adaptation that can be scaled up and/or replicated through government, multilateral or Adaptation Fund support. We can use lessons from these ‘models’ to influence the development of adaptation policy, primarily at the local and national levels, but also at

international forums such as the United Nations Framework Convention on Climate Change (UNFCCC) negotiations, and the Adaptation Fund Board. Given the comparatively low levels of funding allocated to poverty-focused or community-based adaptation, there is an urgent need to inform and change the way these are being developed (see Annex 2).

A fully integrated programme would link a series of community-based adaptation/risk management initiatives with both government and private-sector initiatives, and ensure civil society participation in national adaptation policy and planning. Some aspects of this fully integrated approach may well be developed in the 'strategic modelling' stage.

Moving from ad hoc piloting towards a more integrated programme implies a change in the way adaptation-related livelihoods work is planned and managed. This shift aligns directly with Christian Aid's programme management principles, especially the emphasis on strategic focus and coherence. As outlined in *Managing the Programme*,³ building a shared analysis, approach and collaborative

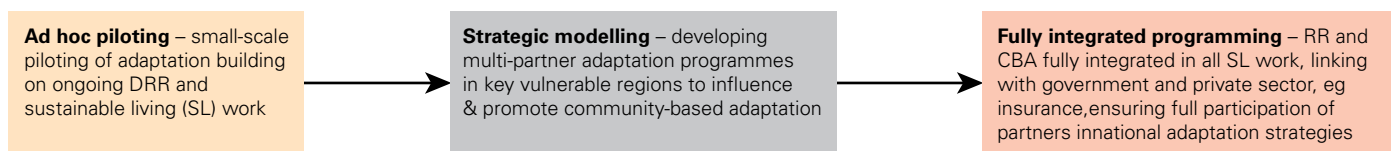
is as well positioned as possible to both access this funding and influence how it is used. Even large international NGOs will only be able to address a very small part of the adaptation needs in any one country. However, by developing and evaluating effective and replicable 'models', civil society organisations can shape governments' national adaptation planning. Their innovations can then be scaled up to national level by governments, using bilateral/multilateral adaptation funding that NGOs cannot access directly.

1.5 How to use this toolkit?

The purpose of this toolkit is to help programme workers develop a strategy that outlines this kind of integrated programmatic approach to climate change adaptation for their programme (see Section 2).

Very few country programme strategy papers (CPSPs) were developed with a specific climate change perspective integrated into them, so this is likely to mean revising existing CPSPs. Depending on the extent to which climate

Figure 3. Moving from piloting to fully integrated programming



links between partners are key ways of maximising Christian Aid's impact in all our work, including climate change adaptation.

This approach may be especially valuable for climate change, which is a challenging concept to integrate into ongoing or new secure livelihoods work. Drawing on the expertise of all relevant partners together can help overcome this and increase experience-sharing, lesson-learning and linkages (eg with climate science institutions). Working on larger, more comprehensive responses also gives us a platform to produce convincing research and evidence from adaptation experience to inform national and international policy – in place of the current reliance on often localised, small-scale case studies.

Donor funding and attention to climate change also make it essential to develop more strategic and well-founded approaches to climate change adaptation. According to pledges at the 2009 Copenhagen climate change meeting, global climate change funding (part of which will be earmarked for adaptation) will reach \$100bn per annum by 2020⁴ and will account for a third of all development assistance (climate change plus official development assistance) by this time. It is essential that civil society

change is to be prioritised, the integration strategy may replace the current livelihoods programme strategy altogether. Alternatively, it may sit within a broader strategy alongside other key livelihoods issues such as access to markets, conflict or social exclusion.

The new strategy is likely to have a number of immediate practical implications, including:

- integrating climate change into partners' existing secure livelihoods work.
- developing new adaptation-focused partnerships and projects.
- building linkages/collaboration between partners.
- investigations/research into key outstanding questions/issues.
- developing adaptation funding concepts/proposals – see Section 3.

The priority actions emerging from this work would feed directly into operational/ annual planning, eg country programme plan (CPP), performance agreement.

2. ADAPTATION STRATEGY

An adaptation strategy should typically cover four basic areas:

1. **Climate risk assessment** – identifying both geographic areas and sectors of community/poverty-focused vulnerability that have not yet been addressed.
2. **Adaptation policy context** – highlighting areas where there are weaknesses or gaps that need to be addressed.
3. **Stakeholder analysis** – the existing situation on the ground in terms of adaptation-related, or strongly adaptation-related, projects (including work carried out to date by Christian Aid partners), and stakeholder engagement.
4. **Statement of strategic focus** – highlighting the geographic, sectoral and partner focus, and so on.

One key issue that needs to be agreed and documented from the outset is **who should do what and by when**. Clearly this will vary from programme to programme, but while the process is typically led by Christian Aid staff (such as the secure livelihoods programme officer), the involvement of partners at all stages is important and particularly a knowledge partner, who may lead on key climate change issues. Involving other Action of Churches Together (ACT) agencies may also be important, especially where they are co-funders with Christian Aid or directly funding a Christian Aid programme.

Typically, Christian Aid staff and partners will meet at the start of the process and agree on the basic framework. This will include how the strategy and plan of action will be developed, and identifying the specific people, resources (for example, the need for specific consultancy/technical support) and timelines to deliver the final agreed document. At the end of the process, a final meeting can present, finalise and sign off the agreed strategy.

2.1 Climate risk assessment

The climate risk assessment, at national or regional level, combines analysis of the climate vulnerability of the various rural/urban areas, agro-ecological zones, etc, with an analysis of poverty and livelihoods, in order to identify those areas most at risk. This should assist in identifying where priority actions could be implemented, and should incorporate the following elements:

- a) An analysis of climate change background and scenarios at the national level to produce **climate change vulnerability maps**. These may (and indeed should) already exist from the following sources:
 - National adaptation plans for action (NAPAs) or national strategies.

- Local meteorology office data/publications.
- Regional Climate Model information (such as from PRECIS, see Box 1 in Toolkit 2).
- Multi-annual maps from early warning systems such as Famine Early Warning Systems Network (FEWSNET).
- The United Nations Development Programme (UNDP) Climate Change Country Profiles are another useful information source. These provide an off-the-shelf analysis of climate data for 52 countries.

While adapting to 'normal' climate variation is an important issue, it is vital to ensure that the increase in risks described as resulting from climate change are backed up by the available climate science, in terms of both detection of a change in climate and attribution to made-made greenhouse gas emissions.

To reduce the proliferation of analyses that take into account a variety of climate change scenarios, limit this to the **effects of climate change that will result from a 2°C global temperature rise by 2050**.⁵

- b) A national livelihood profile (rural, urban, rural-urban linkages, forest resources) and poverty analysis, which can be used to produce **livelihood and poverty maps**. These may also already exist in national poverty reduction strategies, such as poverty reduction strategy papers (PRSPs) and other poverty assessments.
- c) Identification of **priority impact areas**. This can be achieved by combining climate change vulnerability, livelihood and poverty maps to identify key livelihood impacts in each area, including identification of climate-sensitive sectors and climate change impacts (see Annex 3 for summary of SouthSouthNorth – SSN approach).

2.2 Adaptation policy context

The adaptation policy context summarises existing policies on climate change and awareness of the need to adapt to it, and may include:

- **Legislation** – some countries are adopting specific legislation (for example the climate change act in the Philippines) and regulation at national and/or local levels; most will have legislation that is directly relevant, for example forestry policy, agriculture and natural resource management policy. Any key climate change-related elements should be summarised. Other sources of information include NAPAs (see Figure 4 overleaf), national strategies, such as the India Climate Change Action Plan and Non-Annex 1⁶ National Communications to the UNFCCC (see UNFCCC Non-Annex 1 National

Communications website for copies, http://unfccc.int/national_reports/non-annex_i_natcom/items/2979.php). It may well be useful to develop an **influence map** to identify the key decision-making parts of government and donor structures and any potential pressure points for engagement on adaptation policy and practice, especially the allocation of adaptation resources.

- **Poverty Reduction Strategy Papers** and other more general poverty reduction policy are important statements of intent, even where they make only limited reference to climate change.

Figure 4. NAPA – National Adaptation Plan for Action

Funded by the UNFCCC Special Climate Change Fund, NAPAs focus on urgent and immediate needs of least developed countries (LDCs) – those for which further delay could increase vulnerability or lead to increased costs at a later stage.

NAPAs exist for 48 LDCs including: Bangladesh, Burkina Faso, Burundi, Cambodia, the Democratic Republic of Congo, Ethiopia, Haiti, Malawi, Mali, Rwanda, Senegal, Sudan, Tanzania, Uganda and Zambia (all Christian Aid operational areas).

