

Annex G: Case studies

Case study 1

Climate change adaptation promoted through governance reform programmes implemented by national civil society organisations

This case study describes two projects financed under the thematic Governance and Rights Programme. This programme consists of nine projects, three of which are implemented by UNDP, one by ILO, and five by national CSOs. All but one of the projects are continuations of ongoing engagements, emphasising the long-term nature of many of Danida's institutional relationships with development actors. The two projects looked at through this case study are carried out by a rights-based CSO and a watchdog CSO.

Overall project objectives

The Association for Land Reform and Development (ALRD) is implementing the project “*Empowering the Poor, Marginalized and Indigenous Communities in Bangladesh for Enabling Access to Land and other Natural Resources*”. The project supports ALRD's two strategic priorities of policy advocacy and the mobilization of its network partners to strengthen land and water rights of disadvantaged communities, including challenges brought about by climate induced displacement. The second project “*Building Integrity Blocks for Effective Change (BIBEC)*” is implemented by Transparency International Bangladesh (TIB). One of the themes that BIBEC focuses on is climate finance governance, where the project objective is to advocate for reforms in laws, policies, processes and practices, and oversight for improved governance in targeted institutions and sectors.

Challenges faced

These two projects address distinct challenges and represent different strategies to strengthening climate resilience. The first, implemented by ALRD, is directed at supporting vulnerable groups to secure rights over their livelihoods as environmental conditions change through shifts in climate patterns. The second, implemented by TIB, is to work for a more accountable and responsive public service over climate change funding.

ALRD has worked on land and water issues in Bangladesh since 1991. It is not an implementing organization, rather its mission is policy advocacy and mobilization of marginalised communities, especially women and the landless. The damaging effects of climate change are already apparent on both land and water, with increasing salinity of the land and some evidence of changes in the dynamics of upstream water supply that has an impact in the coastal delta regions.

TIB recognises that the huge amounts of public funding directed at climate change actions requires that such funding is channelled in both a transparent and accountable manner in order to prevent corrupt practices. There are major concerns over public sector corruption in the country, which is reflected in Transparency International ranking Bangladesh 148 out of 180 countries in its Corruption Perceptions Index for 2019.

Change that has taken place

Both ALRD and TIB have significantly increased their engagement on a range of climate-related issues over the period of Danish support, although the impact of this work is hard to discern from the evidence available to the evaluation team.

In the case of ALRD, relevant work has been built up on (i) supporting marginalised communities affected by climate-induced displacement; (ii) strengthening food security under changing weather conditions; and (iii) working to enhance equitable resource allocation in areas subject to climate-related disasters. There is strong evidence of climate change mainstreaming in ALRD's work, with local level actions on specific issues by ALRD partners (e.g. climate change adaptation works associated with coastal protection).

In terms of the outcomes of ARLD's work, climate-related results include having secured an amendment to the Brick Manufacturing and Brick Kiln Establishment (Control) Act, which will contribute to reducing atmospheric pollution and will lessen demand for timber from natural forests. These forests are a key national resource in Bangladesh for both climate change adaptation and mitigation.

For its part, TIB has developed a comprehensive programme of work on climate finance governance, producing many reports and policy briefs, in both English and Bangla language formats. TIB has become a recognised independent commentator on the governance of national climate finance policies and processes as well as global climate funds.

In terms of the outcomes of TIB's work, Government's seventh 5-Year Development Plan recognises the need for greater accountability for climate change projects (although this is not attributable to TIB). TIB was also involved in a review of the national climate change strategy, the Bangladesh Climate Change Strategy and Action Plan (BCCSAP), in 2017, and it is expected that weaknesses identified by TIB (such as the absence of 3rd party monitoring of progress of the BCCSAP) will be addressed in the new revised BCCSAP, expected later this year (2020).

Contributing factors

ARLD recognises Denmark as a long-term strategic partner, due to the three following shared values: (i) a rights-based approach to development; (ii) an emphasis on results; and (iii) holding a long-term view to development. ALRD has a network of more than 200 partners (CSOs working at the grass roots) that provides the legitimacy for ALRD to channel local concerns up to national level decision makers. This legitimacy is strengthened by the legal expertise of ALRD's staff that underpins the credibility of ALRD's advocated reforms.

Denmark has been a core funder of TIB since its inception in 1996, together with Norway, Sweden and the UK. TIB has benefited from this long-standing pooled funding arrangement, allowing the organisation to pursue its mission of research, advocacy and civic engagement. Denmark has not been the largest source of TIB's external funding; however, the long-term reliability of support has been important to TIB. Pooled funding from several donors has lowered the risk of TIB operations working to improve public governance. With over ten years of research, commentary, and interaction with government, TIB is now the recognised national watchdog on public climate finance.

Lessons learnt

- Dedicated projects are not the only strategy available to promote the mainstreaming of climate change adaptation
- Support to credible organisations working to improve public governance can build on their own agenda to addressing climate change
- The credibility of implementing partners is important if project activity is to be influential

Mainstreaming of climate change adaptation is often viewed as a strategy that involves building climate considerations into specific development projects. Under this model, it is achieved through purposeful design, where climate risks are addressed and mitigating actions identified, and added to the list of activities to be undertaken by the project. However, another possible strategy exists that is particularly relevant in contexts of weak governance. Under such conditions, development support to national organizations working in the governance sector may be an effective strategy to strengthen climate resilience, particularly of vulnerable and disadvantage groups. Such support does not need to be overly directed, as these two examples from Bangladesh demonstrate, as in climate vulnerable countries where the governance context is challenging, these organisations are often already working on issues that strengthen the climate resilience of vulnerable groups. Such partners typically operate at local level but have strong linkages to policy makers, high ranking officials and key central level bodies. Denmark's assistance provides the financial resources for this work to accelerate, deepen, and scale up from project level activity to effecting change at the national level.

