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GUIDANCE NOTE on How to Plan and Mainstream Community-Based Adaptation at the Local, Sub-National and National Levels



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Introduction

Global Environment Facility (GEF) Small Grants Programme (SGP) has been involved in Community-Based Adaptation (CBA) since 2008. At this time, the GEF Strategic Priority on Adaptation (SPA) window funded a five-year pilot programme that was implemented by UNDP and delivered on the ground by SGP. In 2009, AusAID partnered with SGP to enable climate resilience funding for two complementary CBA programmes, the Mekong Asia Pacific CBA (MAP CBA) and the Small Islands Developing States CBA (SIDS CBA). The goals of these programmes are three-fold:

- i. To improve the adaptive capacity of communities, thereby reducing their vulnerability to the adverse effects of climate change and its variability,
- ii. To provide countries with concrete ground-level experience with local climate change adaptation, and
- iii. To provide clear policy lessons and mainstream them into national processes and up-scale the best practices.

TABLE 1: SGP CBA Programmes

| YEAR | NAME OF CBA PROGRAMME | NUMBER OF COUNTRIES |
|-------------|--|---------------------------|
| 2008 - 2012 | Strategic Priority on Adaptation (SPA CBA) | 10 countries ¹ |
| 2009 - 2016 | Mekong Asia Pacific (MAP CBA) ² | 18 countries |
| 2011 - 2016 | Small Islands Developing States (SIDS CBA) | 38 countries ³ |

One of the key objectives of SGP's CBA programmes is to mainstream CBA into the local, sub national and national levels by informing policies and programmes of community-driven adaptation priorities and innovations. While every country's planning processes and capacities vary substantially, one of the greatest barriers for government's effective development processes is how to reach vulnerable local people, especially those living in isolated geographic areas.

This guidance note is targeted to SGP CBA practitioners such as National Coordinators (NCs), grantees and Programme Assistants (PAs) to effectively integrate CBA innovations into national processes and practices, while using the existing infrastructure and systems of SGP. It can also be used by other practitioners working at the local levels.

¹ SGP countries included: Bolivia, Guatemala, Jamaica, Kazakhstan, Morocco, Namibia, Niger, Samoa and Vietnam. Bangladesh, a non-SGP country, used the SGP-approach with SGP oversight and technical advice from the global level.

² In Cambodia, lessons learned from the MAP CBA programme led to the establishment of the Cambodian Community-Based Adaptation Programme (SGP CBA/UNDP/SIDA partnership at the national level). For more details, please refer to the case study for Cambodia in ANNEX 1.

³ This group of countries includes 15 SIDS from the Pacific region under the MAP CBA programme.

SECTION I

What is CBA? What is not CBA?

What does 'mainstreaming CBA' mean?

Within the development context, there could be confusion about what community-based adaptation or CBA is and what it means. The term may often be used loosely, which just deepens the confusion. Not fully understanding CBA may perpetuate the cycle of exclusion and making the process counter-productive. On this note, SGP CBA practitioners are provided with the fundamental principles of what CBA is, what CBA is not and what is meant by "mainstreaming CBA". While most SGP CBA practitioners already know this, it is important for them to take note of this in their collaborations with project partners and other stakeholders at all levels, e.g. awareness-raising sessions, including case studies development and other documentations, and capacity building trainings.

WHAT IS CBA?

CBA is a community-led process which should empower people to plan for and cope with the current and future impacts of climate change. CBA projects are centered on the priorities and processes chosen by the community, and does not prioritize the interests of external parties over those of the communities.⁴

WHAT IS NOT CBA?

CBA projects are not just 'projects implemented in the community level' and/or projects that involve communities in a consultative manner to achieve pre-determined objectives set out in its framework. While CBA projects are very similar to other community development projects, there are two main distinctions: i) CBA projects address problems induced by climate change, often long-term in nature, as opposed to regular climate or weather variability (short-term changes); and ii) CBA projects demand that there is a strong emphasis on 'process' and not just 'outcomes'.

WHAT DO WE MEAN BY 'MAINSTREAMING CBA'?

The definition of 'Mainstreaming' is to join a principal or dominant group, tendency, trend, force, etc. in realizing a common vision. Consequently, 'mainstreaming CBA' means that community's innovations influence a wider regime, such as the governments' planning machinery, through "absorption/adoption of innovations, practices and lessons into the dominant process of policy and practice development."⁵

'Mainstreaming CBA' into local, sub-national and national processes refer to including and addressing the adaptation needs, knowledge and experiences of the communities into relevant local, sub-national and national sector policy process (development strategies, plans and policies) and budgetary processes.

Therefore, mainstreaming CBA is multi-dimensional, and not a linear process that involves the identification of climate risks within all sectors and its integration into the policy-making process and national adaptation programmes in order to reduce the negative impacts that climate risks pose on its people and ecosystems at all levels.

⁴ Extracted from Reid, H. (2014) *Community-Based Adaptation to Climate Change, Scaling it Up*, p.5

⁵ *ibid*



SECTION II

Why is mainstreaming CBA into local, sub-national and national planning processes important? What are the benefits?

Climate change and its variability is a cross-cutting issue that have economic, environmental and social development consequences that vary at the local, sub-national and national levels. Adaptation to climate change is, therefore, also a cross-cutting issue and is most effective when considered in the context of the sector or area of impact while using a holistic approach.

Mainstreaming CBA shares the sustainable practices and adaptation priorities from the community context. A wider group (e.g. government officials such as decision-makers in the policy and planning divisions, development agency professionals, donors, academia, civil society, media, etc.) is reached and sensitized on the constraints, opportunities and solutions to the adverse impacts of climate change. With a wider and deepened understanding of climate change and its impacts, an integrated approach to tackling the problem becomes a possibility. It allows higher-scale development plans and policies to address the issues of population groups, regions and sectors which currently are at the greatest risk from climate-induced impacts due to lack of access to resources, lack of development and capacity to adapt and/or existing degradation of natural resources.

