

# Call for submission on indicators of adaptation and resilience at the national and/or local level or for specific sectors<sup>1</sup>

We thank you in advance for filling out this template with concise, evidence-based information and for referencing all relevant sources. As you will see on the last page of the document, more detailed information on case studies, tools/methods and other knowledge resources for dissemination through the [Adaptation Knowledge Portal](#) is welcome, but optional.

## Name of the organization or entity:

United Nations Refugee Agency, UNHCR

## Type of organization/entity:

Please choose as appropriate:

- |  |   |
|--|---|
| <input type="checkbox"/> Local government/ municipal authority | <input type="checkbox"/> Regional center/network/initiative         |
| <input type="checkbox"/> Intergovernmental organization (IGO)  | <input type="checkbox"/> Research institution                       |
| <input type="checkbox"/> National/public entity                | <input checked="" type="checkbox"/> UN and affiliated organization  |
| <input type="checkbox"/> Non-governmental organization (NGO)   | <input type="checkbox"/> University/education/training organization |
| <input type="checkbox"/> Private sector                        |   |

## Scale of operation:

- |                                |  |
|--------------------------------|--|
| <input type="checkbox"/> Local | <input checked="" type="checkbox"/> National |
|--------------------------------|--|

## Specific sectors addressed:

- |  |   |
|--|---|
| <input type="checkbox"/> Adaptation finance                    | <input type="checkbox"/> Gender                               |
| <input type="checkbox"/> Agriculture                           | <input type="checkbox"/> Health                               |
| <input type="checkbox"/> Biodiversity                          | <input type="checkbox"/> Heavy industry                       |
| <input checked="" type="checkbox"/> Community-based adaptation | <input checked="" type="checkbox"/> Human settlements         |
| <input checked="" type="checkbox"/> Disaster risk reduction    | <input type="checkbox"/> Indigenous and traditional knowledge |
| <input type="checkbox"/> Ecosystem-based adaptation            | <input type="checkbox"/> Infrastructure                       |
| <input type="checkbox"/> Ecosystems                            | <input type="checkbox"/> Services                             |
| <input type="checkbox"/> Energy                                | <input type="checkbox"/> Tourism                              |
| <input type="checkbox"/> Food security                         | <input type="checkbox"/> Urban resilience                     |
| <input type="checkbox"/> Water resources                       | <input type="checkbox"/> Other (Please specify below)         |

<sup>1</sup> FCCC/SBSTA/2016/2, paragraph 18.

City(ies)/Country(ies)/Region(s) of operation (if appropriate):

NA

Description of relevant activities/processes or research:

*Please describe the activities/processes that your entity has implemented in relation to indicators of adaptation and resilience. In case your organization carried out research, please describe it.*

Disasters and environmental change have always affected the habitats in which people live. In extreme cases, such as riverbank erosion, the physical space where people live simply disappears and people have no option but to move elsewhere. In other cases, livelihoods, properties, or public services are damaged or destroyed to the extent that inhabitants perceive that they must move to find an adequate place to live. And there are also cases where people continue to live in places where their lives, property, and wellbeing are at risk—whether because of sudden-onset disasters (such as flooding or earthquakes) or the slow degradation of living conditions (such as drought or sea level rise)—and governments make the decision to relocate people in order to protect them. Climate change is likely to accelerate the pressures on habitats and **governments are likely to consider Planned Relocations as a means to reduce disaster risk or to adapt to climate change**. And yet, Planned Relocation also carries risks for those it is intended to benefit, including the disruption of livelihoods and loss of income, socioeconomic networks and cultural heritage.

Recognizing the gap in knowledge on Planned Relocations despite their widespread use in some contexts, through a series of international meetings held between 2011 and 2015, a group of States, international organizations and experts developed Guidance on Planned Relocations. <sup>1</sup> This Guidance, published in 2015, provides overarching principles for States and other actors to plan and implement Planned Relocations to protect people from disasters and environmental change. The Guidance underlines that Planned Relocations are complex, multidimensional processes. Planned Relocations should normally be a last resort and adopted only when other alternatives are not possible. When it is needed, it should be carefully planned and involve the participation of affected people. While there are certain general principles that carry across all Planned Relocations, the way in which decisions are made and implemented will depend on the particular national and local contexts, the available timeframe, and the underlying triggers.