Case study 2

Integrated Water Resources Management Support Program, Burkina Faso

In a context of limited availability of over ground water resources, limited potential for exploitation of ground water resources, increasing pressure on existing resources, there is a wide consensus for need of effective management of water resources in Burkina Faso. In a context of growing conflicts over water resources, sustainable management and equitable access to water resources is considered as a security priority. Climate changes are associated to additional uncertainties, and potentially additional constraints on available resources. In a context of climate change, effective water resources management is then considered a pre-condition to climate change adaptation.

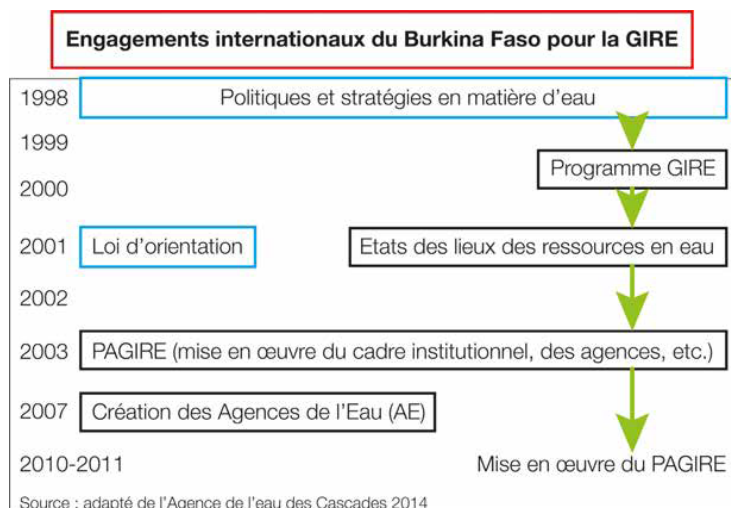
More specifically, a technical note for the preparation of the future Danish IWRM support programme highlights the direct relevance of 7 out of 10 specific objectives of the National IWRM programme to climate change adaptation and/or security related operational objectives.

IWRM National Program (2016-2030) operational objectives	Relevance to		Rationale
	CCA	Conflict prevention	
O1: Reduce offenses relating to water regulations		X	The water police is one of the instruments for preventing and managing conflicts
O3: Improve IWRM steering and management capacities	X	X	The stronger these capacities, the more favourable the conditions for preventing / managing conflicts and adapting to climate change);
O4: Improve skills and efficiency of management structures (incl. water agencies and partners)	X	X	The agencies in their areas of expertise are called upon to be pillars of the management of conflicts in the use of water and popularization / promotion of methods of adaptation to climate change
O6: Improve knowledge of water resources		X	This is an essential condition for anticipating the impacts of climate change on available water resources and for promoting and monitoring wea measures in the various production sectors
O7: Sustainable protection of quality of water resources for the various uses	X	X	This is essential both to prevent conflicts of use and to secure the exploitability of a water resource whose quantity will be reduced in the future
O8: Reduce water losses	X		This is an essential factor in adapting to climate change, the treatment of which must be a top priority
O10: Behaviour changes related to protection and uses of water	X	X	This is also a major point in adapting to climate change, but like all changes in behaviour, this will take time and effort. mixture of awareness/ education and control/repression

Co-benefits of IWRM to climate change adaptation and conflict prevention objectives are widely accepted and acknowledged. However, expected climate changes impacts on water resources availability and access are not so clear. A recent study concluded that despite a variety of available information on water resources in Burkina-Faso, there is a clear lack of information on anticipated climate changes impacts. If projections rather conclude that climate changes are likely to contribute to reduce availability of over-ground water resources, such results are fragile due to limitations in available empirical data.

Overall project objectives

National engagements to IWRM were initiated in the 90', supported by the Danish cooperation since the early steps.



The PAGIRE (2016-2020) is a joint programme combining Danish and Swedish cooperation support to the implementation of the 2016-2030 IWRM National Program. It is therefore relevant to all objectives of the IWRM National Program. Yet, more specifically, the latest cycle of PAGIRE sought to contribute to the following immediate objectives:

- The capacities of the Water Agencies and other stakeholders are strengthened for effective implementation of IWRM;
- The participation and ownership of the management of water resources by users and other stakeholders are ensured for a sustainable development of water resources;
- Effective protection of water resources against overexploitation and pollution and against siltation and invasive aquatic plants is ensured to preserve public health, socio-economic activities and the environment.

At the same time, the governance programme supported an NGO consortium for the promotion of Human Rights Based Approaches in the water and sanitation sector. Strategic orientations of this programme were the following:

- Capacity development of the ministry in charge of the water and sanitation sector to integrate and operationalize the Human Rights-Based Approach;
- Inclusion and capacity building of other public institutions (such as the National Assembly and other ministerial departments) as well as civil society and the media in the process of promoting the right to water and sanitation.

Challenges faced

- While a large share of IWRM national programme resources has been invested on capacity building, institutional blockages and human resources limitation are reported as majors

constrains to policy implementation. The Danida Country Program mid-term review has called for a strategic review of the Danish support to the sector.

- Change of water basin agencies status¹ is reported to have reduced their administrative autonomy and slowed down the development of institutional development objectives over the period, particularly decennial and planning processes for all water basin agencies, and their implementation plans. After several cycles of institutional capacity development support, water agencies are still facing severe human resources limitations.
- Despite technical support provided, the National Water Information System remains largely ineffective.
- While prevention of water related conflicts is a key objective of the Development Engagement in the sector, no information is available to monitor progress against it.
- Achievements of water resources protection objectives are either not effectively monitored or much lower than planned.
- Operational management issues delayed implementation of the HRBA promotion programme and reduced its efficiency.