MAKING LOCAL VOICES HEARD

Although governments have budget resources for climate change, it does not mean that their initiatives will reach the community level, especially in remote geographic areas. National-level climate change adaptation programmes and initiatives may only involve the communities as part of stakeholder consultations or demonstration of certain practices to reach a pre-determined, top-down objective. Therefore, mainstreaming CBA into such a predetermined process allows poor vulnerable people to be heard and their views to be taken on board in the key policy development process.

SUSTAINABILITY OF GOOD PRACTICES

Mainstreaming CBA into the national scale leads to adopting and sustaining successful CBA innovations and practices, which over time reaches and benefits a greater number of people in different places.

CBA projects are usually isolated initiatives that are funded by external donors and implemented by non-government organizations (NGOs) and/or community-based organizations (CBOs), who may come and go. On the other hand, government structures, even with staffing turnovers, are more permanent functional organs, thus, it is necessary for CBA innovations to be systematically mainstreamed into government policy making processes for these to be sustained and mainstreamed over time. In doing so, communities do not stall in the progression towards adaptation.

EFFECTIVENESS OF FINANCIAL AND INSTITUTIONAL RESOURCES

Mainstreaming CBA leads to a harmonization and rationalization of financial and institutional resources. When incorporated in local, sub-national and national structures, CBA can be supported as part of government 'roll out' programmes as governments have the capacity to provide sustained policy directions and financial support for larger programmes.



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SECTION III

Main factors for mainstreaming CBA and how they can be applied within the SGP system

The two main factors for effective mainstreaming to take place are to: i) have strong “upstream and downstream” approaches, and ii) develop linkages and synergies to the local, sub-national and national levels.

INTEGRATION OF MAINSTREAMING CBA APPROACHES

The aim is to have an integrated approach to tackling climate change-driven problems. Ideally, mainstreaming CBA is an iterative process where local level participatory processes and experiences feed into local, sub-national and national planning processes (bottom-up approach). This is complimented by the national planning processes which include the climate strategies that capture the communities’ environmental, economic and social contexts (top-down approach).

USING TOP-DOWN APPROACHES IN SGP CBA

While CBA projects use the ‘bottom-up’ approach, ‘top down’ approaches are necessary for CBA to a certain degree. CBA practitioners need to understand the nation’s climate changed-induced threats and the corresponding adaptation priorities and action plans. After a solid assessment of the communities’ vulnerabilities, needs, and capacities, understanding the current vulnerability of communities to existing development challenges, together with climate change issues, help build a solid foundation from which to work from.

In SGP CBA programmes, this approach is applied in the development of the CBA Country Programme Strategy (CCPS which is guided primarily by Local or National Adaptation Plans for Action and assessment reports from the Intergovernmental Panel on Climate Change.). Using the dual approach benefits practitioners to understand the nation’s complex interdependence of sustainable livelihoods, disasters, water, and natural resources that frame the national adaptation plans, and be able to identify the gaps and improve them with CBA innovations.

LINKAGES AND SYNERGIES

Linkages and synergies between the local communities and the relevant decision-making institutions in the local, sub-national and national governments are necessary for proper mainstreaming to happen. CBA programmes also need to ensure that the capacities of both non-state and state stakeholders are strengthened to enable their effective participation in the policy decision-making process. Therefore, CBA programmes need to provide this type of linkages.

⁶ GoN (2011). *National Framework on Local Adaptation Plans for Action*. Government of Nepal, Ministry of Environment, Singhdurbar. Retrieved from www.moenv.gov.np



LINKAGES AND SYNERGIES WITHIN SGP

Being a global programme implementing projects at the local level, SGP is comprised of a global team in the New York headquarters and national teams in 128 countries. SGP's organizational structure provides a multi-level network through the Global Environment Facility (GEF), UNDP country offices, government focal points, National Steering Committee (NSC) members and a wide range of implementing partners including local community groups. The outcomes and lessons learned from SGP projects are applicable to the local, sub-national and national contexts. In this respect, SGP is able to foster linkages and synergies between the community level and the local, sub-national and national levels.

At the national levels, SGP operates in a decentralized manner through country programme teams composed of the SGP CBA practitioners (NC, PA and the grantees), and a National Steering Committee (NSC). The NSC is the central element of SGP as it is the key decision making body for the programme and provides major substantive contributions in terms of expertise and capacity development for communities while also providing oversight of the country programme. While being primarily comprised of civil society organizations, NSC members also include representatives of the government, UNDP, the academia, indigenous peoples' organizations, the private sector and the media. Therefore, the NSC is able to facilitate direct linkages and synergies between its programme and the sub-national and national stakeholders.

CBA projects can utilize SGP's institutional arrangements to strengthen the efficiency of their service delivery. Since SGP CBA practitioners also manage regular SGP projects, they may synchronize their efforts with the existing SGP infrastructure and systems. For example, meetings with the NSC can be scheduled to discuss both regular SGP projects and SGP CBA issues. While some NSC members for regular SGP projects may be different with those for the SGP CBA projects, the difference is minimal and may only entail a member or two (usually an adaptation expert or a sociologist). In this situation, a meeting can be held with the NSC for regular SGP projects. Upon its conclusion, the NSC members who also oversee the SGP CBA projects may join the rest of the relevant NSC members for the SGP CBA projects approval process.

