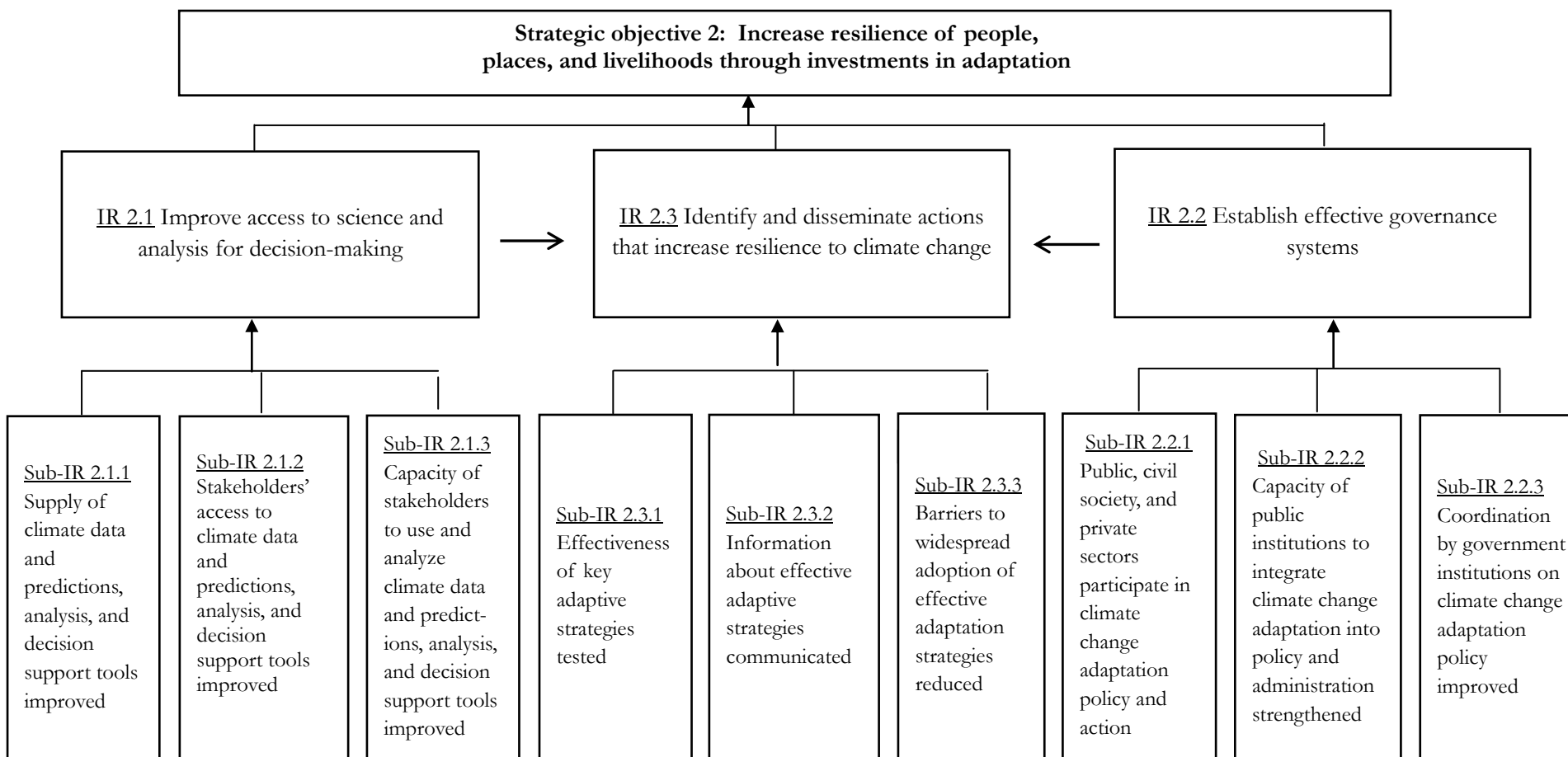


USAID CLIMATE CHANGE AND DEVELOPMENT STRATEGY: ADAPTATION PILLAR RESULTS FRAMEWORK



ADAPTATION PILLAR RESULTS FRAMEWORK NARRATIVE

STRATEGIC OBJECTIVE 2: INCREASE RESILIENCE OF PEOPLE, PLACES, AND LIVELIHOODS THROUGH INVESTMENTS IN ADAPTATION

The goal of Strategic Objective 2 (SO2) in USAID's Climate Change and Development Strategy, which represents the Global Climate Change Adaptation Pillar, is to increase partner countries' resilience by helping them anticipate potential climate change impacts and increase the capacity of their economic, political, and social systems to respond. The three intermediate results (IRs) within which USAID activities will focus are to: improve access to science and analysis for decision-making (IR 2.1); establish effective governance systems (IR 2.2); and identify and take actions that increase resilience to climate change (IR 2.3).

