Community-Based Adaptation Toolkit

Digital Toolkit – Version 1.0 – July 2010

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This Toolkit has been produced by CARE International, with technical input by the International Institute for Sustainable Development (IISD). CARE acknowledges the critical role played by IISD in all stages of Toolkit development.

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Welcome to the Community-Based Adaptation Toolkit

Climate change poses the greatest direct threat in history to CARE's vision of a world of hope, tolerance and social justice, where poverty has been overcome and people live in dignity and security. The injustice of climate change is that its negative impacts fall disproportionately on poor communities, who have contributed least to its causes. Within poor communities, women and marginalised groups tend to be particularly vulnerable because they often lack the resources, power and opportunities to adapt.

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Adaptation is now recognised as an essential part of the global response to climate change. Based on decades of experience, development actors are increasingly promoting a "community-based" approach that recognises the unique risks faced by poor and marginalised people, as well as their essential roles in planning, implementing, monitoring & evaluating (M&E) solutions. This Toolkit responds to practitioner demands for information, tools and guidance to facilitate the design, implementation and management of Community-Based Adaptation (CBA) projects.

The CBA Toolkit offers a practical "how-to" guide for project teams in completing the project cycle for CBA projects. It includes step-by-step guidance and recommended tools for all stages of the project cycle, along with links to useful resources and checklists for key project documents. It also includes CBA Project Standards to help ensure high quality analysis, design, implementation and information & knowledge management (including monitoring & evaluation) in your CBA project.

This interactive Toolkit is designed to be flexible. Users can tailor the process to meet their needs, priorities and available resources, including time. See About the Toolkit to discover how the CBA Toolkit can work for you.

The CBA Toolkit is the result of a collaborative effort by CARE International and the International Institute for Sustainable Development (IISD). We are adopting a "learning by doing" approach – this first version will be tested and refined over time as we build further knowledge in CBA and learn from the experience of others.

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[Open **entire toolkit -** www.careclimatechange.org/files/toolkit/CARE_CBA_Toolkit.pdf]

About the Toolkit

This Toolkit is designed to guide users through the process of developing and implementing Community-Based Adaptation (CBA) projects. It is organised around the following, simplified stages in the project cycle: analysis, design and implementation. It also provides guidance on information & knowledge management, including monitoring & evaluation. This is the fourth component of the project cycle, which occurs throughout the other three stages (see CBA Project Cycle for further details). For each of these stages, step-by-step guidance is provided, along with recommended tools and resources to support the process.

Angie Dazé©CARE

This Toolkit includes CBA Project Standards**,** which can be used to enhance the quality of project processes and outcomes. Project teams should strive to meet or exceed these Standards in all three stages of the project cycle. Following the step-by-step guidance will enable you to achieve the Standards in the analysis, design, implementation and information & knowledge management of your CBA project. The Project Document Checklists provide further support.

This section also offers guidance on when to use the Toolkit, and helps you to understand what it will and won't do.

The links across the top of each page allow you to navigate between the different sections of the Toolkit. The side navigation bar indicates which section you are in and allows you to move through its different parts. Quick Links take you directly to tools, resources and checklists. At any time, you can return to a previous location by clicking your browser's *back* button.

We have designed the Toolkit in this interactive format so that it can be used on your computer. Doing so will reduce paper, ink and energy consumption. However, it is possible to print the entire Toolkit or specific sections.

[Open **About the Toolkit** section - www.careclimatechange.org/files/toolkit/About_the_Toolkit.pdf]

What do we mean by Community-Based Adaptation?

Community-Based Adaptation (CBA) projects are interventions whose primary objective is to improve the capacity of local communities to adapt to climate change. From CARE's perspective, effective CBA requires an integrated approach that combines traditional knowledge with innovative strategies that not only address current vulnerabilities, but also build the resilience of people to face new and dynamic challenges. It also aims to protect and sustain the ecosystems that people depend on for their livelihoods.

To effectively build adaptive capacity, the CBA process should incorporate four inter-related strategies:

- Promotion of climate-resilient livelihoods, including income diversification and capacity building for planning and improved risk management;
- Disaster risk reduction to reduce the impact of hazards, particularly on vulnerable households and individuals;

- Capacity development for local civil society and governmental institutions so they can provide better support to communities, households and individuals in their adaptation efforts; and
- Advocacy, social mobilisation and empowerment to address the underlying causes of vulnerability.

Recognising the importance of an enabling environment for effective CBA, CARE's approach is not limited to promoting change at the community level. We also aim to inform and influence regional, national and international policies, promoting governance that is responsive, inclusive and equitable. This process involves evidence-based advocacy, as well as constructive engagement in key decision-making processes at all levels.

Another key element of our approach is the recognition that vulnerability to climate change differs within communities and even within households, based on roles, power and access to/control over resources. This is the basis for our focus on addressing the underlying causes of vulnerability as an integral part of CBA. Our adaptation projects aim to address issues such as gender inequality, poor governance, or limited access to basic services that constrain the capacity of certain people to adapt to climate change. We aim to empower the most vulnerable people, including women and marginalised groups, to secure their livelihoods, claim their rights and fulfil their aspirations.

It should be noted that in some parts of the world, there is significant uncertainty around climate change predictions (for example, we do not know if the Sahel will receive slightly more, or slightly less rain in coming decades). When this is the case, adaptation should focus on "no regrets" activities that will increase people's capacity to deal with a range of likely climate change scenarios.

When should I use this Toolkit?

This Toolkit can be used throughout the project cycle in for CBA projects, beginning with the analysis stage. The design of a CBA project requires that the analysis addresses a broad range of issues, some of which may be new to project teams. The Toolkit guides the analysis process and suggests tools to help in planning, undertaking, synthesising and documenting the analysis. The other stages build on this analysis, ensuring that the project design, implementation and information & knowledge management respond to priority adaptation issues, and that they achieve high quality standards, as outlined in the CBA Project Standards**.**

What can this Toolkit help me to do?

This Toolkit is designed to:

- Help you to identify areas, communities and groups that are vulnerable to climate change.
- Guide you in analysing vulnerability and adaptive capacity of your project target groups, based on both scientific information and local knowledge.
- Enable you to identify priority adaptation issues in the target area for your project, and to develop strategies to address these issues at household/individual, local and national levels.
- Provide guidance on managing information & knowledge within your project, including the design of your monitoring & evaluation system.
- Recommend tools and resources to aid in the above processes.

What won't this Toolkit help me do?

The CBA Toolkit will not:

- Provide a specific formula for CBA projects. Vulnerability to climate change is context-specific, and CBA initiatives must be tailored to meet the needs of impact groups within specific social and ecological settings.
- Help you to design programmes. This Toolkit is specifically designed for adaptation projects.
- Help you to design top-down adaptation initiatives.
- Help you to integrate adaptation into large-scale development plans, programmes or organisational strategies.
- Help you integrate climate change into other kinds of projects. For more information on this, please see CARE's **Toolkit for Integrating Adaptation into Development Projects.** (www.careclimatechange.org/toolkits/integration)

The Basics of Community-Based Adaptation

This section is designed to provide you with the basic knowledge you need to use this Toolkit, including key concepts, characteristics of adaptation and how CBA differs from and complements development. It also provides you with a framework for Community-Based Adaptation (CBA).

The recommended tools and resources provided throughout the step-by-step guidance will help you to build on this basic knowledge as you move through the CBA project cycle.

[Open **CBA Basics** section – www.careclimatechange.org/files/toolkit/Basics_of_CBA.pdf]

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Key Concepts

Climate Change

The Intergovernmental Panel on Climate Change (IPCC)[1] defines climate change as:

> *Any change in climate over time, whether due to natural variability or as a result of human activity.*[2]

When we discuss climate change in this Toolkit, we are referring to observed and projected increases in average global temperature as well as associated impacts (e.g. an increase in the frequency or intensity of extreme weather; melting icebergs, glaciers and permafrost; sea-level rise; and changes in the timing or amount of precipitation).

Vulnerability to Climate Change

Vulnerability to climate change has been defined as:

> *The degree to which a system [natural or human} is susceptible to, or unable to cope with, adverse effects of climate change, including climate variability and extremes. Vulnerability is a function of the character, magnitude and rate of climate variation to which a system is exposed, its sensitivity and its adaptive capacity.*[3]

In the context of this Toolkit, the systems we are referring to are primarily vulnerable communities. Since communities are not homogeneous, particular households or individuals within communities may have differing degrees of vulnerability.

The importance of biophysical vulnerability is acknowledged as well. Many poor people are directly dependent on ecosystems for their livelihoods.[4] Indeed, biodiversity is the foundation and mainstay of agriculture, forests and fisheries. Natural forests, freshwater and marine ecosystems maintain a wide range of ecosystem goods and services, including the provisioning and regulation of water flows and quality, timber and fisheries. The "poorest of the poor" are, often, especially dependent on these goods and services.[5] For these groups, biophysical vulnerability means human and/or livelihood vulnerability.

Exposure to climate variation is primarily a function of geography. For example, coastal communities will have higher exposure to sea level rise and cyclones, while communities in semi-arid areas may be most exposed to drought.

Sensitivity is the degree to which a given community or ecosystem is affected by climatic stresses. For example, a community dependent on rain-fed agriculture is much more sensitive to changing rainfall patterns than one where mining is the dominant livelihood. Likewise, a fragile, arid or semi-arid ecosystem will be more sensitive than a tropical one to a decrease in rainfall, due to the subsequent impact on water flows.

Adaptive Capacity

Adaptive capacity is defined as:

> *The ability of a system [human or natural] to adjust to climate change (including climate variability and extremes) to moderate potential damages, to take advantage of opportunities, or to cope with the consequences.*[6]

One of the most important factors shaping the adaptive capacity of individuals, households and communities is their access to and control over natural, human, social, physical and financial resources. Examples of resources affecting adaptive capacity include:

Human	Knowledge of climate risks, conservation agriculture skills, good health to enable labour
Social	Women's savings and loans groups, farmer-based organisations, traditional welfare and social support institutions
Physical	Irrigation infrastructure, seed and grain storage facilities
Natural	Reliable water sources, productive land, vegetation and trees
Financial	Micro-insurance, diversified income sources

In general, the world's poorest people often have limited access to those livelihood resources that would facilitate adaptation. Access to and control over these resources also varies within countries, communities and even households. It is influenced by external factors such as policies, institutions and power structures.[7]

For instance, women are often particularly vulnerable to the impacts of climate change due to their limited access to information, resources and services. Similarly, pastoralist men may find it easier than women to adapt to changing rainfall patterns because their culture allows for greater mobility amongst men. In other societies, more men than women may survive a flood, as many poor women do not know how to swim. However, it is important to note that adaptive capacity can vary over time based on changing conditions, and may differ in relation to particular hazards.

The approach to integration of climate change is grounded in the identification of vulnerable groups and targeting of adaptation strategies depending on both the human and natural ecosystem context.

Resilience

Resilience can be defined as:

> *The ability of a system [human or natural] to resist, absorb and recover from the effects of hazards in a timely and efficient manner, preserving or restoring its essential basic structures, functions and identity.*[8]

Resilience is a familiar concept in the context of disaster risk reduction (DRR), and is increasingly being discussed in the realm of adaptation. A resilient community is well-placed to manage hazards, to minimise their effects and/or to recover quickly from any negative impacts, resulting in a similar or improved state as compared to before the hazard occurred. There are strong linkages between resilience and adaptive capacity; consequently, resilience also varies greatly for different groups within a community.

Hazard

In the context of disaster risk reduction, a hazard is defined as:

> *A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage.*[9]

When we discuss hazards in the context of this Toolkit, we are referring both to shocks, such as floods (rapid onset), and to stresses, such as droughts or changing rainfall patterns (slow onset).

It is important to distinguish between the hazard (e.g. flood) and the effects of the hazard (e.g. death of livestock.) Some effects, such as food shortages, may be the result of a combination of hazards, including climate shocks and stresses, declining soil fertility and insecure access to markets. To effectively analyse vulnerability, we must understand the dynamic nature, causes and interactions of hazards.

Sustainable Livelihoods

This Toolkit focuses on the analysis and integration of climate change adaptation from the perspective of the sustainable livelihoods approach (SLA).[10]

Livelihoods comprise the capabilities, assets and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from external shocks and stresses, and maintain or enhance its capabilities and assets now and in the future. Five core asset categories are typically identified in the SLA: Human, social, physical, natural and financial.

The approach helps improve understanding of the dynamic nature of livelihoods and what influences them. It builds on people's strengths and opportunities to support existing livelihood strategies. It examines the influence of policies and institutions on livelihood options and highlights the need for policies that address the priorities of the poor. It encourages public-private partnerships and aims for sustainability. From our perspective, all these are important elements of effective adaptation to climate change.[11]

Adaptation to Climate Change

Adaptation to climate change is defined as:

> *An adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities.*[12]

We see adaptation as a process focused on reducing vulnerability, which usually involves building adaptive capacity, particularly of the most vulnerable people. In some cases, it also involves reducing exposure or sensitivity to climate change impacts. In fact, adaptation is more than reducing vulnerability; it is about making sure that development initiatives don't inadvertently increase vulnerability.

Since reducing vulnerability is the foundation of adaptation, it calls for a detailed understanding of who is vulnerable and why. This involves both analysis of current exposure to climate shocks and stresses, and model-based analysis of future climate impacts. With this information, appropriate adaptation strategies can be designed and implemented. Monitoring and evaluating the effectiveness of activities and outputs, as well as sharing knowledge and lessons learnt, are also critical components of the adaptation process.

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[1]The Intergovernmental Panel on Climate Change (IPCC) is a body set up to provide scientific, technical and socio-economic information in a policy-relevant but policy neutral way to decision makers.

[2]IPCC, 2007. *Climate Change 2007: Impacts, Adaptation and Vulnerability. Contribution of Working Group II to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change, Annex I*., M.L. Parry, O.F. Canziani, J.P. Palutikof, P.J. van der Linden and C.E. Hanson, Eds., Cambridge University Press, Cambridge, UK, 976pp.

[3]Intergovernmental Panel on Climate Change (IPCC) Working Group 2, 2001. *Third Assessment Report, Annex B: Glossary of Terms*.

[4]Task Force on Climate Change, Vulnerable Communities and Adaptation (IUCN, SEI and IISD), 2003. Livelihoods and Climate Change. Combining Disaster Risk Reduction, Natural Resource Management and Climate Change adaptation in a new approach to the reduction of vulnerability and poverty. International Institute for Sustainable Development, Canada.

[5]World Bank 2009. Convenient Solutions to an Inconvenient Truth: Ecosystem-based Approaches to Climate Change. Environment Department, World Bank.

[6]Intergovernmental Panel on Climate Change (IPCC) Working Group 2, 2001. *Third Assessment Report, Annex B: Glossary of Terms*.

[7]In some livelihoods frameworks, political capital is recognized as a sixth category of resources.

[8]Adapted from: UNISDR, 2009. Terminology: Basic terms of disaster risk reduction and IISD et al, 2007. Community-based Risk Screening – Adaptation and Livelihoods (CRiSTAL) User's Manual, Version 3.0.

[9]UNISDR, 2009. Terminology: Basic terms of disaster risk reduction.

[10]Department for International Development, UK (DFID). 2001. *Sustainable Livelihoods Guidance Sheet*. Available at http://www.nssd.net/pdf/sectiont.pdf.

[11]Scoones, Ian (2005): The Sustainable Rural Livelihoods: A Framework for Analysis. Institute for Development Studies, University of Sussex. England. Available at http://www.sarpn.org.za/documents/d0001493/P1833-Sustainable-rural-livelihoods_IDS-paper72.pdf.

[13]IPCC, 2007: *Climate Change 2007: Impacts, Adaptation and Vulnerability. Contribution of Working Group II to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change, Annex I.,* M.L. Parry, O.F. Canziani, J.P. Palutikof, P.J. van der Linden and C.E. Hanson, Eds., Cambridge University Press, Cambridge, UK, 976pp.

What's New about Adaptation?

There is some debate in the development community as to whether adaptation actually represents anything "new." While it is true that many development projects increase people's adaptive capacity, it is also true that some make people more vulnerable to the impacts of climate change.

In CARE's view, adaptation to climate change is new because, when implemented properly, it:

- Is based on a holistic analysis of people's vulnerability to climate change, examining both current and projected climate risks;
- Has the explicit goal of reducing vulnerability to the impacts of climate change;
- Uses scientific climate information as well as local/traditional climate knowledge for planning;
- Integrates disaster risk management as a fundamental part of the approach;
- Adopts a long-term vision by planning and implementing interventions that enhance resilience to current climate variability, while preparing for anticipated longer-term climatic changes;
- Uses climate risk screening to ensure project activities are resilient to climate impacts; and
- Recognises that context, needs and priorities are dynamic, and therefore incorporates flexibility to manage this.

A Framework for Community-Based Adaptation

CARE has developed a CBA Framework which presents a range of "enabling factors" that must be in place at household/individual, community/local and national levels in order for effective community-based adaptation to take place. These enabling factors are linked to the four key elements of CBA:

- Promotion of climate-resilient livelihoods strategies;
- Disaster risk reduction strategies to reduce the impact of hazards;
- Capacity development for local civil society and governmental institutions; and
- Advocacy, social mobilisation and empowerment to address the underlying causes of vulnerability.