The combined cost of projects identified in NAPAs is about US\$2bn. They use existing information rather than new research and in some cases build upon existing coping strategies at the grassroots level, rather than focusing on scenario-based modelling, to assess future vulnerability and adaptive responses at local and state level. Involvement of different stakeholders (national, sectoral, local) and including existing coping strategies should be an integral part in the assessment process.

NAPAs are intended to be action-oriented, country-driven, flexible and based on national circumstances. In order to effectively address urgent and immediate adaptation needs, NAPA documents should be presented in a simple format, so that they can be easily understood both by policy-level decision-makers and by the public.

Contents include: a synthesis of available information;

- **Public perceptions of climate change** – analysis of public perceptions of climate change will be useful in determining the extent to which civil society activism can be generated. In some countries (eg Bolivia, Tajikistan and Kyrgyzstan) Christian Aid has commissioned such analyses; in others they may be available from secondary sources.

2.3 Stakeholder analysis

Summarises key stakeholders either directly engaged in or engaged in strongly related interventions at the national/local level. Specific projects can be mapped. These will include:

participatory assessment of vulnerability to current climate variability and extreme events, and of areas where risks would increase due to climate change; identification of key adaptation measures; criteria for prioritising activities; and selection of a short list of activities. The development of a NAPA also includes short profiles of projects and/or activities intended to address urgent and immediate adaptation needs for funding through the Adaptation Fund (or other mechanisms).

Common criticisms of NAPAs include:

- They comprise a list of adaptation projects rather than a comprehensive strategy for greater resilience to climate change.
- They are not integrated with other relevant strategies, eg Poverty Reduction Strategy Papers.
- With some exceptions, they have been developed with very little civil society consultation.

However, they are being used as the main adaptation strategies or as the basis for further strategy development by LDC Governments, so are important documents in this respect.

See UNFCCC Least Developed Countries Portal for full details and documents:

http://unfccc.int/cooperation_support/least_developed_countries_portal/items/4751.php

- **Regional climate change policy** – or related policy that is relevant to the national policy context should also be referred to (such as the Addis Ababa Declaration on Climate Change and Development (African Union), and the Nile Basin Cooperative Framework Agreement), especially where it is the basis for existing and/or future interventions.
- Those involved in providing the meteorological science for both short-term weather forecasting (including early warning mechanisms) and longer-term climate change modelling, including government meteorology departments, university departments of meteorology or agrometeorology, independent climate research institutes, and so on.

- Specific climate change adaptation interventions – such as government initiatives (including donor-supported activities), operational or about to be implemented UNFCCC Adaptation Fund projects,⁷ local donor initiatives and significant interventions by national and international NGOs.
- Networks or learning platforms either created to improve learning and experience sharing on adaptation or being used for this purpose.
- Identification of priority gaps in national adaptation response that need to be addressed, taking into account the work of other stakeholders (identified above).

Figure 6. Stakeholder analysis – suggested format

Stakeholder	Risk reduction and adaptation focus	Role within/linkage to adaptation	Challenges
Meteorology department	Generation of meteorological information for early warning, seasonal forecasts.	Providers of technical information and experts for partner staff training. Key link in establishing early warning systems around flood and seasonal forecasts.	Legacy of underinvestment means they are often low in capacity and resources; grid of measuring stations usually too diffuse.
UK Department for International Development (DFID), EU, other bilateral donors	Co-fund the Pilot Programme for Climate Resilience (PPCR).	Target for advocacy, possible donor.	Few livelihoods specialists; can be reluctant to engage with civil society.
World Bank	Implementing the PPCR and other climate investment funds.	Target for advocacy, the development and implementation of the National Adaptation Strategy under the PPCR must be informed by the experience of civil society.	Very elusive and difficult to engage; can seem unable to facilitate effective dialogue with civil society; persist with ‘conventional’ economic approaches.
Ministry of Environment	Usually the lead ministry on climate change.	Should be linking with key adaptation ministries, eg agriculture, transport.	Usually not a ‘power’ ministry, so lacks influence.
Ministries of agriculture, transport, etc	The key adaptation implementing ministries.	Key public sector agencies for livelihoods and infrastructure.	Also not usually ‘power’ ministries, they may have suffered long-term decline in budgets and personnel. ⁹
Local, national and international NGOs	Detail significant players separately. Tend to focus on community-based adaptation and advocacy.	Mainly engaged in small-scale testing of adaptation approaches linked to either DRR or livelihoods projects.	A diffuse group of agencies, with limited coordination. Competition for donor funding can reinforce these characteristics.
Local government in all programme areas	Key local player, often well-informed on local adaptation priorities and legally empowered to sign off on DRR/adaptation plans, coordination of infrastructure development and emergency response.	Can be a useful ally with local NGOs against central government underfunding or failure to transmit project resources to local levels; a potential target for capacity-building support, an essential first level and possible partner in adaptation and advocacy to central government.	Lack of resources; poor connectivity with sources of climate information; lack of technical expertise in resilience building.

- Related livelihoods interventions, such as other UN initiatives (eg Global Environment Facility – GEF, UNDP, World Agroforestry Centre – ICRAF). These may include a specific analysis of the climate vulnerability context, but only those with a stated climate rationale in their planning should be included or mapped.⁸
- Specific institutions engaged in adaptation research and training, such as academic institutions, research bodies and training institutions should also be highlighted.

2.4 Statement of strategic focus


This should summarise the strategic focus of the programme, including:

- Name/type of partners to be included.
- Where it will focus its operations (eg villages, districts, provinces).

- Sectors to be focused on, eg agriculture, water, forestry/ reduced emissions from deforestation and degradation (REDD), renewable energy, and so on (see Figure 7 for a potential screening approach).
- How community-based adaptation will relate to other strategic priorities (eg accountable governance, economic justice and HIV).
- The entry point for community engagement based on the expressed priorities at partner and community levels (eg if drought then increasing the effectiveness of use of seasonal forecasts; if floods, ensuring that effective early warning systems are developed).
- Key adaptation advocacy targets, especially those:
 - with influence over both policy and the provision and allocation of adaptation funding, eg relevant ministries, local government departments, donors;
 - with responsibility to develop climate information services and communicate these to the most vulnerable communities eg meteorology services, academic institutions, extension and advisory services, the media.
 - such as other civil society partners and networks, both national and international, to explore joint advocacy activities to strengthen influence.

Figure 7. An approach for pre-screening and prioritising partners' livelihoods work for adaptation support

Livelihood vulnerability will vary according to location and environment but it may be useful to identify degrees of vulnerability covered by the country programme in order to prioritise activities. Partners could use a pairwise matrix to develop a relative vulnerability table for the livelihoods they are focusing on in order to guide the development of the plan of action, for example:

Climate exposure	Rural livelihood			Urban livelihood	
Low degree of direct vulnerability to climate change 				Traders in non-agricultural products	Urban service providers
	Traders in non-agricultural products; Traders in agricultural products	Households dependant on remittances from urban/employed family members	Rural service providers		
	Irrigation-dependant small-scale farmers	Forest dwellers relying primarily on N/TFPs	Artisanal fishers – marine	Traders in agricultural products	
	Rainfall-dependent small-scale farmers and herders producing some surplus for markets	Small-scale farmers integrating agroforestry	Artisanal fishers – freshwater		Households in unplanned high-density housing areas subject to flooding
	The key adaptation implementing ministries	Key public sector agencies for livelihoods and infrastructure	Also not usually 'power' ministries, they may have suffered long-term decline in budgets and personnel		
	Rainfall-dependent small-scale farmers and herders producing primarily for subsistence	Small-scale farmers with insecure/communal land rights; in areas substantially vulnerable to flooding	Water sellers; households in areas vulnerable to cyclones	Water sellers; households in areas vulnerable to cyclones	
High degree of direct vulnerability to climate change					

This can then be combined with a more detailed mapping exercise (see Annex 3). Note: the more specific the livelihood definition, the more useful this exercise is likely to be.

3. PLAN OF ACTION

A major justification for a programme undertaking a more detailed plan of action to add to the basic strategy detail is to position Christian Aid's secure livelihoods work to access donor funding, especially emerging adaptation funding. To that extent, a plan of action can also be considered a funding concept, shortening the time needed to prepare specific funding proposals. It can also enable a more coherent and focused use of all secure livelihoods resources that will, in the longer term, position Christian Aid partner work in a more effective and intergrated place in responding to the future challenges of climate change.

In order to maximise the effectiveness of the action plan, it is important to incorporate the following information.

3.1 Earlier related programmes, lessons learnt and progress to date

Most adaptation initiatives are based on earlier work, either DRR or livelihoods-related. Briefly describe this, highlighting the relevant experience and impact achieved that has led to a more integrated adaptation approach.

