**Adaptive Social Protection**
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# Making concepts a reality

## Guidance notes for practitioners

December 2012

# Contents

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# Who should use this 'know how' guidance?

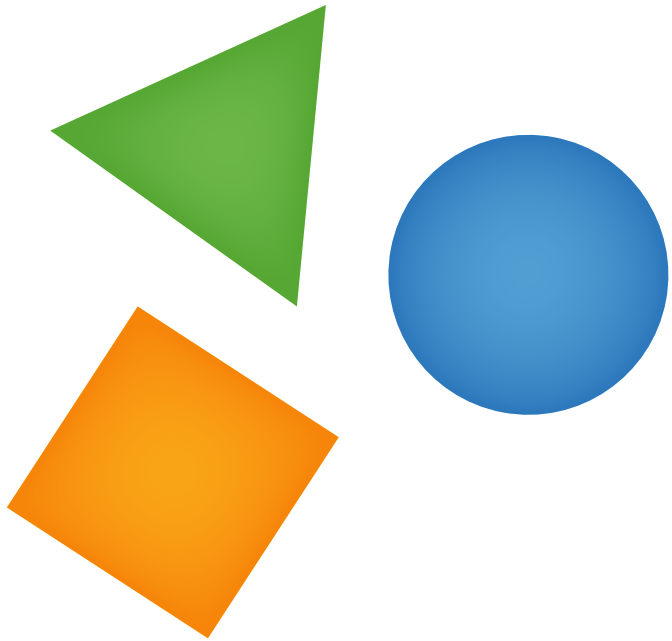
A range of toolkits are currently in existence around incorporating climate change adaptation and disaster risk reduction into development projects and programmes, particularly those concerning livelihoods. Some of these toolkits are profiled in the inventory at the end of this document. Our review has, however, shown that very few of these toolkits are targeted at policymakers and practitioners who are concerned with designing social protection programmes, not to mention those that are also climate adaptive and disaster-resilient. We hope to remedy that here by outlining the process required to incorporate climate change adaptation and/or disaster risk reduction into social protection programmes, thereby ensuring that they become examples of adaptive social protection. This will help to ensure that their achievements and success are not inadvertently undermined by the effects of a changing climate or altered disaster risk profile. It will also ensure that climate change adaptation and disaster risk reduction are mainstreamed through other development interventions – which is arguably the most effective way for them to be implemented.

In these guidance notes, we aim not to reinvent the wheel, but to refer to other sources of information where they exist and are appropriate, whilst still providing a standalone process-based resource that is accessible to social protection practitioners and policymakers.

# Acronyms

| | |
|---|---|
| ADAPT | Assessment and Design for Adaptation to Climate Change: A Prototype Tool |
| ASP | adaptive social protection |
| ADP | Area Development Programme |
| CCA | climate change adaptation |
| CRiSTAL | Community-Based Risk Screening Tool – Adaptation and Livelihoods |
| CSP | Centre for Social Protection |
| CVCA | Climate Vulnerability and Capacity Analysis |
| DFID | Department for International Development (UK) |
| DRR | disaster risk reduction |
| FAO | Food and Agriculture Organization |
| HVCA | Hazard Vulnerability and Capacity Assessment |
| IDS | Institute for Development Studies (UK) |
| IFAD | International Fund for Agricultural Development |
| IISD | International Institute for Sustainable Development |
| IPCC | Intergovernmental Panel on Climate Change |
| NDMA | National Disaster Management Authority |
| OECD | Organisation for Economic Co-operation and Development |
| ORCHID | Opportunities and Risks from Climate Change and Disasters |
| PER | public expenditure review |
| PSNP | Productive Safety Net Programme |
| RFM | Risk Financing Mechanism |
| RHRMP | Regional Hazard Risk Management Programme |
| SP | social protection |
| UKCIP | UK Climate Impacts Programme |
| UNDP | United Nations Development Programme |
| UNECA | United Nations Economic Commission for Africa |
| USAID | United States Agency for International Development |
| WFP | World Food Programme |
| WRMF | Weather Risk Management Facility |

# Section 1.
# Adaptive social protection: origins, opportunities and challenges



## Introduction

Despite progress in the field of development over recent years, a combination of factors has led to ongoing and worsening poverty in some situations. Social protection has witnessed a rapid rise in popularity on the development policy agenda, and growing empirical evidence shows that it can contribute effectively to poverty reduction whilst also moving people into productive livelihoods. At the same time, climate change and the changing nature of disaster risk are universally understood to have arisen as additional stressors which can exacerbate vulnerability and reinforce poverty.

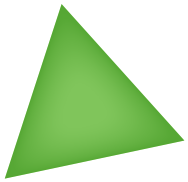
Whilst social protection addresses many of the macroeconomic drivers of poverty, at the moment there is rarely explicit consideration for climate change and disasters, which can similarly place people in a vulnerable state. That said, there is increasing evidence that access to social protection interventions can reduce vulnerability to climate change and disaster risk, by enabling adaptive capacity and providing a greater range of livelihood choices. The term 'adaptive social protection' was coined by researchers at the Institute of Development Studies (IDS) and advisors at the UK Department for International Development (DFID), and recognises that there are opportunities for social protection to be adapted to ensure it also contributes to growth and development that is climate-and-disaster-resilient.

In March 2011, the World Bank, DFID, IDS and the UN Economic Commission for Africa (UNCA), convened a workshop bringing together 120 policymakers, practitioners and researchers from 20 different countries working in the fields of social protection (SP), climate change adaptation (CCA), or disaster risk reduction (DRR). Making Social Protection Work for Pro-poor Disaster Risk Reduction and Climate Change Adaptation was a forum for cross-regional learning and exploring the potential synergies that can be generated by the three communities of practice. A conclusion of the discussions was that guidelines are needed to help and foster better integration between social protection, climate change adaptation and disaster risk reduction (World Bank, 2011). These guidance notes are intended to support this need to translate conceptual linkages into steps for action.

This guidance reviews some key concepts, and then provides 'how to' advice for social protection policymakers and practitioners to consider climate change adaptation and disaster risk reduction, and to ultimately make their projects and programmes adaptive.

# Concepts

## Social protection



Social protection has rapidly grown since the turn of the century as a dominant policy agenda in support of efforts to achieve sustainable poverty reduction in Africa, Asia and Latin America. Its emergence reflects increasing recognition that a 'pro-poor' approach is effective, whereby poor people are active agents in making the choices necessary to improve their wellbeing when given the chance (Serra and Stiglietz, 2008) .

The growth of social protection is also attributed to the dominance of the livelihoods paradigm. Developed in the 1980s, the concept of sustainable livelihoods gave rise to a more dynamic understanding of poverty, by highlighting that livelihood strategies are embedded in the access to various capitals held by any one person (for example, human, social, financial, natural and physical), combined with the occurrence of transforming structures and processes. This framework opened up the understanding that poverty as an outcome is something that people move into and out of over time, reflecting various conditions. Social protection attempts to address the causes of chronic (or structural) vulnerability, thereby reducing the occurrence of crisis situations where reactive emergency aid is required by donors.

Social protection can be defined as all initiatives that provide income or consumption transfers to the poor, protect the vulnerable against livelihood risks, and enhance the social status and rights of socially excluded and marginalised people (Devereux and Sabates-Wheeler, 2004). This broad definition allows for the fact that different categories of people require different forms of social protection. Among those requiring social protection are the chronically poor, including rural landless and orphans; those who are marginalised, excluded or economically at risk, such as people living with HIV and AIDS, internally displaced persons and refugees; and the socially vulnerable, including ethnic minorities, people living with disabilities, and child-headed households. But to protect their livelihoods each of these groups needs different forms of social protection: social transfers (for example, disability or child grants), social services (home-based care, education, healthcare), and social transformation (broader policy and legislation changes to ensure rights to vulnerable groups). The more typical notion of social insurance, including contributory pensions and maternity leave, are also encompassed within the notion of social protection, although clearly only available to those able to pay.

Table 1 outlines the various types of social protection.

**Table 1. Various types of social protection and their benefits for adaptation.**

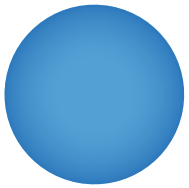
| Approach to social protection | Examples of mechanisms | Relationship to DRR | Benefits for adaptation |
|---|---|---|---|
| Protective | Social assistance and coping strategies (formal and non-formal) that guarantee relief from deprivation, e.g. food parcels, public works programmes | Risk coping | Protection of those most vulnerable to climate risks who have low levels of adaptive capacity |
| Preventive | Social security (insurance and diversification mechanisms) that seeks to avert deprivation arising, e.g. maternity leave, burial societies | Risk mitigation | Prevents damaging coping strategies as a result of risks to weather-dependent livelihoods |
| Promotive | Economic opportunities that aim to enhance income and capabilities, e.g. cash transfers | Risk reduction | Promotes resilience through livelihood diversification and security in order to withstand climate-related shocks. Promotes opportunities arising from climate change |
| Transformative | Transformative action (equity, empowerment; social, economic and cultural rights), e.g. legislation change | Risk reduction | Transforms social relations to help address underlying causes |

*Source: based on Devereux and Sabates-Wheeler (2004) and Davies et al. (2008a,b)*

Approaches to social protection have changed over time. Ellis (2010) describes a progression in social protection in Africa from informal insurance, to safety nets, and then to poverty targeting and categorical provision. The latter two refer to different approaches to one mechanism of social protection that has, itself, gained in popularity over recent years – cash transfers. Providing vulnerable people with regular and predictable non-contributory transfers of cash gives them the flexibility to plan their expenditure to meet immediate basic consumption needs as well as providing the opportunity for investment in productive activities. Whilst initially viewed within a debate of 'cash or food' (Devereux, 2002), there is now a growing body of evidence to show that cash transfers are effective in ameliorating vulnerability and chronic poverty (Barrientos and DeJong, 2006; Farrington and Slater, 2006), and have wider positive impacts within recipient households and communities (Davies and Davey, 2007). However, cash does not always represent a superior option to food. In one of the few large-scale programmes that combines the two transfers – Ethiopia's Productive Safety Net Programme (PSNP) – a panel survey shows that food transfers or 'cash plus food' packages are superior to cash transfers alone in enabling higher levels of income growth, livestock accumulation and self-reported food security (Sabates-Wheeler and Devereux, 2010).