The CBA Framework (www.careclimatechange.org/files/toolkit/CARE_CBA_Framework.pdf) provides a guide to project teams in identifying adaptation strategies at different levels. This is not to suggest that any one project would be able to achieve all of these enabling factors. Rather, the framework represents the range of different factors that CBA projects could aim to influence in order to build adaptive capacity of target populations.

Using the Toolkit

The CBA Toolkit is designed to be flexible so that users can tailor it to specific needs, priorities and to the time and resources available to use it. It provides detailed guidance to follow the CBA Project Cycle, supported by project standards and checklists for preparation of key project documents.

Nathan Bolster ©CARE

The Community-Based Adaptation (CBA) Project Cycle

The Toolkit is organised around the CBA Project Cycle. The project cycle is a way of illustrating the main stages in project development, the links between them, and their sequencing. The detailed structure of the project cycle varies between organisations, but the main stages are usually very similar, although they might be named differently. In this Toolkit, we use the following three stages in the project cycle: analysis, design and implementation. The fourth component of the CBA Project Cycle is information & knowledge management, which occurs throughout the other three (please see CBA Project Cycle for further details). Guidance on monitoring & evaluation (M&E) can be found in the information & knowledge management sections.

Following the CBA project cycle requires consideration of new issues that may not be considered in a typical development project cycle. The Step-by-Step Guidance on the different stages of the project cycle guides you through the steps you'll need to take in the CBA project cycle. This includes links to recommended tools and resources that you can use to understand the challenges posed by climate change, identify strategies to address the challenges and effectively implement your CBA project. Links are also provided for information & knowledge management (including monitoring and evaluation) tools and resources.

If you don't have the time or the resources to follow the detailed guidance, you can use the Project Document Checklists for typical documents produced as part of the project cycle. These helpful tools summarise the detailed guidance into easy-to-use checklists for concept papers, proposals, implementation plans, progress reports and project budgets for CBA projects. These are meant only as guides – the documents must be tailored to the specific needs and demands of the donor and other stakeholders you are working with.

[Open **Using the Toolkit** section – www.careclimatechange.org/files/toolkit/Using_the_Toolkit.pdf]

Using the CBA Project Standards

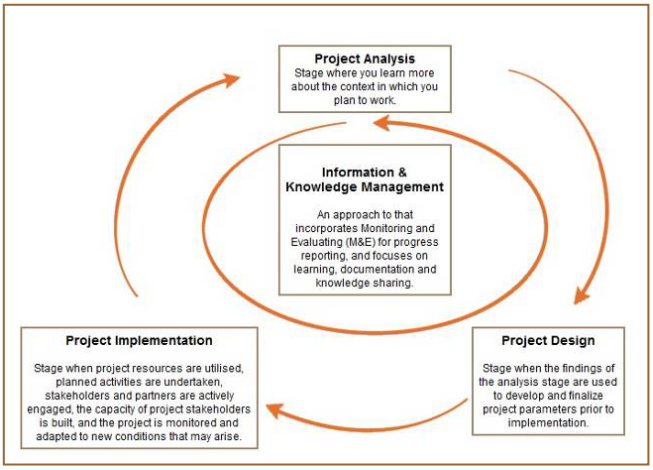
To ensure your project fully qualifies as an actual CBA project of the highest standard, use the CBA Project Standards to evaluate the process and outputs of each stage of the project cycle. These standards represent the key criteria that must be achieved for CBA projects to be effective and sustainable. They are designed to be used alongside the step-by-step guidance, providing a quality assurance check to verify that you are demonstrating best practices in your CBA work.

The CBA Project Cycle

Project Analysis
Stage where you learn more about the context in which you plan to work

Project Design
Stage when the findings of the analysis stage are used to develop and finalize project parameters prior to implementation.

Project Implementation
Stage when project resources are utilised, stakeholders and partners are actively engaged in implementing planned activities, the capacity of project stakeholders is built, and the project is monitored and adapted to new conditions that may arise.



Information & Knowledge Management
An approach that incorporates monitoring & evaluation (M&E) for progress reporting, and focuses on learning, documentation and knowledge sharing.

[Open **CBA Project Cycle** section – www.careclimatechange.org/files/toolkit/CBA_Project_Cycle.pdf]

Analysis in the CBA Project Cycle

The purpose of the analysis stage (also sometimes called project appraisal, holistic appraisal, or analysis and synthesis in CARE's project design framework) is to learn more about the context in which you plan to work. It involves collecting, organising and synthesising information on the project context (operating environment) in order to inform your project design. This includes collecting and analysing information on the social, political, economic and environmental factors that influence lives and livelihoods. It is important to understand the setting in which livelihoods are conducted in order to grasp the nature of the problems, needs and opportunities, and subsequently design appropriate responses. This stage commonly involves analyses such as: needs assessment, institutional assessment, stakeholder analysis, gender analysis, rights assessment, livelihoods analysis, environmental analysis and causal/problem analysis.

For CBA projects, this stage also provides an opportunity for project planners to gather crucial information on the project's climate context, including weather and rainfall patterns, as well as the climate risks affecting the project area and local communities. Other vital information to collect concerns the local communities' current climate change vulnerability and adaptive capacity. It is also the time to consider existing coping strategies and how these could evolve into longer-term adaptation strategies. This will help to better understand opportunities and barriers for adaptation by different groups.

The key steps in the analysis phase are:

STEP 1: **Defining the analysis process**
STEP 2: **Analysing the climate context**
STEP 3: **Analysing climate and disaster risks**
STEP 4: **Analysing the institutional and policy context related to climate change**
STEP 5: **Analysing the underlying causes of vulnerability**
STEP 6: **Synthesising, validating and documenting the analysis**

Design in the CBA Project Cycle

Project design (also called focused strategy in **CARE's Project Design Handbook** [www.careclimatechange.org/files/toolkit/CARE_Project_Design.pdf]) is the stage when the findings of the analysis stage can be used to develop and finalise project parameters prior to implementation. This is the stage when key decisions on the project are made, including its scope, what results it aims to achieve, and the strategies that will be used to achieve the identified results.

One of the key things that must be kept in mind in designing CBA projects is *flexibility*. The exact nature of climate change impacts during the timeframe of a typical project is uncertain. In order for the project team and stakeholders to manage this uncertainty, project designs must be flexible enough to respond to a changing context and new priorities that may emerge over the life of the project. Adaptation must be viewed as a process of managing uncertainty and adjusting to changes over time. This may require CBA project designs that are more process-oriented and less rigid than regular development projects. It also requires careful consideration of risks and assumptions within the project design.

It must be noted that people implementing the project are not necessarily those who designed it, so effective documentation of the design process, including key decisions and rationale, is important to facilitate better implementation.

The key steps in the design phase are:

STEP 1: **Defining the design process**
STEP 2: **Defining the scope of the project**
STEP 3: **Identifying adaptation strategies at individual, household and community level**
STEP 4: **Creating an enabling environment for adaptation**
STEP 5: **Analysing assumptions and identifying risk mitigation strategies**
STEP 6: **Smart budgeting**

Implementation in the CBA Project Cycle

After completion of the project analysis and design, project teams can start the implementation phase. This is the phase when project resources are utilised, stakeholders and partners are actively engaged in undertaking planned activities, the capacity of project stakeholders is built, and the project is monitored and adapted to new conditions that may arise.

The key steps in the implementation phase are:

STEP 1: **Planning for effective implementation**
STEP 2: **Ensuring effective partnerships**
STEP 3: **Developing capacity of staff and partners**
STEP 4: **Monitoring context and adjusting project approach**
STEP 5: **Ensuring sensitivity to gender and diversity in project operations**
STEP 6: **Emergency preparedness**

Information & Knowledge Management in the CBA Project Cycle

Project-related information is the data or facts that may be organised to describe a certain situation or condition in a target area. Knowledge can be defined as the comprehension and understanding of a situation or condition that results from acquiring and organising information. Knowledge is the application of information; the interpretation and application of information to increase understanding or undertake a task.

Information management means identifying what information is needed, who has the information, how we can capture and store the information, and finding the best method for its distribution and use. It involves seeing information as a strategic resource which can be used and reused to meet our objectives, improve our decision making processes, learn and create new knowledge.[1] Similarly, knowledge management refers to the practice of comprehensively gathering, organising, sharing and analysing knowledge to strengthen operational efficiency.[2] Because CBA is a relatively new area, it is critical that the I&KM system put in place mechanisms to facilitate the conversion of information to knowledge.

Information & knowledge management in development projects is often equated to the monitoring & evaluation (M&E) that we do for the purposes of donor reporting. In this Toolkit, we promote a broader approach to information & knowledge management, which incorporates M&E for progress reporting, but also focuses on learning, documentation and knowledge sharing between project partners.

M&E of CBA projects requires us to consider indicators of achievement that may be new or different from the types of indicators we typically use to monitor & evaluate development projects. The nature of adaptation as a process, not an end, can make the M&E of CBA projects more complex than for development projects. A further challenge is presented by the medium- to long-term timeline of climate change. This means that it is difficult to evaluate whether people are adapting to climate change, particularly on the timeline of typical CBA projects. Therefore, M&E systems in CBA projects will typically assess changes in adaptive capacity of target groups, using indicators that capture different elements of this capacity, as well as improvements in the enabling environment for adaptation at the local level. They may also assess how effectively people are managing current climate variability, as an indicator of capacity to manage longer-term changes in climate. CBA indicators are often more process-oriented than the usual project indicators.

Given the limited experience with CBA projects, we place significant emphasis on information & knowledge management throughout the project cycle. The main objective behind this approach is to create an opportunity to build knowledge that can be disseminated widely to build capacity of a wide range of stakeholders engaged in adaptation beyond the scope of the project.

The key steps in the information & knowledge management phase are:

STEP 1: **Developing an Information & Knowledge Management (I&KM) System**
STEP 2: **Monitoring and evaluation of project achievements**
STEP 3: **Documentation and dissemination**

[1]Project Management Information Systems: Guidelines for Planning, Implementing and Managing a DME Project Information System (2004), CARE International.

[2]The Terminology of Knowledge for Sustainable Development: Information, Knowledge, collaboration and Communications (An IISD Knowledge Communications Practice Note) (2005), IISD

CBA Project Standards

Community-based adaptation (CBA) is a new area for many development practitioners. CBA involves consideration of new and sometimes complex issues. It involves an integrated and often cross-sectoral approach, requiring different expertise and new partnerships. It works at multiple levels to achieve concrete improvements in the adaptive capacity of people and communities, and to create an enabling policy and institutional environment for local adaptation. It is grounded in good development practices, including participation of stakeholders, reflective practice and effective documentation and dissemination of results and lessons.

Brian Atkinson©CARE

To guide project teams in achieving the highest quality in the analysis, design, implementation and information & knowledge management of CBA projects, we have developed the CBA Project Standards. These standards represent the key criteria that must be achieved to ensure the quality of process and outputs of different stages of the project cycle. Most importantly, the achievement of these standards will help to ensure that CBA projects make a sustainable contribution to the adaptive capacity of project stakeholders.

[Open **CBA Project Standards** section – www.careclimatechange.org/files/toolkit/CBA_Project_Standards.pdf]

Community-Based Adaptation (CBA) Project Analysis Standards

Project teams should strive to achieve these standards to ensure a high quality process, and associated outputs, in the Analysis stage of the CBA project cycle. Please see the Step-by-Step Guidance on Analysis for guidance, tools and resources which support the achievement of the standards.

Conducting a high quality CBA analysis requires:	• An analysis team with expertise in climate change and vulnerability analysis. • Meaningful and proactive involvement of a range of stakeholders, including men and women from target communities, partner organisations, governments and CARE staff. • Validation of results and conclusions by stakeholders. • Documentation of validated conclusions and recommended actions, particularly with respect to the priority issues for adaptation.
A high quality CBA analysis should result in a better understanding of:	• Current climate hazards (events and conditions) affecting the target area. • Projected changes in climate hazards (events and changing conditions). • Impact of current and future climate hazards (both events and changing conditions) on livelihoods of different groups and on the ecosystems upon which they depend.

	• Current coping strategies, including their effectiveness and sustainability in the context of future climate scenarios. • Existing (local/regional/national) government policies and programmes that may represent opportunities or barriers for adaptation. • Potential project partners and opponents. • Economic sectors and livelihood groups that are particularly vulnerable to climate change. • Social groups that are particularly vulnerable to climate change. • Differences in vulnerability and capacity based on gender, marginalisation, age and other factors which may exacerbate vulnerability. • Priority adaptation issues at different decision-making levels (in terms of both urgency and importance). • Recommendations for the effective future design, implementation and information & knowledge management of the project.

Community-Based Adaptation (CBA) Project Design Standards

Project teams should strive to achieve these standards to ensure a high quality process, and associated outputs, in the Design stage of the CBA project cycle. Please see the Step-by-Step Guidance on Design for guidance, tools and resources which support the achievement of the standards.

Ensuring a high quality CBA project design process requires:	• Meaningful and proactive involvement of all stakeholders (including target communities, partner organisations, governments and CARE staff) in project design. • Representation of vulnerable men and women who effectively participate in discussions and influence the project design. • Input from scientific and technical experts in relevant disciplines (this may include: climate scientists, gender and diversity experts, social scientists, agronomists, water specialists, economists, natural scientists, etc.). • Clear and logical responses to priority adaptation issues identified in Analysis stage. • Documentation of the project design process, including the rationale behind key decisions and how stakeholders were involved, to facilitate effective project implementation and information & knowledge management.
A high quality CBA project design should incorporate:	• A clear and achievable goal for increasing adaptive capacity of target groups to climate change. • Target communities, households and individuals that have been identified as particularly vulnerable to climate change. • An approach that takes into account differential vulnerability based on gender and marginalisation, as well as other relevant social, political and economic differences.

	• An integrated approach to adaptation, with objectives that clearly address priority adaptation issues at household/individual, local and national levels. • The promotion of climate-resilient livelihoods strategies for target groups. • Disaster risk reduction strategies at household, community and national levels. • Capacity development for local stakeholders to plan and implement adaptation actions. • Advocacy activities to create an enabling environment for adaptation (at local, regional and national levels, whenever feasible). • Strategies to address the underlying causes of vulnerability, including gender inequality, marginalisation and poor governance. • Specific strategies to empower particularly vulnerable social or economic groups. • Appropriate scientific and technical expertise to effectively implement the project activities. • Specific strategies for accessing and drawing upon local and global scientific climate information and integrating it with local knowledge and observations. • Clear roles and responsibilities for all project stakeholders during project implementation.

Community-Based Adaptation (CBA) Project Implementation Standards

Project teams should strive to achieve these standards to ensure a high quality process, and associated outputs, in the Implementation stage of the CBA project cycle. Please see the Step-by-Step Guidance on Implementation for guidance, tools and resources which support the achievement of the standards.

High quality implementation of CBA projects requires:	• A realistic, detailed and flexible implementation plan in line with the project design. • Strong partnerships based on shared decision-making and mutual accountability. • Ongoing capacity development for staff and partners on climate change impact assessment and adaptation. • Ongoing monitoring of climate variables that may affect project success. • Regular review and update of project strategy and implementation plan to reflect changes in context, unexpected constraints or new opportunities. • Project implementation plans and logistics that are sensitive to the different needs, constraints and capacities of women and marginalised groups. • An Emergency Preparedness Plan (EPP) at the Country Office level that all project staff are familiar with. • Contingency plans for emergencies in the project area.

	• Key project staff trained in emergency preparedness and response, including humanitarian accountability. • Flexibility in funds and activities to allow for efficient responses to crises with minimal disruption to ongoing activities.

Community-Based Adaptation (CBA) Project Information & Knowledge Management Standards

Project teams should strive to achieve these standards to ensure a quality process, and associated outputs, in Information & Knowledge Management throughout the CBA project cycle. Please see the Step-by-Step Guidance on Information & Knowledge Management for guidance, tools and resources which support the achievement of the standards.

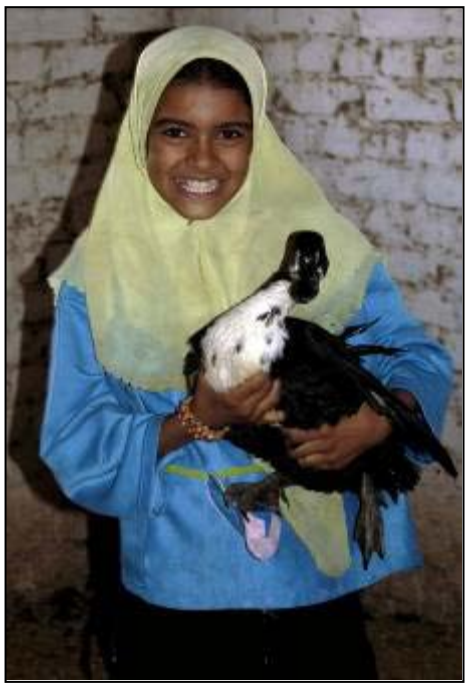
Information & knowledge management includes monitoring & evaluation (M&E).