3.2 Programme planning process

Consultation with partners, previous evaluations, reviews, and so on: summarise the consultation and planning process undertaken with partners that has led to this set of initiatives.

Location selection criteria: these will vary depending on the programme and partner location, but common factors can include:

- avoiding unnecessary duplication with other NGOs;
- demonstrating that the plan of action is consistent with the stakeholder analysis described in section 2.3;
- areas with Christian Aid partners that have a proven track-record on DRR and/or livelihoods work and strong linkages with local-government structures;
- areas that exhibit the highest relative vulnerabilities because of reliance on climate-vulnerable livelihoods (such as agriculture);
- with respect to the vulnerabilities present, a focus should be on developing a spread of activities across key climate zones (for instance, following the Köppen-Geiger climate classification system, see Annex 6) and/or agro-ecological characteristics so as to maximise the development of adaptation approaches or 'models' that can then be influential and potentially scaled-up.

3.3 Problem statement and rationale

Problem statement

A clear and concise statement of the basic problem that the programme is seeking to address, including the priority climate risks that the programme is addressing by increasing the resilience of those most severely affected.

Rationale

The rationale for a programme may vary considerably from place to place but some common factors could include:

- the links between climate change and development,¹⁰ including the risk of development gains being thrown into reverse if adaptation is not effective;
- the track record of partners on climate change-related livelihoods work to date (refer also to the partner profile in Section 3.4 below);
- the poverty and vulnerability of the communities to be included in the programme, including their location in particularly climate vulnerable locations;
- the need for effective adaptation to be demonstrated and integrated into local and national adaptation and/or development planning;
- the need to strengthen cross-learning among partners to increase the effectiveness of adaptation
- the need to integrate DRR, emergency response and longer-term livelihoods support so as to increase resilience at community level;
- increasing the integration of local communities with district-level adaptation planning processes, meteorology capacity or information and early warning systems;
- influencing climate change adaptation policy and increasing the accountability of government use of adaptation funding, thereby maximising the multiplier effect of partner work.

3.4 Programme description and methodology

The core of any proposal should include:

- **Programme goal** (or overall objective)
- **Programme purpose** (or specific objective)
- **Outputs and activities** – outlining the structure of the programme in terms of the components to be implemented and the activities and outputs anticipated under each component. The components selected should add up to a coherent programme of activities that address the specific objective.

- **Innovation statement** – detail how the programme is breaking new ground in terms of livelihood development, risk reduction and climate change adaptation.
- **Partner profile** – best presented as a table detailing the roles of each partner operating within the programme, including their age, start date as a Christian Aid partner, key skills relevant to the programme, area(s) of operation and components they will be implementing as part of the programme. Mapping existing and potential partners with the capacity to respond, showing the operational areas of each partner, is also useful here.

This could include:

- the locational fit of their work/projects with the climate risk assessment;
- their track record in secure livelihoods/climate change work;
- their ability and effectiveness in relating this to other strategic priorities, especially accountable governance and economic justice.
- **Key methodologies** – briefly summarise these and provide references that can be used for further information (eg Toolkits 1 and 2, and the PVCA guidelines). Work on energy poverty/renewable energy is increasingly seen as part of climate change programming. While uptake of renewable energy technology reduces greenhouse gas emissions, for the communities we work with, it is primarily an adaptation activity, enabling vulnerable communities to generate energy that diversifies and strengthens their livelihoods.¹¹ Activities that increase security of assets, such as land reform, and increase resilience through livelihood diversification and value addition, such as product processing and linkage to markets, may also be important adaptation-related approaches that will need methodological detail here.
- **Programme logframe** – although **not** a Christian Aid requirement, it **is** required for most donor proposals, so developing one as part of the basic programme document will save time in preparing donor applications (see Annex 4 for a draft example taken from an emerging strategy).

3.5 Strategies and approaches

- **Partnership process** – the role of Christian Aid in relation to partners, covering issues such as provision or facilitation of technical support, capacity building and organisational development of consortium partners, facilitation of experience sharing and lesson learning, joint international advocacy and monitoring and evaluation. This information will highlight the added value of Christian Aid's role in the programme, other than as just a channel for funds.
- **Strategic links** – with other programmes and issues, including how the programme will link to relevant factors such as other livelihoods issues (eg land rights, access to markets, insecurity), HIV, accountable governance, economic justice and gender. Understanding how climate change will affect **(a) different households within a community** (due primarily to location and wealth levels) and **(b) men and women** differently will be important issues to highlight. Details of the poverty and vulnerability focus should highlight how locations have been selected based on relative poverty and vulnerability to climate change coinciding and how the most vulnerable are included in adaptation activities and plans.
- **Impact assessment**, research and evaluation of objectively verifiable indicators – arrangements for internal review or impact assessment, external evaluation. In particular highlight ways in which resilience to climate change will be measured in terms of both qualitative (eg increased knowledge, community capacity to address climate risks) and quantitative (eg increased crop productivity despite changing climate, increased use of climate information leading to increased income) impact.
- **Advocacy strategy** – given the focus on promoting scale-up of successful adaptation innovation, details here will include supporting partners and relevant local NGO networks to use research, programme experience and impact assessment in influencing key stakeholders responsible for funding and implementing adaptation at national levels, including donors, relevant ministries, UN agencies and so on (as per the stakeholder analysis).¹²
- **Sustainability of interventions** – details of institutional, economic, social and environmental sustainability plus the phase out strategy of the programme (or prospects for the next phase).

3.6 Management framework

- **Christian Aid staffing** – details of programme staff that will be responsible for partner support, local management of donor contract requirements (in the event of successful application to donors for Code 9 funding) and networking activities with other international NGOs.
- **Links to ACT/Aprodev/NGO partners** – this is a more relevant issue in some countries and regions than others, but where funding is sourced from ACT or Aprodev networks, or where Christian Aid is part of a multi-NGO group receiving funding, governance structures will need to be defined to ensure the smooth management of the contract and to maximise potential benefits from linking and cross-learning, eg through joint international advocacy, raising more Code 9 funding.
- **Partnership criteria** – assuming partner organisations with experience in implementing livelihoods, DRR and adaptation programmes have been identified to implement the programme (see Annex 5 for a potential partner scanning process), there may be criteria additional to existing organisational partner assessment criteria that are used for the purposes of an adaptation programme, including:
 - Previous experience and commitment to integrate adaptation with livelihoods and local market development.
 - Proven organisational management capacity.
 - Accountability mechanisms (facilitating participation of communities, information sharing mechanisms with the communities and an understanding of how vulnerability is affected by both poverty and gender-based issues and ways these can be addressed).
 - Capacity to develop programme research, reports and systems for documentation.
 - Willingness to learn and apply learning across the partner group.
- **Work plan** – or Gantt chart showing the timing of activities under each component.

3.7 Programme finance

Two key areas of information should be included:

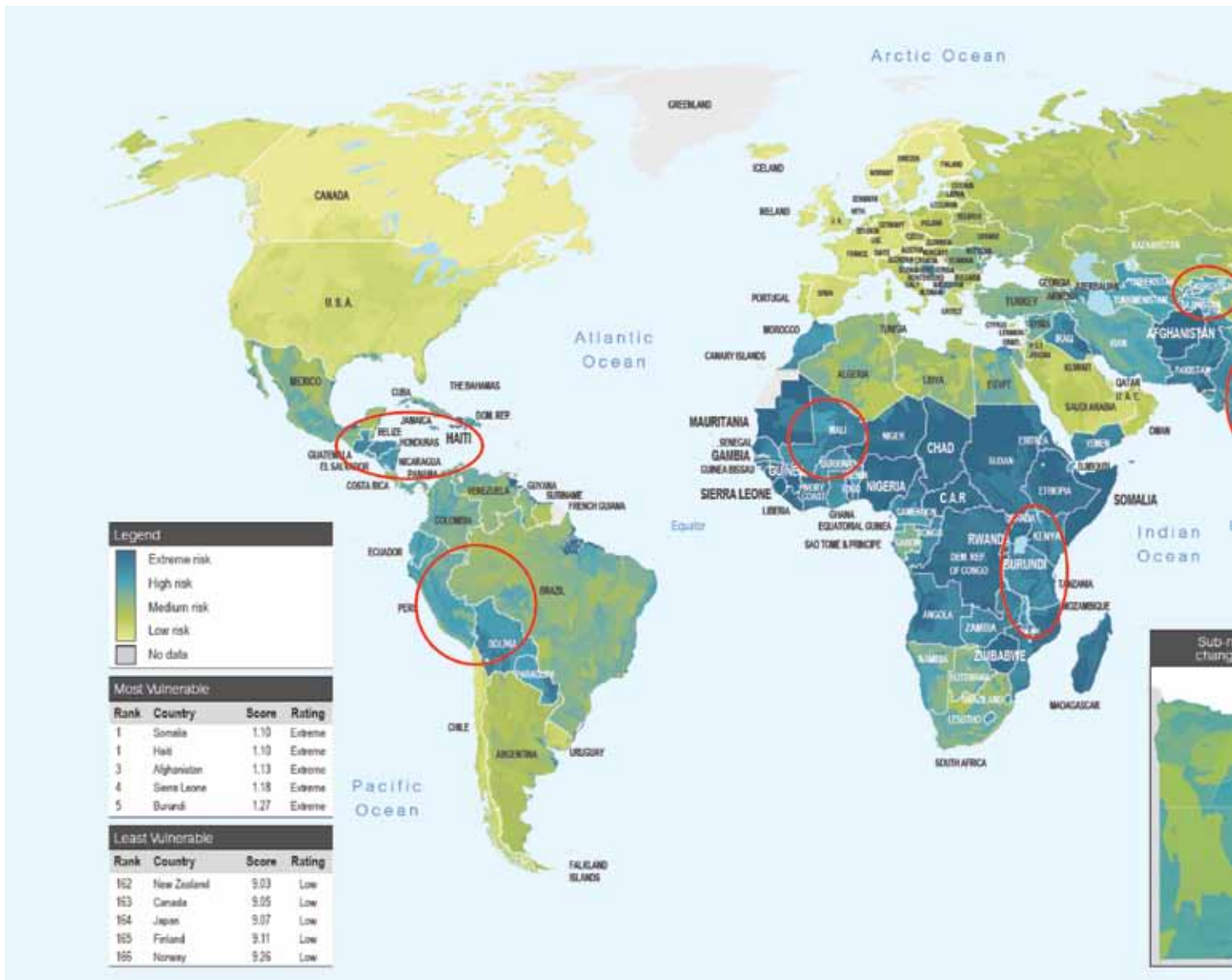
- **Detailed budget** – showing the costs of each component, technical support and management costs. It is useful to develop a minimum budget showing what can be achieved using known resources (confirmed grants from donors, Code 1 funding) and a full programme budget that would include resources the programme has a strong chance of raising through future applications (eg to EU budgetlines, corporate sponsors, trusts, etc). If these grants have not yet been applied for, ensure that the first 12-18 months of the programme are budgeted using known funding levels.
- **Funding strategy** – including likely donors (statutory, trusts and corporates), funding schemes to apply to within these donors, likely deadlines for submissions (see also Annex 2).

3.8 Cross reference with emerging frameworks

A number of climate change adaptation and DRR-related frameworks are emerging to guide strategy and programme development. One of these, developed by the Strengthening Climate Resilience programme (that includes Christian Aid, see Annex 7), can be used either as a guiding framework during strategy development or a resource for cross-referencing with the strategy to identify any missing links that need to be addressed.

ANNEXES

Annex 1. Priority adaptation programmes



As described in section 1.2 above, priority countries have been selected according to the vulnerability of the country and the relevance of the Christian Aid Country Programme, especially the secure livelihoods work, to climate change adaptation and risk reduction. This is achieved by cross-referencing our programmes with a variety of risk assessment maps, such as the one above developed by Maplecroft. Over time, these priorities will change (as the arrow indicates) and ultimately we seek to

promote climate smart development across all our livelihoods work, especially as the lessons learned from early adopting programmes become shared and developed across all climate vulnerable areas. Where our climate change work overlaps with the World Bank's Pilot Programme for Climate Resilience (PPCR),* there are opportunities for influencing this programme and the wider multilateral agenda.



Source: Maplecroft

*PPCR is the World Bank’s Pilot Programme for Climate Resilience and currently absorbs a substantial portion of the available adaptation funding (see Annex 2)

Area	Rating
Initial focus programmes	
Latin America & Caribbean	
El Salvador	High/extreme
Nicaragua	High/extreme
Haiti (PPCR)	Extreme
Jamaica (PPCR)	High
Bolivia (PPCR)	High/extreme
Peru	High
Africa	
Mali	High/extreme
Burkina Faso	High
Kenya	High/extreme
Tanzania	High/extreme
Rwanda	Extreme
Malawi	High
Asia/Middle East	
Tajikistan (PPCR)	High
Kyrgyzstan	High
India	High/extreme
Bangladesh (PPCR)	Extreme
The Philippines	High/extreme
Other key SL programmes	
Guatemala	High/extreme
Honduras	High/extreme
Dominican Republic	High
Senegal	High/extreme
Nigeria	Extreme
Sudan	High/extreme
Ethiopia	High
Burundi	Extreme
Zimbabwe	Extreme
South Africa	Medium
Egypt	Medium/high
Occupied Palestinian Territories	High
Iraq	High/extreme
Afghanistan	Extreme
Sri Lanka	High/extreme
Cambodia (PPCR)	High/extreme

↑ Changes related to funding, programme priorities, etc ↓

Annex 2. Climate change funding summary

Funds pledged as of August 2010 (US\$ millions).

Donor	PPCR	AF	Other	(1)	REDD	(2)	Clean Tech	(3)
Australia	35.12	0.19	6.60		274.60		87.90	
Austria			0.58					
Canada	93.90		19.41				12.82	
Czech Republic			0.25					
Denmark	6.46	0.54	25.01		16.98			
EU			170.91		6.70		101.04	
Finland		0.16	13.00		9.00			
France		0.12	15.27		5.20		256.40	
Monaco		0.01						
Germany	63.00		258.15	(6)	299.85		835.01	
Ireland			11.87					
Italy			11.00					
Japan	100.00	0.01	0.25		239.00		14,250.00	
Luxembourg			5.70					
Netherlands		0.14	19.47				81.80	
New Zealand			3.87		20.30			
Norway	7.07	0.20	23.12		1,242.40		37.87	
Portugal			1.36					
Spain		59.92	301.81	(5)	27.20		101.04	
Sweden		0.25	12.58				80.40	
Switzerland		0.18	6.71		8.50		20.00	
UK	322.88	0.99	40.62		254.05		679.15	
US	290.00				178.00		1,450.00	
Auction of CERs		99.56		(7)				
Other			172.93		5.00		2,207.07	(4)
	918.42	162.28	1,120.48		2,586.78		20,200.50	(8)
	3.68	0.65	4.48		10.35		80.84	

Percentage of donor adaptation funds for AF 2.8

Percentage of donor funds for adaptation 8.81

DFID's share of adaptation funding 16.56

Spain's share of adaptation funding 16.43

German Agency for Technical Cooperation (GTZ)'s share of adaptation funding 14.59

USAID's share of adaptation funding 13.17

Summary

- Although adaptation funding has increased since Copenhagen and the announcement of the US\$30bn Fast Start Fund, REDD funding is more than all adaptation combined.
- The World Bank's PPCR (see World Bank Climate Investment Fund website, www.climateinvestmentfunds.org/cif) has absorbed nearly half of all adaptation funding. Even with Spain's recent direct contribution, discretionary donor funding provides only about US\$63m to the Adaptation Fund, just three per cent of all adaptation funding.
- Between them, the UK (DFID 16.6%), Germany (GTZ 14.6%), Spain (16.4%) and the US (13.2%) now provide two thirds of all adaptation funding. The only other significant (US\$100m-plus) adaptation donor is Canada.
- Adaptation currently receives less than nine per cent of all climate funding, whereas clean energy technology has absorbed over 80 per cent.
- Climate Funds Update put the total pledged to date at nearly US\$26.8bn. Some of this has been spent in the financial years 2008/9 and 2009/10, so substantially more is needed to meet the US\$30bn target for the 'fast start' funding 2010-2012 pledged at Copenhagen. At current ratios, adaptation funding will only rise by about US\$440m to US\$2.64bn over the next three years.

What does this mean for NGOs?

The very low overall level of adaptation funding coupled with the preference by donors for using either bilateral government-to-government or multilateral channels, together with a lack of civil society involvement in many adaptation strategy processes, does not suggest that even the limited consultation seen in, for example, the PSRP process has led to a change in culture and a more open approach by the donor-multilateral-government axis.

Existing donor funding for NGOs for related issues, eg tropical forestry, agriculture, is likely to put increased emphasis on climate change adaptation, and there may be opportunities arising from local contact with donors. With much of the existing DRR/climate change adaptation experience residing in the NGO sector, it is curious that the emerging sources of adaptation funding do not see NGOs as the place to invest. This may be because most of our advocacy messages are about mitigation of emissions rather than adaptation and we are not documenting our experience effectively enough or coming up with convincing programmes to persuade donors to fund us.