Alongside growing empirical evidence for their positive potential developmental effects, there is also substantial research that shows that cash transfers can be affordable, even for developing country governments. In Kenya, Malawi and Zambia, for example, scaling up existing cash transfer programmes to national level, and offering full coverage of the eligible population (ten per cent of households in Malawi and Zambia and 19 per cent in Kenya) would cost between 0.5 and 1.7 per cent of GDP, or 2–4 per cent of the total government budget in these three countries (McCord, 2009).

## Climate change adaptation



Adaptation is a means of responding to the impacts of climate change. Primarily it aims to moderate the impacts, as well as take advantage, of new opportunities or to cope with the consequences of new conditions (McCarthy et al., 2001) . The Intergovernmental Panel on Climate Change (IPCC) distinguishes two types of adaptation. Anticipatory adaptation (or proactive adaptation) is adaptation that takes place before climate change impacts are observed. Reactive adaptation is adaptation that takes place after impacts of climate change have been observed (Parry et al., 2007). Adapting to changes in weather and climate is not new for human societies, but climate change brings other risks, often outside the experienced range.

Part of the difficulty with implementing adaptation is knowing exactly what is needed in practice. While autonomous adaptation is easy to observe – in terms of responses to past climatic events – planned adaptation is much more difficult as it involves prior responses to a potential future event. Because of the link between adaptation and vulnerability, judging when adaptations are successful can only be done after the intervention, as it typically requires exposure to a hazard of similar magnitude. As a result, in practice most adaptation is judged on whether or not it effectively reduces current risk to climate hazards, and to the projected change in the nature of those hazards under climate change.

Since adaptation is often related to projected future change, the best measure of the likelihood of adaptation is current levels of adaptive capacity. The capacity to adapt to climate change is multidimensional and dependent on a wide variety of social, political, economic, technological and institutional factors, meaning that it varies from place to place (Adger et al., 2007). The specific interaction of these factors differs depending on the scale of analysis: from the level of the country down to the individual (Vincent, 2007). At the country level it not only reflects the availability of financial resources, but, crucially, the degree of organisation and institutional capacity for targeting those resources and directing them effectively to the areas and groups of people that are most vulnerable. At the individual level, whether or not a person can adapt to climate change depends on their characteristics (e.g. their age and gender); their knowledge base, which may enable them to anticipate change and identify new or modified livelihood opportunities; and their access to further resources required to achieve this (Vincent, 2007).

Despite adaptive capacity being recognised as important, it is relatively under-researched in terms of empirical metrics (Engle, 2011). However, it also important to remember that even if adaptive capacity exists, it does not necessarily guarantee adaptation will take place, since that relies on a whole other process of decision-making (Adger and Vincent, 2005).

Many examples of adaptation have been observed, in different locations and at different scales. Examples of reactive adaptation, in response to observed changes, include partial drainage of the Rolpha glacial lake in Nepal to avoid increased flooding due to higher temperature-induced glacial lake outbursts (Mool et al., 2001; Shrestha and Shrestha, 2004) and changes in livelihood strategies in response to permafrost melting by the Inuit in Nunavut, Canada (Ford and Smit, 2004). Anticipatory adaptation explicitly considers scenarios of future climate change and makes appropriate modifications, for example to infrastructure. Both developed and developing countries increasingly have climate change policies and strategies, creating appropriate frameworks for adaptive action. However, a recent review showed that many so-called adaptation actions are actually vulnerability assessments on natural systems (Berrang-Ford et al., 2011). The same review showed that extreme events are a significant stimulus to encourage adaptation.

**Climate change adaptation, disaster risk reduction, and resilience**

As outlined in the text, climate change adaptation and disaster risk reduction are both concerned with reducing potential future negative impacts. One way of reducing these negative impacts is to build adaptive capacity so that people are better equipped to respond to exposure to climate change and hazards when they occur. In the academic literature, the concept of resilience finds it origins in a different body of literature – one that looks at the resilience of social-ecological systems. That said, many donors are embracing the concept of resilience as a component of adaptation, by recognising that there are various ways in which a system can respond to a shock or stress. DFID's working definition of disaster resilience is "the ability of countries, communities and households to manage change, by maintaining or transforming living standards in the face of shocks or stresses – such as earthquakes, drought or violent conflict – without compromising their long-term prospects." (DFID, 2011 : 6)

# Disaster risk reduction

Adaptation shares much in common with disaster risk reduction in aiming to prevent harmful impacts from extreme weather events. The World Resources Institute assessed a number of adaptation interventions, finding that they can be divided into four types along a continuum – with pure development activities at one end, and very explicit adaptation measures at the other (McGray et al, 2007) (see figure 1). Disaster risk reduction interventions typically fall under the two middle categories – building response capacity and managing climate risk – but addressing drivers of vulnerability and confronting climate change are equally relevant disaster risk reduction interventions. One of the manifestations of climate change is a projected increase in the frequency and intensity of extreme weather events which, without reductions in vulnerability, will increase the risk of disaster events (IPCC, 2012).

However, whilst there are similarities between climate change adaptation and disaster risk reduction, there are also differences which stem from their distinct origins. Disaster risk reduction has typically been concerned with reducing current risks, and often at a community-level, and climate risks are only a sub-set of the wide range of risks (technological, geological etc) that the field considers. Climate change adaptation, in contrast, has been concerned with future risks (Venton and LaTrobe, 2008). However, the similarities between the two, particularly in the context of climate hazards, has led to growing convergence. Figure 2 summarises some of the differences and where convergence is occurring.

**Figure 1. The continuum of responses to climate change (McGray et al, 2007)**

| 1<br>Addressing Drivers of Vulnerability | 2<br>Building Response Capacity | 3<br>Managing Climate Risk | 4<br>Confronting Climate Change |
|---|---|---|---|
| **UGANDA:** Providing women with crossbred goats and instruction in graze-free feeding *(Karamoja Agropastoral Development Programme)*<br><br>**BANGLADESH:** Diversification of livelihood strategies in areas vulnerable to flooding (**South** *South* North)<br><br>**CUBA:** Vaccination program to eradicate diseases in low-income areas *(Cuban Ministry of Health)* | **BRAZIL:** Participatory reforestation in Rio de Janeiro's hillside favellas to combat flood-induced landslides *(City of Rio de Janeiro)*<br><br>**MONGOLIA:** Reinstating pastoral networks to foster appropriate rangeland management practices in arid regions *(National University of Mongolia)*<br><br>**TANZANIA:** Reviving traditional enclosures to encourage vegetation regeneration and reduce land degradation *(Ministry of Natural Resources and Tourism, Tanzania)* | **TANZANIA:** Monitoring salinization of drinking water and drilling new wells to replace those that are no longer usable (**South***South* North)<br><br>**MALI:** Teaching farmers to collect climate data and integrate it into their planting decisions *(Government of Mali / Swiss Agency for Development and Cooperation)*<br><br>**BANGLADESH:** Using nationally standardised risk assessment proceedures to develop a community adaptation plan of action *(local government)* | **INDONESIA:** Managing coral reefs in response to widespread coral bleaching *(WWF)*<br><br>**NEPAL:** Reducing the risk of glacial lake outburst floods from Tsho Rolpa Lake *(Government of Nepal)* |




VULNERABILITY FOCUS → IMPACT FOCUS

**Figure 2. Differences between climate change adaptation (and signs of convergence)**
**(**Venton and LaTrobe, 2008**)**

| Differences | | Signs of convergence |
|---|---|---|
| DRR | Climate change adaptation | |
| Relevant to all hazard types | Relevant to climate-related hazards | N/A |
| Origin and culture in humanitarian assistance following a disaster event | Origin and culture in scientific theory | Climate change adaptation specialists now being recruited from engineering, watsan, agriculture, health and DRR sectors |
| Most concerned with the present - i.e. addressing existing risks | Most concerned with the future - i.e. addressing uncertainty/new risks | DRR increasingly forward-looking<br><br>Existing climate variability is an entry point for climate change adaptation |
| Historical perspective | Future perspective | As above |
| Traditional/indigenous knowledge at community level is a basis for resilience | Traditional/indigenous knowledge at community level may be insufficient for resilience against types and scales of risk yet to be experienced | Examples where integration of scientific knowledge and traditional knowledge for DRR provides learning opportunities |
| Structural measures designed for safety levels modelled on current and historical evidence | Structural measures designed for safety levels modelled on current and historical evidence and predicted changes | DRR increasingly forward-looking |
| Traditional focus on vulnerability reduction | Traditional focus on physical exposure | N/A |
| Community-based process stemming from experience | Community-based process stemming from policy agenda | N/A |
| Practical application at local level | Theoretical application at local level | Climate change adaptation gaining experience through practical local application |
| Full range of established and developing tools | Limited range of tools under development | None, except increasing recognition that more adaptation tools are needed |
| Incremental development | New and emerging agenda | N/A |
| Political and widespread recognition often quite weak | Political and widespread recognition increasingly strong | None, except that climate-related disaster events are now more likely to be analysed and debated with reference to climate change |
| Funding streams ad hoc and insufficient | Funding streams sizeable and increasing | DRR community engaging in climate change adaptation funding mechanisms |

The Centre for Research on the Epidemiology of Disasters defines a disaster as 'a situation or event which overwhelms local capacity, necessitating a request to national or international level for external existence, an unforeseen and often sudden event that causes great damage, destruction and human suffering' (www.emdat.be/glossary/9). A disaster is a negative outcome brought about by high vulnerability (or low adaptive capacity) in the face of exposure to a risk. Disasters can be brought about by many circumstances, not only weather- and climate-related – such as technological hazards (e.g. oil spills, nuclear accidents) and complex political emergencies. Natural hazard-related disasters have increased in frequency and magnitude over the last century, and of those the vast majority are weather- and climate-related (UN, 2011).