Ensuring high quality information & knowledge management in CBA projects requires:	• Management of information in all media and forms as a strategic organisational resource. • Project staff and partners with an understanding of the importance of good information and knowledge management practices. • A project I&KM system designed to meet information needs of project and all stakeholders. • I&KM processes that are sensitive to women and marginalised groups. • Tracking of both intended and unintended impacts of project activities. • An appropriate level of rigour in methods (sampling, data collection, analysis, etc.). • Participation of project stakeholders in the design of the I&KM system, data collection, analysis and processing. • Opportunities for cross-learning and reflection on adaptation among staff, participants and partners, to convert information to knowledge. • Processes that enable different groups to feel safe and say what they really think. • Clearly assigned roles and responsibilities for information and knowledge management processes and activities at appropriate levels.
A high quality information & knowledge management system for a CBA project should incorporate:	• Indicators that assess improvements in adaptive capacity in the areas of: climate-resilient livelihoods, disaster risk reduction, local capacity development, and addressing underlying causes of vulnerability. • Indicators that track changes in climate variables, such as temperature and rainfall, and identified climate hazards. • Indicators that track changes in key livelihood resources, such as crop yields, pasture productivity or fish catches. • Both qualitative and quantitative indicators.

	• Indicators that are linked to the correct level of results (output, outcome, impact). • Disaggregation of relevant indicators by gender and other important categories of vulnerable groups. • Comprehensive and detailed baseline survey on indicators from which to measure changes over the life of the project. • Ongoing monitoring of achievement of results at multiple levels: household/individual, community/local institutions, and national level. • Examination of both process and progress. • Clear plans for evaluation of results and processes at strategic points during project implementation. • Clear protocols for documentation of project experiences and lessons. • Sharing of lessons and best practices on community-based adaptation with other projects and partners, and through relevant networks and websites.

Step-by-Step Guidance

The following sections provide step-by-step guidance for the CBA project cycle. The guidance is organised around the simplified stages of the project cycle – analysis, design and implementation – and the information & knowledge management function, which runs throughout the three stages. For each, the key steps to follow are elaborated with explanations and recommended tools and resources.



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Step-by-Step Guidance on Analysis

Analysis is the key to appropriate and effective project design, implementation and information & knowledge management. This section provides detailed guidance on the steps to follow in the analysis phase of your CBA project, giving explanations, examples, recommended tools and resources to assist you along the way. Following these steps will help you to complete an analytical process and prepare outputs that meet the CBA Analysis Standards.

NOTE: it is not necessary to follow the steps in sequence. You may find it more practical to undertake several steps simultaneously.

The key steps in the analysis phase are:

STEPS: **Table of Contents**
STEP 1: **Defining the analysis process**
STEP 2: **Analysing the climate context**
STEP 3: **Analysing climate and disaster risks**
STEP 4: **Analysing the institutional and policy context related to climate change**
STEP 5: **Analysing the underlying causes of vulnerability**
STEP 6: **Synthesising, validating and documenting the analysis**

[Open **Step-by-Step Analysis** section – http://www.careclimatechange.org/files/toolkit/Step-by-Step_Analysis.pdf]

ANALYSIS STEP 1: Defining the analysis process

The first step in the analysis stage is defining the analytical process. This involves decisions about how the analysis will be undertaken, the sources of information that will be used, and how stakeholders will be involved.

Climate Vulnerability and Capacity Analysis (CVCA) Handbook
(http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf)
The Climate Vulnerability and Capacity Analysis (CVCA) methodology helps us to understand the implications of climate change for the lives and livelihoods of the people we serve. By combining local knowledge with scientific data, the process builds people's understanding about climate risks and adaptation strategies. It provides a framework for dialogue within communities, as well as between communities and other stakeholders. The results provide a solid foundation for the identification of practical strategies to facilitate community-based adaptation to climate change.

Analysis Step 1.1: Establish analysis team

The analysis team should be multidisciplinary and include expertise in climate change and vulnerability assessment. These could be climate scientists, gender and diversity experts, scientific and technical experts in relevant disciplines related to livelihoods (e.g. agriculture, fisheries, forestry) or ecosystems (biologists, environmental scientists). It may also include project design specialists. Ideally, the analysis team will also include local organisations that may eventually be partners in the project, in order to build capacity and foster a sense of ownership from the beginning. The roles and responsibilities for analysis team members should be made clear at the outset. The **CVCA Handbook** (http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf) includes a list (p. 12) to guide the establishment of a field team for the CVCA analysis process that is a useful starting point for this process.

Analysis Step 1.2: Develop a plan for the analysis stage

A detailed work plan for the analysis should be developed. The plan should include how and when you will engage with stakeholders including men and women from target communities, partner organisations, governments and CARE staff.

Analysis Step 1.3: Decide on scope, methods and sources of information for analysis

The analysis team will be drawing on a range of qualitative and quantitative data and information. It is important to make decisions on the methods for data collection, analysis, synthesis and reporting that will be used.

It is likely that the first few times this process is undertaken the team will be drawing from new data and information sources, as well as establishing new contacts. Also, as the analysis will focus at national, regional, local government /community, and household/individual levels, the information sources and collection methods will correspondingly vary. Both primary and secondary information will be used. When using primary resources, robust sampling methodologies should be used as much as possible.

ANALYSIS STEP 2: Analysing the climate context

Understanding the climate context of the project area is essential when designing quality CBA projects. This includes historical, current and projected climate; and it includes both climate conditions (temperature, wind, humidity and rainfall patterns) and events (e.g. heavy rains, droughts, floods, cyclones and hurricanes).

The analysis should draw on scientific data as well as data and information gathered from communities. This should be done at the smallest scale possible to be meaningful for project design, taking into account local micro-climate variability and geography.

USEFUL RESOURCES

Secondary sources of literature, such as reports from the Meteorological Department, **National Communications to the United Nations Framework Convention on Climate Change** (http://unfccc.int/national_reports/non-annex_i_natcom/submitted_natcom/items/653.php), **National Adaptation Programmes of Action** (where applicable) (http://unfccc.int/cooperation_support/least_developed_countries_portal/submitted_napas/items/4585.php), and reports of the **Intergovernmental Panel on Climate Change** (www.ipcc.ch/) are good references for this. The **World Bank Climate Change Data Portal** (http://sdwebx.worldbank.org/climateportal/) and the **Nature Conservancy's Climate Wizard** (www.climatewizard.org/) may also provide useful information.

Analysis Step 2.1: Identify past and current climate hazards (events and conditions) facing target area (country, region, community)

In many areas, the impacts of climate change are already being observed, both by scientists and by local communities. Understanding the climate events and conditions that have been experienced in an area (both recently and historically), and how communities and individuals have responded to them, provides us with an important basis for understanding how future changes in climate may impact a community and their capacity to adapt. This is the basis upon which to develop actions that should be included in a CBA project.

The national government or national research institutions, such as universities, may have gathered data on historical weather conditions and the government disaster agency may have information on climate events such as storms and floods. The quality and level of detail is likely to vary but these are still important sources of data. Other non-governmental bodies, such as NGOs and UN agencies, may also have such data. Therefore, a good starting point is to establish a partnership with an institution engaged in climate monitoring. In addition, local communities are sources of this kind of information (see Analysis Step 2.3).

Analysis Step 2.2: Analyse projected changes in climate hazards (events and conditions)

Building on the knowledge of the current context and an analysis of past changes, analysing future climate projections is key to effectively preparing communities to adapt to longer-term climatic changes. This analysis should be based on scientific projections, focus on broad trends, and highlight the uncertainties of future climate projections. It remains a challenge to obtain local climate change projections. However, new methods for "downscaling" global-scale projections into more localised projections are being developed. Climate change is expected to increase the frequency and severity of extreme weather events, including droughts, floods, cyclones and hurricanes, among others. We can no longer assume that these events will occur as they have done in the past; nor can we assume that communities will face the same hazards as they have in the past. Design of CBA projects must be based on analysis of both current and future climate events, based on available projections.

Changing conditions such as temperatures and rainfall patterns are less dramatic than events such as floods or cyclones, but they can have a serious impact on livelihoods, particularly agricultural-based livelihoods. Analysis of how these climate variables may change in future can support the identification of adaptation strategies that are appropriate to future conditions, or that build in flexibility to deal with uncertainty, recognising that adaptation is a process, not an end.

Reports prepared for the UNFCCC (http://unfccc.int/national_reports/items/1408.php) are likely to be a good source of information depending on when they were prepared. As well, various government and non government agencies in country, such as universities and other learning institutions, may have done analysis work on the downscaling of global climate models to the national context. The meteorology department, environment department, UN agencies and universities are potential sources.

Analysis Step 2.3: Solicit community observations of climate change

To complement the scientific information gathered in the previous two steps, and to put it in the local context, it is important to also solicit community observations of climate change. Communities often have a wealth of information on past and current climate trends, including both data and perceptions. Tools in the **CVCA Handbook** (http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf) will assist you in gathering this information from communities using tools such as hazard maps (p. 33) and historical timelines (p. 37).

ANALYSIS STEP 3: Analysing climate and disaster risks

The analysis of climate and disaster risks gives us a greater understanding of the impacts of climate variability and climate change on important livelihood resources and activities in the project area. Data and information on the main livelihood resources, as well as seasonal and perennial activities undertaken by the community in the project area, are needed.

This data and information should be disaggregated by gender and other characteristics that are important to vulnerability, in order to identify key climate risks affecting the area and the community, as well as particularly vulnerable livelihood groups and economic sectors. This process will ideally use a combination of secondary research and primary research, including participatory analysis.

RECOMMENDED TOOLS

Climate Vulnerability and Capacity Analysis (CVCA) Handbook
(http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf)
The vulnerability matrix (p39) is a valuable tool to gather this information. It can be applied in a range of ways to better understand the impact of climate on different income sources, food sources and resources. The coping strategies that are used in response to the impacts can also be drawn out of this discussion.

Community-based Risk Screening Tool – Adaptation and Livelihoods (CRiSTAL)
(www.cristaltool.org/content/download.aspx)
CRiSTAL is a screening tool designed to help project designers and managers integrate risk reduction and climate change adaptation into community-level projects. CRiSTAL was developed by the International Institute for Sustainable Development (IISD), the International Union for Conservation of Nature (IUCN), the Stockholm Environment Institute (SEI-US) and Intercooperation. Module 1 is useful for analysis, as it helps project planners and managers understand the links between livelihoods and climate in their project areas.

Analysis Step 3.1: Identify resources important to livelihoods

To sustain their livelihoods, people use a wide range of social, physical, natural, financial and human resources. To analyse livelihoods-climate linkages, those resources most important to livelihoods and adaptation must be identified, keeping in mind different groups in a community will rely on different resources in varying degrees.

Analysis Step 3.2: Analyse impact of current and future climate hazards (events and conditions) on livelihoods

An analysis of the impact of current and future climate hazards on livelihoods, drawing on the climate context completed in the previous step, gives us important information about the priority impacts to be addressed in designing adaptation strategies. This analysis must be considered for different economic and social groups within the community. Climate change should not be treated in isolation. Communities are likely to be facing a range of hazards which include non-climate hazards, and these hazards can interact to increase vulnerability. Therefore, analysis of non-climate-related hazards is also important at this stage and, where appropriate, addressing these can be incorporated into the CBA project design.

Analysis Step 3.3: Evaluate current coping strategies for effectiveness and sustainability

Adaptation strategies should be designed to build on existing coping strategies where appropriate. However, in many cases, the most vulnerable people are employing coping strategies which are neither effective nor sustainable. This step of the analysis must incorporate identification of current coping strategies, and an evaluation of their effectiveness and sustainability (particularly in terms of their effects on ecosystems). This will serve to identify those positive coping strategies which can be used as a foundation for adaptation, and to better understand the types of alternatives that are needed to adapt to a changing climate. In fact, this part of the analysis may highlight options for livelihood diversification, including strategies that are not highly dependent on natural resources.

It is important to note that coping is typically a short-term action during and immediately following a shock. Adaptation on the other hand is a long-term process of planning and management of livelihood resources, either before or during recovery from a climate event, or in response to changing climate conditions (see p. 7 of the **CVCA Handbook** (http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf) for a discussion of the differences between coping and adaptation). As with vulnerability and adaptive capacity, coping strategies vary between different communities and groups within communities, so it is important to factor these differences into the analysis.

Analysis Step 3.4: Identify livelihood groups or economic sectors that are particularly vulnerable to climate change

Particularly vulnerable economic sectors may include, but not be limited to, agriculture, fisheries and pastoralism. These sectors are highly dependent on the natural resource base, and are therefore highly sensitive to climate variability and longer term climate change. Within these sectors, specific livelihood groups may be more vulnerable than others. For example, subsistence farmers that are completely dependent on rain-fed agriculture are more susceptible to drought than those with irrigated crops. Pastoralists with a mix of livestock, including more drought-resilient breeds such as camels, may have more capacity to manage drought than those with a single type of animal. In order to ensure that these differences are accounted for, and adaptation activities are targeted appropriately, analysis within sectors is very important.

ANALYSIS STEP 4: Analysing the institutional and policy context related to climate change

Success of adaptation efforts at individual, household and community levels relies heavily on the existence of an enabling environment for adaptation. These factors also influence the other challenges facing a community or households and this analysis can feed into Step 5. An enabling environment means that government and civil society institutions (at all levels) have the capacity to support local-level adaptation, and that appropriate policies are in place to facilitate action. As well as identifying the relevant institutions at the national and local level you also need to understand their policies and plans, institutional capacity and the effectiveness of policy implementation to get an accurate picture of the enabling environment for the project. This step in the analysis is about trying to better understand the institutional and policy context and on this basis to decide what the design of the project should seek to address.

RECOMMENDED TOOL

Climate Vulnerability and Capacity Analysis (CVCA) Handbook
(http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf)
The CVCA is based on the CBA framework which includes important issues for consideration at local/community and national level. It also includes direction on undertaking institutional mapping (p. 14). The venn diagram tool (p. 41) helps you to understand which institutions are most important to communities, the kind of engagement different groups have in local planning processes and to evaluate access to services and availability of social safety nets.

Analysis Step 4.1: Identify key institutions working on climate change at national level

Climate change is often placed under the responsibility of the environment ministry. Signatories to the UNFCCC have to indentify a **national focal point** (http://maindb.unfccc.int/public/nfp.pl) which is a good place to start. However, the cross-cutting nature of the challenge means a wide range of actors in different sectors need to be involved in addressing it. Fisheries, forestry, agriculture, disasters and health are also important agencies with which to engage.

Analysis Step 4.2: Identify key institutions at local level in the target area
As well as national and regional level institutions, local institutions play an important role in shaping the context in communities. This may include the local government authority, local or regional offices of key ministries (such as agriculture, water or environment), traditional authorities, civil society organisations, community-based organisations and women's groups, among others.

Analysis Step 4.3: Analyse relevant policies and plans at national, regional and local levels to determine opportunities and barriers for adaptation

Reviewing local, regional and national policies and plans will help you to identify openings and barriers for adaptation. In some cases, existing policies may provide clear opportunities to build adaptive capacity, while others may prioritise actions which actually increase vulnerability to climate change (e.g. high-input agriculture which may increase exposure to risk from climate events). Barriers may represent targets for advocacy efforts, while openings can yield opportunities to partner with other organisations in planning and implementing adaptation.

However, the existence of good policies does not necessarily translate into action at the local level. The links between policies and local implementation must be analysed to understand the challenges faced by local actors. In many cases, the primary challenge is resource allocation, suggesting that an understanding

of how decisions are made on funding and human resources is important for planning strategies that support local institutions and communities. It is important to also assess relationships between various institutions and local communities in the project area. Often policy documents present an optimistic scenario which is quite different from the reality of implementation. The **CVCA Handbook** (http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf) identifies key informants (p. 15) who can provide information and analysis on the implementation of relevant policies.

Analysis Step 4.4: Assess capacity of relevant institutions to support CBA

Using Step 4.1 and 4.2 the key activities of the institutions identified and their strengths and weaknesses should be done. Additionally, make an assessment of their capacity to undertake their current work and their potential capacity to respond to climate change. The capacity assessment should examine the level of awareness and knowledge on climate change, the level of climate change integration into organisational policies and plans, and the amount of resources allocated towards supporting climate change-related initiatives. Given the implications of climate change for extreme weather events, capacity for disaster risk reduction is also an important consideration.

Analysis Step 4.5: Identify sources of support for adaptation-related activities at national, regional and local levels

Effectively tackling climate change requires a wide range of expertise, including scientific expertise to analyse climate data, socio-economic research skills to understand the dimensions and underlying causes of vulnerability, and economic appraisal to determine the costs and benefits of different adaptation options. A single organisation is unlikely to possess all of these skills so tackling climate change through CBA will benefit from working with partners and seeking support from organisations that may not be traditional partners. An understanding of existing capacity in institutions involved in planning and implementing adaptation actions is helpful for identifying partners and planning capacity development efforts in CBA projects. The results from Analysis Step 4.2 may help with this.

ANALYSIS STEP 5: Analysing the underlying causes of vulnerability

Many of the factors which shape people's vulnerability to climate change actually have nothing to do with the climate. Socio-economic, cultural and political factors such as adverse policies, extreme poverty, social exclusion, inadequate social services and infrastructure, lack of rights and access to important resources, especially natural resources such as land and water, can exacerbate vulnerability of certain groups to climate variability and change. These should be identified and analysed in the target community. The analysis will help identify the underlying causes of vulnerability, and differential vulnerability to climate variability and change.