SECTION IV

How National Coordinators can help mainstream CBA into national processes

There are two ways that SGP CBA practitioners can mainstream CBA into the national level:

1. By influencing the policy processes through the development of sector wide plans, thematic strategies and their relevant budgetary processes at the formulation and/or review stages.
2. By informing the activities of national-level programmes/projects with CBA innovations and lessons.

IMPORTANT TIPS FOR PRACTITIONERS

To help guide practitioners in mainstreaming CBA, this section covers important tips for general practitioners to note throughout the project cycle, as well as step-by-step guidance during the SGP project cycle.

KEY TIPS

1. The key to successful mainstreaming at sub-national and national levels is to work within existing government planning and budgetary processes⁷.
2. Continuous engagement in the policy framework, institutional arrangements and finance mechanisms throughout the project cycle is important to strategically mainstream CBA and ensure it goes from the policy planning phase into the policy implementation phase.
3. It is important to identify the entry points, which vary and depend on the country context.
4. The engagement of local authorities and government officials at an early stage, e.g. the development of the CCPS stage, facilitates and makes it easier for mainstreaming CBA. See Box 1 for an example from Viet Nam.
5. The outreach and advocacy activities via media channels lead to the expansion of practices or replication by the general public, which in turn supports mainstreaming CBA into national development strategies, plans, policies and programmes.
6. Transparency and accountability in the mainstreaming process itself is important so that there is trust amongst the stakeholders and that all stakeholders and players are clear on what the rules are.
7. The mainstreaming activities could be planned within other projects to be time-efficient and cost-effective.

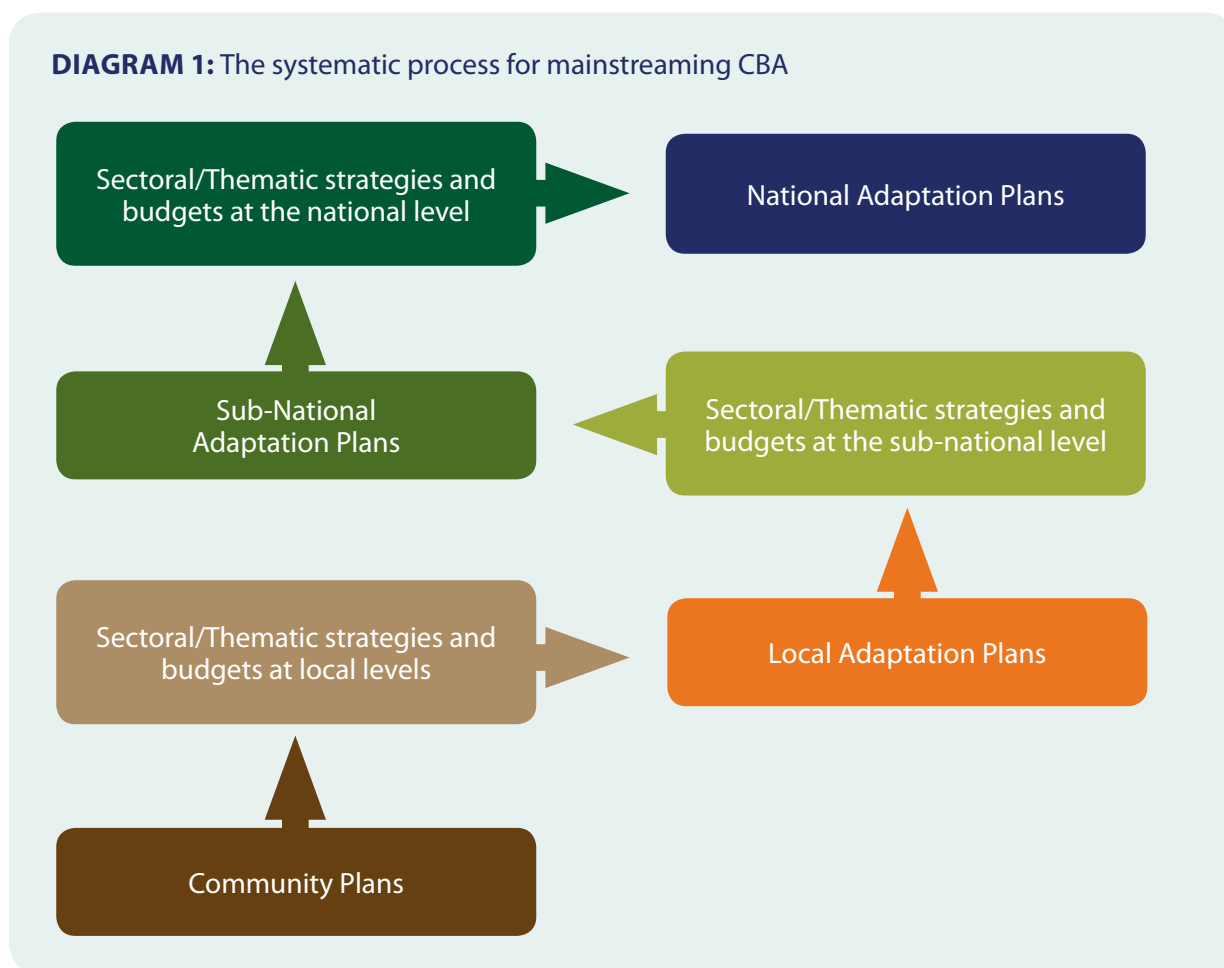
⁷ IIED (2013) Community-Based Adaptation: *Mainstreaming CBA into national development planning 7th International Conference, Dhaka, Bangladesh*. Retrieved from <https://adaptation-fund.org/sites/default/files/Proceedings%20final%20CBA7>, page 22

MAINSTREAMING CBA INTO NATIONAL POLICY PLANNING AND FINANCIAL PROCESSES

The national level is where policy goals for long-term vision and national development strategies are translated into actions plans and budgets. Policy planning at the national level provides the overall framework within which sectoral and other sub-national levels operate. Therefore, practitioners must understand the policy planning process, be able to identify their entry points and provide evidence of how mainstreaming CBA adds value.