Change that has taken place

- Since the 2001 water law and the launch of the first integrated water resources management programme 2003, Climate Change adaptation and conflicts prevention are now central top the 2016-2030 national Water Policy and 2016-2030 IRWM national programme orientations.
- Despite above mentioned challenges related to water basin agencies autonomy and capacities or to capacity development of local water committee (CLE), IRWM related institutional development has progressed under resources constraints over the years. With rapid development of CLE over the last few years, the institutional model development is still making progress (about 70 CLE had been developed by 2019, when the objective was to reach 25 by then). But despite a growing number, CLE lack of capacities and resources to effectively implement their responsibilities.
- Implementation of the CFE (water resources payments by users to water basin agencies) has made important progress over the 2016 - 2020 periods. Financial autonomy and water basin agencies is far from being attained, and transfer of resources to CLE is not very effective, yet, this recent change is opening important perspectives.
- The « Water Police » pilot programme that has taken plan in one of the 5 water basin agency (Mouhoun Water Basin) is considered successful, and a consensus is building up to support scaling up of this model.

Contributing factors

- Sustained and coordinated support to national commitment through a programme approach by Swedish and Danish cooperation has contributed to institutional and legal developments over there years.
- Change of legal status, staff turnover, lack of financial and administrative autonomy of water agencies reduce their capacity to fully implement their mission, particularity in relation to support to CLE.

¹ Water agencies have become Public Agencies to be able to raise water use taxes, and this institutional change is reported to have come with a number of administrative barriers reducing efficiency of water agencies management

- Complementarity of the Swedish and Danish support with that of other DP, with in particular the EU cooperation providing more direct support to CLE and local level water resources management through NGOs.
- While the IWRM approach in Burkina is criticised for largely remaining a top-down approach, complementarities and synergies w with the Governance programme have been developed to support strengthening of the social contract around water management and access objectives.

Lessons learnt

- Widely acknowledged climate change/conflict nexus, but lack of information and solid projections remains a weakness.
- High relevance of programme approach to support systems and institutional development at scale, but this is associated to limitations with respect to support to local users groups (CLE).
- It is difficult to assess the impact of the dedicated Governance programme to operationalized HRBA in the water sector on common climate change adaptation and conflict prevention objectives, yet relevance of this approach to complement the IWRM national support programme remains high.

Case study 3

Mainstreaming Climate Smart Agriculture into the agriculture sector through support to the implementation of the Agricultural Transformation Agenda, Ethiopia

Overall objectives and implementation

Under the Greening Agricultural Transformation in Ethiopia (GATE) thematic programme, Denmark supported the Agricultural Transformation Agency (ATA), with the objective “*to implement the Agricultural Transformation Agenda in a climate smart manner*”.² The ATA engagement was designed as a package of financial and capacity building support aimed at contributing to three outcomes:

- Outcome 1: agricultural systems and services promote climate smart agriculture (CSA).
- Outcome 2: market systems and services related to CSA are strengthened.
- Outcome 3: human and institutional capacity to promote CSA and responsibility to stakeholders enhanced within ATA and its key partners.

Outcomes 1 and 2 were pursued through support to a series of innovation-oriented projects, implemented by partners including government institutions, and, for the first time, civil society organizations, cooperatives, and private sector partners.³ Outcome 3 related activities were directly implemented by the ATA.

Challenges faced

In Ethiopia, smallholder agricultural productivity remains low, particularly for cereal crops. This is attributed to erratic and unreliable rainfall and the failure of current agricultural techniques to mitigate such conditions. In this context, mitigating the impacts of climate variability on agricultural production and productivity is considered an important development objective, and the promotion of climate smart agriculture (CSA) production systems through extension support is seen as a national priority.

However, constraints limit CSA implementation, including: (1) weak capacity on climate change adaptation and mitigation at all levels, including the public sector, civil society organizations and the private sector; (2) organizations rarely work together in an integrated manner in CSA implementation and promotion, in part because of weak coordination mechanisms at federal and regional levels; and (3) a lack of mechanisms to bring together and coordinate stakeholders involved in different forms of CSA technology promotion.⁴

The ATA was set up in 2011 as a high-level ‘change agent’ to support the Government of Ethiopia’s efforts of transforming the agricultural sector. The agency was placed under the strategic direction and leadership of the Agricultural Transformation Council, chaired by the Prime Minister. The role of the ATA was defined as a change facilitator working with multiple stakeholders, including the Ministry of Agriculture (MoA), other federal ministries, regional governments, civil society, the private sector, and

² ‘Climate Smart manner’ refers to approaches that proactively facilitate environmentally sustainable agricultural development and promote adaptation and resilience to a changing climate.

³ 1) Agro-meteorology information System (Agro-met project); 2) Strengthening Farmers Training Centers (FTCs) as Model Climate Smart Extension Hubs; 3) ICT-Based Climate Smart Agriculture Information Dissemination Systems; 4) Enhancing Agricultural Research Institute’s new variety development capacity; 5) Integrated Soil Fertility Management (ISFM) Practice, Promotion, and Demonstration; 6) Promotion of Household Irrigation (HHI) Technology; 7) Cooperative Storage Pilot Project; 8) Building Capacity and Operating Model for Cooperative Based Seed Production (CBSP); 9) Well-drilling Service Provision; 10) Establishing Fertilizer Blending Plants and Promoting Uptake of Blended Fertilizers; 11) Shallow-ground water mapping; 12) Household Irrigation; 13) Rural financial services; 14) Various studies to enhance knowledge base on climate smart agriculture (developing strategies, conducting studies and evaluations); 15) Integrating Climate Smart Agriculture into sectoral policies.

⁴ FAO (2016) *Ethiopia Climate-Smart Agriculture Scoping Study*. (Jirata, M., Grey, S. and Kilawe, E.) Addis Ababa, Ethiopia.

development partners, to develop strategies that address systemic bottlenecks in specific areas of the agriculture sector.

ATA efforts to mainstream CSA had not progressed significantly from 2011 to 2014, prior to the start of GATE, despite the introduction of the national Climate Resilient Green Economy Strategy. The absence of clear definitions of greening of the agricultural transformation agenda and the absence of a consolidated strategy on how to address climate and environmental issues meant that ATA had not advanced mainstreaming climate change ('greening') into its internal operations and into the actual planning, prioritization and implementation of the Transformation Agenda.