Description of relevant tools/methods:

*Please describe the tools and/or methods that have been developed and/or used.*

The background research, which analyzed and highlighted lessons from past experience, and informed the development of the Guidance, suggests there are many things that can go wrong. While it is important to have principles, it is also essential to translate them into good practice. This Toolbox begins to address this need. It identifies five cross-cutting elements that repeatedly surfaced in lessons from prior experience. These elements are relevant to all Planned Relocations:

1. Establishing and complying with an appropriate legal framework;
2. Understanding and addressing the needs and impacts of Planned Relocations on affected populations;
3. Providing information to, undertaking consultation with, and ensuring the participation of, affected populations;
4. Understanding and addressing complexities related to land issues; and
5. Undertaking monitoring and evaluation, and ensuring accountability.

Experience also suggests that these five elements should inform and guide decision-making at all three key stages of a Planned Relocation:

1. Decision: Making the decision to undertake Planned Relocation of groups or communities;
2. Plan: Developing a plan for Planned Relocation; and
3. Implementation: Implementing the plan, including measures: (a) pending physical relocation; (b) during physical relocation; and (c) in the longer-term following physical relocation.

In this context, Part II of this Toolbox begins by discussing the five cross-cutting elements that need to be incorporated into each of the different stages of Planned Relocations. Under each element, the Toolbox includes a checklist of issues to consider. Part III then discusses each of the three key decision-making stages. Under each stage, in addition to a checklist of issues to consider, the Toolbox also highlights some potential challenges. Throughout the text, examples are drawn from case studies to illustrate how governments have dealt with particular issues; these cases are drawn from the relatively small published literature on planned relocations and have not been systematically evaluated.

#### **Key outcomes of the activities/processes undertaken:**

*Please provide information regarding the outcomes of the activities/processes described above, and do not hesitate to add qualitative assessment and/or quantitative data to substantiate the information.*

Key outcomes in 2017 include the publication and dissemination of the toolbox, available on UNHCR's website: <http://www.unhcr.org/protection/environment/596f1bb47/planned-relocation-toolbox.html>

This toolbox has already been consulted by a number of actors undertaking planned relocations, including by the Government of Fiji, and by local authorities in Louisiana, United States.

Another key outcome in 2015 was publication of Guidance based on human rights principles, available: <http://www.unhcr.org/protection/environment/562f798d9/planned-relocation-guidance-october-2015.html>

#### **Description of lessons learned and good practices identified:**

*Please consider the following points when describing lessons learned and good practices: (a) effectiveness/impacts of the activities/processes (including measurability of the impacts), (b) efficiency in the use of resources, (c) replicability (e.g. in different locations, at different scales), (d) sustainability (i.e. meeting the current economic, social and environmental needs without compromising the ability to address future needs).*

The toolbox includes a large number of lessons learned/good practices identified in case studies, as highlighted in blue boxes throughout document.

A few examples are excerpted as follows:

BOX 2.2. Fiji: Guidelines for Relocations in the Context of Climate Change Fiji is in the process of developing National Relocation Guidelines as an addendum to the National Climate Change Policy to ensure a protection-sensitive and sustained approach to relocations. The Guidelines were developed through a thorough consultation process that included a range of government agencies and other partners. A National Relocation Taskforce Team was formed to support relocation in Narikoso, Kadavu

and national consultations on the guideline were carried out in 2015 and 2016. The draft guideline defines Relocation as the voluntary, planned and coordinated movement of climate displaced persons within States to suitable locations, away from risk-prone areas, where they can enjoy the full spectrum of rights including housing, land and property rights and all other livelihood and related rights. The guideline stresses that “The Fijian government, therefore, has taken the initiative of developing its own peoplecentered relocation guideline that advocates for and plans and pre-empts individual and community needs. This proactive work is to ensure that when communities relocate within Fiji, because of climate change, they do so in a way that protects and upholds the rights and dignities of the people involved.” Source: Cosmin Corendea, Environment and Human Security Unit, UN University