There is a systematic way for mainstreaming CBA which is illustrated in Diagram 1. First, CBA innovations need to be mainstreamed into local thematic or sectoral strategies and plans. These should include budgets and human resources. Secondly, from the local level plans (LAPAs), the activities should be mainstreamed into the sub-national adaptation plans and budget. From this level, it is necessary to escalate the actions into the national thematic strategies and/or sectoral plans with adequate budgets for implementation.

DIAGRAM 1: The systematic process for mainstreaming CBA



Based on the SGP mandates and using the systematic process illustrated in Diagram 1, mainstreaming CBA into the policy planning and financial processes can be done by informing the activities of national-level programmes/projects with CBA innovations and lessons. The following step-by-step guidance aims to help SGP national teams and other practitioners (e.g grantees) navigate and streamline their efforts in the mainstreaming CBA process.

Steps for Mainstreaming CBA into national level processes

- 1. Understand the linkages between the national and local adaptation priorities and that of the CBA programmes and identify the institutional structures and finance mechanisms that affect policy and planning decision-making. This will help SGP CBA Practitioners to identify their entry points into the policy process.**

This is applicable during the CPS development and project formulation stages of SGP project cycle

| | |
|-------------------|--|
| STEP 1 | <p>Take a full stock of and review existing national adaptation priorities and action plans (NAPAs) and local adaptation priorities and action plans (LAPAs).</p> <ul style="list-style-type: none">• Identify the gaps and consider the degree to which current development strategies and sector programmes are vulnerable to climate change impacts and its variability.• Explore ways to factor the impacts of current and projected climate change into development planning decisions in order to minimize risk and build resilience.• Examine options of how to strengthen them and identify the SGP niche. |
| STEP 2 | <p>Create an enabling environment and take advantage of the political will, and provide the information, examples, lessons and services that can guide it.</p> <ul style="list-style-type: none">• Upon reviewing the national and local adaptation plans, discuss your findings and consult with various stakeholders at the local, sub-national and national levels through the SGP-led national level dialogue platforms. Examples of these stakeholders include, but not limited to, government representatives from line ministries and agencies, experts in the thematic areas, civil society organizations, development partners and academia. <p><i>As previously noted in section III (Linkages and synergies within SGP processes), the NSC can facilitate the linkages between SGP, other practitioners and the national level stakeholders. In some countries, NSC members sit in the board of governmental agencies and this can form an important entry point.</i></p> |
| STEP 3 | <p>During the 'call for proposals', ensure that 'up-scaling' is one of the programme/project objectives for the solicited proposals. In reviewing the proposals for approval, ensure that the NSC understands that a budget to support the activities of incorporating CBA lessons and practices is adequately included for expanding/scaling up CBA project outcomes in all stakeholder meetings through the SGP country level grantee networks.</p> <p>To achieve this outcome, it is important to look at the programme level impacts that each approved proposal contributes to, transfer the knowledge that emerges from them to the grantee networks and subsequently, into the national policy planning processes and budgeting. In addition, where these projects may serve as a baseline foundation for larger projects, it is important to link the grantee networks with steps of how to mainstream CBA projects into national level large size projects detailed hereunder.</p> |





II. Mainstream CBA into national-level programmes/projects through the adoption or replication of successful adaptation practices*

| | |
|-------------------|--|
| STEP 4 | <p>Understand the linkages between the outcomes and objectives of the national level programmes/project and the CBA processes and the resultant innovations, lessons and practices.</p> <ul style="list-style-type: none"> • Take a full stock of national adaptation projects and review the activities and outcomes of various programmes/projects. • Develop strong working relationships with other development organizations (UN agencies), government/s and the NGO sectors that can facilitate linkages to national-scale programmes and projects. |
| STEP 5 | <p>Link CBA innovations to be part of the outcomes of national level programmes/projects</p> <ul style="list-style-type: none"> • Review the planned activities and outcomes of the national level programmes/projects • Identify which community-driven adaptation strategies, practices and methodologies could be replicated within the national level programmes/projects. • Link and include the identified CBA innovations to the national level programmes to inform local level projects implementation. |
| STEP 6 | <p>Hold awareness-raising and capacity building sessions for national programme staff to provide evidence why mainstreaming CBA is important.</p> <ul style="list-style-type: none"> • Illustrate the 'on-the-ground' evidence/results of the CBA innovations by inviting them to project sites, coordinating knowledge fairs and/or facilitating peer-to-peer exchange sessions. • Present knowledge products (case studies, videos, brochures, etc.) that provide community-tested adaptation practices that strengthen and complement the results of the planned project objectives. <p><i>This could be performed simultaneously with awareness-raising and capacity building activities for government and non-government stakeholders as described in the "Prerequisites for Mainstreaming CBA into National processes" section (Steps 1 and 3).</i></p> |
| STEP 7 | <p>Establish partnerships for existing and future programming</p> <ul style="list-style-type: none"> • Explore ways to harmonize institutional and financial capacities to strengthen the accountability, efficiency and service delivery of all parties involved while expanding the benefits to more people and being cost-effective. • Track indicators that relate to mainstreaming of the CBA projects outcomes/lessons that have contributed to national level processes and plans |

* An important note to bear in mind when mainstreaming CBA into national-level programmes/projects is that most national-level adaptation programmes/projects have CBA components in their framework and objectives. These programmes/projects may take communities views on board, but as indicated previously, communities are only often involved in a consultative manner to reach a pre-determined objective. Therefore, this is a top-down approach. It does not really represent the communities' adaptation priorities nor does it provide substantive solutions/coping mechanisms at the community level. For these reasons, it is important to fill in the gaps with solutions developed at the local level during the implementation of projects.