Change that has taken place

Progress was made during the implementation of GATE in terms of CSA mainstreaming within the ATA and Government systems (e.g. policies, guidance, process, adaptation fund). The ATA contributed by supporting CCA-related targets into the second Growth and Transformation Plan (GTP II). Demand for further mainstreaming of climate change adaptation/CSA into Ministry of Agriculture (MoA) strategies is reported to have emerged from the recent national development plan formulation process.

Organizational changes were made to facilitate effective mainstreaming of climate change adaptation within the ATA (with the mainstreaming function more clearly identified). New institutional arrangements were developed to facilitate implementation of the Agriculture Transformation Agenda by the MoA (ATA delivery units were embedded within the MoA).

Several pilot actions were reportedly upscaled, such as:

- GATE Supported upscaling plans for the Input Voucher System into the national development plan (GTP II), and implementation progressed with over five million smallholder farmers having used the system by April 2019.
- The number of cooperatives engaged in climate smart seed production and marketing reportedly doubled as a result of GATE support. This led to more than 250,000 farmers acquiring drought resistant and early maturing crop varieties between 2018 and 2019.
- GATE contributed to the development of new drought resistant and early maturing varieties of the cereal crop *teff*, as well as the multiplication and promotion of source technology, and bio-physical and socio-economic characterization of non-traditional and irrigated farming system for *teff* production.
- The MoA adopted a plan to upscale support to household irrigation systems in different woredas (districts) as a climate change adaptation strategy based on the information gathered through shallow ground water mapping exercise.

However, limited information remains available on the impact on farmer's resilience to climate variability and change.

Contributing factors

ATA capacities

ATA high level technical capacity and political capital (initially benefiting from direct Prime Ministerial support) were critical factors contributing to policy-level changes. The choice of partner, made at the right time (strong political support and credibility as the ATA was already supported by a variety of development partners), was a critical factor from program design to implementation. However, the limited decentralization of the ATA led to gaps in implementation support and monitoring limitations. By the end of the programme, the establishment of ATA branch offices and the designation of focal

persons in pilot regions, zones and woredas helped improving the capacity of frontline extension workers in project implementation and monitoring.

Coordination

Danish support to the ATA was significant in terms of strengthening ATA's coordination function. This support included core funding, which was important to allow progress on mainstreaming (of both CSA and gender). Being a flagship programme, the ATA engagement received significant attention from the Embassy and the MFA in terms of technical backstopping and support. This was strategic in that coordination and implementation challenges were widely reported within the GATE-ATA engagement: the GATE program included a diverse set of activities and partners, and the commitment level from partners to own and deliver the assignment in a coordinated way rather than "in silos" was one of the critical challenges in the implementation process.

Institutional and political factors

Initial relationships between the ATA and the MoA were complicated as the reform mandate of the ATA is said to have been interpreted as threatening by the MoA, and as the ATA benefited from important financial and technical support. Over time, the experience from the ATA-MoA partnership and reform of the Agricultural Transformation Council, which is now chaired by the Minister of Agriculture, contributed to easing this institutional challenge.

Mainstreaming of CSA within the MoA was constrained by variation in the level of understanding and leadership between sub-sectors (e.g. the agricultural inputs and production sector being much less interested in CSA than the natural resource and food security sector). Other challenges included frequent changes in leadership at the level of ministers and state ministers, and capacity-related challenges vis-à-vis providing strategic leadership for the implementation of CSA policy engagements. Research work also suggests that actual priority given to sustainable natural resource management and CSA is not as high as suggested by formal policy objectives.

Lessons learnt

The choice of the ATA as a strategic partner, and providing flexible and committed support to an institution that combined innovation and transformation mandates and had strong political leverage, were key to: (1) achieving high implementation levels despite initial ATA limitations to partnership management⁵, (2) securing institutional arrangement changes that will facilitate CCA mainstreaming in the future, and (3) contributing to strengthening policy commitment through influencing GTPII (and now the recent 10-year development plan) with regard to CSA-related targets.

⁵ Being a young institution, the ATA's ability to manage multiple operational partnerships was not fully developed at the beginning of the GATE thematic programme. In particular, the ATA faced difficulties ensuring the effective management of multiple NGO contracts and was challenged by its limited ability to oversee the work of a diverse set of partners, although the ATA's capacity to manage contracts developed significantly as a result of GATE support.

Involving and directly contracting the private sector, particularly farmers unions, was an important success factor for different pilot projects, enhancing scalability and sustainability, such as building capacity and an operating model for cooperative based seed production, thereby allowing quick production of climate smart seeds at scale; and the deployment of the Input Voucher System in 457 woredas in four regions.

One remaining challenge, however, are the weaknesses in the ATA monitoring system that led to limitations in terms of the ability to demonstrate impact on the climate resilience of livelihoods and farming systems.⁶

⁶ This is currently being addressed, with ATA having developed an M&E plan with a detailed result framework including clear indicators with definitions and annual targets. There is also a plan to pilot ICT based planning, monitoring and reporting starting this fiscal year covering 40 woredas initially and to be expanded to other ACC woredas later.

Case study 4

Promoting adaptation and enhanced climate resilience through empowerment and participation – the Adaptation Learning Programme, Kenya

The Adaptation Learning Programme (ALP) was implemented by CARE in 2012-2017. ALP was implemented in four African countries (Kenya, Ghana, Mozambique, Niger) with some additional activities at the continental and global level. This case study focuses on the implementation in Kenya, with some reference to ALP at the continental and global levels.

Due to the COVID-19 pandemic, the evaluation team was unable to visit Kenya and interview Garissa County officials and beneficiary communities. Hence, the case study is based on a document review and selected distance interviews. The information and evidence available about the current status of the sustainability of the programme is limited.

Overall project objectives

The Adaptation Learning Programme had the objective of ensuring that community-based adaptation (CBA) approaches for vulnerable communities were incorporated into development policies and programmes in Ghana, Kenya, Mozambique and Niger, with plans in place for replication across Africa. To achieve this, the project had five components: 1) development and implementation of innovative approaches to community-based adaptation by communities and local partners; 2) supporting communities and local civil society organisations in voicing their concerns on climate change and influencing allocation of financing for adaptation; 3) evaluating, refining and using models for community-based adaptation to make recommendations for policy and practice improvements for governments and development organisations; 4) influencing policies, plans and programmes at national, regional and international level; and 5) contributing to the global knowledge base on community-based adaptation in Africa to encourage widespread adoption.