Secondary sources of information include relevant national policies and laws such as on land tenure; reports from relevant governmental institutions such as water departments; project reports from other NGOs and CBOs (including human rights and faith-based organisations), and relevant academic publications among others. Primary sources of information would include key informant interviews including local community members residing in the area, government representatives at local level, and representatives of other NGOs and CBOs working in the area.

RECOMMENDED TOOL

Climate Vulnerability and Capacity Analysis (CVCA) Handbook
(http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf)
The CVCA methodology emphasises differential vulnerability within communities and households to identify who is vulnerable and why. It includes a focus on livelihoods resources and analysis of access to and control over these resources. Applying each of the tools with attention to gender differences will result in a better understanding of the complexity of gender differences.

Analysis Step 5.1: Analyse access to and control over critical livelihoods resources for different groups

Using the results of the analysis in Step 3 it is important to be able to also understand who has access to and control over these resources. Insecure access to resources such as agricultural land, water infrastructure, and money can limit people's ability or will to make decisions that would facilitate adaptation in the context of climate change. If farmers do not have secure land tenure, for example, they have much less incentive to manage the land sustainably, and to invest in good practices such as conservation agriculture and tree planting.

Infrastructure, such as roads, cyclone shelters and telecommunications, can play a role in people's adaptive capacity. Roads, for example, can facilitate access to markets and financial services which can lead to income security, in turn leading to greater resilience. The existence of cyclone shelters can offer protection from these extreme events as they become more frequent and more intense.

Telecommunications infrastructure facilitates access to information such as seasonal weather forecasts and market prices which can support decision-making for risk management. Similarly, services such as health, education, financial services and agricultural extension support people in meeting their basic needs and reduce vulnerability to shocks and stresses. The vulnerability matrix (p39) in the **CVCA Handbook** (http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf) will help you identify the livelihood resources and prioritise these in terms of their vulnerability to climate hazards. Further discussion can draw out who has access to and control over these resources.

Analysis Step 5.2: Conduct gender analysis to understand differential vulnerability between men and women

Women face many specific challenges in adapting to climate change, and they must be empowered to overcome these challenges. Poor and marginalised men may also be highly vulnerable to climate change impacts. Therefore, our adaptation interventions must support all vulnerable members of communities to build resilience within their existing roles and responsibilities, while at the same time challenging traditional roles and power allocations to move towards gender equality.

It is increasingly recognised that women may be more vulnerable to climate impacts than men for a variety of reasons. On average, women are poorer and they typically lack secure access to the resources needed for adaptation. Women rarely have an equal say in decision-making in households, communities or in national politics. At the same time, experience has shown that women are central to permanently improving the lives of their families and communities, and therefore must play a pivotal role in community-based adaptation initiatives. Similarly, marginalised groups tend to have less security in access to and control over resources, and this contributes to their vulnerability to climate change. These underlying causes of vulnerability must be addressed in order to have a sustainable impact in reducing vulnerability to climate shocks.

USEFUL RESOURCE

Adaptation, gender and women's empowerment
(http://www.careclimatechange.org/files/toolkit/CARE_Gender_Brief_2010.pdf)
This CARE Climate Change Brief explains why gender is an important consideration in vulnerability to climate change, and identifies how gender roles, control over resources and power play a role in people's adaptive capacity.

Analysis Step 5.3: Evaluate participation (particularly of vulnerable groups) in policy decisions at national and local levels

A lack of voice in local and national decision-making is a critical factor contributing to vulnerability to climate change, particularly for women and other marginalised groups. This is evidenced by policies and institutions that do not respond to the specific needs and priorities of communities in general and of vulnerable groups in particular.

Analysis Step 5.4: Identify social groups that are particularly vulnerable to climate change

On the basis of the previous steps you will be able to identify those groups that are particularly vulnerable to climate change in the target area. These may then be the focus for your adaptation strategies in the CBA project. If you take a broader approach you should use this information to ensure activities are appropriately tailored to this group.

ANALYSIS STEP 6: Synthesising, validating and documenting the analysis

The ongoing value of a good analysis is in how you use it to inform a better design and implementation. Systematic synthesis of the major issues identified from what will be a large amount of information is key to its usefulness. A large amount of data and information that is presented in a way that isn't useful will greatly limit the future use of the analysis undertaken. Synthesised results should be validated by key informants and project stakeholders.

Because climate change is a dynamic phenomenon the analysis will likely require updating. Therefore it is vital to document the sources of information and analytical process used, as well as the validation process, so that new information can be checked and incorporated as it emerges. In addition to documenting conclusions and recommended actions, we need to ensure that gaps in information and key uncertainties are documented. This will help to identify issues that may need further analysis and uncertainties that must be monitored.

RECOMMENDED TOOLS

Climate Vulnerability and Capacity Analysis (CVCA) Handbook
(http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf)
The CVCA Handbook provides guidance on synthesising and documenting the analysis, as well as validation of conclusions by stakeholders.
Community-Based Adaptation Project Concept Paper Checklist
(http://www.careclimatechange.org/files/toolkit/CBA_Concept_Paper.pdf)
If the outcome of your analysis process is a concept paper for a CBA project, this checklist can be used to ensure that you have addressed the necessary issues to establish a foundation for a quality project design.

Analysis Step 6.1: Analysis and conclusions validated by stakeholders

It is important to present results of the entire analysis to all actors to confirm the validity of conclusions. Triangulation can be undertaken to ensure accuracy. A two-stage approach is suggested for the validation process – firstly presenting the analysis to the local community groups to ensure that the conclusions are correct and secondly presenting the amended results to a wider stakeholder group. You should explain the results of the analysis as well as what these results mean for subsequent stages of the CBA project development, and how they will be incorporated into the CBA process.

Through this process you can facilitate wider dialogue on issues that have been raised by particular groups which may have implications for other groups and make other actors aware of the views of the particularly vulnerable groups. This would also create awareness about the views of different stakeholders; promote dialogue; commence a collective synthesis of the results and generate ownership of suggested project modifications.

Analysis Step 6.2: Synthesise analysis and prioritise adaptation issues

It is vital to synthesise the large amount of information that has been generated into a coherent picture of a complex situation. This will be the essential basis for the future design work, as well as a potential resource for future development projects in the area. Synthesising is more than summarizing. Synthesis also requires that you look for themes and trends in the data, draw conclusions on the basis of the analysis and prioritise the data. Synthesising the results of the analysis will allow you to highlight the most important issues for CBA and the gaps that remain in your knowledge. The synthesis should clarify what the results mean for different actors, the assumptions and risks considered, and should generate a list of potential, as well as priority, CBA strategies that the project could consider in the design stage.

Analysis Step 6.3: Priority adaptation issues documented to facilitate project design, implementation and information & knowledge management

It is vital to prepare a document with the results of the synthesised analytical process. In addition to conclusions and recommended actions, you should document information gaps and key uncertainties. This will help to identify issues that may need further analysis and uncertainties that must be monitored throughout the project. A summary of the key outcomes should be produced and used as a basis for project design. Key elements of the final document are:

- The assumptions made in the process. For example you may be using climate data from a neighbouring district in the absence of localised data.
- An explanation of the accuracy of these assumptions.
- Note gaps in data and information and key variables to track and monitor over time within the design.
- Priority climate hazards and impact on the livelihoods of different groups.
- How climate change is affecting the ecosystems that people rely on for their livelihoods.
- Policies, programmes and institutions that have the most impact in terms of constraining or facilitating adaptation.
- Particularly vulnerable social or economic groups within the community.
- Potential partners and opponents.
- All sources of information and data.

For further information on documentation and dissemination, go to I&KM Step 3.

Step-by-Step Guidance on Design

This section provides detailed guidance on the steps to follow in the design phase of your CBA project. It walks you through the key steps in the design phase, providing explanations, examples, and recommended tools and resources to assist you along the way. Following these steps will help you to achieve a design process and outputs that meet the CBA Design Standards. Note that it is not necessary to follow the steps in sequence as they are presented here – it is likely that you will undertake several steps simultaneously.

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The key steps in the design phase are:

STEPS: **Table of Contents**
STEP 1: **Defining the design process**
STEP 2: **Defining the scope of the project**
STEP 3: **Identifying adaptation strategies at individual, household and community level**
STEP 4: **Creating an enabling environment for adaptation**
STEP 5: **Analysing assumptions and identifying risk mitigation strategies**
STEP 6: **Smart budgeting**

[Open **Step-by-Step Design** section – http://www.careclimatechange.org/files/toolkit/Step-by-Step_Design.pdf]

DESIGN STEP 1: Defining the design process

The first step in ensuring a quality CBA project design is defining the process that will be followed, including decisions on how stakeholders will be involved in the project design, what expertise is needed, and how the process will be documented.

USEFUL RESOURCES

CARE International Project Standards
(http://www.careclimatechange.org/files/toolkit/CARE_Project_Standards_May02.pdf)
The Project Standards are a quality assurance tool for all CARE projects. They are designed to guide the work of project designers; provide a checklist for approval of project proposals; and to offer a tool for periodic project self-appraisal and evaluation.

CARE Project Design Handbook (www.careclimatechange.org/files/toolkit/CARE_Project_Design.pdf)
This very practical handbook is a guide to translating CARE's vision, principles and values into action through logical design of projects and programmes. The Handbook introduces a conceptual framework, or roadmap, to programme and project planning. This is a helpful resource in thinking through the project design process.

Design Step 1.1: Establish design team

When establishing the team for designing your CBA project, it is important to consider the range of expertise that will be needed to ensure a quality design. Taking a holistic approach to community-based adaptation will require a multidisciplinary team, which may include climate scientists, gender and diversity advisors, technical experts in relevant disciplines such as agriculture and disaster risk reduction, and monitoring & evaluation specialists, among others.

The expertise included in the team assembled for the project design team should clearly respond to the priority adaptation issues identified in the Analysis stage. Ideally, the design team will also include representatives of organisations who are potential partners in project implementation.

Design Step 1.2: Develop a plan for the design stage

With the team assembled, the next step is to develop a plan for the project design stage. The plan should clearly lay out the timeline for the project design, key outputs (including project documents), and how the process will be documented (see Design Step 1.3).

In particular, the design plan must elaborate which stakeholders will be involved in the project design process, how (as some will be more substantively involved than others), and in particular, how the participation of vulnerable men and women will be ensured. This may include one or more workshops involving all stakeholders (including target communities, partner organisations, governments and CARE staff). The plan should clearly describe the process for identifying adaptation strategies at individual and household levels, including criteria for prioritising adaptation strategies for different groups (these criteria should be developed in consultation with project stakeholders). If the necessary technical expertise is not available in the design team, a process for ensuring that this expertise can be accessed and incorporated into the project design must be part of the design plan.

Design Step 1.3: Documenting the project design process

Documenting the project design process is an important step to ensuring the effective management and implementation of the CBA project going forward. This is particularly important in the context of climate change, where the rationale for deciding on project activities and approaches may be more complex than usual.

The description of the project design process should clearly explain the logic that links the conclusions of the analysis stage with the project objectives, expected results and activities. Most projects won't be able to address all of the challenges, needs and priorities that arise from a holistic analysis, so there needs to be a clear rationale for the decisions your team makes on which approaches and adaptation activities to pursue. Further, there are inevitably issues can't be addressed by the project but may have implications for its success. These issues should be documented as risks or assumptions (see Design Step 5.2).

The documentation should clearly explain how project stakeholders, including particularly vulnerable groups, have been involved in the design process and how their inputs have influenced the design. The **CVCA Handbook** (http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf) (page 21) includes a description of different approaches to people-centred development. For CBA projects to be effective, project teams should aim for the highest standards of participation in project design, which should be a natural continuation of a high level of participation in the earlier analysis stage.

You can find further guidance on managing project information and knowledge in I&KM Step 1**.**

DESIGN STEP 2: Defining the scope of the project

A comprehensive and holistic analysis such as the one recommended in this Toolkit is likely to reveal a broad range of challenges that people in the target area are facing. It is unlikely that a CBA project will be able to address all of these issues, so defining the scope of the project is an important step in the Design phase. While the following steps focus on the scope in terms of goals, objectives, targets and results, this step also includes defining the scope of the project with respect to its geographic reach and timeline.

RECOMMENDED TOOL

Community-Based Adaptation Project Proposal Checklist
(http://www.careclimatechange.org/files/toolkit/CBA_Proposal.pdf)
This useful checklist can be used alongside the step-by-step guidance as you design your project. It provides an overview of the key elements of a project proposal for a CBA project.

Design Step 2.1: Identify priority adaptation issues that can be realistically addressed through the project

The Analysis stage yielded a synthesis of the priority adaptation issues for the target area and communities (see Analysis Step 6.2). As mentioned above, these priority issues likely included a broad range of challenges and opportunities related to adaptation. In most cases, project teams are faced with constraints based on limited resources (financial, human or technical) and donor priorities, and so it is unlikely that all of the priority issues can be addressed within the scope of a typical CBA project. To ensure a realistic and appropriate design, the priority issues must be examined in the context of these constraints in order to identify the issues that can be effectively tackled by the project. A common mistake is designing an over-ambitious project, which then fails to meet the expectations of project stakeholders. Those issues that are outside the scope of the project should be considered when analysing assumptions and developing risk mitigation strategies (see Design Step 5).

Design Step 2.2: Identify project goal and objectives

The project goal and objectives are key pieces of the project design, as they establish the framework for identifying expected results, activities and performance indicators. CBA projects should have a clear and achievable goal for increasing adaptive capacity of target groups to climate change. Project objectives should reflect an integrated approach to adaptation, addressing the priority adaptation issues identified in the previous step. Ideally, they will include objectives at multiple levels, incorporating household/individual, local government/community and national level results. The identification of project goal and objectives begins to establish the framework for the project monitoring & evaluation (M&E) system (see I&KM Step 2).

Objectives should recognise diversity across different social or economic groups, and should reflect a gender-transformative approach to adaptation. Please see CARE's **Adaptation, gender and women's empowerment** brief (http://www.careclimatechange.org/files/toolkit/CARE_Gender_Brief_2010.pdf) for further information on gender-transformative approaches.

In the CARE context, goal and objectives should be clearly linked to a wider strategic plan (e.g. Country Office Long Range Strategic Plan (LRSP) or programme strategy).

USEFUL RESOURCES

CARE Unifying Framework for Poverty Eradication & Social Justice & Underlying Causes of Poverty
(www.careclimatechange.org/files/toolkit/CARE_Unifying_Framework_Jan05.pdf)
The Unifying Framework was developed to clarify the links between different CARE approaches, including household livelihood security, rights-based approaches and gender and diversity. The framework demonstrates how these and other approaches and lenses come together in a complementary and very powerful way. The Unifying Framework is a helpful resource in identifying project goal and objectives.

CARE International Programme Principles
(www.careclimatechange.org/files/toolkit/CARE_Programme_Principles_Feb04.pdf)
These six principles represent the key principles that CARE International has committed to across all of its programmes. They define how we will work as an organisation to achieve our vision and mission.

Design Step 2.3: Identify target groups

During the Analysis stage, the scope of the analysis was decided, including the target area for the analysis. It may have also included the identification of specific communities for the analysis, and subsequently the project. For a CBA project, vulnerability to climate change should be the major consideration in the identification of target areas and communities, based on comprehensive, participatory and gender-sensitive analysis of vulnerability.

The Design stage involves further refinement of the project scope, and the identification of specific target groups for the project interventions, based on the identification of particularly vulnerable groups (see Analysis Step 3.4 and Analysis Step 5.4). The identification of target groups must take into account differential vulnerability based on gender and marginalisation, as well as other relevant social, political and economic differences. Target groups for household/individual level activities should be formed based on analysis of strengths and weaknesses of different types of groups (based on gender, livelihoods strategies, etc.) in achieving the desired objectives.

In addition to working with vulnerable men and women to build their adaptive capacity, CBA projects should consider targeting local, regional and national institutions and decision-makers with capacity building and advocacy activities in support of adaptation, based on the identification of potential allies and opponents during the Analysis stage (see Analysis Step 4). These stakeholders may represent another target group for the project.

Design Step 2.4: Identify expected results at different levels

Typically projects are required to identify expected results that must be achieved in order to attain the project goal and objectives. These results are generally organised in a logical framework, which clearly shows the links between the expected results and the project goal and objectives. As mentioned previously, the participation of project stakeholders in developing key guiding documents like the logical framework is critical. In keeping with CARE's **approach to CBA** (http://www.careclimatechange.org/files/toolkit/CARE_What_Is_CBA_Brief_2010.pdf), projects should aim to achieve results at individual/household, local government/community, regional and national levels. The **CBA Framework** (www.careclimatechange.org/files/toolkit/CARE_CBA_Framework.pdf) provides examples of the types of medium-term results that CBA projects could aim to achieve at these different levels.

This step generally also includes the identification of performance indicators to track progress towards the achievement of the expected results. See I&KM Step 2.1 for further information on identifying indicators.

DESIGN STEP 3: Identifying adaptation strategies at individual, household and community level

Up to this point, we have focused on the higher-level objectives and results that CBA projects must aim to achieve. This step involves the identification of concrete adaptation strategies at individual, household and community level that will facilitate the achievement of CBA objectives and the ultimate goal of building adaptive capacity of vulnerable people.