BOX 2.5. Vunidogoloa, Fiji: Moving Burial Sites In the relocation of Vunidogoloa Village in Fiji, a challenge was “coming to terms with the traumatic decision to exhume the remains of their ancestors and move them to a new burial location... [Elders] didn’t want to leave the cemetery where it was, to be washed away, so the church arranged for the burial site to be moved.” Source: Edwards, J. A Story of Relocation and Rising Sea Levels: Vunidogoloa Village, Vanua Levu, Fiji. Global Methodist Ministries, May/ June 2016. <http://www.umcmission.org/find-resources/new-world-outlook-magazine/2016/may/june/0614risingsealevels>.

BOX 2.13. Alaska and Fiji: strategies for monitoring and evaluation in Planned Relocations In Alaska, United States, baseline environmental, geographic and economic assessments and evaluations have been undertaken in the planned relocation process for Newtok, a coastal community facing erosion. These can serve as benchmarks to evaluate progress over time, however there is a lack of data on social impacts of relocation process. The Government of Fiji has undertaken nation-wide community-based vulnerability and adaptation assessments which resulted in a list of potential sites in need of relocation. These assessments can serve as baselines for future monitoring and evaluation. The Narikoso Relocation Project in Fiji has utilized cost benefit analysis (CBA) methods to analyze a range of five scenarios (no intervention, relocating the entire village, relocating the ‘red zone’, relocating the ‘front line’, and building a new seawall). While this analysis acknowledges economic, environmental and social costs, the conclusions are based on quantifiable indicators alone, and thus do not capture the complex social and cultural implications of planned relocation for affected communities. Sources: Bronen, R. and Chapin F. S. “Adaptive Governance and Institutional Strategies for Climate-Induced Community Relocations in Alaska.” Proceedings of the National Academy of Sciences of the United States of America 110.23 (2013): 9320–9325. PMC. Web. 1 Mar. 2017; McNamara, K. E., & Des Combes, H. J. “Planning for Community Relocations Due to Climate Change in Fiji.” International Journal of Disaster Risk Science, 6/3: 315–9. 2015; Joliffe, J. Narikoso Relocation Project: Cost Benefit Analysis Update Note. 28 January 2016. [http://ccprojects.gsd.spc.int/documents/new\\_docs/28012016%20-%20Fj%20-Narikoso%20CBA%20briefing%20note%20for%20stakeholders.pdf](http://ccprojects.gsd.spc.int/documents/new_docs/28012016%20-%20Fj%20-Narikoso%20CBA%20briefing%20note%20for%20stakeholders.pdf).

BOX 3.1. São Tomé & Príncipe: Assessing the Risk of Remaining In the case of São Tomé and Príncipe, the first step was to determine the rate of coastline retreat and changes in settlement expansion by comparing topographic maps from the 1950s with high-resolution satellite imagery of the current situation. The result of this study was the creation of future projections of flood patterns, which allowed the authorities to identify which areas would be most at risk. Source: Koskinen-Lewis, P., A. de Carvalho, C. M. Dias, C. Fernandes, O. Diogo, L. Taulealo, F. Evalu and N. Simi. “Managing Population Retreat from At-Risk Areas” SISRI Knowledge note no. 3. Small Island States Resilience Initiative, 2016. The World Bank and Global Facility for Disaster Reduction and Recovery (GFDRR). Washington.