Notes:

- (1) includes Least Developed Countries Fund, Special Climate Change Fund, Global Climate Change Alliance, MDG Environment and Climate Change Fund.
- (2) includes Forest Carbon Partnership, Forest Investment Partnership Facility, International Forest Carbon Initiative, UN-REDD Programme, Amazon Fund, Congo Basin Forest Fund, Forest Investment Program.
- (3) includes Clean Technology Fund, Scaling-Up Renewable Energy Programme, Global Energy Efficiency and Renewable Energy Fund, Cool Earth Partnership.
- (4) includes GEF 4 and 5 climate funding contributed by 32 countries, funding activities largely focused on mitigation. According to the GEF Project List, only US\$173m has been spent on adaptation projects.
- (5) Only one of four objectives of the Millennium Development Goal (MDG) fund is clearly adaptation so the total fund has been divided by four.
- (6) International Climate Initiative (Germany) split equally between adaptation, REDD and clean technology (based on numbers of projects – precise figures unclear).
- (7) Auction of CERs – Recent receipts from CER auctions for the AF have been much lower than anticipated – according to the AF Board Report (November 2009) by September, the trustee (World Bank) had sold 1.13 million CERs, generating revenues of approximately US\$18.7m. The AF has approximately another 4.2 million CERs to market that, if marketed now, would yield a total available to the AF of US\$88m globally, or less than 10 per cent of the resources provided to the PPCR for just 11 programmes.
- (8) The total here is slightly less than the Climate Funds Update total as some of the funds listed as climate change also fund more general environmental work, eg the Spanish MDG fund, and so these were not included.

Source: www.climatefundsupdate.org/Home; any recording or addition errors entirely the author. Some funds not included as it was difficult to split them between adaptation and mitigation or they were allocations to other funds eg SCF to PPCR, etc, so needed to avoid double counting.

Annex 3. SSN LOCATE – the SouthSouthNorth approach to developing national climate change strategy

The SSN LOCATE approach combines analysis at the national level (top down) with the community level (bottom up) to develop a 'long list' of potential adaptation project concepts that can then be implemented by a group of partners selected according to predetermined criteria:¹⁴

Identification Phase I

Top-down approach:

Step I: Mapping the climate change vulnerable region/area and sector

Sources include:

- UNFCCC.
- Intergovernmental Panel on Climate Change (IPCC).
- Fourth Assessment Report.
- Regional Level Impact Assessment Reports..
- Country Level Impact.
- Vulnerability and Adaptation Assessment Report.
- National Development Plans.

Step II: Mapping poverty

At national, sub-national, socio-economic and occupational group levels (existing country level data set, census and so on).

Step III: Overlaying climate change vulnerability maps and poverty maps

To locate poverty hot-spots in relation to climate change.

Identification Phase II

Bottom-up approach:

Step IV: Reconnaissance survey and information gathering

- Who is doing what?
- Who knows what?
- What information is available?
- Validating/cross-checking with community.

Step V: Analysis of data and information gathered

Conceptualisation of possible projects.

- Opportunities for adaptation projects.
- Long list of 'eligible' or 'potential' projects.

Step VI: Select project partners

Subjective assessment of:

- Partners credibility and willingness.
- Partner capability to deliver.
- Partner relationship with community.
- Partner relationship with funding agency and capacity to raise funds.

Annex 4. Example of a programme logframe

	Project structure	Objectively verifiable indicators (OVIs)	Means of verification (MOVs)	Risks and assumptions
Goal	Communities in [country/region] attain resilient and sustainable solutions to overcome the impact of climate change and related environmental hazards and socio-economic vulnerabilities on their lives and livelihoods, through the integration of risk reduction and adaptation measures into local and national development processes.	A model of community-based adaptation has been established and is successfully increasing the resilience of vulnerable communities across [country/region], resourced through significant multilateral funding and supported by relevant government services (particularly meteorology and agriculture).	End of programme review and external evaluation; post-phase research on climate change adaptation in [country/region]	
Purpose	<p>To enhance community capacity to cope with, and adapt to, changing climate and other related livelihood risks in representative ecosystems and climate change hotspots in [country/region] through:</p> <ul style="list-style-type: none"> i. Development and implementation of community-based adaptation approaches for climate and other risk-resilient livelihood measures. ii. Building community preparedness in the context of risks and hazards, ensuring adaptation, risk reduction and response capacity is integrated into development planning at all levels. iii. Building community capacity in risk and hazard preparedness and ensuring response capacity is integrated into risk reduction and development planning. iv. Influencing national adaptation strategy development and advocating for the scale-up of appropriate and effective risk reduction and adaptation measures for vulnerable communities with local and national governments, institutions and international bodies. 	<ul style="list-style-type: none"> i. Community-based adaptation plans are developed and in use to guide successful adaptation activities across 70 villages benefiting 50,000 direct beneficiaries. ii. Early warning systems and protective measures in place and operational, linking community and government services. iii. Livelihoods are resilient to climate change and household income and asset bases are increasing. iv. Community-based adaptation plans are attracting adaptation funding through government services and the programme model is influencing adaptation practice at national, regional and international levels. 	<p>Annual impact assessment.</p> <p>Mid-term external evaluation.</p> <p>End of phase external evaluation.</p> <p>Programme research.</p>	<p>National stakeholders recognise the importance of community-based adaptation and commit resources to replication.</p> <p>Civil society in [country/region] can work together in influencing other adaptation stakeholders (particularly donors and government).</p> <p>National resources targeted for adaptation are not diverted or lost to other priorities.</p>

	Project structure	Objectively verifiable indicators (OVIs)	Means of verification (MOVs)	Risks and assumptions
Outputs	1) Design and implementation of community-based adaptation plans including: <ul style="list-style-type: none"> Climate change analysis and participatory vulnerability and capacity assessment (PVCA) completed in all target villages. Community-based adaptation plans completed identifying risk reduction and adaptation measures to increase both short-term and long-term resilience. 	Up to 70 community-based adaptation plans completed including climate change scenario analysis, vulnerability assessment, geographic information system village maps, early-warning and evacuation plans, livelihood adaptation priorities.	Annual impact assessment and review of workplan implementation. Mid-term external evaluation. End of phase external evaluation. Quarterly partner implementation reports.	Partners can identify and effectively mobilise target communities. Security in all programme areas is sufficient to allow programme implementation. Communities are able to put adaptation and energy plans into action.
	2) Establishment of risk reduction measures and mechanisms, in order that: <ul style="list-style-type: none"> Response to disaster capacity is enhanced. Early warning mechanisms for floods and other sudden-onset risks established. Small-scale protective infrastructure is enhanced. 	Disaster response skills are enhanced, early warning systems are tested and operational together with small-scale infrastructure protecting the most vulnerable across 70 communities.	ACT/Christian Aid monitoring visits.	Government departments key to the establishment of early warning system resources and operationalising these systems. National policy on adaptation, risk reduction and livelihoods is open to civil society involvement.
	3) Protecting and diversifying secure livelihoods, thereby increasing their resilience: <ul style="list-style-type: none"> Knowledge and capacity building has improved adaptation skills at community level. Farmer/climate field schools implemented in all target villages with improved technology tested and adopted. Marketing skills and linkage to local markets increased. Increased availability of renewable energy mechanisms and measures to enhance livelihoods in selected villages. 	At least ten adaptation innovations are tested, applied and widely shared in 70 target villages, spreading to surrounding communities in each area. Marketing skills are enhanced leading to improved producer organisation, added value. At least one village or partner has developed and implemented a village energy plan to provide renewable energy for social and livelihood improvement.		