The overall causal logic of the Adaptation Results Framework (RF) is that,
IF:

1. supply of relevant climate data and predictions, analysis, and decision support tools is improved;
2. stakeholders' access to climate data and predictions, analysis, and decision support tools is improved;
and
3. relevant institutions have improved capacity to use and analyze climate data and predictions, analysis, and decision support tools;

THEN:

access to science and analysis for decision-making will be improved;

AND IF:

1. participation of public, civil society, and private sectors in climate change adaptation policy and action is increased;
2. capacity of public institutions to integrate climate change adaptation into policy and administration is strengthened; and
3. coordination by government institutions on climate change adaptation policy is improved;

THEN:

effective governance systems for climate change adaptation will be established;

AND IF:

1. the effectiveness of key adaptive strategies is tested;
2. information about effective adaptive strategies is communicated; and
3. barriers to widespread adoption of effective adaptation strategies are reduced;

THEN:

actions that increase resilience to climate change will be identified and disseminated.

AND THEN:

the resilience of people, places, and livelihoods to climate change will increase.

Implied throughout the RF is increased awareness and understanding of climate change vulnerability, risk, and opportunities. Increased awareness and understanding is an integral starting point for achieving any of the IRs and sub-IRs in this RF, and should be incorporated into activities that support this RF whenever appropriate. For example, improving access to science and analysis related to climate change is only meaningful if stakeholders understand the climate change risks and vulnerabilities they face, which may spur

them to seek greater scientific understanding or help them identify what analyses are needed. Similarly, actions to increase resilience to climate change may only be taken if stakeholders understand the vulnerabilities and risks that they must respond to. What follows is an explanation of the Adaptation Pillar RF.

IR 2.1: IMPROVE ACCESS TO SCIENCE AND ANALYSIS FOR DECISION-MAKING

IR 2.1 addresses the need for decision-makers to have access to and use science, technology, innovation, and the best available information, including traditional knowledge and experience, to design effective adaptation strategies. “Decision-makers” include government policymakers at all levels, communities, farmers, firms, and households. The best indicators of improved access to science and analysis are evidence of increased use of scientific and analytical inputs and evidence that science and analysis influence stakeholders’ decisions. Thus this IR implies not simply ensuring all stakeholders have access, and that access is improved, but that stakeholders have the means to effectively apply science and analysis to real-world situations. In this context, “stakeholders” include any person or institution affected by climate change or working on policies or actions affected by climate change. Stakeholders can be individuals or institutions, such as universities, research centers, government entities, international and national NGOs, and international organizations; they may also include individuals and more grassroots organizations such as farmer groups, community organizations, local NGOs, or households.

The scientific and analytical inputs required vary by stakeholder group; for example, government institutions may need an analysis of the economy-wide cost implications of slow-onset disasters, while small-holder farmers may place greatest importance on specific data points, such as the approximate start of the upcoming rainy season. These stakeholders will use climate change information differently. For these reasons, it is crucial that climate change science and analysis be not only available and accessible, but in a format that is user-friendly to the stakeholder groups that require that information.

USAID has chosen to focus on three obstacles to achieving this result: (1) high-quality climate data and predictions, analysis, and decision support tools frequently do not exist; (2) if they do exist, they often are not accessible to relevant stakeholders, and; (3) if they are available, stakeholders often do not know how to use them to inform their decisionmaking. The three sub-IRs under IR 2.1 are parallel but represent a logical flow from 2.1.1 to 2.1.3.

SUB IR 2.1.1: SUPPLY OF CLIMATE DATA AND PREDICTIONS, ANALYSIS, AND DECISION SUPPORT TOOLS IMPROVED

USAID aims to ensure that high-quality climate data and predictions, analysis, and decision support tools exist in partner countries, not only to inform USAID-supported development projects but for the country or region broadly to benefit efforts by partner country counterparts, development agencies, NGOs and other key stakeholders across sectors. Work on climate data, for example, could involve helping a partner country recreate and then maintain a long-term historical record of precipitation using both on-the-ground weather stations and satellite data, and present it in different visual formats. It is critical that the information and tools developed are aligned with the time horizon of the outcome or decision a partner requires for a specific project or for broader policy development. For example, to influence decisions on when to plant a seasonal crop, a USAID project may help national meteorological organizations build the capacity to make seasonal forecasts of events such as the start of the rainy season, and understand how climate change may shift that start date over time. Alternatively, a USAID project involving a major infrastructure investment may

work to improve the quality of 30 to 50 year climate change projections specific to the region where the infrastructure will be located to inform siting or construction decisions.