Challenges faced

The Adaptation Learning Programme was initiated at a time when there was an increasing recognition of the impact that climate change could have on the livelihoods of the rural poor, and in particular the most vulnerable, in Sub-Saharan Africa. It was understood that climate change would exacerbate major weather-related challenges such as drought, dry spells, floods and erratic rainfall patterns; challenges that could further jeopardise the incomes and food security of rural poor, and enhance existing conflicts over scarce resources, such as water and grazing. As such, the demand for, and commitment to, climate change adaptation action significantly increased within government as well as the civil society and the private sector. However, the available approaches and tools were inadequate for analysing the impacts of climate change and promoting effective climate change adaptation measures and in particular to enhance resilience in a context of increased uncertainty. A major gap was the limited availability of useful information and data on the implications of climate change at the local level to inform communities and local authorities of necessary and appropriate adaptation measures. Moreover, while climate change in particular threatens the poor and most vulnerable, their voices were rarely heard in adaptation decision-making, and the climate and weather information provided was not adapted to their needs and capacities.

Climate vulnerable pastoralist, Garissa County

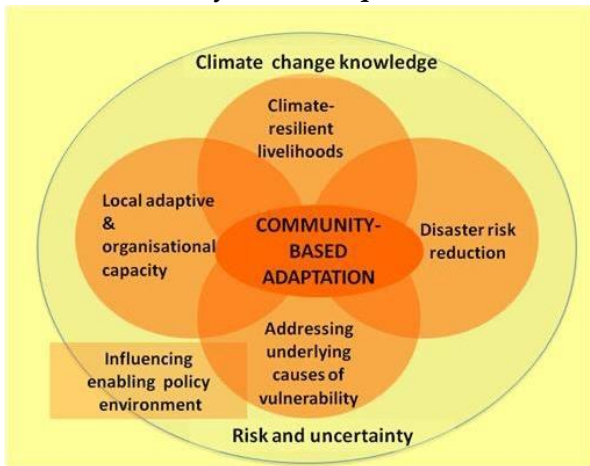


Source: John van Mosse, ALP 2012

Change that has taken place

The Adaptation Learning Programme sought to address the knowledge gap, test viable models for community-based adaptation, empower communities and civil society to advocate for community-based adaptation, and provide lessons and approaches for policy, planning and further upscaling and replication. To this end, the Adaptation Learning Programme applied a multi-dimensional approach; working at local, national and to a lesser extent regional and global levels; engaging communities, local civil society organisations, and government entities at local and national level; and advocating for community-based adaptation in international fora. This led to change at different levels.

ALP's community-based adaptation framework



ALP evaluation, 2015

Local level: Local authorities and households have access to better and more useful weather and seasonal climate information and place greater trust in the seasonal forecasts and advice. Local government and communities are using tools that enable better planning and scenario building and the disaster risk reduction departments at local government level is now more proactive. In Garissa County, the main targeted local government, the Garissa County Integrated Development Plan 2013-17 and budget allocations addressed the needs of community-based adaptation. Together, these changes have led to farmers being better able to adapt to weather events, such as avoiding losses from floods by moving livestock and farming equipment to higher grounds in advance. Surveys indicate that both incomes and resilience increased as a result of improved access to information and adoption of community-based adaptation measures. The changes have benefitted women as they involved shifts in gender roles in production, enabling women to travel and work outside their home. However, the changes were less successful at reaching the ultra-poor.

Agropastoralist reading climate advisories, Garissa County



Eric Aduma, CARE Kenya, 2014

Community adaptation planning session, Embu County



Eric Aduma, CARE Kenya, 2016

National level: Community based adaptation has been better integrated into national policies, planning and budgeting, approaches, and investment programmes. For example, the programme’s participatory scenario planning approach was adopted country-wide in local development planning and budgeting, as well as by the Kenya Meteorological Department and the Ministry of Agriculture, Livestock and Fisheries.

National policy influence by ALP	
Climate policies	Kenya Climate Change Policy and Bill
	Kenya National Climate Change Action Plan, 2013-2017
	Kenya INDC (Intended Nationally Determined Contribution), UNFCCC
	Kenya National Adaptation Plan

Planning and budgeting	Kenya National Medium Term Plan (MTP2), 2013-17
	Nationwide adoption of PSP in local (country) development planning and budgeting process
Government approaches	Nationwide adoption of PSP by Kenya Meteorological Department
	National Seasonal Farm Planner
Investment programmes	Nationwide adoption of PSP by the Agriculture Sector Development Support Programme (ASDSP)
	Climate Smart Agriculture Programme incorporating climate information services
	Adaptation Fund projects

The Kenya Meteorological Department became more responsive to user needs, and communities gained trust in their forecasts and a large number of people benefited indirectly from access to relevant and useable climate information via radio and through local government and community structures.

Continental and global level: Some regional and global programmes and initiatives have adopted community-based adaptation approaches, such as the ECOWAS and COMESA actions on climate smart agriculture. There is also evidence the programme influenced and led to increased commitment to community-based adaptation in the UNFCCC adaptation finance discourse, contributing to influencing the Green Climate Fund's decision to allocate 50 percent of its funding to climate change adaptation. Global civil society organisations' approaches to community-based adaptation were also strengthened.