	Project structure	Objectively verifiable indicators (OVIs)	Means of verification (MOVs)	Risks and assumptions
	<p>4) Advocating for the scale-up of appropriate and effective risk reduction and adaptation measures for vulnerable communities:</p> <ul style="list-style-type: none"> • An influential adaptation model has been documented for advocacy purposes. • Partners skills and confidence to engage in advocacy is enhanced. • Impact of the model on the resilience of target communities is demonstrated through research and impact assessment papers and reports. 	<p>Model widely shared with donor, public sector and NGO adaptation stakeholders.</p> <p>Model influencing adaptation processes and strategy at local and national levels and attracting recognition in relevant regional/ international fora and organisations, especially World Bank PPCR and UNFCCC AF.</p> <p>National climate change network and other networks strengthening and effectively coordinating advocacy work.</p>		
<p>Activities</p>	<p>1) Design and implementation of community-based adaptation plans:</p> <ul style="list-style-type: none"> • Developing local climate change scenarios. • PVCA. • Prioritisation of climate and other risk-resilient livelihood interventions. • Village adaptation planning, identifying key risk reduction and adaptation priorities. 	<p>Seventy climate change scenarios.</p> <p>Seventy PVCAs.</p> <p>Seventy community-based adaptation plans.</p>	<p>Annual review of workplan implementation.</p> <p>Quarterly partner implementation reports.</p> <p>ACT/Christian Aid monitoring visits.</p> <p>Partner financial reports and ongoing financial monitoring.</p> <p>Annual external audits.</p>	<p>Funding can be accessed from ACT/Christian Aid and donors.</p> <p>Partners maintain capacity and skilled staff for implementation.</p> <p>ACT/Christian Aid can recruit and maintain skilled staff to support partners.</p> <p>Material inputs can be accessed at reasonable and predictable cost.</p> <p>External experts (agriculture, hydrometeorology, etc) can be involved at right time/cost.</p> <p>Security in all programme areas is sufficient to allow programme implementation.</p>

	Project structure	Objectively verifiable indicators (OVIs)	Means of verification (MOVs)	Risks and assumptions
	<p>2) Establishment of risk reduction measures and mechanisms:</p> <ul style="list-style-type: none"> • Training for enhancing humanitarian response capacity to respond to localised emergencies. • Early warning systems for floods and other sudden onset risks, facilitating the flow of information on potential emergency from village level to national co-ordination forum. • Small-scale protective infrastructure. <p>3) Protecting and diversifying secure livelihoods, thereby increasing their resilience:</p> <ul style="list-style-type: none"> • Farmer/climate field schools implemented across target villages. • Development of improved agricultural practices to strengthen adaptative capacity. • Secure land rights and local market development. • Decentralised renewable energy production measures in selected target villages. <p>4) Advocating scale-up of appropriate and effective adaptation measures at community level:</p> <ul style="list-style-type: none"> • Advocating for the scale-up of appropriate and effective adaptation measures. • Capacity building support to partners on climate change advocacy and policy. • Lobbying and/or dialogue with national governments for appropriate climate change adaptation policy and programmes. • Support for impact assessment, research and policy analysis, documenting the risk resilient livelihood models developed. 	<p>Seventy community training programmes.</p> <p>Early warning mechanisms in all target communities.</p> <p>Cost-sharing on protective/rehabilitated infrastructure between community, programme and local government in all communities.</p> <p>Seventy farmer/climate field schools.</p> <p>Ten or more adaptive technologies per community.</p> <p>Increased linkages and value added in 70 villages.</p> <p>Seven or more village energy plans detailed renewables, energy efficiency options.</p> <p>Seven partner advocacy training programmes.</p> <p>Increased linkage through climate change and networks.</p> <p>Partner representation at all key adaptation for a at national/regional levels.</p> <p>ACT/Christian Aid and partner representation at international levels.</p>		

Annex 5. Scanning partner capacity for adaptation to climate change work

Firstly pre-screen according to the degree of vulnerability of the livelihoods that partners support to develop a shortlist of climate vulnerable livelihoods-focused partners (for instance, using the process described in Figure 7), then:

1. Partner

2. Livelihood track record

Key points summary assessing partner livelihood performance from reports, reviews, evaluations, especially capacity to develop livelihood models that can be influential and scaled-up.

3. Expertise and ability to link with sources of expertise and interpret resulting information

Potential of the partner in (a) existing expertise and knowledge of climate change, (b) accessing climate science, meteorological departments, etc, (c) interpreting and communicating the data they access and (d) the amount of support and training they may need to upgrade these skills and successfully combine local knowledge and climate science into a participatory resource that communities can use.

4. Locational fit with climate risk assessment

Is the partner operational in one or more climate change and poverty hotspots?

Yes	No
-----	----

If yes, which ones? If no, consider whether it is worth continuing the screening.

Also the degree to which the partner operates over a cross-section of agro-ecological or climate zones, vulnerable urban areas.

5. Track record with participatory vulnerability and capacity assessment (PVCA)

Both (a) degree to which a partner has used this tool, especially in a forward-looking climate change context and (b) key impacts achieved with vulnerable communities.

6. Capacity to link, network and promote scale-up

Adaptation is relatively new and pilot projects/adaptation models to promote learning, information sharing and scale-up are urgently needed. Examples of successful linkage and networking in this respect are useful in assessing the partner's potential.

7. Experience with climate change advocacy

Any experience with advocacy at local, national or international levels on mitigation and/or adaptation.

8. Energy provision work

Any track record in activities that promote development and application of low carbon/renewable energy technologies and models of these at community level, especially where renewable energy work has been used to strengthen livelihoods.

Annex 6. The Köppen climate classification system

The **Köppen climate classification system** is the most widely used system for classifying the world's climates. Its categories are based on the annual and monthly averages of temperature and precipitation. The Köppen system recognises five major climatic types; each type is designated by a capital letter.

A – Tropical moist climates: all months have average temperatures above 18°C.

B – Dry climates: with deficient precipitation during most of the year.

C – Moist mid-latitude climates: with mild winters.

D – Moist mid-latitude climates: with cold winters.

E – Polar climates: with extremely cold winters and summers.

Tropical moist climates (A)

Tropical moist climates extend northward and southward from the equator to about 15-25° of latitude. In these climates all months have average temperatures greater than 18°C. Annual precipitation is greater than 1500mm. Three minor Köppen climate types exist in the A group, and their designation is based on seasonal distribution of rainfall.

Af or tropical wet is a tropical climate where precipitation occurs all year long. Monthly temperature variations in this climate are less than 3°C. Because of intense surface heating and high humidity, cumulus and cumulonimbus clouds form early in the afternoons almost every day. Daily highs are about 32°C, while night time temperatures average 22°C. **Am** is a **tropical monsoon** climate. Annual rainfall is equal to or greater than Af, but most of the precipitation falls in the 7-9 hottest months. During the dry season very little rainfall occurs. The **tropical wet and dry or savanna, Aw**, has an extended dry season during winter. Precipitation during the wet season is usually less than 1000mm, and occurs only during the summer season.

Dry climates (B)

The most obvious climatic feature of this climate is that potential evaporation and transpiration exceed precipitation. These climates extend from 20-35° north and south of the equator and in large continental regions of the mid-latitudes often surrounded by mountains. Minor types of this climate include:

Dry arid (desert), **BW**, a true desert climate. This covers 12 per cent of the earth's land surface and is dominated by xerophytic vegetation. The additional letters **h** and **k** are used generally to distinguish whether the dry arid climate is found in the subtropics or in the mid-latitudes, respectively.

Dry semi-arid (steppe), **BS**, a grassland climate that covers 14 per cent of the earth's land surface. It receives more precipitation than the **BW** either from the intertropical convergence zone or from mid-latitude cyclones. Once again, the additional letters **h** and **k** are used generally to distinguish whether the dry semiarid climate is found in the subtropics or in the mid-latitudes, respectively.

Moist subtropical mid-latitude climates (C)

This climate generally has warm and humid summers with mild winters. Its extent is from 30-50° of latitude mainly on the eastern and western borders of most continents. During the winter, the main weather feature is the mid-latitude cyclone. Convective thunderstorms dominate summer months. Three minor types exist: **Cfa** – humid subtropical; **Cs** – Mediterranean; and **Cfb** – marine. The humid subtropical climate (**Cfa**) has hot muggy summers and frequent thunderstorms. Winters are mild and precipitation during this season comes from mid-latitude cyclones. A good example of a **Cfa** climate is the southeastern US. **Cfb** marine climates are found on the western coasts of continents. They have a humid climate with short dry summer. Heavy precipitation occurs during the mild winters because of the continuous presence of mid-latitude cyclones. Mediterranean climates (**Cs**) receive rain primarily during winter season from the mid-latitude cyclone. Extreme summer aridity is caused by the sinking air of the subtropical highs and may exist for up to five months. Locations in the US are from Portland, Oregon to all of California.

Moist continental mid-latitude climates (D)

Moist continental mid-latitude climates have warm to cool summers and cold winters. The location of these climates is poleward of the C climates. The average temperature of the warmest month is greater than 10°C, while the coldest month is less than -3°C. Winters are severe with snowstorms, strong winds, and bitter cold from continental polar or arctic air masses. Like the C climates there are three minor types: **Dw** – dry winters, **Ds** – dry summers, and **Df** – wet all seasons.

