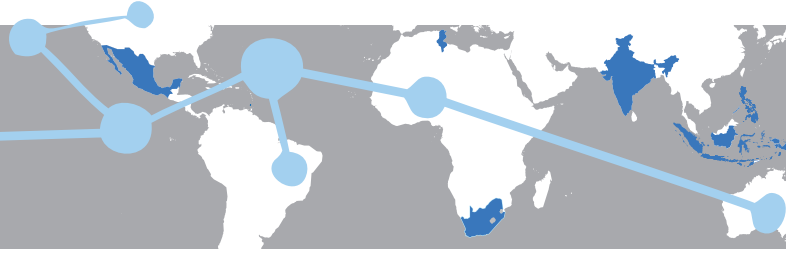


MAINSTREAMING



A closer look at mainstreaming adaptation

■ WHAT IS MAINSTREAMING ADAPTATION TO CLIMATE CHANGE?

Climate change can endanger human health and life – either directly through disasters or by damaging the productivity of critical development resources such as crops and livestock, forest, fisheries and water. To avoid this, we have to consider and anticipate climate change risks when deciding, e.g. where and how to build infrastructure, what crops to plant and when to plant them, what species to reforest, which health services to provide in the future, etc. Thus, the idea of mainstreaming adaptation is to systematically include climate risk and adaptation considerations in decision-making and planning processes instead of only implementing ‘stand-alone’ adaptation measures. This can take place at different levels (international, national, sub-national level; sectoral and project level) and in different areas of decision-making (policy-making, planning, budgeting, implementation and monitoring).

■ WHY MAINSTREAM ADAPTATION?

Climatic impacts on societies that are inadequately or inappropriately adapted to climate change can hamper intended development goals. This point is supported by McKinsey, SwissRe, et al. (2009), who found that in several on-the-ground test cases if current development trends continue to 2030, 1-12 per cent of GDP could be lost. Nevertheless, 40–100 per cent of this impact could be averted through cost-effective adaptation. The destructive impacts of climate change will not be prevented by just adding some extra adaptation measures on top of the status quo. What we do and the way in which we do it has to be put to the test. This does not necessarily mean that fundamental changes are needed, but we should aim for a culture that anticipates climate change risks and makes climate-smart decisions.

■ WHAT ARE DIFFERENT ENTRY POINTS FOR MAINSTREAMING ADAPTATION?

Adaptation-oriented policy guidance such as the OECD’s ‘Integrating Climate Change Adaptation into Development

Co-operation’ pursues the so-called ‘entry point concept’, i.e. that systematic integration of adaptation might happen at different levels and steps of planning and decision-making (see above). Examples of important entry points for adaptation are:

- Integration of adaptation into national/overall plans, investments, programmes and policies;
- Integration of adaptation into a specific sector programme / plan;
- Integration of adaptation into project planning and implementation;
- Integration of adaptation into community level development, community level projects;
- Mainstreaming of adaptation into decision-making in an organisation;
- Adaptation-oriented portfolio screening of development interventions.

Other important aspects for each of these entry points include timing and concrete procedures: When is the next review of a plan or policy? Is a revision of processes coming up, or does climate change justify a separate revision? Where and how exactly can adaptation considerations be integrated? (e.g. through mandatory climate checklists, through expanding assessment procedures to include climate considerations, etc.)

■ HOW TO MAINSTREAM ADAPTATION?

Mainstreaming often takes place in line with the generic steps described in the OECD’s so-called four-step approach (modified):

- 1 Identify current and future vulnerabilities related to a planning or decision context;
- 2 Evaluate need for modifying a plan or decision;
- 3 Identify and select options how to modify a plan or decision/ to integrate adaptation measures;
- 4 Evaluate success of adaptation.

In addition, the broad scope and multi-faceted entry points for mainstreaming explained above imply that there is no

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Federal Ministry for the
Environment, Nature Conservation
and Nuclear Safety

of the Federal Republic of Germany

'blueprint' approach for mainstreaming adaptation into such diverse areas as national policy-making, sectoral planning, or project development. Rather, mainstreaming is supported by a wealth of different methods and tools as shown in the examples below.