Prerequisites for Mainstreaming CBA into national processes

These steps are performed during the stage of project implementation and are useful in setting the tones and providing solid grounds for mainstreaming activities.

| | |
|---------------------------------|--|
| <p>STEP 1</p> | <p>Conduct policy stakeholder meetings to raise the awareness and build the capacities of government officials and local authorities</p> <ul style="list-style-type: none"> • Invite policy makers to the project site/s and demonstrate CBA initiatives, best practices and lessons learned. • Be strategic in the policy stakeholder meetings by knowing your audience and selecting the best group/s to present information, e.g. SGP, the NGO, community members (a representative from marginalized groups). |
| <p>STEP 2</p> | <p>Provide evidence of how CBA innovations relate to relevant components of the strategy/plan and why mainstreaming CBA is crucial. Also provide the policymakers with easy access to data, and use friendly formats that highlight key results for policymakers.</p> <ul style="list-style-type: none"> • Present evidence and key data (case studies, videos, brochures, etc) on lessons learned from the SGP CBA projects and illustrate the linkages and benefits (environmental, economic and social) for long-term sustainable development. • Always provide quantitative data to support qualitative information. • When making the case for 'including CBA' to your target audience, there are a range of things to be considered. The following questions will help the SGP CBA practitioner(s) in developing presentations or setting the agenda of the meeting. <ol style="list-style-type: none"> 1. What is/are the key message/s? 2. What are the climate change-induced risks that cause environmental, economic and social burdens? How do these threaten the existence and livelihoods of the communities? 3. What solutions and benefits did the CBA innovations provide? How do the CBA innovations promote resiliency to future climate change impacts? 4. What will be the value added (or costs reduced) by including CBA in the development process? 5. What are the challenges? 6. How does the process of mainstreaming CBA ensure sustainability for the future? Is self-sufficiency built in and when does it occur? 7. Can you clearly articulate what is needed from future policy and plans to create an enabling environment? |
| <p>STEP 3</p> | <p>Expand awareness-raising and capacity building efforts and build national consensus by partnering with government and non-government groups.</p> <ul style="list-style-type: none"> • "Training of trainers" may be provided for CSOs, schools and government officials at all levels⁸. • Develop national operational guidelines with a range of different tools and explanatory diagrams in order to ensure policy and planning processes are mainstreaming CBA issues⁹. • Partner with non-government groups (CSOs, media, academia, private sector) that are informing the national process to mainstream CBA into development planning forums. • Facilitate NGO and civil society attendance to knowledge fairs and adaptation consultations; help disseminate CBA experiences in relevant media and journals; and organize specific workshops to facilitate dialogue and lesson-sharing. |

⁸ This is exemplified in the Cambodia case study in Annex 1.

⁹ This approach has been used in both the Cambodian and Sri Lankan mainstreaming experience which are described in more detail in the Case Studies in Annex 1.

STEP
4

Support appropriate improvements by integrating CBA innovations to policy planning frameworks (development plans and the relevant financial budgets) at the local, sub-national and national levels.

STEP
5

Ensure that there is an enduring integration of CBA innovations in the planning and budgeting processes, as well as in the policy implementation.

- Build mechanisms for longer-term engagement with the national, finance/planning, sectoral and local bodies.
- Target the key policy stakeholders who have the responsibility for ensuring integration of CBA innovations are taken forward into policy implementation when planning process is complete.





BOX 1. Mainstreaming CBA in Vietnam

SGP Vietnam started the mainstreaming process by sharing results and lessons from CBA projects at all national and local workshops discussing climate change. From the project concept phase, CBA projects in Vietnam were already integrally linked through partnerships, funding and technical support with national/ government programmes.

In some countries, practitioners may have already garnered strong affiliations with national stakeholders by providing evidences of successful CBA initiatives and innovations at the various stages of the SGP project cycle and/or the implementation of regular SGP projects. SGP CBA practitioners could be recognized for their expertise and could be invited to national forums, which may also lead to invitations to be members of advisory boards and/or national planning committees on climate change policy issues. In these situations, the direct link between the CBA programme at the local level and the national level may alleviate the need for following the systematic stages in Diagram 1. This will allow local level lessons to influence directly national level policy making process. For examples, please refer to the case studies in Annex 1.

ANNEX 1

The following case studies provide practical examples of successful approaches from Asia, the Caribbean and the Pacific regions. In all instances, mainstreaming was an on-going process that began to bare results as the projects came to a close (2+ years). The case studies from Cambodia and Sri Lanka are based on the results of a portfolio of projects as these countries started programming in 2009 under the MAP CBA programme. The case studies from Jamaica and Vanuatu are based on project-level results as programming started in 2011 under the SIDS CBA programme.

CASE STUDY 1

SGP CBA supports Implementation of the Jamaican National Water Security Policy

The Jamaican Government is adding provisions to its National Rainwater Harvesting Policy to include decentralized harvesting and storage of rainwater on a small scale at the household level. The CBA programme is supporting the implementation of the policy provisions through rain-water harvesting projects. The results from the pilot phase CBA projects, as well as those from current CBA projects, have been mainstreamed through national consultation processes and have informed policies at the national level. For example, the UN Country Team in Jamaica is up-scaling the innovations from the rain-water harvesting projects by including activities for replication in the UN Development Assistance Framework (UNDAF). The aim is to have a policy component on the use of rainwater for both consumption and agricultural use coming out of a suite of actions by all UN agencies.