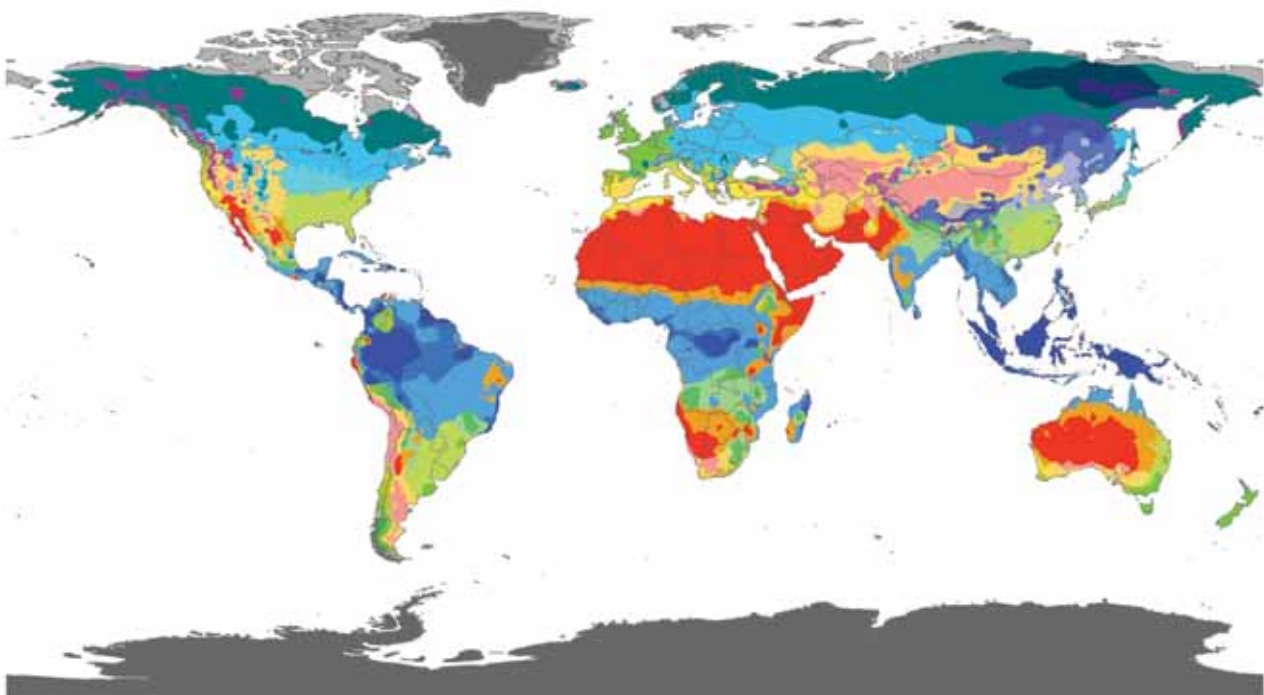
Polar climates (E)

Polar climates have year-round cold temperatures with the warmest month less than 10°C. Polar climates are found on the northern coastal areas of the United States, Europe, Asia, and on the landmasses of Greenland and Antarctica. Two minor climate types exist. **ET** or **polar tundra** is a climate where the soil is permanently frozen to depths of hundreds of metres, a condition known as permafrost. Vegetation is dominated by mosses, lichens, dwarf trees and scattered woody shrubs. **EF** or **polar ice caps** has a surface that is permanently covered with snow and ice.

The world map below summarises the global positions of Köppen-Geiger zones but usually more detailed national maps can be obtained to guide country strategy development from local meteorology departments. Climate change is of course slowly changing the positions of zones.

Source: University of Melbourne

World map of Köppen-Geiger climate classification



Af	BWh	Csa	Cwa	Cfa	Dsa	Dwa	Dfa	ET
Am	BWk	Csb	Cwb	Cfb	Dsb	Dwb	Dfb	EF
Aw	BSh	Cwc	Cfc	Dsc	Dwc	Dfc		
	BSk			Dsd	Dwd	Dfd		

Contact : Murray C. Peel (mpeel@unimelb.edu.au) for further information

DATA SOURCE : GHCN v2.0 station data Temperature (N = 4,844) and Precipitation (N = 12,396)

PERIOD OF RECORD : All available

MIN LENGTH : ≥30 for each month.

RESOLUTION : 0.1 degree lat/long

Annex 7. Introducing the Climate-Smart Disaster Risk Management approach¹⁵

What challenges and opportunities does climate change bring disaster risk managers?

Climate change is affecting disaster risks and is posing significant challenges for disaster risk managers (see box below). Ignoring the impacts of climate change on disaster risk threatens the effectiveness of policies, programmes and projects designed to manage these risks, and in certain circumstances, can increase the vulnerability and exposure of intended beneficiaries.

While climate change means business-as-usual disaster risk management will become progressively less successful, it also presents considerable opportunities for the disasters community. A climate-smart version of disaster risk management (DRM) is being viewed by those engaged in international climate change negotiations as a potential delivery mechanism for climate change adaptation finance at national and sub-national levels. This is partly because adaptation and DRM overlap conceptually and share the objectives of vulnerability and risk reduction, but also because a wealth of DRM institutions and experience are already in place at national and local levels, something that cannot be matched by climate change adaptation. The money on offer for adaptation is well above the levels traditionally available for reducing disaster risk and it will only take limited changes in behaviour of disaster risk managers to be seen as legitimate recipients.

What is Climate-Smart Disaster Risk Management?

The Climate-Smart Disaster Risk Management (CSDRM) approach aims:

‘to tackle the effects of climate change on disaster risk by assessing and acting on changes to the frequency and severity of hazards, preparing for increasing uncertainty through enhancing adaptive capacity and addressing poverty, vulnerability and their causes’

The CSDRM approach is a way of ensuring disaster risk management activities are sustainable in a changing climate. In practice, CSDRM provides a guide to strategic planning, programme development and policy-making and helps to assess the effectiveness of existing DRM policies, projects and programmes in the context of a changing climate. It consists of actions and guiding questions that directly respond to the effects of climate change on disaster risk – by understanding and acting on changing hazards, managing increasing uncertainty and tackling the drivers of vulnerability.

Disaster risk managers have longstanding experience of implementing many of these actions as components of the Hyogo Framework for Action or as part of community-based or comprehensive DRM and CSDRM should not be considered as new. However, it can be argued that CSDRM (a) takes a more holistic view of DRM, development and climate change, (b) refocuses efforts on tackling vulnerability and its causes (an area considered as lagging in the mid-term review of the Hyogo Framework for Action),

What are the effects of climate change on disaster risk?

Climate change is:

- Increasing the frequency and severity of some, but not all, hazards

According to the fourth Assessment Report of the IPCC (2007), the frequency and severity of hot/cold extremes and heavy precipitation events is increasing and this trend will continue. At the moment no clear patterns are seen with tropical cyclones. Confidence in understanding or projecting changes in hazards and extreme events depends on the type of extreme, as well as on the region and season.

- Increasing people’s vulnerability and exposure to regularly experienced shocks/stresses

Climate change is decreasing crop yield, increasing water scarcity, leading to a loss of biodiversity and natural assets provided by ecosystems, causing new patterns of disease and increasing respiratory illnesses, and possibly will become one of the triggers of migration and new patterns of conflict. These trends are projected to worsen (IPCC 2007). This means vulnerability is increasing and disaster events may worsen, even without any discernable increase in the severity or frequency of hazards.

- Increasing uncertainty and unexpected events

Climate change is increasingly uncertainty, and potentially will bring unexpected events to particular areas – the product of unforeseen or more severe hazards and complex societal responses.

Example of actions included in a CSDRM approach

The actions associated with a CSDRM approach are elaborated in Figure 1, but include the ability to:

- regularly triangulate local knowledge of changing disaster risks with evidence from the climatological and meteorological community, recognising that a changing climate means disaster risks can constantly shift
- use this information to tackle people's exposure to these risks
- continually learn and reflect with partners and other stakeholders about the best approaches given changing hazards, vulnerability, exposure and capacities
- manage increasing uncertainty by working in partnership to build the capacity of people, communities and organisations to adapt to unexpected events in both the short and long-term
- build partnerships with the development community to ensure interventions to manage disaster risk also help to tackle the underlying drivers of vulnerability and poverty
- ensure that disaster risk management and development interventions are environmentally sustainable and do not unnecessarily emit greenhouse gases, something that will ultimately worsen people's vulnerability.

(c) considers the longer-term capacity of people to adapt and create their own sustainable changes and (d) encourages innovative partnerships across diverse stakeholder groups.

Who is the CSDRM approach for?

National and sub-national disaster risk managers, whether policy-makers or practitioners, can use the CSDRM approach to inform policy, programme and project design and to evaluate the effectiveness of existing initiatives. It is designed to be used across different scales and can be tailored to specific national, sub-national or local contexts. To facilitate this, the CSDRM approach will begin drawing on specialist guidance on how to implement the actions in different contexts.

What does the CSDRM approach consist of?

- To respond to the effects of climate change on disasters risk (see box left), the CSDRM approach (see box over) incorporates three pillars:
 - (a) **Tackle changing disaster risks.**
 - (b) **Enhance adaptive capacity.**
 - (c) **Address vulnerability and its causes.**

These three pillars are not mutually exclusive and include a spectrum of actions that should be considered simultaneously in programme, project or policy design or evaluation.