**Box 1. Fields of action in the disaster risk reduction framework**

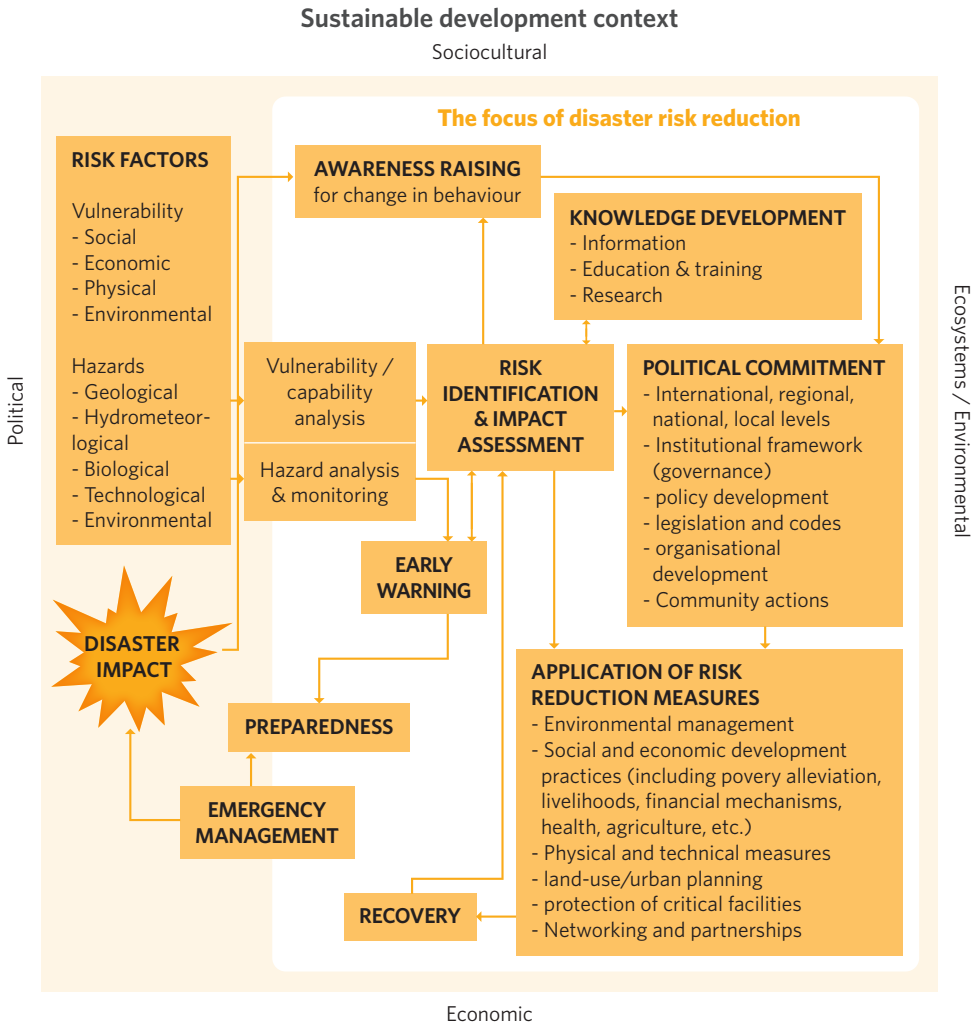
**Fields of action in the disaster risk reduction framework (UNISDR, 2004)**

- Risk awareness and assessment including hazard analysis and vulnerability/capacity analysis;
- Knowledge development including education, training, research and information;
- Public commitment and institutional frameworks, including organisational, policy, legislation and community action;
- Application of measures including environmental management, land-use and urban planning, protection of critical facilities, application of science and technology, partnership and networking, and financial instruments;
- Early warning systems including forecasting, dissemination of warnings, preparedness measures and reaction capacities.

Part of the reason that climate change adaptation and disaster risk reduction share so many similarities is due to the fact that disaster risk reduction takes a more proactive approach than disaster management, which used to be the predominant approach. Initially disasters were studied in terms of the characteristics of the natural hazards giving rise to them. Policy and practical responses were based on disaster risk management, which focused on relief, recovery and rehabilitation in the post-event phase. Later it became apparent that part of the reason for the increasing effects of natural disasters was due to vulnerability in the face of exposure to those hazards. As a result, emphasis shifted towards recognising that a critical role can also be played prior to hazard exposure in order to reduce the likelihood of adverse impacts. Disaster risk reduction thus includes and builds on post-event disaster risk management, by addressing elements of prevention, mitigation and preparedness in the pre-disaster phase (Figure 3.)

The disaster risk reduction approach is more holistic, and places an emphasis on vulnerability and risk assessment as part of development planning. Risk reduction policies need to be implemented to enable societies to be resilient to natural hazards and to ensure that development efforts do not increase vulnerability to hazards. Disaster risk reduction requires different forms of management and perspectives as well as more widespread participation compared to traditional forms of disaster management. Figure 3. illustrates the conceptual framework of disaster risk reduction including risk assessment; vulnerability/capacity analysis; knowledge development; institutional frameworks; early warning systems and other measures such as networking and environmental management (UNISDR, 2004). This is the framework enshrined in the Hyogo Framework for Action (HFA) – the international policy response to disaster risk reduction, whose aim is 'the substantial reduction of losses, in lives and in the social, economic and environmental assets of communities and countries' (UNISDR, 2007: 3).

**Figure 3. The holistic approach to disaster risk reduction embodied in the Hyogo Framework for Action**




*Source:* UNISDR, 2004

**Table 2. HFA Priorities and selected risk reduction measures**

| HFA Priority | Selected Risk Reduction Measures |
|---|---|
| Ensure that disaster risk reduction is a national and local priority with a strong institutional basis for implementation | Policy and institutional measures, for example ensuring one ministry had responsibility for disaster risk reduction (DRR); developing a multi-sector mechanism such as a national platform for DRR, and developing mechanisms to actively engage local government and minority groups in the process |
| Identify, assess and monitor disaster risks and enhance early warning | Conducting assessments on natural hazards and their likely future changes, and vulnerability assessments; implementing public information programmes to ensure the population is aware of the risks and how to respond to warnings |
| Use knowledge, innovation and education to build a culture of safety and resilience at all levels | Undertaking public information programmes on local and personal actions that contribute to resilience, training the media, developing education curricula on risk reduction, and improving mechanisms for knowledge transfer from science to application for risk management |
| Reducing underlying risk factors | Incorporating disaster risk reduction into macro processes, such as planning and economic policy; developing risk transfer mechanisms; supporting livelihood diversification |
| Strengthening disaster preparedness for effective response | Resilience building and early warning systems, contingency and preparedness plans, building shelters in preparation for evacuations |

*Source: Based on* UNISDR (2007)

# Adaptive social protection

**Box 2. What is Adaptive Social Protection?**

## What is Adaptive Social Protection?

Adaptive Social Protection (ASP) is a new, integrated approach to reduce the vulnerability of poor people in developing countries. It works on the understanding of the interlinked nature of the shocks and stresses that poor people face today – and the potential synergies to be gained from bringing together social protection, disaster risk reduction and climate change adaptation.

Initial research suggests an ASP approach to vulnerability and poverty reduction can:

- Transform and promote livelihoods.
- Target communities with tailored assistance.
- Incorporate a rights-based rationale for action.
- Introduce a longer-term perspective for SP and DRR interventions.
- Enhance co-working between the natural and social sciences when designing SP, CCA and DDR interventions.
- Introduce an SP metric for evaluating the 'resilience building' component of programming approaches.

*Source:* Béné, 2012

Social protection, climate change adaptation and disaster risk reduction share many similarities in being concerned with reducing vulnerability and enabling people to secure their livelihoods and wellbeing. Given that the shocks and stresses people face are increasingly intertwined, there are potential advantages in combining approaches.

Adaptive Social Protection recognises that greater integration and knowledge sharing among these three communities of practice would increase the chance to have more impact on people vulnerability and help them escape poverty.

The nature of the relationship between the three different components of adaptive social protection varies. Synergies between climate change adaptation and disaster risk reduction have been increasingly recognised of late, particularly since so many disasters have their origins in weather and climate events.

The recently released IPCC Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation highlighted how changes in extreme events (e.g. droughts and floods), as well as sea level rises, will contribute to increasing disaster risk (IPCC, 2012). Typically the climate change adaptation and disaster risk reduction academic and policy communities have evolved separately, despite their overlaps. More recently there has been focus on greater synergies and coalescence around climate events (e.g. Birkman and von Teichman, 2010; Mercer, 2010; Schipper and Pelling, 2006).

Altering time horizons and consideration of the range of hazards in risk assessment can enable more effective integration between disaster risk reduction and climate change adaptation. Social protection, on the other hand, attempts to address chronic poverty as well as the shorter-term impacts of shocks (Devereux and Sabates-Wheeler, 2004). Rather than attempting to reduce vulnerability to future risk (from extremes or incremental change in climate), social protection focuses on reducing current vulnerability to poverty and food insecurity. Clearly a reduction in current vulnerability can enable future adaptation to climate change through building adaptive capacity, and research has shown that cash transfers play a key role here (Godfrey Wood, 2011). Similarly the role of social protection has been recognised as essential to attempts to scale up disaster risk management (UN, 2011). Cash transfers, for example, can act as a buffer during times of disaster exposure, reducing the need for negative coping strategies, such as selling assets and taking children out of school.

Broadening the definition of vulnerability, from including not only current vulnerability but also projected future vulnerability, as would be required to convert social protection to adaptive social protection, will have implications for who is targeted by the intervention, and how (Siddiqi, 2011). Assessing current vulnerability tends to give rise to three main groups that are typically the focus for social protection interventions, namely the chronically poor, economically vulnerable and socially marginalised. Their vulnerability is typically caused by structural and political-economic factors, as opposed to any relationship to climate. However, climate change may cause a shift in who remains vulnerable, and to what kinds of exposures and shocks. Siddiqi (2011) advocates the use of a livelihoods-based social protection framework for climate change adaptation to the rural poor – because livelihoods are recognised to be at risk from a changing climates, and this framework enables understanding of how climate change might alter the assets required to sustain livelihoods. Starter packs, for example, have been a common social protection intervention, but criticised due to increasing dependency on particular crops. This mechanism be modified to input or seed fairs, where a variety of seeds are availability, including those that are climate-resilient, therefore improving the likelihood of simultaneously promoting adaptation to climate change (Siddiqi, 2011).

Conceptual arguments for adaptive social protection are clear, and if each approach continues in isolation they are unlikely to be sufficient in the long run (Arnall et al., 2010). However, there are also practical arguments of improved cost-effectiveness and efficiency for integration of the three components. Many social protection instruments are already being delivered on a large scale, meaning that infrastructure is in place. Almost 114 million people in Latin America and the Caribbean have received conditional cash transfers to reduce structural poverty over the last two decades; India's Mahatma Gandhi National Employment Guarantee Scheme in India reached 68 million people in 2009–2010; and South Africa's Expanded Public Works Programme currently provides work for more than 10 per cent of the country's unemployed (UN, 2011). Existing social protection instruments, for example, can be modified to take account of climate risks at relatively low cost, through adapted timeframes and targeting. Table 3. outlines synergies between social protection, adaptation, and disaster risk reduction.