- **General assessment tools:** Strategic Environmental Assessment (SEA) for policies and plans as well as Environmental Impact Assessments (EIA) for projects can incorporate reflections on climate-related impacts.
- **Climate specific assessment tools such as climate lens / climate proofing:** A further option might be to systematically scrutinise a plan or programme through a climate related assessment process such as the climate lens (see below) with the aim of modifying the plan to reduce vulnerability. These checks are usually conducted prior to implementation, while Monitoring and Evaluation (see below) takes place during and after implementation.
- **Inclusion of climate information and vulnerability assessment in decision-making:** Planning processes should concretise and document relevant risks from climate change and address them in further plan development, either within assessment tools / processes (see above) or through expert inputs.
- **Modified planning processes:** Planning and decision-making processes could be modified so that the reduction of climate risks is reflected as an integral part of the development and implementation of plans. A useful concept is provided by the four-step approach described in the OECD Guidance.
- **Checklists:** During plan or project development, planners might get guidance through checklists on potential climate risks and options available for addressing them.
- **Reflecting climate change in plan / project assessment and revision:** Monitoring and evaluation (M&E) systems and / or evaluation exercises for plans / projects should include climate change aspects and identify concrete risks and threats for achieving the goals as well as recommend necessary counter-measures.
- **Reflecting climate change in budgeting, financing / investment plans and financing products:** Powerful approaches to promote risk reduction include reserving certain proportions of budgets for adaptation and allocating an adequate budget for concrete adaptation measures. Microfinance and microinsurance schemes help local communities to adapt.
- **Awareness raising / capacity development:** If decision-makers and their advisors are more well-informed about climate risks, this might support decision-making that better reflects climate change issues.
- **Debates and participation processes:** Plan / project proposal consultations, including stakeholders potentially affected through climate change and experts on climate change, might ensure better responses for vulnerability reduction.
- **Cost-Benefit Analysis (CBA) and Multi-Criteria Scoring (MCS):** Analytical tools to support decision-making on the most adequate options for adaptation

measures.

Selecting which tool or approach to use depends on many factors related to the decision-making process itself.

■ WHAT ARE THE MAIN LESSONS?

Mainstreaming adaptation is faced with several challenges. Positively formulated, overcoming these challenges depends on several success factors, and these should be seriously taken into account when designing a mainstreaming process.

Exact entry points and target group

When designing a comprehensive mainstreaming process, it is useful to thoroughly analyse exactly where changes have to take place and who must make these changes in order to allow for climate smart decisions. Are there processes the mainstreaming can build upon (e.g. existing disaster risk assessment)? What are the crucial steps in the decision-making process? Who makes or prepares the decisions?

Information

Adaptation decisions, and therefore mainstreaming as well, have to be based on climate change information. A lack of information is often used as an excuse for not anticipating climate change in decision-making. It is no trivial task to provide the adequate information with the necessary level of detail, in a user-friendly processed manner, and at the right time. The uncertainty of climate change information raises a specific challenge. See also the separate module on information.

Method

Some methods are touched upon above, and there are obviously overlaps among these examples so a sharp distinction is not possible. For a comprehensive approach to mainstreaming adaptation, it is possible to use not just one of these tools, but rather a mix of them. These tools have to be chosen well, based on the needs of the target group of the mainstreaming process and – if necessary – modified in accordance to their demands. Ideally, the tools are (further) developed in a participatory process. The choice of methods should be as simple as possible, but this is always a trade-off with the level of detail.

Institutional dimension

Mainstreaming of climate change adaptation normally concerns a diverse range of actors and institutions, and always entails an institutional change process. It will be necessary to make use of or – if necessary – to design an appropriate institutional set-up that promotes the mainstreaming objective. This could be e.g. a climate change commission, the inclusion of adaptation experts in planning bodies, a mandatory climate check for all new projects, or an arrangement that ensures stakeholder involvement. Again, there is no blueprint for a best solution, but appropriate institutional arrangements should be developed considering the tasks and objectives of plans / pro-

jects as well as the needs/expectations and potential resistance of the target groups. The allocation of tasks is a very important aspect here. It is not possible for every sectoral expert/ decision-maker/ planner to become a climate change expert. Mainstreaming requires a careful balance of providing predefined options, additional external climate change expertise (e.g. from a university), and enabling different sectors and others to do assessments themselves.

Leadership & Resources

The buy-in of an institution's high level management can be decisive. A clear commitment on the need for mainstreaming adaptation can be very supportive, and this also holds true for the financial and human resources made available for this process.

Dealing with resistance

In many contexts, there is an overload of crosscutting issues and therefore a mainstreaming fatigue. Mainstreaming causes additional costs and potential trade-offs with other priorities. Such resistance should be taken very seriously. When designing a mainstreaming adaptation process, it is therefore crucial to create the minimum amount of additional processes/ structures/ work load required for this purpose. Less is often more. Furthermore, incentives have to be built up, e.g. by creating funds for additional costs for adaptation.

Evidence

An evidence base is important to showcase the benefit of mainstreaming adaptation. One needs good stories to tell – if they do not already exist, they should be created in pilots that are ideally jointly implemented with 'champions' from the target group of the mainstreaming process.

Capacity/ Awareness

Institutionalisation of mainstreaming adaptation is not enough. The target group of the mainstreaming process should have the conviction as well as the capacity to include adaptation considerations in their decision-making processes. Therefore, the mainstreaming process should be accompanied by capacity building and awareness campaigns.

What dimensions should be considered when designing a tailor-made approach to mainstreaming adaptation?

NAVIGATOR FOR EXISTING KNOWLEDGE

Taking into consideration the great variety of mainstreaming approaches the inventory of application experiences might support the selection of an appropriate method in a concrete case. Please follow this [link](#) for various Method Briefs on mainstreaming adaptation.

EXAMPLES OF APPLICATION

Example 1: Climate Proofing for Development

Climate Proofing for Development (CP4D) was developed by the former GTZ for use in its advisory services in developing countries. The tool's two main objectives are:

Systematic analysis of climate-related risks that could affect policies, projects or strategies;

Identification and prioritisation of adaptation measures.