RECOMMENDED TOOLS

Community-based Risk Screening Tool – Adaptation and Livelihoods (CRiSTAL)
((www.cristaltool.org/content/download.aspx)
Module 2 of CRiSTAL focuses on planning and managing projects for adaptation. It identifies resources that are vulnerable to climate change, and those that are important to coping. It also takes users through a process of analysing links between livelihoods and climate hazards, and facilitates the identification of project activities to increase resilience to climate change.

Climate Change and Environmental Degradation Risk and Adaptation Assessment (CEDRA)
(http://tilz.tearfund.org/Topics/Environmental+Sustainability/CEDRA.htm)
Tearfund has developed to help development workers to access and understand the science of climate change and environmental degradation and to compare this with local community experiences of climate change, providing a basis for planning adaptation measures. The Field Tool Checklist provides a broad list of possible impacts of climate change and environmental degradation, and suggests possible adaptation options. Section 3.2 provides guidance on how to choose between different adaptation options.

Framework of Milestones and Indicators for Community-Based Adaptation (CBA)
(http://www.careclimatechange.org/files/toolkit/CBA_Framework.pdf)
CARE's Framework of Milestones and Indicators for CBA builds on the enabling factors in the CBA framework, providing milestones and indicators for the achievement of the enabling factors at household/individual, community/local and national levels. The enabling factors and milestones may be helpful to project teams in identifying expected results for CBA projects. It provides users with a broad understanding of the range of strategies that may be appropriate within CBA projects, depending on the specific context.

Design Step 3.1: Identify potential adaptation options to address priority adaptation issues

During the validation of the analysis by stakeholders, recommended actions to address priority issues should have been identified (see Analysis Step 6.2). This provides an initial foundation for the identification of potential adaptation options at individual, household and community level. Building on this, the project team should work with stakeholders to identify potential adaptation options for different target groups and at different levels, within the scope of the project.

USEFUL RESOURCE

Participatory Learning and Action: Community-based Adaptation to Climate Change
(http://www.iied.org/pubs/pdfs/14573IIED.pdf)
This issue of the Participatory Learning and Action journal includes articles, case studies and participatory tools based on practical experiences with CBA.

Design Step 3.2: Prioritise adaptation options

Once potential adaptation options have been identified, the project team and stakeholders must undertake a process of prioritising adaptation strategies, based on agreed upon criteria (see Design Step 1.2). This prioritisation must be done through a participatory process with meaningful involvement of all stakeholders, including vulnerable men and women.

Issues for consideration in prioritising adaptation strategies may include:

- The technical, financial, social and environmental feasibility of the strategies in the short term and the longer term.
- The potential for benefits and harms to different social and economic groups within the community.
- Actions that address current risks while building capacity to adapt to future changes.
- How lack of access to and control over resources (e.g. land) may constrain people's ability to engage in strategies.
- Whether strategies empower particularly vulnerable people, including women and marginalised groups.

For effective design of CBA projects, the four essential elements of CBA should be integrated. These are: promoting climate-resilient livelihoods, disaster risk reduction, capacity development for government and civil society, and addressing the underlying causes of vulnerability. The following steps provide guidance in prioritising strategies within these different elements. It is also important that project performance indicators reflect the range of different strategies that are incorporated in the project design. I&KM Step 2 provides guidance and tools for CBA project M&E, including the identification of appropriate indicators.

Design Step 3.3: Identify priority strategies for climate-resilient livelihoods at individual and household level

CBA interventions must focus on supporting project target groups in pursuing livelihoods strategies that are resilient to climate change. Livelihoods strategies that are resilient to climate change should be appropriate in existing climate conditions in order to address current challenges (see Analysis Step 2.1), while at the same time developing capacity to adapt to future changes (see Analysis Step 2.2). These strategies should build on existing knowledge and capacities, while also being innovative to address evolving challenges.

A key element of future adaptive capacity is for people to have a range of options available to them to sustain their livelihoods under different conditions. Many of the most vulnerable communities and people are heavily reliant on rain-fed agriculture for their livelihoods. Therefore, diversification of livelihoods, both within and outside of agriculture, is a key risk management strategy. Diversification within agriculture could involve incorporating new crops or livestock species, particularly those that are adapted to climate variability. Outside agriculture, income generating strategies that are not dependent on the natural resource base, such as handicrafts or small enterprises, can provide a source of security when agricultural strategies fail.

Accessing credit for start up costs can make all the difference for people in diversifying their livelihoods. Experience has also proven that households with savings are better able to cope in times of crisis when their regular means of survival are not available to them. They are also not forced to sell crucial livelihood resources, such as livestock, to sustain themselves in the short run. While such short-term coping mechanisms may provide an immediate solution, it's usually at the cost of longer-term development. Therefore, ensuring that target groups have access to financial services such as savings and credit – and

even small-scale insurance schemes - can bring about significant opportunities to build longer-term adaptive capacity.

A key challenge faced by communities, and particularly vulnerable groups within communities, is simply a lack of access to information that would facilitate planning and risk management. Ensuring that communities are able to access critical information, such as seasonal forecasts, will support their efforts to manage their livelihoods in a context of uncertainty. Empowering people to use this information is also a key component of the adaptation process.

When identifying and promoting climate-resilient livelihoods strategies, it is important to consider the interaction of hazards. For example, some areas may be affected by both droughts and floods, requiring consideration of both scenarios in order to build resilience.

Finally, recognizing differential vulnerability within communities and households may require specific strategies for different target groups, including men and women, or groups with different primary livelihoods strategies, such as subsistence fisher folk and farmers. These strategies must be tailored to the specific needs, priorities and existing capacities of target groups, and must aim to empower identified vulnerable groups in achieving sustainable livelihoods in the context of climate change.

Design Step 3.4: Incorporate disaster risk reduction strategies

In the context of climate change, we can assume that in most areas, the frequency and intensity of extreme weather events, such as floods, droughts and cyclones, will be greater. Whether an extreme event turns into a disaster is highly dependent on the level of preparation of local and national institutions, as well as on the capacity of communities and individuals to respond to and manage the hazard. This means that integrating disaster risk reduction into CBA project is critically important.

Disaster risk reduction (DRR) is defined as, "the concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events." [1]

At the household and individual level, key DRR considerations would include ensuring that target populations have reserves of food, water and agricultural inputs so that they have these important resources available to them in times of crisis. Protection of key assets such as shelter, livestock and food reserves, can greatly reduce the impact of climate hazards.

DRR strategies are needed at multiple levels in order to be effective. The development and implementation of disaster risk reduction plans at community, district and national levels, can facilitate a coordinated approach to preparing for and responding to crises. Monitoring threats and disseminating information on disaster risks, including through early warning systems, is a key element of DRR.

Design Step 3.5: Identify priorities for local capacity development

In many areas, communities rely on local government and civil society institutions to provide them with information and to support them in securing their livelihoods. Therefore, efforts to promote adaptation in communities must also consider developing the capacity of these institutions to support target groups in taking action on adaptation.

Local institutions face many of the same challenges as communities in terms of their ability to access and analyse climate information and make recommendations. Facilitating this access and building this capacity

will enable local institutions to better support communities by providing them with accurate information, and recommending appropriate actions.

A key element of supporting household and individual adaptation is ensuring that local plans and policies are responsive to the needs and priorities of communities, particularly the most vulnerable groups within communities. Participatory and inclusive local governance is a key factor in this, not only for adaptation, but as a general principle of good governance. Ensuring that local institutions have the capacity to facilitate participatory processes, and integrate climate risks and adaptation into these processes, can go a long way towards increasing the adaptive capacity of communities.

Finally, as discussed previously, access to services such as financial services and social protection is a key element of adaptive capacity for households and individuals. Strengthening the ability of local institutions to provide these services can help to ensure that they are available and effective when they are needed.

Design Step 3.6: Integrate strategies to address the underlying causes of vulnerability, including gender and marginalisation

As previously discussed, vulnerability to climate change is determined not only by exposure and sensitivity to climate shocks, but also by capacity to manage those shocks in a way that minimises the negative impacts on livelihoods and allows achievement of development goals. This capacity to adapt is shaped by roles in the family and community and access to and control over resources, as well as power to make decisions. Gender and marginalisation are key factors in determining who has this power and who controls access to resources.

Therefore, efforts to promote adaptation in communities must aim to be gender-transformative, based on the different roles, capacities and challenges experienced by men and women in sustaining their livelihoods. They must also address the specific challenges faced by marginalised groups in adapting. This may require different approaches and different adaptation strategies for different groups. It may also require advocacy and social mobilisation to challenge inequalities due to gender and marginalisation. This could include advocacy for equitable land tenure, or awareness raising on women's rights, for example. Please see CARE's **Adaptation, gender and women's empowerment** brief (http://www.careclimatechange.org/files/toolkit/CARE_Gender_Brief_2010.pdf) for further information. Conflict, particularly resource-based conflict, is another cause that may impede adaptation efforts. Further, climate change impacts are likely to increase the pressure on resources which may exacerbate existing conflicts and/or start new ones. Integrating conflict analysis and resolution may be an important factor in the success of CBA.

Many of the underlying causes of vulnerability of climate change result from women and other marginalised groups lacking voice in decision-making, in their communities, and sometimes even within their households. Empowering the most vulnerable to engage in local governance is key to ensuring that local plans and policies are responsive to their needs and priorities, and that they support their efforts to adapt.

USEFUL RESOURCES

Adaptation, gender and women's empowerment
(http://www.careclimatechange.org/files/toolkit/CARE_Gender_Brief_2010.pdf)
This CARE Climate Change Brief provides a basic overview of gender transformative approaches to adaptation, and the specific role of women's empowerment in this process. It includes concrete examples from adaptation projects in Bangladesh, Tajikistan and Ghana.

Training Manual on Gender and Climate Change
(http://www.un-ngls.org/spip.php?page=article_s&id_article=1565)
This manual developed by the International Union for the Conservation of Nature (IUCN), the United Nations Development Programme (UNDP) and the Global Gender and Climate Alliance (GGCA) is a comprehensive and practical resource. While oriented towards training, it provides an excellent overview of climate change and gender issues which can be helpful in considering these issues in project design.

[1]United Nations International Strategy for Disaster Reduction (UNISDR), Terminology on Disaster Risk Reduction, 2009.

DESIGN STEP 4: Creating an enabling environment for adaptation

Community-based adaptation does not occur only in communities. To maximise adaptive capacity at the local level, CBA projects must aim to create an enabling environment, preferably not only at the local level, but also at the regional and national levels. A key factor to consider is the degree of remoteness of the project area and its communities. Often, in very remote areas, project stakeholders will not have the luxury of being able to connect with the national level, mainly due to the time and/or cost it will take to visit the capital. Hence, in such instances, a special effort should be made to involve regional authorities and institutions of importance to the planned adaptation activities. It may also include advocacy for policies and institutional structures that facilitate community-based adaptation efforts.

USEFUL RESOURCES

Advocacy Tools and Guidelines: Promoting Policy Change: Resource Manual for CARE Programme
(www.careclimatechange.org/files/toolkit/CARE_Advocacy_Guidelines.pdf)
Managers These tools provide a step-by-step guideline for planning advocacy initiatives, as well as advice for successful implementation.

CARE Denmark Rights-Based Approach Guidelines
(www.careclimatechange.org/files/toolkit/CDK_Rights-Based_Guidelines.pdf)
These operational guidelines are designed to help project teams in adopting rights-based approaches (RBA), specifically in the natural resource management sector. They provide helpful background on RBA, as well as specific advice on integrating rights-based approaches into different parts of the project cycle.

Design Step 4.1: Engage key partners

Ideally, CBA projects will be implemented in partnership with local institutions, both governmental and non-governmental. These partnerships should be initiated during the analysis stage, and formally established at the design stage. This will allow partners to have an opportunity to influence the project design, based on their knowledge of the context and their own priorities, which will determine their interest in being involved in the project endeavour. It also serves to create a sense of ownership of the project by partners. The analysis stage also identified potential new partners (see Analysis Step 4). This step uses that initial identification to select partners for project design and implementation based on factors such as feasibility, mutual interests and shared ideas and vision.

Different types of partnerships may be needed to achieve different project objectives. A key focus of partnerships with local organisations should be to develop their capacity to facilitate adaptation. For CBA projects, there may be a need to engage new partners to ensure appropriate scientific and technical inputs (e.g. research institutions, universities, etc.). The lead organisation may also take advantage of partnerships to build its own capacity where appropriate.

Partners should be selected through a transparent process. In some cases, partners may be selected based on proven capacity to carry out project activities or proven ability to learn new skills and approaches. Another factor to consider is the ability to co-finance envisioned activities. Some partners may only be funders, while others may both provide funding and technical expertise. Where capacity to carry out project activities does not exist, partnerships will need to have a stronger focus on capacity development, including basic organisational and management capacity. Projects should aim to engage a range of partners based on complementary strengths and common vision in support of project objectives.

Design Step 4.2: Identify advocacy targets

The Analysis should have yielded an assessment of policies and programmes that constrain or support local adaptation efforts (see Analysis Step 4.3) and of potential opponents to project objectives. Using this assessment, the project team should consider how advocacy could play a role in creating an enabling environment for CBA action, and identify advocacy targets, based on the potential for impact on CBA efforts (e.g. the development of a national adaptation strategy) and/or on opportunities to influence (e.g. the review of an important policy which includes stakeholder consultations).

Design Step 4.3: Develop an advocacy strategy

Assuming that advocacy will form part of the project's approach, the team should develop a strategy for policy engagement. The strategy should include targets, key messages, and strategies for engaging the targets. Ideally, advocacy will be undertaken in partnership with other civil society organisations, through formal or informal alliances. The strategy should incorporate ongoing analysis of targeted policy processes to identify opportunities to influence policy decisions relevant to adaptation. The **Advocacy Tools and Guidelines** (www.careclimatechange.org/files/toolkit/CARE_Advocacy_Guidelines.pdf) are an excellent resource for developing advocacy strategies. I&KM Step 2 provides further information and examples to help in identifying indicators of an enabling environment.

DESIGN STEP 5: Analysing assumptions and identifying risk mitigations strategies

This part of the design stage involves analysis of the assumptions that underpin the project design, and identification of risk mitigation strategies to reduce the impact on project operations and the achievement of results.

Design Step 5.1: Analyse validity of assumptions

The analysis of assumptions that underpin proposed project activities is key to the success of the project. Ensuring that the assumptions are clear and well-founded can avoid unintended negative impacts, and can improve the sustainability of project results. In particular, the project team must examine assumptions that relate to impacts of project activities on different groups. A strategy that is appropriate for one group may not work for another.

Design Step 5.2: Evaluate risks and identify risk mitigation strategies

Risks to the project success may include both wrong assumptions and issues that fall outside the influence of the project, but which affect its success.

The project team must analyse the risks inherent in any of the assumptions underlying the project design not holding true. In some cases, this may require revision of the assumption. In others, it may involve scaling back expectations and/or revising strategies to achieve the results to minimise the risk.

Other risks to be considered include natural and man-made disasters such as earthquakes, conflict, political unrest and economic crisis. Projects incorporating advocacy should consider the implications of engaging on policy issues in the particular context of the project. In some countries, speaking out against the government or on behalf of marginalised groups may have consequences for project staff or for organisations more broadly.

Naturally, in CBA projects, climate hazards are a particular concern. In the context of climate change, it is no longer valid to assume that no major climate hazard will occur over the life of the project. In fact, in areas with high exposure to climate hazards, it is best to assume that a climate hazard such as a drought, flood or cyclone WILL occur, and to plan project activities and implementation strategies based on that assumption. This would logically lead us to incorporate disaster risk reduction strategies into project activities (see Design Step 3.4), and to ensure that an emergency preparedness plan is in place at the project operational level (see Implementation Step 5 for further details on emergency preparedness).

Design Step 5.3: Review project strategy to incorporate risk mitigation strategies

Based on the above, it is useful to review the project strategy to ensure that risk mitigation strategies are incorporated within project activities and operations.

DESIGN STEP 6: Smart budgeting

Developing the project budget is a key element of the design process. The following steps highlight some of the specific issues that are important in a CBA project budget. The **Project Budget Checklist** (http://www.careclimatechange.org/files/toolkit/CBA_Budget.pdf) is helpful in ensuring that your CBA project budget contains all the necessary elements.

RECOMMENDED TOOLS

Community-Based Adaptation Project Budget Checklist
(http://www.careclimatechange.org/files/toolkit/CBA_Budget.pdf)
The Project Budget Checklist is a helpful tool in ensuring that your CBA project budget contains all the necessary elements.

Design Step 6.1: Identifying human resource needs

One of the major challenges that many development projects face in achieving their objectives is that they have under-estimated the human resources required. In the context of CBA, design teams must recognise the significant efforts that will be needed to build adaptive capacity of individuals and partner organisations, and develop the project team structure accordingly. Human resources include both CARE staff and partner organisations.

For CBA projects, the following may represent human resource needs that are different from typical development projects: scientific and technical expertise in climate science, agriculture, gender and diversity, disaster risk reduction, etc.; expertise in capacity development of local partners; strong community facilitation skills; and expertise in policy analysis and advocacy.