**Table 3. Synergies between social protection, adaptation, and disaster risk reduction**

| SP category | SP instruments | Adaptation and DRR benefits |
|---|---|---|
| Protective (coping strategies) | - social service protection<br>- basic social transfers (food/cash)<br>- pension schemes<br>- public works programmes | - protection of these most vulnerable to climate risks, with low levels of adaptive capacity |
| Preventitive (coping strategies) | - social transfers<br>- livelihood diversification<br>- weather-indexed crop insurance | - prevents damaging coping strategies as a result of risks to weather-dependent livelihoods |
| Promotive (building adaptive capacity) | - social transfers<br>- access to credit<br>- asset transfers/protection<br>- starter packs (drought-/flood-resistant)<br>- access to common property resources<br>- public works programmes | - promotes resilience through livelihood diversification and security to withstand climate-related shocks<br>- promotes opportunities arising from climate change |
| Transformative (building adaptive capacity) | - promotion of minority rights<br>- anti-discrimination campaigns<br>- social funds | - transforms social relations to combat discrimination underlying social and political vulnerability |

*Source:* Arnall et al. (2010)

# Case studies of adaptive social protection in practice

Since adaptive social protection is relatively new, there are few projects and programmes currently in operation that brand themselves as applying the concept. That said, a number of existing programmes do attempt to include two or more of the three concepts. This section provides an overview of the extent to which adaptive social protection exists, and illustrates the range of examples to which it can be applied.

A meta-analysis of 124 agricultural programmes in five countries in South Asia (Afghanistan, Bangladesh, India, Nepal and Pakistan) showed that, although full integration of social protection, climate change adaptation and disaster risk reduction is rare, there has been significant progress in combining social protection and disaster risk reduction in the last ten years (Arnall et al, 2010). Various social protection initiatives have been effectively used in this region – including cash transfers (conditional and unconditional), cash for work (CFW), vouchers, fee waivers, and specific services such as orphanages and rehabilitation for the disabled (Heltberg, 2007). Case study 1 gives an example of how cash for work was a social protection initiative that played a role in disaster recovery in post-tsunami Aceh. In other countries in the region, post-disaster asset replenishment has also been used as a form of social protection (for instance in Bangladesh), with evidence showing that it also contributes to reducing vulnerability to climate shocks by providing liquidity and alternative sources of income during livelihood stress (Davies et al., 2008b).

### Case study 1: Cash for work (CFW) in post-tsunami Aceh

Aceh was exposed to the tsunami on 26 December 2004 that caused devastation to the Indonesian province. Building on the trend for cash – as opposed to food – transfers, multiple NGOs and UN agencies provided cash for work in the recovery phase. In the post-tsunami context, where livelihoods were destroyed and assets lost, CFW programmes provided income, contributed to community rehabilitation, helped to meet financial needs and had positive social effects in tsunami-affected communities. One organisation – Mercy Corps – disbursed over US$4.5million during the seven- month operation of their cash for work programme in 60 communities. In the post-programme evaluation, over 90 per cent of household expenditure during the period was attributed to the cash for work programme. Similarly over 90 per cent said that participation in the cash for work programme enabled them to return to their homes, and psychosocial benefits were reported (for example, being active helped to overcome feelings of trauma, and collective action with other community members built a sense of solidarity). At a community level, tasks accomplished in the CFW programme included removal of corpses, cleaning of land, rehabilitation and cleaning of infrastructure (ditches, roads, drinking water systems and latrines). Conclusions of this analysis were that cash for work is an appropriate post-disaster intervention, but is recommended for organisations that already have experience in the area in question. Another observation was the difficulty of rapid scaling up. For that reason, additional social protection through existing mechanisms might be a simpler way of aligning social protection and post-disaster recovery.

*Source:* Doocy et al. (2006)

Analysis of the 124 projects and programmes analysed in the five South Asian countries showed that 78 per cent were using social protection approaches, 58 per cent were using DRR approaches, and 35 per cent were using CCA approaches. Critically, however, 42 per cent involve just one approach, 42 per cent involve two approaches, and just 16 per cent integrate all three (Arnall et al, 2010). The two approaches most commonly combined were social protection and disaster risk reduction, given the tradition in South Asia of using existing social safety nets to respond to disasters (e.g. cash transfers during drought-induced food insecurity). Case study 2 shows an example of one of the projects combining all three approaches:

### Case study 2: Application of community-based adaptation measures to weather-related disasters in Nepal

This project, led by the Himalayan Climate Centre, has the goals of:

- Initiating a collective disaster insurance scheme in western Nepal;
- Establishing communication between the National Meteorological Service of Nepal and Community-Based Disaster Preparedness (CBDP) units, which exist in many communities throughout Nepal and are organised by the Nepalese Red Cross Society.

The project aims to reduce the overall vulnerability to natural disasters by increasing the economic resilience of the communities, and is based on the idea that initial emergency assistance in any disaster often originates from the impacted community itself. It is expected that the project can assist in achieving some of the development goals of the Nepalese government, including establishing early warning systems throughout the country by 2017, significantly reducing social and economic losses from disasters by 2027 and alleviating poverty.

*Source:* Arnall et al. (2010): 25), p25

### Ethiopia's Productive Safety Net Programme (PSNP)

Ethiopia's Productive Safety Net Programme (PSNP) is often cited as an example of a programme that exemplifies adaptive social protection, due to the fact that it addresses chronic vulnerability (as in traditional social protection programmes), but also explicitly considers the role of disasters (which are often precipitated by climate extremes). The PSNP was initiated in 2005 following recurrent crises that led to vast numbers of the population being dependent on food aid – particularly during the hungry season. The programme comprises two components: public works (for those able to participate in labour-based activities), and unconditional cash or food transfers (for the labour-constrained). Support is available for up to five years, enabling people to cover their food deficit and build their resilience, at which point they graduate from the programme (Devereux et al., 2008). The PSNP is designed with two unusual mechanisms in place. The first is a $25million contingency fund that can be activated in the case of a major shock (for example a drought that causes food prices to rise). Should this be exceeded, there is also a Risk Financing Mechanism (RFM) that allows the PSNP to scale up in times of transitory crisis, in those districts where it is already operational. In particular, the RFM was designed to reduce the 'typical' humanitarian timeline for response, so that households would receive assistance before the crisis was felt. In this sense, PSNP was very much designed with disaster risk reduction in mind.

Given the obvious potential in PSNP for adaptive social protection, several studies have assessed the extent to which it actually acts as such. Panel analysis of PSNP data shows that, although the programme has been effective in improving food security and wellbeing, the positive effects are not sufficient to shield recipients completely against shocks (Bene et al., 2012b) . Similarly a case study incorporating climate risks through drought insurance (as a contingency) within the current PSNP shows fairly modest positive and negative changes in frequency and amounts of recipients and cash payments with the extreme range of climate model projections of rainfall by the 2020s (Conway and Schipper, 2011). The availability of appropriate resolution climate data is often a hindrance.

**Case study 3: Integration of disaster risk reduction, climate change adaptation and social protection in Rwanda**

Rwanda's Vision 2020 Umurenge Program makes direct cash transfers to households without labour, connects poor households with an able-bodied member to public works and provides access to subsidised credit. The Vision 2020 Umurenge Program's public works projects are dominated by anti-erosive ditches and 'radical' hillside terraces which explicitly aim at environmental protection. Such public works have clear disaster risk reduction, food security and climate change adaptation impacts as they reduce exposure and sensitivity to natural disasters - for example droughts and floods - improve soil productivity and increase the amount of land that can be cultivated.

*Source:* DFID (2011)

Case study 3 outlines the situation in Rwanda, where disaster risk reduction, climate change adaptation and social protection are being integrated through the Vision 2020 Umurenge Programme. Cash transfers under this programme are provided to households without labour, whilst those with an able-bodied member are encouraged to participate in public works projects, which themselves are designed to support adaptation and disaster risk reduction – through anti-erosive ditches and hillside terraces.

# Barriers to integration between the three domains

Despite reported success when attempts are made to integrate social protection and/or climate change adaptation and/or disaster risk reduction, the case studies show that it is not yet commonplace to take an adaptive social protection approach. This suggests a number of barriers exist. These barriers can be divided into institutional, political and technical.

## Institutional barriers

One of the biggest barriers to integration of social protection, climate change adaptation and disaster risk reduction is the fact that each has emerged separately – often at different times – and as a result they are often embedded in different ministries. Disaster risk reduction (and its precursor, disaster management), typically has the longest history and, reflecting the fact that they can be variable in nature (for example, natural or man-made), disasters are often addressed by cross-cutting institutions, such as the Office of the Prime Minister or deputy Prime Minister. Social protection, reflecting its roots as a safety net to address poverty and food insecurity, often falls within the remit of social development; whilst climate change is regularly part of the portfolio of environment ministries (or their associated meteorological bureaux). To further complicate matters, international commitments (for example, the United Nations Framework Convention on Climate Change, the Hyogo Platform for Disaster Risk Reduction) are also separate – although perhaps ideal established platforms for integration when the opportunity allows.

Bangladesh is one example of a country that experiences challenges of coordination within and between social protection, disaster risk reduction and climate change adaptation. Both the Ministry of Social Welfare and Ministry of Food and Disaster Management run public works programmes, but have little knowledge of each other's activities, resulting in unnecessary duplication with different programmes targeting similar beneficiaries (Arnall et al., 2010). Similarly, the vast number of organisations – government and non-government – operating in the DRR field means that coordination is a challenge. Climate change adaptation is a newer field, compared to social protection and disaster risk reduction. The Bangladesh Climate Change Strategy and Action Plan, which provides the main basis of the country's efforts to combat climate change between 2009 and 2018, does set out programmes based on six areas of intervention, including food security, and social protection and health, which should create an institutional framework that is conducive to coordination.

## Insufficient policies and legislation

Strongly related to institutional barriers are political barriers – relating to the different extent to which policies and legislation exist within the spheres of social protection, climate change adaptation and disaster risk reduction. As with institutional barriers outlined above, generally disaster risk reduction (or management) policies and legislation have existed for the longest time, with social protection and climate change occurring more recently. Having different policies and legislation that are not necessarily complementary or streamlined acts as another barrier to adaptive social protection.