Expanding and improving analyses on climate change vulnerability, which includes social and economic information as well as scientific information is also critical to support decision-making. For example, USAID has supported efforts in one country to better define current trends and predicted changes in the seasonality of rainfall, as well as analyze social and economic characteristics of vulnerable families to learn how they might integrate new scientific information into household economic decisions. Another example is a decision support tool could be created for water utilities to help them simulate the effects of climate change on water availability and system performance, and analyze different alternatives for dealing with these effects. SERVIR, which is a network of regional centers offering earth observation, monitoring, and visualization tools, is an example of a program that can contribute to improving the supply of climate-related information.

SUB IR 2.1.2: STAKEHOLDERS' ACCESS TO CLIMATE DATA AND PREDICTIONS, ANALYSIS, AND DECISION SUPPORT TOOLS IMPROVED

Improving the supply of quality climate information and tools is a critical component of IR 2.1. However, to be useful, climate data and predictions, analysis, and decision support tools must not only be aligned with the relevant time horizon, but also be accessible to decision-makers and stakeholders at the appropriate level, timely, in a user-friendly format, at a relevant geographic scale, grounded in science and analysis, and easily understood by the intended audience and compatible with local cultural contexts. Incorporating feedback from stakeholders on their specific needs will help USAID tailor and improve effectiveness of its efforts to improve access over time. Activities focused on improving access could work to develop visual representations of data and predictions, such as maps or animations that are more tailored and appropriate for different user-groups, or set up a system for delivering the information, such as short-term weather forecasts via text message. It is also important to ensure that all relevant stakeholder groups have access to the information they need; activities that address this element could involve working with private entities and governments to make data and analysis public, or translate archived or “hard copy” data to web-based platforms or other technologically appropriate formats.

SUB IR 2.1.3: CAPACITY OF STAKEHOLDERS TO USE AND ANALYZE CLIMATE DATA AND PREDICTIONS, ANALYSIS, AND DECISION SUPPORT TOOLS IMPROVED

This sub-IR focuses on improving stakeholders' capacity to understand, work with and use new or improved climate-related information. A USAID project could, for example, train extension agents to interpret weekly or seasonal forecasts, and to communicate this information in ways that help farmers decide what or when to plant. Another project could build capacity to generate seasonal forecasts of malaria incidence, and then teach health officials to use these forecasts to inform their long-term prevention and treatment plans. Improved capacity of national-level decision makers to analyze and use climate information, such as projected climate change impacts on future water supply or shifts in climatic zones, can help them to make more robust and sustainable policy choices related to food security, land use planning, or infrastructure development.

IR 2.2 ESTABLISH EFFECTIVE GOVERNANCE SYSTEMS

IR 2.2 addresses the need for comprehensive and effective legal, regulatory, and policy frameworks for climate change adaptation, and for strong institutions that are capable of implementing and enforcing such frameworks at the appropriate scale. “Climate change adaptation policy framework” is broadly defined to

include laws, regulations, and policies in any sector where climate stresses are relevant; it is not limited to government agencies with specific responsibility for adaptation. These frameworks include national and sub-national adaptation plans. The three sub-IRs towards which USAID projects should work focus on increased public, civil society, and private sector participation, strengthened institutional and human capacity, and improved government coordination. A USAID-supported effort under 2.2 that may require aspects of each of the sub-IRs below could be to help a partner country develop or improve a National Adaptation Plan (NAP) under the UN Framework for Climate Change.

SUB-IR 2.2.1: PUBLIC, CIVIL SOCIETY, AND PRIVATE SECTORS PARTICIPATE IN CLIMATE CHANGE ADAPTATION POLICY AND ACTION

This sub-intermediate result under establishing effective governance is about increasing stakeholders' capacity to participate and opportunities for participation in the climate change adaptation policy planning and implementation process. "Participate" can mean different levels of involvement, ranging from consultation to full engagement – level of participation should match the scale and scope of the action being pursued. In this RF, participation is meant to be active and meaningful. Participation examples include testifying in public meetings, drafting or commenting on laws, or advocating for policy adoption and enforcement. "Action" is defined broadly to include activities that relate to public policy and administration. This sub-IR helps create a demand for integration of climate change into public policy. In some situations, this sub-IR will be a prerequisite to public institutions obtaining and applying the ability to integrate climate change adaptation into public policies and programs (sub-IR 2.2.2). Over time, this sub-IR must happen continuously to spur public institutions to integrate climate change adaptation into policies and programs on an on-going basis.