CP4D follows a flexible approach that can be adapted to different conditions and contexts in terms of stakeholders and institutions, financial means, time, or existing experience. CP4D follows a four-step approach, and a similar approach has also been applied to GIZ internal procedures.

For further information on CP4D, see the brochure 'Climate Proofing for Development. Adapting to Climate Change, Reducing Risk.'

Lessons learned from example

A relatively simple, well-structured mainstreaming tool propagated within a (donor) organisation can support broader application within the organisation's portfolio and therefore promote mainstreaming throughout all project sectors.

Example 2: Mainstreaming for Investment Planning

GIZ has supported Mali in the integration of climate change issues into planning at project, national, sectoral and local levels, with activities at the various levels being closely interlinked. The Malian Sustainable Land Management stakeholders opted for using Climate Proofing for Development because of its participatory and flexible process-based approach and, above all, because it enables stakeholders who are not computer literate to be included. Following a series of training sessions on the CP4D approach, two projects from the Sectoral Investment Framework were climate proofed on a pilot basis. One project in the Kayes Province, for instance, seeks to encourage the local population to protect natural resources in order to halt advancing desertification. Applying CP4D made it possible to identify several options for action aimed at a more efficient use of resources under a changing climate. These options include the diversification of agriculture through intercropping and the use of adapted varieties, as well as the promotion of efficient water use by collecting and storing rainwater.

Lessons learned from example

- Adaptation mainstreaming through the project portfolio of a whole country can be very effective.
- Participatory approaches provide advantages especially in settings with low pre-knowledge.
- Mainstreaming requires both sectoral and climate expertise. A well-structured, simple approach can help make these different types of expertise (or experts) be understood by all.

Example 3: Capacity Development for Adaptation-Oriented Mainstreaming

Based on the OECD policy guidance, the 'Integrating climate change adaptation into development planning' training was developed by GIZ (with funding from the German Federal Ministry for Economic Cooperation and Development (BMZ)) in close co-operation with OECD and different reviewers from development agencies, NGOs and research institutions from

around the world.

The training course aims to enhance capacities among development actors and institutions in order to mainstream climate change adaptation into development policies and activities at national, local, project and sectoral levels.

Training participants can learn:

- How/where to find climate information and how to use it;
- How to define concrete adaptation options at national, sector, local and project level;
- How to plan and support processes of mainstreaming adaptation to climate change into their institutions.

The training mainly addresses development actors, such as administrative officials in sector agencies and ministries, (inter)national development cooperation staff, local development consultants, NGO and civil society representatives.

The training duration is about 4-5 days, and because of its modularised structure it is very flexible to the participants needs and wishes.

For detailed information on the content of the training, further references are provided below.

Lessons learned from example

- If training is provided to sector experts and decision-makers, their willingness and capabilities to integrate adaptation might be enhanced.
- Training is supportive of adaptation, but not sufficient. It should be supported by institutional, organisational and network-related capacity development. For instance, training should be very targeted. Not everyone has to become an adaptation expert. Expert pools in a region can support this process.

WHERE IS MORE INFORMATION AVAILABLE?

Guidance / Guidelines / Literature

[GIZ/BMZ 2011: Adaptation to Climate Change. New findings, methods and solutions](#)

[OECD Policy Guidance on Integrating Climate Change Adaptation into Development Co-operation](#)

[GTZ 2009: First International Workshop on Mainstreaming Adaptation to Climate Change. Guidance and Tools](#)

[GTZ 2010: Second International Workshop on Mainstreaming Adaptation to Climate Change. Managing Adaptation Processes](#)

[GTZ 2010: Climate Proofing for Development. Adapting to Climate Change. Reducing Risk](#)

GIZ 2012: Climate Change Adaptation in Rural Areas of India (CCA RAI): Examples for climate proofing, financing instruments and capacity development:
<http://www.ccarai.org>

[USAID: Adapting to Climate Variability and Change – A Guidance Manual for Development Planning](#)

AVAILABLE TOOLS, TEMPLATES, WORK FLOWS, WORK SHEETS

Community-based Risk Screening Tool – Adaptation and Livelihoods (CRISTAL)
<http://www.iisd.org/cristaltool>

Assessment and Design for Adaptation to Climate Change (ADAPT)
<http://sdwebx.worldbank.org/climateportal>

UKCIP Adaptation Wizard
<http://www.ukcip.org.uk/wizard>

ORCHID
<http://www.ids.ac.uk/go/research-teams/vulnerability-team/research-themes/climate-change/projects/orchid>

Climate Risk Impacts on Sectors and Programmes (CRISP)
<http://www.dewpoint.org.uk/Article.aspx?ArticleID=901>

AVAILABLE TRAINING COURSES

[Integrating climate change adaptation into development planning. A practice-oriented training based on an OECD Policy Guidance](#)

➔ Discuss about mainstreaming here:
AdaptationCommunity.net



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Imprint

Edited by:
Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH

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March 2013