### Case study 4: Addressing political barriers to integration in Mozambique

Mozambique is an example of a country which has created (or is in the process of creating) strong institutional frameworks for social protection, climate change adaptation and disaster risk reduction – but currently all are addressed separately and have differing degrees of legislation. Social protection falls within the remit of the Ministry of Women and Social Affairs (MMAS), and is governed by a Social Protection Law that was passed in 2007. This law is based on three pillars: basic social protection under MMAS, social insurance under the Ministry of Labour, and complementary social protection initiatives undertaken by a variety of stakeholders, including the private and voluntary sectors (Waterhouse and Lauriciano, 2009). Disaster risk reduction is led by the National Disaster Management Institute, a parastatal under the Ministry of State Administration, and they are responsible for disaster preparedness and mitigation, and coordinating disaster response. As of late 2012, They are in the process of finalising a Strategy on Disaster Risk Reduction and Climate Change Adaptation. In general, climate change activities fall under the Ministry for the Coordination of Environmental Affairs, who are currently leading the production of a National Climate Change Strategy that. The draft strategy recognises the links between climate change adaptation and disaster risk reduction, and also highlights how social protection is a key mechanism for reducing vulnerability to climate change.

In comparison to Mozambique, which is developing the appropriate policies and legislation, the integration of disaster risk reduction and social protection in Pakistan has been impeded by the lack of disaster management plans. In response to the 2005 earthquake, the World Bank funded the establishment of a National Disaster Management Authority (NDMA), and the risk mapping that they have conducted identified climate change and variability as one of the causes of vulnerability to hazards. However, they also identify the lack of disaster risk management plans at national and regional levels as a major policy gap. That said, the government of Pakistan does have plans to mainstream disaster risk reduction into development, including mainstreaming into ongoing or planned programmes in five ministries, which bodes well for future integration and overcoming political barriers (Arnall et al., 2010). The National Social Protection Strategy, published in June 2007, does recognise that natural disasters and environmental degradation exacerbate poverty and vulnerability.

## Technical barriers

The third major barrier is lack of technical knowledge relating to the three concepts. This is particularly the case with climate change, where future projections are based on complex models with an array of limitations, and run under various scenarios of future socioeconomic development. Since conceptual understanding and technical knowledge is required for each concept, the likelihood that people will have it for more than one is reduced. This in turn feeds into (and, in turn, is reinforced by) the institutional set-ups, that encourage specialisation in one field.

A recent study of the Tanzania Social Action Fund found technical barriers to the implementation of adaptive social protection (Davies et al., 2012). On the one hand, there is a need for awareness-raising around what social protection is, and how it can help build resilience. On the other hand there is already increasing interest in and awareness of the importance of addressing climate change issues, but acting on this interest is impeded by lack of technical capacity.

## Political commitment

Lack of long-term political commitment is also a barrier to effective adaptive social protection. Typical government timeframes for decision-making are relatively short – often coinciding with election cycles, and that is particularly incompatible with adapting to climate change, which unfolds over longer timeframes. That said, implementing social protection programmes also requires a long-term commitment since, by definition, the availability of the transfer needs to be guaranteed in order to achieve the benefits of vulnerability reduction.

Lack of long-term political commitment has been observed to be an impediment to adaptive social protection in Ethiopia (Cipryk, 2009). The timeframe for the Poverty Reduction Strategy Plan (PRSP) is five years but the scenarios for climate change will become reality over the medium to long term. If short-term PRSP goals continue to rely on agriculture as the mechanism for poverty alleviation and accelerated growth, Ethiopia will be maintaining, and potentially even increasing the percentage of the population living under the poverty line by reinforcing climate-vulnerable livelihoods.

# Growing commitment to integration

Whilst a number of barriers exist to implementing adaptive social protection at the national level, there is growing commitment within international organisations and multilateral and bilateral donors to integrating social protection, climate change adaptation and disaster risk reduction. The United Nations World Food Programme (WFP), Food and Agriculture Organization (FAO), World Bank, and DFID have also released policies, strategies or position papers encouraging integration of the concepts.

As part of their 2008–11 strategy, WFP had five strategic objectives. Strategic objective two included the goal of 'supporting and strengthening resilience of communities to shocks through safety nets or asset creation, including adaptation to climate change' (Arnall et al., 2010). In 2012 WFP is developing a strategy on climate change, recognising their responsibility:

> "to contribute to efforts to protect the most vulnerable communities in the most marginal, degraded and risk-prone areas from climate-related hunger risks, to build their resilience to future shocks and stresses; and to increase their food and nutrition security in the face of climate change"
>
> (WFP, 2012: 1)

The policy documents recognise adaptive social protection as among the examples of best practice that should inform WFP's approach, and specify a number of preventive, promotive and transformative social protection options. WFP also has a policy on disaster risk reduction and management in operation that outlines their commitment to building the resilience and capacity of the most vulnerable people, communities and countries, to ensure food and nutrition security whilst also reducing disaster risk and protecting and enhancing lives and livelihoods (WFP, 2011).

Particular commitments made so far by WFP include the Weather Risk Management Facility (WRMF), which they co-manage in collaboration with the International Fund for Agricultural Development (IFAD). WRMF has investigated the feasibility of weather index insurance, which can be regarded as a mechanism of adaptive social protection as it aims to address food security in the context of weather-related risks (IFAD/WFP, 2011, 2010).

The Food and Agriculture Organization (FAO) of the United Nations has also embraced disaster risk reduction and climate change in its activities. Embracing disaster risk reduction and climate change adaptation involves a shift from emergency response onto preparedness, as enshrined in FAO's Strategic Objective I (2010–19), which is 'Improved preparedness for, and effective response to, food and agricultural threats and emergencies' (FAO, 2009). FAO has a framework programme for disaster risk reduction (FAO, 2011a) and one for climate change adaptation (FAO, 2011b) – and appears to have good coordination between the two. FAO has also shown a long-term commitment to social protection for food security (for example in South Asia – Arnall et al., 2010) . the High Level Panel of Experts has raised the potential for adaptive social protection, with the recently-published report on Social Protection for Food Security recognising that social protection will need to become adaptive to take into account the changing weather risks brought about by climate change (HLPE, 2012) .

The World Bank is another organisation that variously recognises the challenges of social protection, climate change adaptation and disaster risk reduction. They have funded research into the effectiveness of social protection mechanisms to respond to the long-term impacts of disasters in Bangladesh, and launched a Regional Hazard Risk Management Programme (RHRMP) focused on emergency preparedness, risk mitigation, and institutional capacity building (Heltberg, 2007). Having initially been recognised in a strategy in 2001, social protection has now been enshrined in a second strategy – the recently published Social Protection and Labor Strategy (World Bank, 2012), which has as one of its overarching goals the creation of resilience. They have also published position papers investigating how social protection can play a role in disaster management (Vakis, 2006) and climate change (Kurakiose et al., 2010). World Bank was also a partner in convening the 2011 workshop on social resilience and climate resilience (World Bank, 2012). As well as a Social Protection and Labor Strategy, the World Bank also has a Strategic Framework for Development and Climate Change (World Bank, 2008).

The UK Department for International Development (DFID) is a long-standing supporter of social protection, and has directed growing resources into the field in recent years. Their commitment and approach to social protection are outlined in various position papers, including a number of briefing notes (DFID, 2005, 2006a,b,c). Climate change adaptation and disaster risk reduction are also pillars of DFID's international development work. The recent approach paper on defining disaster resilience also emphasised the need for stronger dialogue and cross-fertilisation between different disciplines and programme areas – including disaster risk reduction, social protection and climate change adaptation (DFID, 2011). In this approach paper, they also commit to 'taking multi-sectoral, multi-disciplinary approaches that bring together development and humanitarian efforts and that establish common ground between climate change adaptation, social protection, disaster risk reduction and work in fragile states' (DFID, 2011: 15).

# Section 2. Putting theory into practice: implementing adaptive social protection

## Introduction

Based on the review provided in Section 1, there is compelling need to integrate social protection, climate change adaptation and disaster risk reduction. Conceptually, this is possible, but requires slightly different approaches depending on the starting point. From a social protection perspective there needs to be a broader consideration of the drivers of vulnerability, and it needs to be recognised that in addition to current drivers of vulnerability, there will also be future stresses and shocks which will further magnify vulnerability. Social protection needs to be planned taking into account these future shocks and stresses so that vulnerable people are able to respond to them.

From the climate change adaptation perspective, integrating disaster risk reduction is a critical mechanism to ensure that climate extremes are taken into account, and many risk-sharing mechanisms exist that fit both concepts simultaneously. Whilst social protection may not be considered an adaptation mechanism per se, by reducing current vulnerability it creates a buffer and can build adaptive capacity, which is a prerequisite for adaptation to take place in the future. From the disaster risk reduction perspective, recognising that climate change will alter the context in which disaster risks are produced requires a broadening of horizons. Similarly social protection mechanisms offer a buffer that can mediate the impacts of disasters should they occur – and thus can be included in the suite of potential disaster risk reduction actions.

Our review of existing toolkits and process-based guidance shows that there is an absence of materials providing support to the design and implementation of adaptive social protection programmes. To a certain extent, that reflects the relative scarcity of practical examples, and the fact that the concepts have yet to be tested. In this section we provide a review of existing toolkits and process guidance for each of the three concepts, and highlight opportunities for modifications to expand the approaches to embrace adaptive social protection.

# Toolkit Review

Adaptive social protection is a holistic approach. Our review of existing literature shows that although there is interest in integration of the concepts of social protection, climate change adaptation, and disaster risk reduction, in reality many practitioners still work within one, or at most two, of the three domains. As a result we have structured these guidance notes so that it is clearer for people in each domain to understand what process they should follow and the steps they should take to expand the remit of their projects and programmes toward adaptive social protection.