Contributing factors

A positive factor was the timing; the Adaptation Learning Programme came at a time where there was an upswing in global commitment to, and demand for, pro-poor climate change adaptation among African countries and development partners. Another positive factor was the mobilisation of CARE's international expertise and approaches developed under previous projects in Bangladesh, Tajikistan and northern Ghana. The engagement of long-standing partnerships with local civil society organisations in Kenya was particularly important, as was CARE's high level of advocacy capacity. The bottom-up and holistic approach with a focus on multi-stakeholder communication/cooperation and community and civil society empowerment linked with tangible livelihoods improvements proved effective towards changing mindsets and needs-oriented and opportunity-based provision of climate data, adaptation planning, and budgeting. Moreover, a flexible implementation approach based on learning by doing, which did not follow the project document slavishly, enabled ALP to respond to emerging opportunities, which in turn was enabled by the willingness of the donors to accept flexibility. The presence of opportunities for reflection and learning provided for stakeholders, for example through the participatory scenario planning, was also an important factor for success.

Key success factors for ALP adoption and upscaling identified by CARE

- Strategic collaboration and joint work with other organisations
- Practical relevance of the CBA approaches

- Multi-stakeholder processes in enhancing development, organisational and knowledge outcomes
- Demand for climate information for adaptation, early warning and risk reduction
- CBA approaches developed in several countries providing comparisons of experience and evidence in different contexts
- Accessibility to and ownership of approaches through learning events, joint planning and publications

The main threats to the consolidation of the changes achieved relate to the sustainability and replication of the approach, especially at local government level. The major reason for sustainability concerns is the complexity of the approach and the financial and human resources costs associated with the participatory scenario planning and community-based adaptation approaches. Nonetheless, some two years after the project stopped, local government funded 53 percent of the cost with the donor supported Agriculture Sector Development Support Programme funding the remainder. While this is encouraging, the sustainability is still vulnerable.

Wide replication within Kenya was achieved with outreach to all 47 local governments, but seemingly mainly as result of partly donor-funded initiatives. At national level, the sustainability within the meteorology and information-sharing space seems stronger.

Several organisations and government entities outside CARE have adopted the approach in ALP countries as well as other African countries, which promises well for the prospects of longer-term replication. The potential for replication and scaling is shown by CARE estimates that by end 2016, almost 1.8 million people from ALP countries and 1.1 million from non-ALP African countries reportedly benefitted from the adoption of community-based adaptation approaches and strategies under extension period.

Lessons learnt

- Adaptation is very specific for the local context, but bottom-up approaches to adaptation starting from the local level can still lead to results and experiences with potential for upscaling and replication.
- Transformative change is associated with community empowerment vis-à-vis engaging with government, combined enhanced income related incentives.
- ‘Soft’ skills which build adaptive capacity are critical for continued adaptation over time. Hard interventions alone (e.g. improved seeds or irrigation equipment) without the capacity to engage in informed, flexible and forward-looking decision-making limits the effectiveness of the interventions and risk resulting in mal-adaptation.
- Investing in adaptive capacity can lead to better informed livelihoods choices and savings from avoided losses, but the adaptation strategy or technology chosen has less influence on this than an informed decision-making process.
- Buy-in from local leaders (e.g. chiefs, local government) led to better results and higher adoption rates.
- The policy influence is stronger when the CSO community is strong (e.g. Kenya compared to Mozambique).

Case study 5

IUCN – Mangroves for the Future (MFF)

Case study on ecosystems-based approach in climate change adaptation

When the tsunami hit the coastal region surrounding the Indian Ocean in December 2004, a strategic, long-term and holistic response was called for to protect coastal ecosystems and their inhabitants. In response, MFF⁷ launched a programme of projects using an ecosystems-based approach to the management and development of coastal ecosystems not only of mangroves but also other types of coastal ecosystems such as coral reefs, estuaries, lagoons, sandy beaches, seagrasses and wetlands.

Overall project objectives – MFF’s vision is to restore coastal ecosystems to a healthy state and build human resilience to secure safe and prosperous coastal communities in the Indian Ocean and the South China Sea regions.⁸ These communities have been threatened by dwindling coastal resources, recurring natural hazards, and rapid climate change. Although coastal areas in MFF countries are naturally exposed to extreme weather hazards (cyclones, storms, the intrusion of salty water, and tsunamis) they also face long terms impacts due to erosion, sea-level rise and pollution related to climate change and other changing environmental conditions resulting from human activity. Hence, the MFF programme has continued to mainstream climate change adaption through an ecosystem-based approach during its third phase, recognizing coastal ecosystems as natural infrastructure key to building resilient coastal societies. MFF introduced climate adaptation strategies to tackle interlinked causes of vulnerability in traditional coastal communities addressing poverty, degraded coastal resources, lack of knowledge and empowerment, and weak governance, hence strengthening the resilience of ecosystem dependent communities.⁹ The programme focused on three objectives considered as a prerequisite of resilient¹⁰ coastal communities: 1) generating, disseminating and applying knowledge to reach sustainable management of coastal ecosystems; 2) empowering key stakeholders who are jointly responsible for sustainable coastal management to engage in decision-making 3) strengthening coastal governance to foster integrated and inclusive management.¹¹ The programme supported in a variety of ways including a Small Grant Facility mechanism, Payment for Environmental Resources, and promotion of shared knowledge between member countries on the economic and environmental values of mangroves to enhance the valuation of natural capital, and its potential for policy change.

Change – The programme’s regional impact was limited as according to key stakeholders, the regional approach was weak. Despite weak evidence of key system change at the regional level, there have been a number of notable results at the community and eco-systems level and also some national policy level changes.

⁷ MFF is co-chaired by IUCN and UNDP and funded by Danida, NORAD and Sida. It comprises of three phases (2007-2010, 2010-2013, 2013-2018) and includes the following countries: India, Indonesia, Maldives, Seychelles, Sri Lanka, Thailand, Bangladesh, Pakistan, Vietnam, Cambodia and Myanmar. MFF was granted a one year no-cost extended period from January-December 2019. (Source: Mangroves for the future (2014): Programme Document MFF phase 3 (01 May 2014 to 31 December 2018) [version 2014 12 13])

⁸ The Mangroves and Climate Change component under the MFF programme was co-funded by Danida and active in Bangladesh, Indonesia and Vietnam. It aimed to support MFF’s primary programme objective with increasing coastal resilience to climate change (Source: Ministry of Foreign Affairs (2015): Programme Document Mangroves for the Future (MFF) 2015-2018).