Design Step 6.2: Ensure adequate resources for information & knowledge management

Information & Knowledge Management is another area that is often under-budgeted. In line with the project's Information & Knowledge Management system, the project budget must include adequate resources for M&E, documentation, and dissemination of results and lessons.

USEFUL RESOURCE

Checklist for M&E Resource Requirements
(http://www.careclimatechange.org/files/toolkit/M&E_Resource_Requirements.pdf)
This handy checklist provides guidance on reviewing the project budget to ensure that adequate resources have been allocated for Monitoring & Evaluation.

Design Step 6.3: Allocate resources for capacity development

Given that climate change adaptation is a "new" area for many staff and partners, significant effort will need to be invested in capacity development. Design teams must ensure that the project budget includes sufficient resources for training and capacity development for staff and partner organisations. This may include bringing in external expertise for targeted training and mentoring.

Design Step 6.4: Plan for the unexpected

Where possible, it is helpful to have contingency funds for unexpected occurrences (e.g. to respond to an emergency in the project area) or to take advantage of opportunities that arise over the course of project implementation. Project teams must ensure that the budget is flexible enough to make adjustments based on changing context and circumstances.

Step-by-Step Guidance on Implementation

This section provides detailed guidance on the steps to follow in the Implementation phase of your CBA project. It walks you through the key steps in the Implementation phase, providing explanations, examples, and recommended tools and resources to assist you along the way. Following these steps will help you to achieve a plan for project implementation that meets the CBA Implementation Standards**.** Note that it is not necessary to follow the steps in sequence as they are presented here – it is likely that you will undertake several steps simultaneously.

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The key steps in the Implementation phase are:

STEPS: **Table of Contents**
STEP 1: **Planning for effective implementation**
STEP 2: **Ensuring effective partnerships**
STEP 3: **Developing capacity of staff and partners**
STEP 4: **Monitoring context and adjusting project approach**
STEP 5: **Ensuring sensitivity to gender and diversity in project operations**
STEP 6: **Emergency preparedness**

The Implementation stage is essentially the process of putting the design into action. A high quality design will generally lead to effective implementation. For this reason, the content of this section is based on the assumption that key design steps outlined in the previous section have been followed; yielding a design that meets the CBA Project Design Standards. Therefore, it focuses on planning for implementation, as well as a few key quality assurance issues that will maximise the effectiveness of CBA project implementation.

[Open **Step-by-Step Implementation** section – http://www.careclimatechange.org/files/toolkit/Step-by-Step_Implementation.pdf]

IMPLEMENTATION STEP 1: Planning for effective implementation

The **design** stage of the project cycle should have produced a detailed description of the CBA project parameters, including goal, objectives, target groups and expected results. It should also have engaged project partners and other stakeholders, and identified strategies to achieve the expected results. This step is about translating the project design into a detailed plan for project implementation.

RECOMMENDED TOOL

Community-Based Adaptation Project Implementation Plan Checklist
(http://www.careclimatechange.org/files/toolkit/CBA_Implementation_Plan.pdf)
The Project Implementation Plan Checklist summarises the key issues for consideration in implementing a CBA project.

Implementation Step 1.1: Develop an implementation plan for the project

Following the detailed design of the project, the next step is to develop an implementation plan for the project. Some donors require this as part of the project contract, and will provide a template for this

purpose. Regardless of whether it is required by the donor, developing an implementation plan is an important project management step.

Ideally, the implementation plan will incorporate all aspects of project implementation, including detailed strategies for achieving the project results, approaches for working with partners and other stakeholders, and the information & knowledge management system (see I&KM Step 1). It should also cover operational and administrative issues such as procurement and management of project assets and schedules for financial and progress reporting.

The process for developing an implementation plan for a CBA project is essentially the same as for a development project. The following steps identify issues that are particularly important to consider in a CBA project. Ideally, these issues will be incorporated into the implementation plan.

Implementation Step 1.2: Develop annual work plans

The implementation plan described above presents the plan for the life of the project. To put the plan into practice, project teams and partners must develop annual work plans, including annual budgets.

USEFUL RESOURCES

The Basics of Project Implementation: A Guide for Project Managers
(http://www.careclimatechange.org/files/toolkit/CARE_Project_Implementation.pdf)
This handbook developed by CARE provides guidance that will enable managers oversee all components of project implementation in an integrated, holistic manner. If focuses on managing relationships with project stakeholders, managing human and financial resources, facilitating learning, managing risks and ensuring flexibility.

CARE International Programme Principles
(www.careclimatechange.org/files/toolkit/CARE_Programme_Principles_Feb04.pdf)
These six principles represent the key principles that CARE International has committed to across all of its programmes. They define how we will work as an organisation to achieve our vision and mission. It is important to keep these principles in mind when planning for project implementation.

IMPLEMENTATION STEP 2: Ensuring effective partnerships

To effectively implement your CBA project in line with the implementation plan developed during the design phase, it is important to ensure that the partnerships established in the analysis and design stages are functional and effective. This will enable the lead organisation to tap into and utilise the required skills and technical expertise to increase resilience among target communities. It will also facilitate shared learning among stakeholders implementing the project.

USEFUL RESOURCE

The CARE Partnership Manual
(www.careclimatechange.org/files/toolkit/CARE_Partnership_Manual.pdf)
The Partnership Manual documents the main policies and principles of partnership. Part 1 of the manual describes various typologies of partnerships, and suggests practices that are helpful in establishing and maintaining strong partnerships. Parts 3 and 4 provide detailed process instructions for crafting and operationalising a partnership strategy.

Implementation Step 2.1: Clarify roles and responsibilities of CARE and partners

Based on the outcomes of partners' capacity assessment (see I&KM Step 3.1), potential roles, responsibilities and accountabilities in the CBA project for different partners can be identified. Partnerships are based on shared decision-making and mutual accountability. Therefore, it is important that specific roles, responsibilities and accountabilities among partners are mutually agreed upon. In addition, a shared and common understanding of the project among partners and duty bearers is important.

Implementation Step 2.2: Establish appropriate accountability mechanisms

It is important that all partnership agreements, whether formal or informal, specify the quality and quantity of deliverables by CARE, partners and duty-bearers. In addition, appropriate accountability mechanisms and reporting relationships must be established and well understood by all. The CBA project should ensure that its stakeholders, (including target communities, partner organisations, governments and CARE staff) have safe ways for voicing their fears and concerns. Downward accountability mechanisms must be incorporated in the project strategy. This means that the organisation and partners implementing the project must account for project activities as well as major decisions not only to donors, the government, and other organisations, but also to the target communities.

Implementation Step 2.3: Regular follow-up and monitoring of the effectiveness of partnership

To ensure that established partnerships continue to function effectively during the CBA project, it is important for the lead organisation to conduct regular follow up and monitoring with partners. Pages 24 and 25 of **The Basics of Project Implementation: A Guide for Project Managers** (http://www.careclimatechange.org/files/toolkit/CARE_Project_Implementation.pdf) information and tools for monitoring of project partners. Reviewing performance and financial reports, performing site visits, convening regular meetings, maintaining regular contact, and arranging for agreed upon procedures and partners' engagement in certain activities e.g. emergency response and implementation of contingency plans should be undertaken.

Regular follow up and monitoring of partners ensures project operations and deliverables. It also enables the team to effectively deal with emerging challenges in a timely manner.

IMPLEMENTATION STEP 3: Developing capacity of staff and partners

CBA is a relatively new area, and currently, the existing technical capacity in this field of work is fairly limited, particularly in developing countries. It is important that CBA projects undertake capacity development on climate change adaptation among project staff and partners. The anticipated increase in the frequency and severity of climatic and other related hazards also necessitates capacity development in disaster risk reduction; including emergency preparedness among stakeholders.

Partnerships with local institutions (governmental and non-governmental) should explicitly seek to develop their capacity to analyse vulnerability and facilitate community based adaptation. Where appropriate, they should be guided to incorporate climate change in their plans. The lead organisation should also take advantage of partnerships to build its own capacity on CBA where appropriate.

USEFUL RESOURCE

The CARE Partnership Manual
(www.careclimatechange.org/files/toolkit/CARE_Partnership_Manual.pdf)
Among other things highlighted earlier, The CARE Partnership Manual also touches on issues of capacity assessment.

Implementation Step 3.1: Evaluate existing capacity of staff and partners

The lead organisation together with partners should undertake an evaluation of existing capacity in CBA and project management among staff and partners. This includes experience with building resilient livelihoods, building capacity and empowering target communities and local organisations, reducing disaster risk, and addressing the underlying causes of vulnerability. The evaluation will help the project teams to identify existing strengths and capacity development needs.

You can refer to pages 72 to 76 of the **The CARE Partnership Manual** (www.careclimatechange.org/files/toolkit/CARE_Partnership_Manual.pdf), which take readers through two capacity assessment tools, namely: the organisational capacity self-assessment and the institutional analysis of strengths, opportunities, weaknesses and threats (SWOT).

Implementation Step 3.2: Identify priorities for capacity development

From a long list of capacity development requirements, project team and partners would need to identify priority needs, and subsequently work towards addressing them. In addition to capacity development in the four key elements of CBA outlined in Step 3.1 above, it may be important for staff and partners to be trained in conflict resolution, gender and diversity and information & knowledge management (see Implementation Step 5).

Implementation Step 3.3: Develop capacity building strategy

Based on the priorities for capacity development, the project team would need to formulate a capacity development strategy that documents: priority capacity needs, technical expertise required to address identified needs (and where they might be found), financial and other resources needed for capacity development, and timelines for specific capacity development activities. In addition, a system for monitoring the effectiveness of capacity building initiatives in the CBA project should be developed and documented. Indicators of the impacts of capacity building on the CBA project should be developed. Please note that different capacity development activities may need to be targeted at different groups. For example, training for the project team on emergency preparedness may differ from that for community groups.

The CBA project team and partners would subsequently undertake capacity development activities according to the strategy. Ideally, capacity development in CBA should be done through thematic training workshops e.g. on emergency preparedness, climate change vulnerability; analysis, interpretation and use of weather information for livelihood planning; effective design, implementation and monitoring of CBA, and integration of climate change adaptation into relevant policies and plans. In addition, continuous on-the-job training on all aspects of CBA should be supported and facilitated. Capacity development should foster an internal culture that encourages innovation, the airing of disparate views, and critical review.

Implementation Step 3.4: Monitor effectiveness of capacity development and adjust strategy accordingly

The CBA project team, partners, target communities and if possible, the technical experts engaged in capacity development, should work together to monitor the impacts of capacity building on CBA projects. The lead organisation should spearhead monitoring by putting in place a performance management system for staff and partners.

All project implementers should identify and document changes in the project's operations and target communities that can be attributed to capacity development. These should also be disseminated to facilitate shared learning.

IMPLEMENTATION STEP 4: Monitoring context and adjusting project approach

Because of the changing nature of societies and environments, and the uncertainties associated with climate change, it is important that CBA projects undertake systematic and regular monitoring of endogenous and exogenous factors that may affect target communities and project investments. Outcomes of monitoring should inform adjustments to project activities. These adjustments should aim to minimise the negative impacts of changes and sustain desired project results and impacts.

RECOMMENDED TOOLS

Climate Context Monitoring Tool
(www.careclimatechange.org/files/toolkit/Climate_Context_Monitoring_Tool.pdf)
The Climate Context Monitoring Tool is a simple set of questions which can be used to track changes in the climate context over the life of the project, and to plan adjustments to the project in light of these changes. It can be used as part of regular progress reviews, and the resulting information can be integrated into project progress reports.

Implementation Step 4.1: Establish mechanisms for monitoring context

To ensure the effectiveness of a CBA project, the team should put in place clear and appropriate mechanisms for monitoring context. To begin with, the project team should monitor climate variables that may affect project success. To do this, the team would need to access and utilise seasonal weather forecasts and climate projections. The relevant data and information could be accessed from the national meteorological agency, the **Famine Early Warning System Network** (http://www.fews.net/Pages/default.aspx), or the **UNDP Climate Change Country Profiles** (http://country-profiles.geog.ox.ac.uk/).

It is also important for the team to continuously monitor changes in various factors and conditions that might impact communities and project investments. These include changes in the bio-physical environment, socio-economic trends, and demographic conditions, which could exacerbate the vulnerability of communities.

Changes in the availability and accessibility of water, land and other natural resources; financial resources such as money and other liquid assets; social institutions and safety nets; population numbers and dynamics, as well as changes in resource demand, use and consumption should be monitored. For example, with increasing drought, some of the traditional social institutions and safety nets that could otherwise serve as effective adaptation agents among pastoralists have become weak. The prevailing policies and political situation in the project area should also be monitored. In instances where there is poor policy implementation, political instability and conflict, it would be difficult to effectively implement

your CBA project. It may be necessary to adjust project activities and increase efforts in advocacy and peace building to deal with negative changes in political and policy contexts.

Implementation Step 4.2: Review and update project strategy and implementation plan

Managing a CBA project requires flexibility in management and resource allocation, as well as regular review of project performance. As a good principle of project management, the team should regularly review and revise the project implementation plan in view of climatic, environmental, socio-economic and political changes. The CBA project's knowledge and information management system should also be reviewed regularly. When significant changes in context occur, these should be reflected in revisions of the knowledge and information management system.

Review and adjustment of the project implementation plan and approach helps the project to better address unforeseen constraints. In addition, the project team will be able to identify and make good use of emerging opportunities. For example, a CBA project in a drought-prone area that is increasingly experiencing flooding due to climate change could invest in more water conservation infrastructure to store surface run off. The stored water could sustain communities over a longer period during the dry season and/or subsequent drought.

CBA project strategies and activities should be adjusted to achieve adaptation and development goals under changing contexts and conditions.

IMPLEMENTATION STEP 5: Ensuring sensitivity to gender and diversity in project operations

During the implementation stage, sensitivity to gender and diversity in project operations will enable the CBA project to adequately address key needs of different groups.

USEFUL RESOURCE

CARE International Gender Equity Building Blocks
(http://www.careclimatechange.org/files/toolkit/Gender_equity.pdf)
This resource kit aims to facilitate the integration of gender equity considerations into the project cycle. It covers the entire project cycle, including the implementation stage, providing guidance, checklists and tools for mainstreaming gender equity into projects.

Implementation Step 5.1: Ensure that project logistics take into account needs and constraints of women and marginalised groups

The CBA project's logistics, such as location and timing of project activities, should take into account needs and constraints of women and marginalised groups. For example, the timing of the implementation of project interventions should be planned in a way that facilitates full and active participation of women and marginalised groups. Thus, capacity development activities should be held at times of the day and year when women and other special groups are not typically engaged in important household or community activities such as clan meetings. Finding a location for meetings and training activities where women and marginalised groups feel comfortable is also important.

The most effective way to ensure that project logistics take into account groups with particular needs is to ensure ongoing engagement of project stakeholders, particularly vulnerable groups, in planning project activities.

Implementation Step 5.2: Review human resource needs of female and marginalised staff members

At community level, it is likely that there will be a number of project staff who come from the target area. Not only does this enhance the sense of ownership of the project by the community, but it could also help facilitate better understanding of the socio-economic and cultural characteristics of the community. It is important to have a good mix of male and female staff working on the CBA project. This would facilitate more open communication and in-depth analysis on particular issues affecting men and women. In communities with groups that are marginalised, having staff from these groups can also help to ensure that the project works effectively with these groups.

The project should ensure that female staff members are provided with the resources they need to carry out their work. For example, female community facilitators may need vehicles rather than bicycles to travel to communities in conservative areas. In addition, the project should ensure that all staff work in a safe environment and that special needs of women, such as for child care, are taken care of to promote efficiency in job performance.

Implementation Step 5.3: Support partners in increasing sensitivity to gender and diversity in management and operations

The lead organisation should seek to embed positive principles and practices of sensitivity to gender and diversity among partners. This could be done through training, joint engagement in advocacy and social mobilisation, and support in organisational development. In addition, the learning-by-doing approach is an effective way of incorporating gender and diversity in project management and operations among partners. For example, through engagement in the CBA project, partner organisations could incorporate aspects of gender and diversity into their policies and other project implementation plans.

IMPLEMENTATION STEP 6: Emergency preparedness

The reality of climate change is that extreme weather events such as floods, droughts and cyclones are becoming more frequent and intense. Without adequate planning, these events can lead to disasters, which can cause major setbacks in progress of CBA initiatives, and divert precious human and financial resources away from planned initiatives to respond to the emergency. All CBA projects would benefit from ensuring that the possibility of disasters has been considered, and that the project team is prepared to deal with their consequences.

USEFUL RESOURCE

Being Ready: A Guide to the Emergency Preparedness Planning Process
(http://www.careclimatechange.org/files/toolkit/CARE_Being_Ready.pdf)
This guide is a useful resource written by CARE International on emergency preparedness planning. It provides guidelines on the process of planning for emergency preparedness. This encompasses effective mitigation, preparedness and response to disasters that saves lives, diminishes further suffering and reduces the effects of disasters.

Implementation Step 6.1: Ensure that project staff are familiar with the Country Office Emergency Preparedness Plan (EPP)

It is important to consider and make provisions for emergencies in the CBA project. This will help to reduce the intensity of negative impacts of hazards on the community and project. The team should develop and regularly update Emergency Preparedness Plans at the project office. The project should ensure that all staff are familiar with the Emergency Preparedness plan.