The *'Construction of Water Harvesting Infrastructure and Improving the Community's Adaptive Capacity to Natural Hazards'* project is located in the southern part of Jamaica's Clarendon Parish, an area that is nationally recognized as a climate hot spot. Climate change-driven events such as increasing temperatures, droughts, irregular rainfall, torrential rains and flooding have impacted the soil quality, water availability and water quality in these areas. In turn, the agricultural production and sufficient arable land, which used to provide comfortable sources of livelihood, have been destroyed. The long-term climate forecasts in the region include the continual increases of temperatures, increases in the occurrences of heat waves and decreases of precipitation. As a response, the project was designed to strengthen the communities' resilience to climate change impacts, and its variability, through awareness-raising and capacity development activities. This is being realized through water security, natural resource management and the introduction of renewable energy in the communal catchment facility.



FIGURE 1: One of the refurbished community tanks with capacity of approximately 100,000 liters (58,000 gallons) has improved water availability for domestic purposes.



FIGURE 2: View of the earth pond which is used for irrigation purposes. Farmers have increased their crop planting due to the availability of the water contained in the pond which has significantly contributed to their income. Planting around the pond will help land stability.

Today, water availability and quality for irrigation, especially during incidences of floods and droughts, have been improved through the restoration of community water tanks (see Figure 1) and earth ponds (see Figure 2). These have led to increased production in agriculture and other land-based/cottage industries, which in turn resulted to food and water security as well as income generating activities. The solar-power system installed (the first of its kind in use at the parish) to produce electricity for the water pump has avoided the emission of carbon dioxide



FIGURE 3: View of solar panels to provide electricity for the pump. Co-financing has been provided by Environmental Foundation of Jamaica .

produced by the gas- or diesel-powered generators used previously(see Figure 3). Capacity-building activities included workshops that brought key policy makers, government agencies and the communities together in order to understand the policy processes and how to access and influence decision makers with project results. This activity was critical to enable local people to share their experiences and lessons with other groups, understand and have the confidence to present them at the national level, and to address future sustainable development issues.

With the successful CBA innovations in Jamaica, the programme is recognized at the national level for its capabilities in providing good practices to be included in policies. The National Coordinator has been invited to be a member of the UN team in Jamaica and to participate in the national development planning processes that includes the preparations for the Third National Communication, the formulation of a Climate Change Policy and the establishment of a Climate Change Department. Additionally, SGP's NGO partners have been invited by the Jamaican government to participate in stakeholder consultations for the planning of the new Climate Change Policy to ensure that community concerns on water issues are addressed in an integrated manner.

Through meetings and formal discussions with planners and other government entities, Clarendon Parish Development Committee Benevolent Society (CPDCBS), SGP's partner NGO, was able to advocate for the inclusion of climate change into Development Orders and Plans and the establishment of 'no build zones' to protect people from building in vulnerable areas. As a result to these activities, CPDCBS now sits on the Climate Change Advisory Board for Jamaica. Bringing local people into the process is perhaps the most significant way to bring local needs to the attention of decision-makers. With strong networking and good inter-agency coordination, the CBA programme in Jamaica has been able to take the lessons of relatively small community-led projects to contribute and influence national planning and policy processes.

At the national level, best practices from the projects are expected to be adopted by a national level project entitled "*Water Management for Sustainable Communities*". Based on experiences from CBA projects, as well as those implemented by other agencies, the new project was designed to use a comprehensive, integrated and holistic approach in addressing water scarcity in Jamaica. Water management techniques and innovative solutions used in the SGP projects such as rainwater and wastewater harvesting, water usage, and recycling of water will be replicated. This project can also serve as a model to be replicated regionally and globally for other Small Island Developing States (SIDS) with similar issues.

CASE STUDY 2

Support to mainstreaming CBA into Water Sector Policy Development in Vanuatu

“Building Community and Ecosystem Resilience to Climate Change Through Diversification of Water Supply Options and Improved Management of Water Resources and Infrastructure on Lelepa Island, Vanuatu” also known as the *Nuwae Project* is a good example of how one small CBA project can have local results and national impacts. Responding to the community’s concerns of water scarcity in the off-shore island, the project builds on the villagers’ knowledge and improved their water security through sustainable water management practices (rainwater harvesting), developing a ‘Water Security Plan’ and a ‘Water Use Committee’, and building a low-cost water security infrastructure. As a result, 37 water tanks with a capacity of 500 litres each were installed in homes with no water supply, 3 community cement tanks and harvesting structures have been repaired and one borehole constructed that successfully extracts potable water and yielding at 0.8 litres/second. Awareness-raising and capacity development trainings included participatory sessions on the climate change issues, the management and maintenance of household water infrastructures, community wells and surface water sources and sanitation workshop for the Water Use Committee on testing household water quality. Whilst being attended by everyone in the community including the youth members, 69% of the training participants were women.

The best practices generated by the project have been shared at the national level through the Vanuatu National NGO Forum for Climate Change Adaptation held in December 2012. The forum was facilitated by Oxfam to inform the planning of another National NGO Climate Change Adaptation project.



FIGURE 4: Before the project, an elderly Lelepa resident paddles 2km to the mainland to replenish fresh drinking water during a period of reduced rainfall. *Photo: Sam Obed.*

At a World Bank project consultation meeting in Vanuatu, successful CBA innovations were presented by the SGP CBA programme and its NGO partners (Live and Learn Environment and the Vanuatu Association of NGOs) to inform the new guidelines for World Bank-funded climate change initiatives planned for 2014. Lessons learned and experiences were also shared at the forums' government meetings and National Environment Day events. The successful synergies resulted in the NGO partners being requested to act as advisors and to sit on the Vanuatu National Advisory Board for Climate Change and the National Water Resources Advisory board. Additionally, the SGP NC has also been asked to participate in national sessions as a technical advisor on a new project by University of the South Pacific Regional Climate Change Centre that is funded by the European Union. Today, community interests are represented at national adaptation policy forums in Vanuatu.