BOX 3.11. Allenville and Community Cohesion In Allenville, Arizona, United States, one of the main reasons for the overwhelmingly positive response to the relocation process in the context of flooding was the community's efforts and commitment to relocate together. Despite the long process – over three years between leaving Allenville and occupying Hopeville – the residents resided together as a cohesive community in temporary interim housing (mobile home park administered by Arizona DEM), which provided advantages of centralizing the community, and maintaining commitment to relocation. Critically, this community had a designated system for consultation, participation, and cohesiveness in place before the flooding, that could be leveraged during the span of the Planned Relocation process, including for measures pending and during physical relocation. Allenville Citizens for Progress (ACP), a non-profit organization founded in 1965, served like a town government and had a Board of Directors who held regularly scheduled monthly meetings at which information was disseminated to residents, feedback on activities and plans was solicited, and member suggestions for new activities and agenda items were sought. Source: Perry, R. W. and Lindell, M.K. "Principles for Managing Community Relocation as a Hazard Mitigation Measure." *Journal of Contingencies & Crisis Management*. 1 March 1997.

#### Description of key challenges identified:

*Please describe the key challenges associated with those activities/processes or the use of those tools/methods, that policy-makers, practitioners and other relevant stakeholders should know about.*

Although this Toolbox focuses on practical and technical aspects, the political context is particularly important. If a country has a tradition of good governance and rule of law, affected populations are more likely to trust the government in its planning and implementation of Planned Relocations. If the government has neither the will nor the capacity to carry out Planned Relocations in a way that upholds the rights of those affected, the success of the process will likely be hindered. This Toolbox is particularly relevant to situations where there is time to plan and where Planned Relocations are undertaken as proactive measures to respond to risks created by disasters and environmental change. However, there are also cases, normally in the immediate aftermath of a disaster, where displaced persons need to be settled elsewhere in order to protect them from future risks—or because their habitats have been destroyed. In these cases, where Planned Relocations are carried out in reaction to a disaster, the time pressure is intense. And yet, experience suggests that even when the time available is compressed, Planned Relocations are likely to be more successful when the five cross-cutting elements are addressed. While this Toolbox is primarily intended to provide guidance to those undertaking proactive Planned Relocations, the checklists, examples and challenges identified here are also likely to be helpful for reactive situations. In fact, some of the examples included are drawn from cases where Planned Relocations have been used in response to a disaster.

This Toolbox relates to Planned Relocations undertaken by State authorities and focuses on Planned Relocations undertaken within national borders. Nevertheless, the considerations and issues identified here could be useful in developing guidance for cross-border planned relocations, in the event these are needed. Of course, such guidance would also have to consider an additional complex array of issues for relocations across national borders. Similarly, while Planned Relocations may uniquely affect indigenous and other communities with a particular attachment to land, this Toolbox does not provide guidance on ensuring compliance with rights and obligations related to those populations. Nor does it do more than note some of the complexities associated with undertaking Planned Relocation in the context of different land tenure systems. For example, customary land tenure systems evolve and change over time. Finally, the Toolbox focuses on Planned Relocations of groups and communities rather than on measures to support individuals to relocate on their own.<sup>3</sup>

This Toolbox is very much a work in progress. Not all of the issues included will be applicable to all situations. While there have been many cases of Planned Relocations in both developed and developing countries, the published literature is uneven. As the body of evidence grows, other considerations, examples and challenges can be incorporated.

#### Planned next steps (as appropriate):

*Based on this experience or research, have next steps been planned to address/study some of the identified challenges, scale up or scale out such activities/processes?*

Planned next steps include enhanced dissemination of the toolbox to scale out its use by relevant actors.

#### Relevant hyperlinks:

*Please provide hyperlinks to sources of information.*

<http://www.unhcr.org/protection/environment/596f1bb47/planned-relocation-toolbox.html>

<http://www.unhcr.org/protection/environment/562f798d9/planned-relocation-guidance-october-2015.html>

<http://www.unhcr.org/54082cc69.pdf>

<http://www.unhcr.org/53c4d6f99.pdf>

#### Further information:

Please do not hesitate to submit more detailed information on case study(ies), tool(s)/method(s) and/or other relevant knowledge resource(s) that are relevant to economic diversification. The latter will be shared through the [Adaptation Knowledge Portal](#):

- [Case study\(ies\)](#)
- [Tool\(s\)/method\(s\)](#)
- [Other knowledge resource\(s\)](#) (online portals, policy briefs, training material, multimedia material, technical reports and scientific publications)