⁹ MFF (2014): Programme Document MFF Phase 3.

¹⁰ MFF defines resilience as “the dynamics between the socio- economic and ecological systems that characterize ecosystem-dependent coastal communities, which include exposure to a number of anthropogenic stresses on both the human (social) and natural (ecological) systems, including population pressure and overexploitation of coastal resources, in addition to threats from extreme weather events and climate change.” (Source: MFF (2016): Resilience Analysis Guidelines, in FCG Sweden (2020): Process oriented evaluation of the third phase of Mangroves for the Future)

¹¹ MFA (2015): Programme Document MFF phase 3; and FCG Sweden (2020).

The small-grant fund projects during phase three have directly benefitted the livelihoods of local communities, amounting to an estimate of 75,150 direct beneficiaries of which about 50% were women.¹² The appreciation of stakeholders and beneficiaries over their involvement in the programme was generally higher in Vietnam and Bangladesh than Sri Lanka and Indonesia. Although it is too early to assess the sustainability of these influences, one example of policy changes commenced by MFF which may have a long-term impact on livelihoods and resilience is the 2016 decision 111 in Ca Mau that mainstreamed integrated mangrove-shrimp farming as a valid form of Payment for Environmental Services in Vietnam's national policies, plans and programmes. In Vietnam, coastal erosion in the Mekong Delta required a different approach than sea dikes (considering the cost-benefits and physical viability) which contributed to a shift in government attitude in favour of softer approaches to coastal protection. This policy change, which built directly onto one of MFF's implemented grants projects, has had a significant impact on the livelihoods of thousands of coastal households, combining environmental protection with increased resilience for coastal community members.¹³ Nevertheless, key stakeholders confirmed that many of the projects were just drops in the ocean due to their scattered nature. They were rarely replicated and lacked connection to wider processes, hence unable to make significant change.

In addition to the Small-Grant projects, MFF has to some extent managed to promote integrated coastal planning in management and policy development. For example, in Vietnam, this led to the integration of MFF's three regional objectives in the National Strategic Action Plan, along with seven core priority areas.¹⁴ On the national level, these were: the enhancement of knowledge and awareness, the integration of coastal management, improved governance capacity for stakeholders, sustainable financing, the Ridge-to-Reef Approach and the Marine Protected Area Network; whereas at the local level, these included the rehabilitation of coastal ecosystems, community participation and resilience, as well as private sector engagement.

These key system changes on policy level could potentially have a significant impact on livelihoods and resilience in the long term but the question is whether these developments will last and make an actual difference in the large scheme.¹⁵

Contributing factors:

- **The programme has a clear link between securing livelihoods as a (financial) incentive for the protection of the environment and doing what is good for coastal ecosystems and biodiversity.** Through implementing small income generating grant projects, community members reduced their dependence on resources extracted from the mangroves which helped to build resilience and provided an option to over exploitation. This has been underpinned by strengthening social empowerment and ecosystem-based approaches to address complex governance, socio-economic and ecological issues. For example, MFF contributed to improving governance over coastal resources by the implementation of Payment for Environmental Services and similar resource-sharing mechanisms were established that benefitted traditional coastal communities in Bangladesh, Indonesia and Vietnam in varying degrees.¹⁶ By establishing the link between income

¹² FCG (2020).

¹³ FCG (2020).

¹⁴ FCG (2020); and Hirsch, P. and van der Sluys, C. (2014): Mangroves and Climate Change component of Mangroves for the Future. Mid-Term Review Report.

¹⁵ FCG (2020)

¹⁶ Ibid.

and climate change adaptation, the programme to a certain degree created environmental awareness and changes in behaviour, priority and commitment both at community and government levels.

- **The use of a planned and technically well-founded eco-systems approach rooted in local government planning contributed to enabling successful project outcomes;** A clear contributor to this success was the MFF Resilience Analysis Protocol, a strategic approach to building resilience that was developed during phase two and implemented in all the countries from 2016. Entirely made possible by Danida's timely contribution,¹⁷ this local level tool for adaptation and resilience planning served as a basis for pilot project planning and implementation that integrated with rather than substitute local government planning. The tool combined social and ecological elements of resilience (livelihood diversification; access to information; food, water and energy security; awareness-raising and capacity development; governance) and included the themes of climate change, gender rights; conflict sensitivity, and resource or tenure rights into all of its aspects. Because the tool created livelihood assets to tackle the often-interlinked causes of vulnerability, it contributed to poverty reduction and social empowerment with a significant impact on marginalised groups. In the case of the Mangroves Rehabilitation Programme at Bahak Indah Beach (East Java, Indonesia), the Resilience Analysis aligned with a more strategic selection of activities to address issues at the target location. It included local stakeholder involvement to make sure the beneficiaries' views were taken into account into the decision-making process which in turn ensured they had a vested interest in a successful outcome of the project.¹⁸ Although the resilience framework was very successful in Bangladesh, Vietnam and Indonesia, it was less so at the regional level.¹⁹
- **The power of action research and learning on the ground with a participatory peer to peer approach across communities, local and central governments to exchange knowledge and information contributed to some change within countries but regional effects were nominal.** The facilitation of knowledge-sharing via inclusive platforms, basing policy influence on proven and well-evidenced knowledge, as well as the involvement of stakeholders beyond the government (civil society, academia, private sector), has been an important hallmark characteristic of MFF underpinning the soft-governance strategy.²⁰ For instance, the Monitoring, Learning and Evaluation programme²¹ ensured effective knowledge management and sharing of best practices and lessons learnt, which play a valuable role in transforming knowledge into meaningful action and can be taken up into coastal management on various governance levels – it seems this functioned better at national than at regional level.²² Enhancing the equipment of institutions that work on the ground enables local communities to engage in the sustainable management of the environment and its resources, and become more resilient. Through knowledge exchange, the international solidarity approach to tackle the global threat of climate change and its consequences on coastal ecosystems has in part contributed to some successful outcomes of MFF, but more action is still needed to ensure sustainable outcomes.