At a local level, the project-developed Nuwae Water Use Committee (NWUC) has mainstreamed the CBA water resource management techniques into local governance. NWUC has also helped to fast-track the mobilization of additional resources needed to fully address salt-water intrusion into the Nuwae freshwater lens. NWUC continues to raise awareness on the Water Policy, explain the role of their governance body, show how they now manage and use water, and explain their process to fund-raise for on-going infrastructure maintenance. Many of these committee members also established small-scale entrepreneurial businesses during the project, such as ecotourism and sustainable fishing, and are sharing their experience on ways to improve local livelihoods. The SGP CBA project has been such a life-changing initiative. Before the project, residents had to paddle to the mainland during drought to obtain fresh drinking water (see Figure 4). Empowered to share their experiences with other small island groups, best practices from the project have been replicated by neighboring villages.

CASE STUDY 3

Mainstreaming CBA activities at the sub-national level in Cambodia through the Cambodian Community-Based Adaptation Programme (CCBAP)

In Cambodia, commune development plans are reviewed every five years and form the foundation of the subsequent district, provincial and national development plans. With this understanding, the SGP CBA programme aligned itself with the policy planning and financial processes. This case study elaborates on how it mainstreamed CBA in the policy planning and the budgetary processes.

Drawing from the experiences and lessons learned from the previous CBA projects, the current CBA programme was able to establish a partnership with UNDP and Swedish International Development Cooperation Agency (SIDA)¹⁰ after demonstrating how its projects could empower local communities by working at the commune level (clusters of villages) to address the increasing climate change stressors as outlined in Cambodia's NAPA. This partnership is called Cambodian Community-Based Adaptation Programme (CCBAP) which was established in 2010. CCBAP's objectives include improving necessary capacity within CSOs and local communities to implement community adaptation measures; mainstream adaptation to climate change at the commune level; and document good practices and share lessons learned to influence changes of policy and programme development. Currently, it has 46 CBA projects being implemented in 353 villages, 97 communes, 49 districts and 18 provinces.

¹⁰ SIDA is a government agency working on behalf of the Swedish parliament and government, with the mission to reduce poverty in the world



In December 2011, the CCBAP organized a national workshop on ‘Mainstreaming CBA into Sub-National Planning’ in Phnom Penh. There were 197 participants that included UN Agencies, commune councils, independent organisations, CSOs, government ministries and departments. The workshop aimed to (i) strengthen the adaptation linkages at the local level with sub-national and national level planning; (ii) share and review the process of mainstreaming climate change adaptation into the Commune Development Plan, the Commune Investment Plan as well as in the draft Vulnerability Reduction Assessment (VRA)¹¹ guide for practitioners; (iii) discuss the potential for nationalizing and up-scaling VRAs and mainstreaming tools; and (iv) seek inputs for the effective knowledge management of lessons learned and experiences from practitioners around the country.

As a result of the 2011 workshop, the CCBAP is now working closely with the NAPA follow-up project team and United Nations Capital Development Fund (UNCDF) in the review of the existing Commune Development Plan guidelines. Upon the review, CCBAP and UNCDF recognized the gaps in of not including CBA in the policy process and plans. After a meeting held with Ministry of Interior and Ministry of Planning to highlight the issue and request if they would review their planning process to include CBA in 2014, the ministries agreed and established a working group to guide the 2014 Commune Development Planning process. The SGP NC is a member of the working group and is currently developing the operational guidelines to include CBA. To ensure that the CBA solutions to the climate change impacts are clear to the target audience, the NC included different tools. These tools include the VRA methodology, a project participatory planning tool, a project selection criteria (aimed to ensure all stakeholders agree on the objectives and actions), and participatory monitoring and evaluation tools (aimed to contribute to capacity development and a high level of local ownership). Once the guidelines are finalized, the CCBAP will provide a ‘Training of Trainers’ to the ministries’ staff to build their capacity in undertaking VRA assessments in each commune.

To test the new guidelines, CCBAP is implementing four pilot projects that are funded by UNDP. The pilot projects serve as a small-scale laboratory to document field-tested experiences and challenges. The lessons learned and good practices are shared with various stakeholders to inform national planning and policy development. Successful results from the pilot projects have already been replicated in communes or sangkats in Cambodia.

In recognition of the importance of mainstreaming CBA into the commune development plans and realizing that it does not have sufficient funds for all of its aspects, the Government of Cambodia formed an Integration Working Group at the district level to meet budgetary requirements. NGOs and donors come together with the government and identify which organizations can fund and implement particular activities. While CCBAP has mainstreamed CBA into the policy planning process, it remains to be engaged with the National Climate Change Committee¹² to ensure that CBA innovations are included in the policy implementation phase. In 2014, the government is in the process of establishing a strategy and action plan on climate change and is being reviewed by stakeholders. Additionally, a specific action plan is being developed to incorporate the impacts of climate change on the agricultural sector.

¹¹ The Vulnerability Reduction Assessment (VRA) is a methodology piloted by the pilot CBA programme implemented by UNDP and executed on the ground by SGP. It bases its assessments on the risks and threats posed to communities and are based on communities’ perceptions on their vulnerability from climate change impacts.

¹² The National Climate Change Committee is consisted of representatives from all line ministries and chaired by the Prime Minister.