Implementation Step 6.2: Build staff and partner capacity in emergency preparedness and response

Project staff, partners and selected target community members should periodically be trained on emergency preparedness and response. The principles of humanitarian accountability, including the **SPHERE standards** (http://www.sphereproject.org/) should also be imparted among key project staff. Ideally, training should incorporate simulations of emergency situations to test the level of preparedness and effectiveness of participants' response measures. In addition, principles such as respect for the culture and rights of communities should be upheld throughout the training.

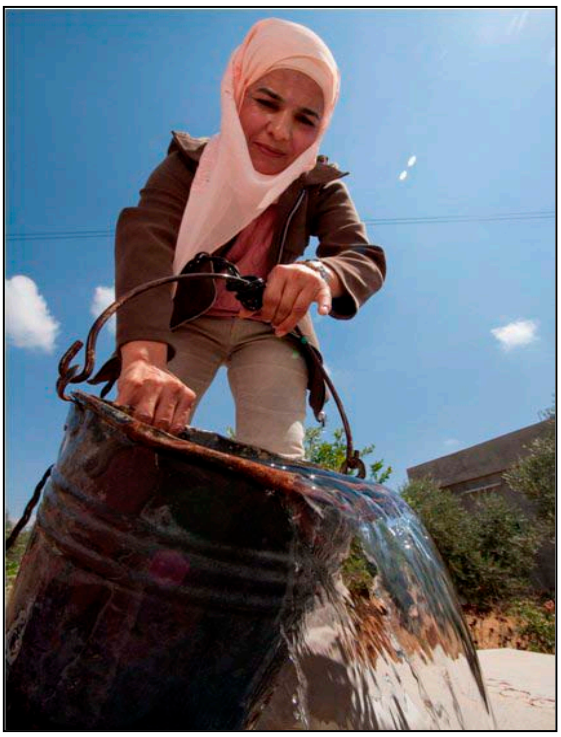
Capacity building in emergency preparedness should incorporate timely access to, and effective use of early warning information for hazards.

Implementation Step 6.3: Incorporate contingency planning into project implementation plan

The project team should develop contingency plans that clarify alternative actions to be taken by project staff to deal with sudden or emerging risks (including hazards and unexpected changes in context). Effective contingency planning would ensure that emergencies do not completely derail planned activities, outputs and outcomes. In addition, the allocation of contingency resources should enable the project to respond to crises efficiently and with minimal disruption to ongoing activities.

Step-by-Step Guidance on Information & Knowledge Management

This section provides detailed guidance on managing information & knowledge throughout your CBA project cycle. It walks you through the key steps in Information & Knowledge Management (I&KM), providing explanations, examples, and recommended tools and resources to assist you along the way.



Josh Estey ©CARE

Following these steps will help you develop an Information & Knowledge Management system that meets the CBA Information & Knowledge Management Standards. Note that Information & Knowledge Management runs throughout the project cycle, and so these steps should be undertaken alongside the appropriate steps in the other stages of the project cycle – Analysis, Design and Implementation. Also, it is not necessary to follow the steps in sequence as they are presented here – it is likely that you will undertake several steps simultaneously.

The key steps in Information & Knowledge Management are:

[Open **Step-by-Step Information & Knowledge Management** section – http://www.careclimatechange.org/files/toolkit/Step-by-Step_I&KM.pdf]

INFORMATION & KNOWLEDGE MANAGEMENT STEP 1: Developing an Information & Knowledge Management System

A project Information & Knowledge Management (I&KM) system is an integral component of project management, particularly within the context of climate change where the context is constantly evolving, and there may be necessary trade-offs between different objectives. The project I&KM system includes, but is not limited to, the monitoring and evaluation (M&E) system. Generally, I&KM for CBA projects should apply the same principles and practices as for development projects. The following sections highlight issues that are unique to CBA and/or that are particularly important in the context of CBA projects.

USEFUL RESOURCES

CARE Project Management Information Systems: Guidelines for Planning, Implementing and Managing a DME Project Information System
(http://www.careclimatechange.org/files/toolkit/CARE_DME_Project.pdf)
These CARE guidelines document the process of developing and using a project information system. They include helpful information on different types of information and potential users, as well as advice on planning and implementing project information systems to improve project management and promote knowledge building and sharing.

CARE Project Design Handbook
(www.careclimatechange.org/files/toolkit/CARE_Project_Design.pdf)
Chapters 5 and 6 of the CARE Project Design Handbook focus on Information & Knowledge Management Systems, providing guidance on developing coherent information systems and on reflective practice.

I&KM Step 1.1: Analyse information and knowledge needs

In order to be effective in managing information as a resource, the I&KM system must meet the information needs of all stakeholders. This includes donors, but the system should not focus solely on donor requirements, as is often the case. Therefore, the I&KM system should be developed based on analysis of the information & knowledge needs of donors, the project team, partner organisations, target populations and other institutions, including governmental and non-governmental organisations in the project area as well as the broader adaptation and development community.

I&KM Step 1.2: Design a system for information & knowledge management

Information & knowledge management are critical components of project design. In order to be effective, I&KM systems should be as simple as possible while meeting the information & knowledge needs of all stakeholders. I&KM is a constant effort and must not be driven by donor requirements, but by project needs to improve impact and learn from the experiences. Monitoring & evaluation is a major component (see I&KM Step 2), but I&KM is broader than this.

The I&KM system must clearly define what data will be collected and by what methods. It must outline how data will be analysed to generate the information needed by different stakeholders. The cost, effort and time spent in collecting and analysing data must be balanced against the relevance and importance of the information that can be generated from analysing the data. To maximize the usefulness of information, project I&KM systems should be linked to a broader programme or country-level information framework where possible.

One of the most important elements of a good I&KM system is a clear and simple protocol for storing information, whether electronically or in hard copy. All members of the project team need to know where information is stored, how they can retrieve it, and how to use it effectively.

Because CBA is a relatively new area, it is critical that the I&KM system put in place mechanisms to facilitate the conversion of information to knowledge. “Knowledge is richer and broader than data and information. It is a fluid mix of experiences, values, contextual information, and insight that provides a framework to evaluate and incorporate new experiences and learning.” [1] This involves creating explicit opportunities for reflection and learning among the project team, partners and other stakeholders. These opportunities should allow for discussion of any changes to the context, evaluation of lessons learned from project implementation, and adaptation of the project approach where necessary (see Implementation Step 3).

In addition to building knowledge within the project team and stakeholders, the I&KM system must set out clear protocols for documenting and disseminating project knowledge (see I&KM Step 3). This should incorporate measures to share knowledge across projects, programmes and externally, both within the project country and internationally where appropriate.

It is important that the information system is periodically reviewed and adjusted as necessary to ensure that it is meeting the needs of all stakeholders.

I&KM Step 1.3: Develop capacity for information & knowledge management

In order for it to be effective, information and knowledge management must be the responsibility of all project staff, including partners. For this to work, the project team must understand the value of information and knowledge, and must be clear on their roles and responsibilities for managing this valuable resource. I&KM must be viewed as a fundamental part of each team members' job description, not an "extra."

Capacity development for effective information & knowledge management is an integral strategy for project success. This means that project teams must have access to relevant technical expertise, guidelines, training and technologies to fulfil their roles and responsibilities in this area. As well, project teams must be provided with opportunities and flexibility to use information to make decisions, build knowledge and improve CBA project results.

[1]CARE, 2004. Project Management Information Systems: Guidelines for Planning, Implementing and Managing a DME Project Information System.

INFORMATION & KNOWLEDGE MANAGEMENT STEP 2: Monitoring & evaluation of project achievements

A project monitoring & evaluation (M&E) system is focused on tracking project inputs, activities and results. It is often oriented towards donor reporting, however good M&E is more comprehensive than this, and is designed to facilitate learning while monitoring & evaluating the project achievements.

RECOMMENDED TOOLS

Framework of Milestones and Indicators for Community-Based Adaptation (CBA)
(http://www.careclimatechange.org/files/toolkit/CBA_Framework.pdf)
CARE's Framework of Milestones and Indicators for CBA builds on the CBA framework, which presents a range of "enabling factors" which must be in place at household/individual, community/local and national levels in order for effective community-based adaptation to take place. The tool includes milestones and indicators that can be used in tracking progress towards the achievement of the enabling factors.

National Adaptive Capacity Framework
(http://pdf.wri.org/working_papers/NAC_framework_2009-12.pdf)
This framework was developed to assist in identifying strengths and gaps in adaptation capacities at the national level in different countries. This can act as a basis for identifying indicators of adaptive capacity at the national level. For more information: http://www.wri.org/project/vulnerability-and-adaptation/nac-framework.

I&KM Step 2.1: Identify performance indicators for project results and processes

Evaluating the results in a CBA project requires us to consider indicators of achievement that may be new or different from the types of indicators we typically use to monitor & evaluate development projects. Indicators for CBA projects must assess improvements in adaptive capacity in the areas of: climate-resilient livelihoods, disaster risk reduction, local capacity development and addressing underlying causes of vulnerability. This may involve indicators that are more process-oriented than the usual project indicators, given that adaptation is often about building capacity to manage uncertainty. In keeping with our focus on creating an enabling environment for adaptation, indicators should also examine changes in the policy and institutional environment that create opportunities for adaptation, and that may be attributed to project activities.

Good monitoring & evaluation for CBA uses a combination of both quantitative and qualitative indicators, and examines differences in results for different vulnerable groups, disaggregated by gender and by other important determinants of vulnerability. The indicators must clearly track progress towards achievement of the expected results (see Design Step 2.3). For indicators to be useful, they must be linked to the correct result level, and must be SMART: simple, measurable, achievable, realistic and time-bound.

USEFUL RESOURCE

CARE Project Design Handbook
(www.careclimatechange.org/files/toolkit/CARE_Project_Design.pdf)
The CARE Project Design Handbook provides helpful descriptions of different types of indicators, as well as guidance on monitoring & evaluation.

I&KM Step 2.2: Establish the baseline

Once indicators have been identified, the next step is to establish the baseline. The baseline allows us to measure changes in the indicators over the life of the project. It also establishes the data sources and collection methods that will be used in monitoring the project.

For CBA projects, the baseline often provides an evaluation of the existing adaptive capacity of target groups, allowing project teams to monitor changes in adaptive capacity over the life of the project. Ideally, the analysis stage has provided a basis for this (see in particular Analysis Steps 3, 4 and 5). However, it is likely that further assessment will be needed in order to have a complete picture of the baseline adaptive capacity of target groups, and to evaluate those parameters that relate to specific project objectives and expected results. In particular, you may need to do more comprehensive studies to collect quantitative information against which progress can be tracked, and to gather data from a larger sample of the target population. It may also be important to further disaggregate the data based on information arising through the analysis stage.

Planning of the baseline (and subsequent monitoring) is critical to maximise efficiency and effectiveness, and to minimise the burden on project teams and stakeholders. It is important that the baseline gathers only data that is needed and will be analysed and used by the project team and stakeholders. When CBA projects are working in communities where CARE already has a presence, the first step should be to evaluate what data and information is already available from other projects, how this information can be used within the baseline of the CBA project, and what the gaps are. This will allow the design of a baseline that focuses on the specific issues of importance to the CBA project, and avoids project stakeholders having to provide the same information repeatedly.

I&KM Step 2.3: Monitor progress

The monitoring system is an important element of the overall I&KM system established in I&KM Step 1. Effective monitoring is structured and systematic, and fosters participation by project stakeholders in data collection and analysis. Participatory systems must in particular ensure that they are sensitive to the needs and priorities of women and marginalised groups, creating a “safe” space for all stakeholders to provide their perspectives. It is important that the monitoring system incorporates clear and specific strategies for tracking results, and that it examines both intended and unintended impacts of project activities. As previously mentioned, monitoring of CBA may involve monitoring processes as well as results, requiring different approaches and data collection methods.

In the context of CBA projects, it is important to monitor changes to the context, particularly the climate context, and to adjust the project approach and strategies accordingly. For more information on monitoring the context, please see Implementation Step 4.

I&KM Step 2.4: Evaluate achievements

Evaluations are used to assess project achievements, as well as to determine whether the priorities and needs of the target populations were met. Evaluations may be conducted at strategic points during the life of the project, or at the end of the project to determine whether its objectives were met. Evaluations also generally look at unexpected results of project activities.

Because adaptation is a process rather than an end state, it can be complex to evaluate. This is further complicated by the medium- to long-term timeline of climate change, which makes it difficult to evaluate whether people are adapting to climate change within the timeframe of typical CBA projects. Therefore, evaluations in CBA projects will typically assess changes in adaptive capacity of target groups, as well as improvements in the enabling environment for adaptation at the local level. They may also assess how effectively people are managing current climate variability as an indicator of capacity to manage longer-term changes in climate.

INFORMATION & KNOWLEDGE MANAGEMENT STEP 3: Documentation and dissemination

Documentation and dissemination of information & knowledge resulting from CBA projects is a critical component of project management. The process of documenting the project involves not only documentation of results, but also analysis, processes, methodologies and key project decisions. Project information & knowledge should be disseminated to key stakeholders using the means most appropriate to the target audience.

USEFUL RESOURCES

There are a number of adaptation-specific information sharing networks that may provide platforms for disseminating information and knowledge gained by CBA projects. The following are some key examples of web-based platforms.

The Community-Based Adaptation Exchange (http://community.eldis.org/cbax/)
This website provides a platform for knowledge and information sharing on climate change adaptation. It has sections on tools, news, events, case studies, policy resources and videos on Community-Based Adaptation.

weADAPT (www.weadapt.org)
This website is a collaborative knowledge platform that provides climate change adaptation guidance by pooling expertise from a wide range of organisations that contribute to adaptation science and practice. The weADAPT platform includes a suite of new and innovative tools and methods, datasets and experiences that is a resource for strengthening the capacity of those tasked with undertaking adaptation

Adaptation Atlas (http://www.adaptationatlas.org/)
The Adaptation Atlas is a mapping tool that brings together data on the impacts of climate change and on adaptation activities, particularly focused on the themes of food, water, land, health and livelihoods. It is intended to help researchers, policymakers, planners and citizens to establish priorities and act on adaptation.

AfricaAdapt (www.africa-adapt.net)
AfricaAdapt is an independent bilingual network (French/English) that seeks to facilitate the flow of climate change adaptation knowledge for sustainable livelihoods in Africa. It is for researchers, policy makers, civil society organisations and communities who are vulnerable to climate variability and change across the continent.

I&KM Step 3.1: Ensure effective documentation

As CBA is a "new" area, documentation and dissemination of experiences is of utmost importance. This includes documentation of project achievements in progress reports to donors (see the **Project Progress Report Checklist** [http://www.careclimatechange.org/files/toolkit/CBA_Progress_Report.pdf] for guidance on this). However, it is much broader than this.

Project teams will need to identify appropriate means of documenting project approaches, results and lessons learned, in order to reach a wide range of stakeholders. As with development projects, interested stakeholders will include target communities, local government and civil society organisations in the project area, national-level policymakers and colleagues, both within CARE and in peer organisations. However, for CBA projects, project teams may also want to consider the broader adaptation community, which includes decision-makers in multilateral organisations, international NGOs, research institutions, knowledge sharing networks and stakeholders in other countries facing similar adaptation challenges.

To reach this broad range of stakeholders requires a range of different methods for documenting project information and knowledge. This may include reports, journal articles, presentations and audio-visual materials. In developing project documentation, project teams must consider the audience, their information and knowledge needs, and the most appropriate messaging and communication methods to reach them.

I&KM Step 3.2: Disseminate project information & knowledge

Documenting project experiences is only the first step in sharing information and knowledge gained through the implementation of CBA projects. The information & knowledge management strategy must also include dissemination of project documentation to targeted stakeholders. This may include printed publications, presentations at workshops and conferences, academic journals and web dissemination. To reach the international adaptation community, there are a number of relevant networks and websites that provide platforms for sharing information on CBA. The most relevant of these are presented in the Recommended Resources above.

QUICK LINKS

CBA Tools

There are a large number of tools and methodologies being developed to guide the development of adaptation initiatives. In this section, we recommend the tools that are most relevant and useful in following the CBA Project Cycle.

It is important to acknowledge that there are some steps in the CBA project cycle where appropriate tools have not yet been developed. We will continue identifying and developing new tools to fill these gaps.

ANALYSIS

Climate Vulnerability and Capacity Analysis (CVCA) Handbook
(http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf)
The **CVCA Handbook** provides guiding questions, tools and resources for analysis of climate vulnerability and adaptive capacity at household/individual, community and national levels.

Community-based Risk Screening Tool – Adaptation and Livelihoods (CRiSTAL)
(http://www.cristaltool.org/content/download.aspx)
CRiSTAL is a screening tool designed to help project designers and managers integrate risk reduction and climate change adaptation into community-level projects. CRiSTAL was developed by the International Institute for Sustainable Development (IISD), the International Union for Conservation of Nature (IUCN), the Stockholm Environment Institute (SEI-US) and Intercooperation. Module 1 is useful for analysis, as it helps project planners and managers understand the links between livelihoods and climate in their project areas.