¹⁷ Interview with key stakeholder.

¹⁸ MFF (2020): Communities take the lead to rehabilitate mangroves at Bahak Indah beach, East Java, Indonesia. Accessed at <http://www.mangrovesforthefuture.org/knowledge-hub/mff-solutions/environment/communities-take-the-lead-to-rehabilitate-mangroves-at-bahak-indah-beach-east-java-indonesia/>.

¹⁹ Interview with key stakeholder.

²⁰ Raakjær, J., Hirsch, P. and Gonsalves, J., (2012): Mangroves for the Future (Phase 2) Mid-Term Review in FCG (2020).

²¹ MFF (2020): Monitoring, Learning and Evaluation. Accessed at <http://www.mangrovesforthefuture.org/topics/apply-knowledge/monitoring-learning-and-evaluation/>.

²² See also MFF (2020): Management Assessment and Monitoring. Accessed at <http://www.mangrovesforthefuture.org/topics/enhance-governance/management-assessment-and-monitoring/>.

- **A gender-equality and rights approach was part of MFF’s people-centred principle in the design and implementation of its coastal management projects, capacity development activities and its governance structure.**²³ Securing the livelihoods of women equal to those of men has helped to protect ecosystems, recognizing that women’s potential involvement and exchange of knowledge in mangrove management has long been overlooked in many countries. 51% of direct beneficiaries (i.e. community group members) and 50% of the indirect beneficiaries (i.e. villagers) of the Small-Grants Facility project in Indonesia during 2016, were female.²⁴ For instance, one project²⁵ that entirely focused on women in Karanganyar Village (Paiton, Probolinggo-District, East Java) planted beach pine (*Casuarina equisetifolia*) to rehabilitate 1.5 ha of the coastal area and produced fish crackers as an alternative income-generating activity.

Influence of Danida and other donors: The donor funding made available the funds for small grants and information exchange. The international funding and engagement also promoted international solidarity on an issue that is a global public good. These factors combined to reduce the risk that communities and local government had to take thus allowing innovations to be piloted. They also provided a strong enough evidence base for communities and governments to change practices and policies in their own long-term interest.

Danida’s most significant achievement was that it paved the way for piloting and implementing the Resilience Framework, which has contributed to key changes in Indonesia, Vietnam and Bangladesh.

Lessons learnt:

- The approach works best when both development and climate change/resilience aims come together that recognise the livelihood concerns of communities and in a participatory way provide sound evidence for wider policy and institutional change at the level of local and national government. Although the MFF idea in itself was good and worked well in some countries, its contribution to resilience was compromised by the difficulty of identifying interventions that could become self-funding within the project period.²⁶ Moreover, the National Coordination bodies would have benefitted from more representatives coming from social science and community development as their professional profiles leaned towards ecosystem protection and natural resource management.²⁷
- There is something to be gained from a regional approach, but it needs to be kept very efficient or it becomes a distraction and absorbs too many resources. MFF has been most effective and successful at the national levels (National Coordination Bodies) and local levels (Small-Grant Facility projects), rather than the regional or global levels.
- Although a renowned international environmental organisation like IUCN has the convening power and capacity for the implementation of projects such as MFF, the longevity and effectiveness of such programmes depend on strong government ownership and the programme’s organizational structure to adapt to its available resources.
- The programme has been ineffective at ascertaining an exit strategy that could for example expand the longevity of the National Coordination Bodies beyond the external funding from its donors.

²³ Ministry of Foreign Affairs (2015): Programme Document MFF 2015-2018.

²⁴ IUCN and MFF, Indonesia (2018): Impact Evaluation Report 2017. Updates on 2016 Small Grant Facility (SGF), Project data Compilation.

²⁵ ‘Women’s Group Empowerment to Increase Household Income through Production and Marketing of Mangrove Fisheries-Based Products’ (Source: MFF and UCN, Indonesia (2018): Impact Evaluation).

²⁶ Interview with key stakeholder.

²⁷ FCG (2020).

MFF's sustainability, i.e. the continuation of benefits from this development intervention after significant development assistance has been completed, is still much an open question and remains a challenge.²⁸

- Private Sector Engagement efforts were weak and need greater priority. To involve business in conservation and restoration efforts, IUCN and MFF could use CSR funding strategies, tax incentives (where realistic), and the expansion of strategic private sector NCB membership.²⁹

Beneficiary story – Community-led mangrove rehabilitation and female income-diversification at Bahak Indah Beach, East Java (Indonesia)

This MFF project,³⁰ based on a resilience analysis to better understand socio-economic and ecological conditions, makes up for an inspiring story and serves as an example for similar climate adaptation projects. The beach, which covers a 2-kilometre stretch and is a major attraction for tourists, had been severely degraded due to illegal mangrove deforestation and conversion to different land use. As the coastline continued to erode, it threatened the livelihoods of local fishermen and communities who were dependent on its resources and ecosystem services, but who were unaware of mangroves' function in protecting the beach and close by villages from storms and erosion. With the support of the project, small fishing communities took the lead to rehabilitate and protect the area by planting mangroves along the coastline and put up bamboo fences to ease off incoming waves. This win-win situation served as a natural barrier that also protected the community's shrimp ponds from surging waves (which generated most of their income). Project interventions aided by the better protection of the shrimp ponds enabled women to process and sell shrimp paste, fish and rice crackers as a way of diversifying their sources of income, earning an extra 150 dollars each month. The women's success expanded to other activities, which now also include producing banana crackers and empowered other local communities to take similar action.



Figure 1 Mangrove seedlings take root, Probolinggo, Indonesia, Indonesia © MFF Indonesia



Figure 2 Fish and rice crackers, and other products produced by local communities and women at Bahak Beach, Indonesia © MFF Indonesia

²⁸ FCG (2020).

²⁹ FCG (2020).

³⁰ MFF (2020): Communities take the lead to rehabilitate mangroves at Bahak Indah Beach.