CASE STUDY 4

Mainstreaming CBA at the national level in Sri Lanka

Over the past five years, Sri Lanka has been grappling with increasing climate change-induced disasters such as floods, drought and landslides. With over 80% of the population relying on agriculture for subsistence and livelihoods, these disasters have a serious impact on the economy and the existence of poor rural communities. Therefore, a key output of the Sri Lanka CBA programme was to mainstream CBA into priority sectors in order to influence national policy and planning.

Upon reviewing the Sri Lanka's NAPA, the SGP programme was able to determine the gaps and opportunities in the priority adaptation sectors and where its projects could pilot key CBA innovations and inform the national development plans and policies. This allowed the team to identify CBA's niche. Consultations with experts from the government, academia and civil society were held and resulted in the following: i.) the identification of the climate change- vulnerable areas in the country where the projects were located, ii.) the development of easily implementable set of activities that deliver tangible outputs, and iii.) the alignment of the CBA programme with government's adaptation priorities and environmental plans. With the technical assistance provided by the academic community, the CBA programme reviewed the prevailing agro-ecological conditions and the recent weather patterns and climate change-induced hazardous events. This exercise enabled the programme to pinpoint the most critical pockets of 'high risk' communities and ecosystems as well as to identify the entry points into the national planning framework. All these factors contributed to the framework for Sri Lanka's CCPS.

After a call for proposals was initiated in the identified geographic areas and reviewing the 60+ proposals that were received, five pilot projects were designed. These projects focused on the most sensitive thematic areas including: sustainable land management, water resource management and coastal protection. The projects aimed at protecting the ecosystems and improving agricultural production. These projects have led to increased food and water security in the project sites.

To expand the awareness-raising initiatives of the programme, the SGP CBA team implemented a 'knowledge management' project to provide on-going technical support, monitoring and documentation of lessons in the five pilot project sites. This project was supported by a climatologist from the Department of Agriculture and a crop scientist from the University of Peradeniya who helped build close partnerships between the communities, the NGOs, the academia and the national stakeholders. The academics in the team ensured the scientific rigor of data collection and analysis and strengthened the links between climate change science and local knowledge.

The CBA programme established partnerships from the onset of the inception and continued these collaborations throughout the project cycle to ensure that its mainstreaming efforts were strengthened. Synergies with the academic and research community led to the mainstreaming of CBA issues within teaching and research programs and supported baseline assessments, preparations of monitoring and evaluation (M&E) reports and case studies. Partnerships with the government resulted in financial and technical support at the project level and the development of adaptation policies. Additionally, working with the NGOs located in the most vulnerable districts ensured its capacity development is directed to the most vulnerable and incapable communities.

In January of 2013, a 'Knowledge Management and Lesson Sharing' Symposium was organized by the programme. It was widely attended by participants from academia, independent researchers, government agencies, national and international NGOs and CSOs from across the country. With a strong focus on the rural livelihood sectors impacted by climate change, the forum's objectives were to raise awareness on climate change at all scales and to provide a platform for knowledge-sharing. In addition to disseminating the lessons learned from the projects, the forum was opened to other communities in Sri Lanka to share their experiences, challenges and knowledge. The



FIGURE 5: Professor Sarath Kotagama outlines the critical need for ecological conservation and reducing environmental stress in order to adapt to future climate risk.



FIGURE 6: The Minister for Disaster Management, Hon. Mahinda Amaraweera and Mr. B.M.U.D Basnayake, Secretary to the Minister of Environment and Renewable Energy, discussing a point during the roundtable government feedback session at the close of the workshop.

symposium enabled linkages between a number of CSOs and academic/government counterparts that resulted in cross-sectoral learning, problem solving and obtaining expert and government support to further develop and improve the models (see Figure 5 and 6).

Other results of Sri Lanka's efforts in mainstreaming CBA best practices relate to the development of a Sri Lanka's first ever large-scale climate adaptation project in early 2013. Successful adaptation practices from CBA's Serupitiya and Mahawa projects, addressing issues of land degradation were integrated into this large scale project. The national level adaptation project is located in the same geographical area as the CBA project, covering rain-fed farm lands in the entire Walapane Division. The project is implemented by the Ministry of Environment with technical support from World Food Programme and UNDP with an 8 million-funding (USD) from the Adaptation Fund. With the SGP providing technical support during the planning phases, the team ensured that the project adopts the processes used for soil and land conservation such as land surveys and cash-for-work.

Other lessons include cooperation between farmer organizations and government technical departments, farmer organizations developing financial plans and mobilizing resources for on-going reservoir maintenance, local procurement and management of rehabilitation services, community involvement and protection of catchment lands. The VRA methodology used in the five pilot projects has also been adopted by the large adaptation project.

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GEF SMALL GRANTS PROGRAMME

Established in 1992, the GEF Small Grants Programme (SGP) works directly with communities around the world to address environmental issues. With grants of up to US\$ 50,000, SGP has supported over 17,000 community-based projects to address biodiversity conservation, climate change mitigation and adaptation, land degradation, chemical pollutants and protection of international waters, – while generating sustainable livelihoods.

To date, climate change represents 22% of the portfolio with 3,800 projects on climate change mitigation and adaptation. SGP's mitigation portfolio focuses on Renewable Energy, Carbon Storage, Energy Efficiency, Sustainable Transport and Awareness Raising.

To increase resilience of communities to climate change, SGP is working in 42 countries, of which 38 are Small Island Developing States (SIDS), on adaptation measures. This portfolio is funded through a partnership with Australian Aid and focuses on Agriculture, Coastal Zone Management, Land Degradation and Water Resource Management.



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