SUB-IR 2.2.2: CAPACITY OF PUBLIC INSTITUTIONS TO INTEGRATE CLIMATE CHANGE ADAPTATION INTO POLICY AND ADMINISTRATION STRENGTHENED

A second necessary component of effective governance is that public institutions obtain and sustain sufficient capacity to integrate climate change adaptation into policy and administration. It is equally important to consider climate change adaptation when public institutions administer and manage on-the-ground programs. USAID activities that partner with public institutions to incorporate climate change adaptation into national and local strategies, plans, and policies intend to build partner government capacity. The capacity is sustained and strengthened by doing so on an on-going basis.

SUB-IR 2.2.3: COORDINATION BY GOVERNMENT INSTITUTIONS ON CLIMATE CHANGE ADAPTATION POLICY IMPROVED

A key input into effective governance is functional coordination among (or within) government institutions, which include ministries, agencies or departments at the local, regional, and national levels. Coordination between national, regional and local levels of government similarly contribute to effective governance. This sub-IR can include coordination of adaptation planning and programs as well as policy. For example, one USAID project is enabling mayors to form a coalition to collaborate on adaptation planning for watersheds that cut across different municipalities. At the national level, USAID could support the creation or operation of high-level committees that bring together multiple ministries on a regular basis to discuss adaptation priorities.

IR 2.3 IDENTIFY AND TAKE ACTIONS THAT INCREASE CLIMATE RESILIENCE

IR 2.3 focuses on obtaining and providing information about approaches, practices, and tools that are expected to reduce climate change vulnerability. This result hypothesizes that if USAID can communicate and disseminate information about successful adaptive strategies and identify and help overcome obstacles to and create incentives for widespread adoption, then other organizations and stakeholders will widely adopt and put those strategies in place. It is important to note that testing, communicating, and overcoming obstacles to adaptive strategies is a cyclical process, requiring recurrent testing, communication, and dissemination.

As reflected in the RF, IRs 2.1 and 2.2 feed into IR 2.3. Access to science and analysis (IR 2.1) is needed in order to identify effective strategies, and good governance practices (IR 2.2) are needed for them to be adopted. Activities under IR 2.3 will support site-specific, on-the-ground activities through which it will be possible to identify the most effective strategies to increase resilience to climate change. The sub-IRs that USAID work will strive to achieve relate to testing and communicating about effective adaptation strategies or actions, and identifying and reducing barriers to their adoption.

SUB-IR 2.3.1: EFFECTIVENESS OF KEY ADAPTATION STRATEGIES TESTED

As climate change adaptation is an emerging field, the first step towards achieving IR 2.3 is to learn which adaptive strategies are effective with respect to varying adaptation needs and local circumstances. “Strategies” can refer to new or established technologies, management practices, or behavior changes, such as promoting alternative crops and livelihoods. In many cases, adaptive strategies are being developed locally but have not yet been tested scientifically for their effectiveness; they have been proven effective in certain specific geographic locations or socio-economic conditions and now must be tested for their effectiveness under different conditions. Piloting an existing adaptive strategy and testing its efficacy can be a way of building support for its adoption among key decision makers or early adopters in a new location or among a new population.

SUB-IR 2.3.2: INFORMATION ABOUT EFFECTIVE ADAPTIVE STRATEGIES COMMUNICATED

Once the effectiveness of an adaptation strategy is tested and established, information about it must be shared with relevant stakeholders. This sub-IR includes the need to share both best practices and lessons learned from adaptation projects, including information about ineffective or unsuccessful adaptation strategies. Information is broadly defined to include pre-conditions, timelines, costs, key inputs, barriers encountered and how to overcome them. Communication strategies may involve social marketing, developing curricula, conducting demonstration projects, or arranging professional exchanges. They may involve working through multiple institutions such as government, media, educational institutions, and extension services.

SUB-IR 2.3.3: BARRIERS TO WIDESPREAD ADOPTION OF EFFECTIVE ADAPTIVE STRATEGIES REDUCED

The final component of IR 2.3 is to identify and reduce the barriers to wider adoption of effective adaptive strategies. Barriers can be cultural, physical, political, economic, or legal. At this stage, stakeholders will be aware of effective adaptive strategies, but barriers – such as insufficient access to necessary investment capital or policies that generate the wrong incentives – that prevent successful implementation of adaptive measures may still remain. Identification of barriers is implied; in order for barriers to be reduced, they first need to be identified.