DESIGN

Community-based Risk Screening Tool – Adaptation and Livelihoods (CRiSTAL)
(http://www.cristaltool.org/content/download.aspx)
Module 2 of CRiSTAL focuses on planning and managing projects for adaptation. It identifies resources that are vulnerable to climate change, and those that are important to coping. It also takes users through a process of identifying project activities to increase resilience to climate change.

Climate Change and Environmental Degradation Risk and Adaptation Assessment (CEDRA)
(http://tilz.tearfund.org/Topics/Environmental+Sustainability/CEDRA.htm)
ield Tool Checklist Tearfund has developed CEDRA to help development workers to access and understand the science of climate change and environmental degradation and to compare this with local community experiences of climate change, providing a basis for planning adaptation measures. The Field Tool Checklist provides a broad list of possible impacts of climate change and environmental degradation, and suggests possible adaptation options.

Framework of Milestones and Indicators for Community-Based Adaptation (CBA)
(http://www.careclimatechange.org/files/toolkit/CBA_Framework.pdf)
CARE's Framework of Milestones and Indicators for CBA builds on the enabling factors in the CBA framework, providing milestones and indicators for the achievement of the enabling factors at household/individual, community/local and national levels. The enabling factors and milestones may be helpful to project teams in identifying expected results for CBA projects. It provides users with a broad understanding of the range of strategies that may be appropriate within CBA projects, depending on the specific context.

IMPLEMENTATION

Climate Context Monitoring Tool
(www.careclimatechange.org/files/toolkit/Climate_Context_Monitoring_Tool.pdf)
The Climate Context Monitoring Tool is a simple set of questions which can be used to track changes in the climate context over the life of the project, and to plan adjustments to the project in light of these changes. It can be used as part of regular progress reviews, and the resulting information can be integrated into project progress reports.

INFORMATION & KNOWLEDGE MANAGEMENT

Framework of Milestones and Indicators for Community-Based Adaptation (CBA)
(http://www.careclimatechange.org/files/toolkit/CBA_Framework.pdf)
In addition to presenting enabling factors for CBA, and milestones related to these enabling factors, the tool includes indicators that can be used in tracking progress towards the achievement of the milestones and enabling factors.

National Adaptive Capacity Framework
(http://pdf.wri.org/working_papers/NAC_framework_2009-12.pdf)
This framework was developed to assist in identifying strengths and gaps in adaptation capacities at the national level in different countries. This can act as a basis for identifying indicators of adaptive capacity at the national level. For more information: http://www.wri.org/project/vulnerability-and-adaptation/nac-framework.

CBA Resources

The following resources may be helpful to you in following the CBA Project Cycle.

ANALYSIS

UNDP Climate Change Country Profiles (http://country-profiles.geog.ox.ac.uk/)
These country climate change profiles were developed for 52 developing countries. They comprise of country level climate observations and provide multi-model climate projections for different parts of each country featured.

National Adaptation Programmes of Action (NAPAs)
(http://unfccc.int/cooperation_support/least_developed_countries_portal/submitted_napas/items/4585.php)
The NAPAs document climatic trends, and key vulnerabilities to climate change for relevant sectors. They list existing, as well as potential adaptation activities for each sector. The NAPAs also list and profile priority adaptation projects identified by the respective Least Developed Countries.

Climate Change 2007: Impacts, Adaptation and Vulnerability. Contribution of Working Group II to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change
(http://www.ipcc.ch/ipccreports/ar4-wg2.htm)
This report highlights impacts of climate change in different parts of the world, on sectors and resources such as water, agriculture, human health and settlements among others. It describes factors that exacerbate vulnerability to climate change and provides adaptation options.

National Communications to the UNFCCC (http://unfccc.int/national_reports/non-annex_i_natcom/submitted_natcom/items/653.php)
These country reports document national circumstances, climate change impacts, and vulnerability assessments by sector. They also list priority climate change mitigation and adaptation projects identified by respective countries.

World Bank Climate Change Data Portal (http://sdwebx.worldbank.org/climateportal/)
This Data Portal provides readily accessible country-level climate-related data to policy makers and development practitioners. Using a map interface, users can select their country of interest and access information on climate projections, climate change impacts on different crops and sectors, socio-economic data and other relevant studies and resources for the selected country. The portal also provides access to a screening tool called ADAPT (Assessment and Design for Adaptation to Climate Change: A Planning Tool), which assists in the idetnfication of activities sensitive to the effects of climate change.

The Nature Conservancy's Climate Wizard (http://www.climatewizard.org/)
The Climate Wizard is a visual tool that allows users to view historic temperature and rainfall maps for anywhere in the world, as well as future predictions of temperature and rainfall in a given area. With this information, users can assess how climate has changed over time and project what future changes may occur.

Adaptation, gender and women's empowerment
(http://www.careclimatechange.org/files/toolkit/CARE_Gender_Brief_2010.pdf)
This CARE Climate Change Brief explains why gender is an important consideration in vulnerability to climate change, and identifies how gender roles, control over resources, and power play a role in people's adaptive capacity.

DESIGN

CARE International Project Standards
(http://www.careclimatechange.org/files/toolkit/CARE_Project_Standards_May02.pdf)
The Project Standards are a quality assurance tool for all CARE projects and programmes. They are designed to guide the work of project designers; provide a checklist for approval of project proposals; and to offer a tool for periodic project self-appraisal and evaluation.

CARE Unifying Framework for Poverty Eradication & Social Justice & Underlying Causes of Poverty
(www.careclimatechange.org/files/toolkit/CARE_Unifying_Framework_Jan05.pdf)
The Unifying Framework was developed to clarify the linkages between different CARE approaches, including household livelihood security, rights-based approaches and gender and diversity. The framework demonstrates how these and other approaches and lenses come together in a complementary and very powerful way. The Unifying Framework is a helpful resource in identifying project goal and objectives.

CARE International Programme Principles
(www.careclimatechange.org/files/toolkit/CARE_Programme_Principles_Feb04.pdf)
These six principles represent the key principles that CARE International has committed to across all of its programmes. They define how we will work as an organisation to achieve our vision and mission.

CARE Project Design Handbook
(www.careclimatechange.org/files/toolkit/CARE_Project_Design.pdf)
This very practical handbook is a guide to translating CARE's vision, principles and values into action through logical design of projects and programmes. The Handbook introduces a conceptual framework, or roadmap, to programme and project planning.

Participatory Learning Action: Community-based Adaptation to Climate Change
(http://www.iied.org/pubs/pdfs/14573IIED.pdf)
This issue of the Participatory Learning Action journal includes articles, case studies and participatory tools based on practical experiences with CBA.

Adaptation, gender and women's empowerment
(http://www.careclimatechange.org/files/toolkit/CARE_Gender_Brief_2010.pdf)
This CARE Climate Change Brief provides a basic overview of gender transformative approaches to adaptation, and the specific role of women's empowerment in this process. It includes concrete examples from adaptation projects in Bangladesh, Tajikistan and Ghana.

Training Manual on Gender and Climate Change
(http://www.un-ngls.org/spip.php?page=article_s&id_article=1565)
This manual developed by the International Union for the Conservation of Nature (IUCN), the United Nations Development Programme (UNDP) and the Global Gender and Climate Alliance (GGCA) is a comprehensive and practical resource. While oriented towards training, it provides an excellent overview of climate change and gender issues which can be helpful in considering these issues in project design.

Advocacy Tools and Guidelines: Promoting Policy Change: Resource Manual for CARE Programme Managers
(www.careclimatechange.org/files/toolkit/CARE_Advocacy_Guidelines.pdf)
These tools provide a step-by-step guideline for planning advocacy initiatives, as well as advice for successful implementation.

CARE Denmark Rights-Based Approach Guidelines
(www.careclimatechange.org/files/toolkit/CDK_Rights-Based_Guidelines.pdf)
These operational guidelines are designed to help project teams in adopting rights-based approaches (RBA), specifically in the natural resource management sector. They provide helpful background on RBA, as well as specific advice on integrating rights-based approaches into different parts of the project cycle.

Checklist for M&E Resource Requirements
(http://www.careclimatechange.org/files/toolkit/M&E_Resource_Requirements.pdf)
This handy checklist provides guidance on reviewing the project budget to ensure that adequate resources have been allocated for Monitoring & Evaluation.

IMPLEMENTATION

The Basics of Project Implementation: A Guide for Project Managers
(http://www.careclimatechange.org/files/toolkit/CARE_Project_Implementation.pdf)
This handbook developed by CARE provides guidance that will enable managers oversee all components of project implementation in an integrated, holistic manner. If focuses on managing relationships with project stakeholders, managing human and financial resources, facilitating learning, managing risks and ensuring flexibility.

CARE International Programme Principles
(www.careclimatechange.org/files/toolkit/CARE_Programme_Principles_Feb04.pdf)
These six principles represent the key principles that CARE International has committed to across all of its programmes. They define how we will work as an organisation to achieve our vision and mission. It is important to keep these principles in mind when planning for project implementation.

The CARE Partnership Manual
(www.careclimatechange.org/files/toolkit/CARE_Partnership_Manual.pdf)
The Partnership Manual documents the main policies and principles of partnership. In addition, it describes various typologies of partnerships, and provides guidelines for crafting and operationalising partnership strategies. It contains key issues to consider in selecting partners as well as the process of selecting and engaging with them. Finally, it suggests practices that are helpful in establishing and maintaining strong partnerships.

CARE International Gender Equity Building Blocks
(http://www.careclimatechange.org/files/toolkit/Gender_equity.pdf)
This resource kit aims to facilitate the integration of gender equity considerations into the project cycle. It covers the entire project cycle, including the implementation stage, providing guidance, checklists and tools for mainstreaming gender equity into projects.

INFORMATION & KNOWLEDGE MANAGEMENT

CARE Project Management Information Systems: Guidelines for Planning, Implementing and Managing a DME Project Information System
(http://www.careclimatechange.org/files/toolkit/CARE_DME_Project.pdf)
The guidelines document the process for defining, locating, collecting, storing, analysing, sharing and using information to support decision-making, coordination and control in a project.

CARE Project Design Handbook
(www.careclimatechange.org/files/toolkit/CARE_Project_Design.pdf)
Chapters 5 and 6 give guidance on developing coherent information systems and on reflective practice.

The Community-Based Adaptation Exchange (http://community.eldis.org/cbax/)
This website provides a platform for knowledge and information sharing on climate change adaptation. It has sections on tools, news, events, case studies, policy resources and videos on Community-Based Adaptation.

weADAPT (www.weAdapt.org)
This website is a collaborative knowledge platform that provides climate change adaptation guidance by pooling expertise from a wide range of organisations that contribute to adaptation science and practice. The weADAPT platform includes a suite of new and innovative tools and methods, datasets and experiences that is a resource for strengthening the capacity of those tasked with undertaking adaptation

Adaptation Atlas (http://www.adaptationatlas.org/)
The Adaptation Atlas is a mapping tool that brings together data on the impacts of climate change and on adaptation activities, particularly focused on the themes of food, water, land, health and livelihoods. It is intended to help researchers, policymakers, planners and citizens to establish priorities and act on adaptation.

AfricaAdapt (www.africa-adapt.net)
AfricaAdapt is an independent bilingual network (French/English) that seeks to facilitate the flow of climate change adaptation knowledge for sustainable livelihoods in Africa. It is for researchers, policy makers, civil society organisations and communities who are vulnerable to climate variability and change across the continent.

Project Document Checklists

These checklists summarise the detailed framework for integrating adaptation to climate change into easy-to-use checklists that follow the format of typical documents produced during a project cycle – concept paper, proposal, project implementation plan, budget and progress reports. These are meant only as guides. The documents must be tailored to the specific needs and demands of the donor with whom you are working.

- **Concept Paper Checklist**
  - (http://www.careclimatechange.org/files/toolkit/CBA_Concept_Paper.pdf)
- **Project Proposal Checklist**
  - (http://www.careclimatechange.org/files/toolkit/CBA_Proposal.pdf)
- **Project Implementation Plan Checklist**
  - (http://www.careclimatechange.org/files/toolkit/CBA_Implementation_Plan.pdf)
- **Project Budget Checklist**
  - (http://www.careclimatechange.org/files/toolkit/CBA_Budget.pdf)
- **Project Progress Report Checklist**
  - (http://www.careclimatechange.org/files/toolkit/CBA_Progress_Report.pdf)

Frequently Asked Questions

When designing and implementing a CBA project, how can we deal with the uncertainties associated with climate projections?

In view of the uncertainties associated with climate change projections, it is important to identify the range of short- to long-term climate scenarios that may occur in your CBA project's geographical area. The project team should design the CBA project to address the impacts of current climate variability, while at the same time preparing communities to effectively deal with medium to longer term climate impacts. Given that climatic conditions might change in ways that cannot be accurately predicted at this time, the team should develop contingency plans that would enable them to adapt the project to other climate scenarios. For example, a project in a drought prone area that could get wetter with climate change could put in place contingency plans to deal with increased rainfall and possible flooding. In this example, the contingency plans should clearly outline activities that the project would implement to take advantage of increased rainfall and deal with floods. In addition, the plans should identify resources that would be required, indicate what resources are currently available, as well as potential sources of additional support that could be leveraged in the event of increased rain and floods.

How long does it take to apply this Toolkit?

The duration of the application of this toolkit will vary, depending on various factors including: the composition of the project development team (especially the number and technical expertise of the team members), the technical and financial resources available for the analysis and design of the project (including access to required information and technical support), the organisation and coordination of the analysis and design processes, donor requirements (for example the level of flexibility in donor requirements, deadlines for submission of project design documents to donors, the duration of donor commitment to fund the project) among other factors. The duration of project implementation is normally determined during the design stage.

Can we use large scale climate projections to design and implement CBA projects? How can we complement this information?

Yes, we can use large scale climate projections to design and implement CBA projects. The large scale climate projections provide an indication of the general changes in the area's climate over time. This information can help project teams to identify important broad climate-related issues that the project could address. The project should be designed to minimise negative impacts of climate change and take advantage of opportunities that the phenomenon may present. This can be done effectively if there is a good understanding of potential climatic changes and their impacts. Since impacts of climate change are location and context specific, it is also important to obtain information on the impacts of climate change on the target area. This can be done using climate change vulnerability assessment tools such as the Climate Vulnerability and Capacity Analysis (CVCA) tool. These tools would enable the project team to collect information on climatic changes experienced in the project's target area. In addition, they would get a better understanding of the impacts of these changes on the community, how vulnerable the community members are and the factors that contribute to their vulnerability to these changes. For example, climate projections for the larger area may indicate that temperatures and precipitation may increase. The attendant impacts could include increased droughts and floods. The CBA project could be designed to address these impacts. However, when CVCA is applied among the target community, it may be realised that in addition to droughts and floods, the project may need to also adapt to shifting rainfall seasons.

Do I need to be a climate change specialist?
You do not need to be a climate change specialist to conduct an analysis on climate vulnerability and develop a CBA project. However, it would be important to engage climate change experts in your project development. You could either seek to engage with, and obtain advice on scientific and technical aspects of climate change, e.g. climate analyses and its implications for your project's target area from meteorological experts. Alternatively, you could contract a consultant with the relevant expertise to support the team during the analysis and design stages. The project team should endeavour to build their capacity in climate change adaptation as much as possible.

What if the development and implementation of the project costs me more?
The costs of properly developing and implementing a CBA project may appear to be higher than the cost of a comparable development project. However, a good quality CBA project may yield good returns on investments and even result in cost savings in future. Such a project will also build the required capacity to adapt among various stakeholders, contribute towards reducing disaster risks, enhance the practice of climate-resilient livelihoods, and effectively address the underlying causes of vulnerability. These elements would make the CBA project optimally beneficial and sustainable. For example, an agriculture-focused CBA project that invests in crops and seed varieties that can grow under changing climatic conditions such as in shifting rainfall; incorporates water efficient irrigation technologies; builds community capacity to add value to, and preserve food; introduces economic activities outside the natural resources sector; and uses seasonal weather forecasts and early warning information for disasters to plan activities, is likely to succeed in the face of climate change impacts.

What are the specific skills that CBA project teams need to identify, select, implement, monitor and evaluate suitable adaptation options?
The specific skills that staffs need to identify, select, implement, monitor and evaluate suitable adaptation options include skills in: weather and climate analysis, including its translation to the local context; the analysis of climate-livelihood linkages and vulnerability; community mobilisation and facilitation; gender and diversity; disaster risk reduction and disaster management; capacity building, advocacy and policy influence at different levels; economic analysis e.g. cost-benefit analysis of community-based adaptation; project design, implementation and management (including financial and adaptive management); monitoring and evaluation; and information and knowledge management (including synthesis of lessons).

What are the roles of project target groups and local institutions in community-based adaptation?
Project target groups and local institutions should play a leading role in steering the process of CBA. Ideally, they should identify impacts of climate change on their livelihoods, identify priority areas of need and focus, identify a range of potential adaptation options, mobilise available resources such as appropriate indigenous technologies and human resources, and actively engage in the implementation, monitoring and evaluation of adaptation strategies. They should also play a role in capacity building, applying the learning by doing approach in the implementation of new adaptation options, and, as appropriate, engage in information and knowledge sharing as well as policy influence.

Toolkit Team

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We welcome questions and feedback on the Toolkit. These should be addressed to: toolkits@careclimatechange.org.