## Social protection

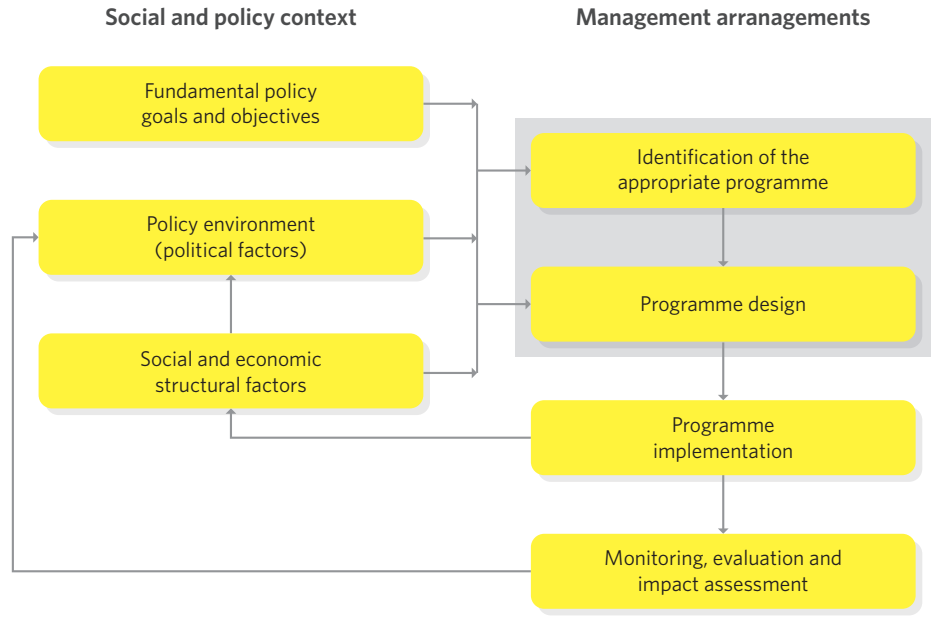
**Resource 1. Social Protection toolkits**

- Social protection chapter of the public expenditure review toolkit
- How to design and implement gender-sensitive social protection programmes
- Strengthening social protection responses to the global economic downturn: A policy toolkit for developing countries

We are assuming that, having got to the point of deciding to introduce a social protection programme, clearly there is a recognised situation of current vulnerability – probably vulnerability to poverty or vulnerability to food insecurity, two critical factors that impede human wellbeing. However, in many cases (and as illustrated in some of the case studies in Section one) these two vulnerabilities can often be exacerbated by climate hazards and the disaster risk profile where the programme is in operation. The consequence is that the occurrence of climate hazards or disasters can undermine any of the successes of social protection programmes and/or change the number and profile of beneficiaries who need to be targeted, and the mechanism of the transfer.

To ensure adaptive social protection, therefore, the programme design needs to take into account not just vulnerability to poverty and food insecurity, but also to climate change and disasters. Altering the fundamental policy goals and objectives, as shown in figure two, will in turn affect management arrangements and aspects of programme design.

**Figure 4. Designing social protection programmes**




*Source:* Samson et al. (2006)

In order to take into account climate change and disaster risk, modification of the process outlined in figure two needs to take place as follows. Reflecting the left hand side of the diagram, there needs to be a fundamental policy commitment to addressing disaster risk and climate change adaptation, and thereby reducing potential future vulnerability, as well as reducing current evident vulnerability. As outlined in the case studies and barriers sections above, there typically is such commitment at national level, although the institutional arrangements can impede the practice. Reflecting the right hand side of the diagram, the identification of the appropriate programme and design of that programme will likely be slightly different taking into account the wider recognition of vulnerability.

Various tools exist to assess vulnerability to climate change and disaster risk, and can be employed at this stage. These are outlined in toolkit resources 2 (climate change) and 3 (disaster risk). Each of these tools differs in their target context. The UKCIP Adaptation Wizard, for example, focuses on organisations assessing climate risks to their activities. OECD's Guidance on Integrating Climate Change Adaptation into Development Cooperation, World Bank's ADAPT, USAID's Climate Adaptation Manual and DFID's ORCHID are all intended for use at strategic level in the screening of projects and programmes by donors; whilst CRiSTAL and CVCA were developed for use in projects at the community level to ensure participation in risk assessment. UNDP's Adaptation Policy Framework includes climate screening as a prerequisite for the design process for adaptation projects.

The DRR toolkits (toolkit resources 3) are focused on specific contexts, yet because of the role of climate hazards in disasters, many of the climate toolkits also incorporate disaster risk reduction. In any case, they are all based on the same principles, which can be applied as appropriate depending on the scale of the project/programme.

## Climate change adaptation

**Resource 2. Climate Change Adaptation toolkits**

- UNDP's Adaptation Policy Framework
- OECD Guidance on Integrating Climate Change Adaptation into Development Co-operation
- USAID's Climate Adaptation Manual (USAID, 2007)
- World Bank ADAPT (Assessment and Design for Adaptation to Climate Change: A Prototype Tool)
- DFID's Opportunities and Risks from Climate Change and Disasters (ORCHID) (Tanner et al., 2007a, 2007b)
- UKCIP Adaptation Wizard
- Community-Based Risk Screening Tool – Adaptation and Livelihoods (CRiSTAL)
- Climate Vulnerability and Capacity Analysis (CVCA)

When designing climate change adaptation projects and programmes, disaster risk is typically factored into the equation since climate hazards often play such a key role in precipitating disasters (see toolkit resources above and toolkit 3).

The main opportunity for climate change adaptation practitioners, therefore, is to identify potential synergies where their programmes could also incorporate a social protection element, in order to make them examples of adaptive social protection. As shown in many of the case studies above, the largest existing example of integration among these domains, after climate change adaptation and disaster risk reduction, is the recognition that social protection is an effective form of climate change adaptation.

Incorporating social protection into climate change adaptation requires a consideration of people and their livelihoods, and how climate will affect those livelihoods. Toolkit resources three outlines a number of toolkits produced to assist in designing social protection programmes. In order to be modified to adaptive social protection, social protection schemes must look more broadly than vulnerability to climate change, and consider whether reduced vulnerability to poverty or other structural factors would also reduce vulnerability to climate change.

# Disaster risk reduction

**Resource 3. Disaster Risk Reduction tookits**

- World Vision Disaster Risk Reduction (and Climate Change Adaptation) Toolkit
- Plan's Child-Centred Disaster Risk Reduction Toolkit
- Disaster Risk Reduction: A Toolkit for Tourism Destinations. Practical examples from coastal settlements in Asia

As discussed above, integrating climate change adaptation into disaster risk reduction is increasingly done by looking at longer-term perspectives. Integrating social protection can be done as outlined in the section on climate change adaptation.

**Overcoming barriers to integrating social protection, climate change adaptation and disaster risk reduction into programmes** (See more on this in Section one)

The previous section has shown that a wide variety of toolkits are already in existence to support each of the three domains - climate change adaptation, social protection, and disaster risk reduction – to design and implement effective projects and programmes. At the same time, there is very little explicit guidance on how to broaden any of these three domains to support the role of adaptive social protection. By taking each domain in turn, we have suggested opportunities for practitioners to consider broadening the remit of activities they may be planning in each of the three domains. However, in effectively integrating climate change adaptation and disaster risk reduction into social protection programmes, barriers are likely to be encountered, such as those above (institutional, lack of policies and legislation, technical and political commitment). These exist regardless of the scale of the project/programme, but can be overcome in various ways.

One way of overcoming **Institutional barriers** is by producing and communicating evidence of the ways in which climate change and disasters can impede or undermine the goals of social protection programmes. There is sufficient evidence globally that the climate is changing and, although better understood in some places than others, the vast majority of countries have understanding of what climate change will mean for them (it is reported in National Communications to the United Nations Framework Convention on Climate Change, for example, which are required of all parties to the convention). Similarly we know that the nature of climate-related disaster risk will change. Ensuring that this information is effectively communicated to the ministries and decision-makers who can act upon it is essential for action. The growing trend for countries to develop cross-cutting climate change policies and strategies assists the breaking down of silos, by raising awareness of climate and disaster issues in ministries of social development, and by creating a framework within which they can act. Countries expecting to release their climate change strategies before the end of 2012 include Tanzania and Uganda within.

Related to the institutional barriers, **lack of policies/legislation** is also being challenged by the growing trends for national climate change policies and strategies, which in turn are supporting the integration of climate change and disaster risk into sectoral policies. Alternatively, advocacy on a scale that is appropriate to get buy-in is essential, ideally with empirical results.

**Technical barriers** can be overcome by identifying relevant partners in other government departments, NGOs and/or academia who can contribute perspectives from other domains. NGOs are often innovative in piloting new approaches to vulnerability reduction in small-scale projects, the results of which can, in turn, inform broader programmes.

**Lack of political commitment** can be overcome by awareness-raising and advocacy. In developing countries, technical and financial support for awareness-raising and training activities may be available, particularly if the country already receives active support from international organisations, or multilateral or bilateral donors who are committed to adaptive social protection, such as those mentioned above.

All of these barriers were observed recently in Tanzania, where the onset of a new phase of the Social Action Fund (TASAF III) has provided the opportunity to observe how the three communities of practice can work more closely (Davies et al., 2012, Seballos, F. 2012). In this case, external support and a local champion were credited with facilitating the dialogue required for TASAF III to become more 'climate- and disaster-smart'.

# Conclusion and way forward

Linking social protection, climate change adaptation and disaster risk reduction is essential to reduce vulnerability to both current and future risks, particularly those posed by a changing climate. Conceptual links have been drawn between the three domains – particularly strongly between climate change adaptation and disaster risk reduction – but also on the role that social protection can play in supporting climate change adaptation and disaster risk reduction. In turn, disaster risk reduction and climate change adaptation are increasingly recognising various types of social protection, particularly cash transfers, as mechanisms through which to reduce future risk by providing a cushion and developing adaptive capacity. A growing number of organisations are committing to integration and the promotion of adaptive social protection, although in practice most case study examples involve two out of the three concepts. Barriers to overcome are institutional, policy/legislation-related, technical and relating to political commitment.

A number of toolkits and 'how to' guidelines exist to support the process of planning projects and programmes in each of the three domains. However, only a very small number of these integrate two of the three domains (see Towards integration: An inventory of Toolkits).

Providing a 'recipe' for an adaptive social protection programme is difficult since the individual context and vulnerability context – both current and projected – need to be taken into account. For social protection policymakers looking to widen their horizon and consider options for incorporating climate change adaptation and disaster risk reduction, the process of vulnerability assessment must be broader, taking into account projected future vulnerability as well as current vulnerability. The programme design and targeting are likely to differ as a result. For climate change adaptation and disaster risk reduction to consider social protection as a mechanism through which to reduce risk, they need to expand their perspective of risk-sharing, and recognise that current vulnerability reduction can build adaptive capacity to be called upon in times of future risk, thereby reducing negative coping strategies.