- The actions under each pillar should be treated as a menu. No single CSDRM intervention could possibly incorporate all elements or try to tackle all the drivers of vulnerability. Nonetheless, the actions across the three pillars provide a prompt to help disaster risk managers ensure they are not inadvertently making things worse or missing opportunities. There are limits to what disaster risk managers can achieve alone, but the CSDRM approach highlights the importance of working in partnership with development and climate change agencies to ensure development outcomes are more robust to changing disaster risks.
- Guiding questions are provided to help apply the different actions to specific contexts, recognising there is a need to tailor the entire CSDRM approach to local realities. This is the responsibility of the agencies applying it and cannot possibly be a feature of this generic approach.

How has the CSDRM approach been developed?

The CSDRM approach has been developed through extensive consultation with practitioners, policymakers and academics concerned about the impact of climate change on disasters. These consultations occurred during meetings in 10 countries, through in-depth interviews during fieldwork in three countries and at two workshops with researchers and civil society partners in the UK. The three pillars within the approach are founded on long standing theoretical ideas – mainly related to the progression of vulnerability from root causes to unsafe conditions (Blaikie et al. 1994) and to those associated with resilience, adaptive capacity and uncertainty (eg Holling 1974, Folke et al. 2002). The CSDRM approach introduced here is still in its early stages of development, and it is hoped that practical experience of applying the approach will help sharpen it and increase its use – a goal of the Strengthening Climate Resilience (SCR) consortium – the group behind its development.

What is the Strengthening Climate Resilience programme and how can I get involved?

Strengthening Climate Resilience (SCR) – through Climate-Smart Disaster Risk Management is a new UK Department for International Development funded programme that aims to enhance the ability of developing country governments and civil society organisations to build the resilience of communities to disasters and climate change. It is coordinated by the Institute of Development Studies (UK),

Plan International and Christian Aid, who are working with a variety of organisations across the countries (Kenya, Tanzania and Sudan in East Africa; Nepal, India, Bangladesh and Sri Lanka in South Asia and the Philippines, Indonesia and Cambodia in South East Asia). The consortium is holding national meetings and regional workshops on CSDRM and is developing a comprehensive website to feature latest news, meeting reports and evidence of CSDRM being applied in practice. If you would like to be involved in meetings on CSDRM or contribute evidence to help develop the CSDRM approach, then please get in contact with us. You can email us at the addresses listed below:

- **SCR programme manager:**
Katie Harris – k.harris@ids.ac.uk
- **SCR regional coordinator East Africa:**
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The Climate-Smart [Resilient] Disaster Risk Management approach

1. Tackle changing disaster risks and uncertainties	2. Enhance adaptive capacity	3. Address poverty and vulnerability and their structural causes
<p>1a. Make CSDRM a strategic priority Example: To what extent is CSDRM integrated into development strategies across sectors and scales? How do those working on disasters, climate change and development issues coordinate with each other?</p>	<p>2a. Strengthen the ability of agencies and networks to experiment and innovate in their efforts to manage changing disaster risks and uncertainties Example: How have institutions, agencies and communities that are working to tackle changing disaster risks and uncertainties, created and strengthened opportunities to innovate and experiment to meet evolving challenges?</p>	<p>3a. Promote more socially just and equitable economic systems Example: How are DRM [and development] interventions challenging injustice and exclusion and providing equitable access to opportunities and sustainable livelihoods? To what extent has the impact of climate change and disaster risks and uncertainties been considered in the design of these interventions?</p>
<p>1b. Assess the effects of climate change on disaster risks and uncertainties Example: How is meteorological, climatological and local knowledge about changing climate-related disaster risks and uncertainties being collected and used at different scales? How is knowledge from local communities and scientists being blended to inform the design of DRM [and development] interventions?</p>	<p>2b. Promote regular learning and reflection to inform policies and practices Example: Have DRM interventions, including processes to build the capacity of agencies and communities, been informed and updated on the basis of experience of tackling changing disaster risks and uncertainties? Is there a process in place for information and learning to flow from communities to agencies that are addressing the issues and vice versa?</p>	<p>3b. Ensure the rights and entitlements of people to access basic services, productive assets and common property resources Example: What initiatives are in place to support the rights and entitlements of people to access basic services, productive assets and common property resources? How successful are these interventions?</p>
<p>1c. Use knowledge of climate impacts on different parts of society and of changing disaster risks and uncertainties to reduce the exposure of people's livelihoods and the physical environment to disasters Example: How are DRM [and development] interventions, which aim to secure safe living conditions, integrating and acting on knowledge from communities and scientists about changing risks and uncertainties? How is this being used to mobilise and strengthen networks of community organisations and other agencies?</p>	<p>2c. Ensure initiatives to tackle changing disaster risks and uncertainties do not create new risks, are well integrated across sectors and scales and that frequent feedback loops are in place Example: How are people working to reduce changing disaster risks and uncertainties at community, sub-national, national and international levels linked together? How accountable and transparent are the agencies (including private sector organisations) working at these different scales?</p>	<p>3c. Empower communities to influence the decisions of governments, NGOs, international organisations and the private sector and promote accountability and transparency Example: To what extent are decision-making structures de-centralised, participatory and inclusive? How do communities, including women, children and those commonly excluded, influence decisions and how do they hold government and other agencies and organisations to account?</p>
<p>3d. Increase public awareness of climate change and disaster risks and uncertainties Example: How do measures to promote safety, including appropriate early warning systems, integrate knowledge about the short and longer-term effects of climate change? How are education, media and community-led public awareness programmes supporting this?</p>	<p>2d. Use tools and methods to carefully plan for uncertainty and unexpected events Example: What processes are in place to support agencies and communities to manage the uncertainties related to climate change? How have findings from scenario planning and climate-sensitive vulnerability assessments been integrated into existing strategies?</p>	<p>3d. Promote an environmentally and carbon-sensitive form of development Example: How are the impacts of development interventions on the environment, including fragile ecosystems, being assessed? To what extent are measures to reduce greenhouse gas emissions being considered?</p>

REFERENCES AND NOTES

- 1** See Annex 1. The selection process was made based on the need to focus support on a manageable number of programmes with ongoing disaster risk reduction (DRR)/secure livelihoods work and high vulnerability. All 17 priority countries are at high or extreme levels of vulnerability to climate change and have existing secure livelihoods programmes and partners focusing on DRR and long-term livelihoods development or both. This does not preclude other programmes developing significant adaptation-related livelihoods work and joining this group.
- 2** Based on the Sustainable Livelihoods Approach – see Livelihoods Connect for more information, www.eldis.org/go/livelihoods/
- 3** See the PROMISE Training Wiki on the Christian Aid intranet.
- 4** See 2009 Copenhagen Accord and assuming donor nations reach the ODA targets pledged at the Gleneagles G8 in 2005 of 0.7 per cent by 2015.
- 5** This is the level agreed in the Copenhagen Accord and is seen generally as the maximum permissible temperature rise beyond which irreversible and run-away climate change starts to occur (see also Southern Campaigns Toolkit – ‘The Science and the Impacts’).
- 6** Non-Annex 1 designation includes all middle and low income countries.
- 7** The Adaptation Fund is funded by two per cent levies on Clean Development Mechanism (CDM) projects will be operational in 2010.
- 8** Otherwise this turns into a substantial exercise to log every livelihoods-related project or initiative being implemented.
- 9** As a particularly vulnerable sector, agriculture should be increasingly important in adaptation. After 15 years of decline, budget allocations and donor funding began to increase from 2005 so agriculture ministries may resume a more influential position in the next 10 years.
- 10** A point often required in various funding application formats, especially by the EU.
- 11** See Renewable Energy Toolkit.
- 12** Influence mapping is a useful tool not just to identify centres of influence on adaptation policy and implementation, but those centres most susceptible to civil society influence and pressure – the ‘entry points’ for climate change advocacy.
- 13** This is also a useful approach for local-government planning, where the more technical aspects of vulnerability planning and mapping using climate and meteorological data can be handled by technical experts at district level and then combined with community-based planning processes to direct adaptation spending priorities.
- 14** This note was prepared by Dr Tom Mitchell and Maggie Ibrahim, Institute of Development Studies (IDS), Brighton, BN1 9RE, UK. It is an output of the Strengthening Climate Resilience (SCR) consortium, funded by DFID, and led by IDS, Christian Aid and Plan International. Please refer all correspondence to SCR Programme Manager: Katie Harris, IDS (k.harris@ids.ac.uk). Disaster risk management and disaster risk reduction mean basically the same thing.

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