# Towards integration: An inventory of toolkits

| | |
|---|---|
| **Title** | Toolkit for Integrating Climate Change Adaptation into Development Projects |
| **Date of publication** | Digital Toolkit – Version 1.0 – July 2010 |
| **Organisation** | CARE International, with technical support from IISD |
| **Author** | None named |
| **Purpose of the toolkit** | To offer 'how to' guidance for integrating climate change adaptation into the design, implementation, monitoring and evaluation of development projects (and to ensure that interventions do not inadvertently increase vulnerability to climate change) |
| **Intended audience** | Development practitioners planning projects that meet at least one of three criteria: Implementation will take place in a geographical location that is highly exposed to the impacts of climate change (e.g. glacial mountains, low-lying coastal regions, semi-arid areas prone to drought) Project activities are sensitive to climate change (e.g. agriculture, fisheries, forestry)<br>• Target groups for the project are particularly vulnerable to climate change (e.g. people dependent on natural resources, women, landless, refugees) |
| **Structure** | The toolkit is organised around the various stages in the project cycle, and identifies key issues and then provides step-by-step guidance (including recommended support tools and resources) for:<br>• Analysis;<br>• Design;<br>• Implementation;<br>• Knowledge management and monitoring and evaluation (as incorporated in each of the three main stages above).<br>Cast studies and examples from field testing are highlighted from Africa, Asia and Latin America. |
| **When to use it** | Ideally, the integration of adaptation into development projects will occur at the planning stage (and then implemented throughout the project cycle) – but this toolkit also highlights opportunities to retrofit to existing projects, depending on the particular situation. |

| | |
|---|---|
| **Title** | Adaptation toolkit: Integrating Adaptation to Climate Change into Secure Livelihoods<br><br>Toolkit 1: Framework and Approach |
| **Date of publication** | 2009 |
| **Organisation** | Christian Aid |
| **Author** | Not named |
| **Purpose of the toolkit** | To support the process of planning for adaptation and mainstreaming consideration of climate change into livelihoods work |
| **Intended audience** | Christian Aid Country Programme and partner staff focusing on disaster risk reduction and livelihood adaptation to climate change |
| **Structure** | The toolkit introduces why it is important to consider climate change adaptation in livelihoods interventions. It then provides an overview of basic conceptual issues, such as likely impacts of climate change, before turning to various approaches to incorporating adaptation into the project cycle (e.g. vulnerability and capacity assessments, community-based adaptation and climate risk cycle management). |
| **When to use it** | At the project design phase |

| | |
|---|---|
| **Title** | Adaptation toolkit: Integrating Adaptation to Climate Change into Secure Livelihoods<br><br>Toolkit 2: Developing a Climate Change Analysis |
| **Date of publication** | 2009 |
| **Organisation** | Christian Aid |
| **Author** | Not named |
| **Purpose of the toolkit** | Within the general aim of supporting the process of planning for adaptation and mainstreaming consideration of climate change into livelihoods work, this module outlines how to develop a climate change analysis |
| **Intended audience** | Christian Aid Country Programme and partner staff focusing on disaster risk reduction and livelihood adaptation to climate change |
| **Structure** | Following on from the conceptual overview provided in the first module, this toolkit is based on using two sources of climate expertise – climate science (weather data and climate models) and community/local knowledge – to develop a climate change analysis. Ample further sources of information on accessing climate science are provided. |
| **When to use it** | At the project design phase |

| | |
|---|---|
| **Title** | Social resilience and climate change: Operational toolkit |
| **Date of publication** | 2011 |
| **Organisation** | World Bank |
| **Author** | Not named |
| **Purpose of the toolkit** | To explain how an understanding of the social dimensions of climate change can enhance the sustainability and quality of Bank-supported operations while mitigating potential risks |
| **Intended audience** | World Bank task teams |
| **Structure** | The note reviews major challenges involved in addressing the social dimensions of climate change and outlines how social development approaches can help to solve these challenges through four main 'contributions':<br><br>• Identifying key factors of vulnerability and resilience;<br>• Supporting pro-poor adaptation in project design and implementation;<br>• Promoting socially inclusive mitigation interventions;<br>• Promoting accountability and good governance towards improved resilience.<br><br>Highlights the main social development analytical and operational tools in relation to the social dimensions of climate change, and provides operational examples to highlight strategies that focus on the social dimensions of climate change. There is also specific guidance for task team leaders on 'getting the most out of your social development specialist for climate change operations'. |
| **When to use it** | At the project design phase |

# Appendix

## Toolkit resources for Social Protection

| | |
|---|---|
| **Title** | How to design and implement gender-sensitive social protection programmes |
| **Date of publication** | October 2010 |
| **Organisation** | UK Department for International Development (DFID) and the Australian Government (AusAID) |
| **Author** | Rebecca Holmes and Nicola Jones |
| **Purpose of the toolkit** | This toolkit aims to improve the effectiveness of social protection interventions by integrating a gender lens to programme design and implementation to better support progress towards gender equality and women's empowerment, and ultimately, sustainably reduce poverty and vulnerability. It seeks to equip practitioners with a set of practical tools designed to promote gender-sensitive social protection, with a particular focus on social assistance programmes. |
| **Intended audience** | This toolkit aims to support policymakers, programme designers, implementers and evaluators, at the international, national and sub-national levels, to apply a gender lens to social protection |
| **Structure** | This toolkit provides conceptual, technical and practical guidance on how to integrate a gender perspective into social protection from the first steps of designing a programme to programme implementation, monitoring and evaluation. The toolkit provides examples of good practices in gender-sensitive social protection by drawing on real examples from empirical research from a range of social protection instruments across four regions (Latin America, sub-Saharan Africa, South Asia and south-east Asia).<br><br>1. The main components of the toolkit include:Guidance on how to carry out a gendered vulnerability analysis to inform the design of gender-sensitive social protection;<br>2. A menu of the key steps to consider when designing gender-sensitive cash and asset transfer programmes, public works, and food and service subsidies;<br>3. Practical guidance to effectively implement and monitor gender-sensitive design in practice, including indicators for sex-disaggregated monitoring and evaluation (M&E);<br>4. Conclusions and a checklist of key steps.<br><br>The toolkit is divided into six sections:<br><br>• Section 1 is the introduction;<br>• Section 2 presents a gender and social protection conceptual framework;<br>• Section 3 provides a 'how to' guide on how to carry out a gendered vulnerability analysis;<br>• Sections 4 and 5 provide guidance on designing and implementing gender-sensitive programmes;<br>• Section 6 provides a summary, including a checklist and decision tree of the key issues covered.<br><br>At the end of Sections 3–5, there is a simple decision tree synthesising the key steps for each of the three clusters of tools regarding how to conduct gender-sensitive vulnerability assessments, programme design and implementation. For each cluster, the decision tree outlines the following elements:<br><br>1. Data/resources to be consulted;<br>2. Key steps for a gender-sensitive approach and outcomes;<br>3. Key questions to aid implementation of the tools;<br>4. Examples drawing on promising international practices in gender-sensitive social protection. |
| **When to use it** | At the project design stage |

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|---|---|
| **Title** | Social Protection Chapter of the Public Expenditure Review Toolkit |
| **Date of publication** | Launched in 2004 and revised in May 2009 |
| **Organisation** | World Bank |
| **Author** | The original PER guidance was led by Maureen Lewis, managed by Sue Berryman and carried out by Margaret Grosh (social protection) |
| **Purpose of the toolkit** | Social protection public expenditure reviews (PERs) are one instrument that assists policymakers in understanding the performance and effectiveness of existing SP interventions. PERs are essentially comprehensive macro reports with a mandate to focus on the efficiency and efficacy of resource allocation. |
| **Intended audience** | Policymakers |
| **Structure** | Contains three elements:<br><br>1. A checklist of issues that might be included in analysis;<br>2. Notes with elaboration or references to standards, methodological guidance or international comparators; and<br>3. Examples of the treatment of each specific issue drawn from a large body of analytic work done within the World Bank. |
| **When to use it** | At any time |

| | |
|---|---|
| **Title** | Strengthening social protection responses to the global economic downturn: A policy toolkit for developing countries |
| **Date of publication** | 2011 |
| **Organisation** | Commissioned by the UK Government Department for International Development (DFID) |
| **Author** | Produced by the Economic Policy Research Institute (EPRI) |
| **Purpose of the toolkit** | This toolkit aims to support policy decision-making that aims to strengthen appropriate social protection responses to the current economic downturn and ensure continued progress against a range of Millennium Development Goals (MDGs). It provides an analytical framework and decision-making tool based on analysis of historical lessons from international experience, and informed by current thinking in terms of the existing crisis. The toolkit links social transfer choices to wider social protection strategy, as one of potentially many responses to the global economic downturn, and within a broader context of overall social policy. |
| **Intended audience** | Policy decision-makers in developing countries |
| **Structure** | Step 1: Vulnerability context analysis and identifying appropriate instruments<br>Step 2: Address the necessary pre-conditions<br>Step 3: Design and implement the intervention(s)<br>Step 4: Implement complementary interventions |
| **When to use it** | At any time – to modify an existing project or prior to the creation of a new one. |

# Toolkit resources for Climate Change Adaptation

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|---|---|
| **Title** | Adaptation Policy Framework (APF) |
| **Date of publication** | 2004 |
| **Organisation** | UNDP |
| **Author** | Erika Spanger-Siegfried and Bill Dougherty (lead authors) |
| **Purpose of the toolkit** | The APF provides guidance on designing and implementing projects that reduce vulnerability to climate change, by both reducing potential negative impacts and enhancing any beneficial consequences of a changing climate. It seeks to integrate national policymaking efforts with a 'bottom-up' movement. |
| **Intended audience** | The Adaptation Policy Framework (APF) aims to provide guidance to developing countries for formulating national policy options for adaptation to climate change. A major focus of the APF is to help countries integrate such adaptation policies into national and sectoral planning. |
| **Structure** | The framework emphasises five major principles: adaptation policy and measures are assessed in a developmental context; adaptation to short-term climate variability and extreme events are explicitly included as a step toward reducing vulnerability to long-term change; adaptation occurs at different levels in society, including the local level; the adaptation strategy and the process by which it is implemented are equally important; and building adaptive capacity to cope with the current climate is one way of preparing society to better cope with the future climate.<br><br>The APF is a flexible approach in which the following five steps may be used in different combinations according to the amount of available information and the point of entry to the project:<br><br>1. Defining project scope and design;<br>2. Assessing vulnerability under the current climate;<br>3. Characterising future climate-related risks;<br>4. Developing an adaptation strategy;<br>5. Continuing the adaptation process.<br><br>The framework focuses on the involvement of stakeholders at all stages. |
| **When to use it** | The APF is particularly applicable where the integration of adaptation measures into broader sector-specific policies, economic development, poverty reduction objectives, or other policy domains is desirable |

| | |
|---|---|
| **Title** | Integrating Climate Change Adaptation into Development Cooperation: Policy Guidance |
| **Date of publication** | 2009 |
| **Organisation** | OECD |
| **Author** | None given |
| **Purpose of the toolkit** | The objectives of this policy guidance are to:<br>• Assess the implications of climate change on development practice and the need to integrate climate change adaptation in development cooperation activities;<br>• Identify appropriate approaches for integrating adaptation into development policies at national, sectoral, project and local levels;<br>• Identify practical ways for donors to support developing country partners in their efforts to reduce their vulnerability to climate change. |
| **Intended audience** | This policy guidance is formally targeted at development cooperation agencies. It should, however, also be of direct interest and relevance to policymakers and practitioners in developing countries, given that it is organised around partner countries' institutions and processes, as called for by the Paris Declaration on Aid Effectiveness.<br><br>While development practitioners are the core audience, the policy guidance can also help inform climate change negotiators, practitioners and policy analysts about the development processes and governance contexts within which decisions to implement adaptation might eventually be taken. Therefore, it may be of relevance to these communities as well. |
| **Structure** | The policy guidance is divided into three parts:<br><br>Part I Understanding the Challenge: introduces human-induced climate change, places it within the context of weather and natural climate variability, and discusses its implications in key developing country regions. In addition, it introduces the concepts of adaptation and mitigation, and the need to integrate climate change responses into regular development activity.<br><br>Part II Integrating Climate Change Adaptation at National, Sectoral and Project Levels: takes a partner country perspective and discusses in detail how to assess and address climate risks and opportunities, and how to integrate adaptation responses within development at key decision-making levels: national, sectoral and project.<br><br>Part III Integrating Climate Change Adaptation at the Local Level: examines the specific challenges and opportunities arising from climate change in urban and rural contexts and discusses how to incorporate adaptation considerations within government- and community-level processes in both contexts. |
| **When to use it** | Appropriate to use it at any stage within the policy process; ideal to use at the stage of planning projects |

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|---|---|
| **Title** | Climate Change Adaptation Guidance Manual |
| **Date of publication** | 2007 |
| **Organisation** | USAID |
| **Author** | Coordinated by Glen Anderson, Senior Manager, IRG (International Resources Group) |
| **Purpose of the toolkit** | To provide guidance on how to assess vulnerability to climate variability and change, as well as how to design or adapt projects so that they are more resilient to a range of climatic conditions |
| **Intended audience** | To help project planners understand and address the climate's impacts on their projects |
| **Structure** | A six-step approach for assessing vulnerability and identifying and implementing climate change adaptations (the V&A approach):<br><br>Step 1: Screen for vulnerability<br>Step 2: Identify adaptations<br>Step 3: Conduct analysis<br>Step 4: Select course of action<br>Step 5: Implement adaptation<br>Step 6: Evaluate adaptations |
| **When to use it** | The V&A approach can be incorporated at any stage of a project cycle and tailored to meet the specific needs of the project. The complete six-step V&A approach is most easily incorporated into projects at the initial stage of the project cycle but is flexible enough to be applied at different stages of the project cycle and using only those V&A steps required by the project. |

| | |
|---|---|
| **Title** | ADAPT (Assessment and Design for Adaptation to Climate Change: A Prototype Tool) |
| **Date of publication** | Not given |
| **Organisation** | The World Bank |
| **Author** | None given |
| **Purpose of the toolkit** | A computer-based tool to screen for risks posed by climate change and variability. Provides a quick, initial check of potential issues that might arise in project design or implementation. Guides project developers to appropriate knowledge and experience. Raises awareness on the risks that climate change poses to development. |
| **Intended audience** | ADAPT is meant for use by development practitioners involved in project planning and design. These include World Bank staff, bilateral agencies, client governments and the NGO community. It is not a community-level decision-making tool. |
| **Structure** | How does it work?<br><br>1. Project activities are identified. The user is asked a series of questions to identify project activities and location.<br>2. 'A climate database is consulted. This will provide model projections for 7-10 climate variables for the proposed location.'<br>3. A climate risk assessment is made. Activities are ranked as sensitive to varying degrees, depending on location, current and projected climate, and type of activity. This is based on expert assessment. |
| **When to use it** | At the project design stage |

| | |
|---|---|
| **Title** | Opportunities and Risks from Climate Change and Disasters (ORCHID) |
| **Date of publication** | 2007 |
| **Organisation** | DFID |
| **Author** | Thomas Tanner, Ahmadul Hassan, KM Nabiul Islam, Declan Conway, Reinhard Mechler, Ahsan Uddin Ahmed, Mozaharul Alam |
| **Purpose of the toolkit** | This process-based tool is designed to be a light touch screening process for donor programmes. The process utilises quantitative inputs from climate science which are applied to the risk assessment of programmes usually at wide scales, and using directional trends rather than discrete figures. The tool utilises project documents and interviews with project staff as well as past trends in vulnerability and disaster risk. ORCHID aims to raise awareness of climate risk management and future climate change among staff, to stimulate dialogue with donor partners, to integrate disaster risk reduction and climate change adaptation policies and activities. The process makes recommendations for how programmes might enhance risk management through adaptive practices and cost-benefit analysis and sector economic assessments are undertaken for areas where clear adaptation options can be discerned and where sufficient data are available. |
| **Intended audience** | DFID members of staff and donors |
| **Structure** | A screening and risk assessment procedure was developed and implemented during this work.<br>• Sensitisation and awareness-raising was emphasised throughout the process.<br>• Two initial inputs frame the process:<br>– A strategic overview outlines the relevance of climate change and disasters in the context of the relevant broader DFID policies and key national development policies, including the National Adaptation Programme of Action (NAPA);<br>– A disasters and climate change profile combines newly generated future climate scenarios with existing studies and data to assess the main climate impacts in key sectors and regions.<br>• The portfolio risk assessment builds on these inputs using a checklist of criteria to prioritise key projects for a more detailed examination of project objectives and activities. This assesses risks in terms of current and future hazards, and the sensitivity and exposure of human systems. The analysis highlights opportunities for integrating disaster risk reduction and climate change adaptation within the context of programme activities or design, drawing on previous studies and government reports.<br>• An adaptation options assessment uses a multi-criteria analysis and economic cost-benefit analysis to prioritise options for integration into programmes. The exercise as a whole is used to inform the development of future screening and risk assessment as a regular part of development cooperation programming. |
| **When to use it** | In the initial stages of a project |

| | |
|---|---|
| **Title** | Adaptation Wizard |
| **Date of publication** | Version 3.0 published in 2010 |
| **Organisation** | UK Climate Impacts Programme (UKCIP) |
| **Author** | None given |
| **Purpose of the toolkit** | The Adaptation Wizard is a web-based tool that is designed to help users gain a basic understanding of climate change as well as integrate climate risks into their decision-making. It is more a decision-support than decision-making tool, and plays a valuable awareness-raising and educational role. The tool does walk users through an economic analysis of adaptation options and scenarios. |
| **Intended audience** | The tool is specifically aimed at the UK context and is a high-level, generic tool that is valuable to newcomers to the climate change issue, as well as those who are preparing to adapt. |
| **Structure** | A five-step process to enable users to assess their organisation's vulnerability to current climate and future climate change, identify options to address their organisation's key climate risks, and help them develop and implement a climate change adaptation strategy.<br><br>Step 1 Getting started: to help users to articulate their motivations for considering adapting to climate change, define their objectives, assemble their team, and to set in place any internal procedures or mechanisms needed to help them complete the assessment process.<br><br>Step 2 Assess vulnerability to the current climate: This will make it easier for users to consider how future climate change might affect them (Step 3) and could reveal responses to past events that may also be appropriate adaptations to future climate (to be considered in Step 4). It will also generate stories relating to past impacts that may be useful for raising awareness and engaging colleagues.<br><br>Step 3 Assess vulnerability to future climate change: contains information on how the UK's climate is expected to change, and will help users to assess how those climatic changes could affect them.<br><br>Step 4 Identify, assess and implement adaptation options: Having identified their significant climate risks, users then need to determine how best to address them. This Step will help users to identify a range of adaptation options more systematically, choose preferred adaptation options using explicit criteria, and put together a programme for action to implement their chosen adaptations.<br><br>Step 5 Monitor and review: It would be unwise to think that once an adaptation strategy has been developed and implemented the job of adapting to climate change is done. Adaptation is an iterative process that calls for close monitoring and regular review to ensure that organisations are 'adapting well' in a dynamic world, where what is known about the past, present and future is rapidly changing. |
| **When to use it** | At any time to assess an organisation's vulnerability to climate change |

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|---|---|
| **Title** | Community-Based Risk Screening Tool – Adaptation and Livelihoods (CRiSTAL) |
| **Date of publication** | Launched in 2007 |
| **Organisation** | Developed by the International Institute for Sustainable Development (IISD), in partnership with the International Union for Conservation of Nature (IUCN), the Stockholm Environment Institute (SEI-US), and Inter cooperation |
| **Author** | None given |
| **Purpose of the toolkit** | A project planning and management tool that helps users to integrate risk reduction and climate change adaptation into their community-level work. Specifically, it provides an analytical framework to help users understand:<br><br>• How climate-related hazards affect a project area and local livelihoods;<br>• How people cope with the impacts of these hazards;<br>• Which livelihood resources are most affected by climate hazards and which ones are most important for coping;<br>• How project activities affect access to or availability of these critical livelihood resources. |
| **Intended audience** | This project-based tool is aimed at numerous users (especially local communities, project planners and project managers) and is currently being piloted for Nicaragua, Mali, Tanzania and Sri Lanka in sectors such as agriculture, water resource management, infrastructure, and natural resource management. |
| **Structure** | CRiSTAL follows a series of logically linked analytical steps. Most information is gathered through stakeholder consultations, although some secondary scientific information on climate change is required. The tool itself runs on Microsoft Excel so that users can record and summarise the gathered data.<br><br>The tool guides users through a number of analytical steps, which are divided into two modules:<br><br>Module 1: Climate and livelihood information<br><br>Step 1: Climate context<br><br>• Current climate hazards<br>• Climate change<br>• Key climate impacts<br>• Coping strategies<br><br>Step 2: Livelihood context<br><br>• Identify livelihood resources (LR)<br>• Rate impacts of hazards on LR<br>• Rate importance of LR for coping<br><br>Module 2: Planning and managing adaptation<br><br>Step 3: Project impacts<br><br>• Assess impact of project on LR:<br>– most affected by hazards<br>– most important for coping<br><br>Step 4: Project adjustment<br><br>• Add or change project activities to reduce vulnerability and enhance adaptive capacity |
| **When to use it** | CRiSTAL should be used after the information needed to assess vulnerability and adaptive capacity has been collected —i.e. at the stage when this information is going to be used to make actual project planning and management decisions that support adaptation |

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|---|---|
| **Title** | Climate Vulnerability and Capacity Analysis (CVCA) |
| **Date of publication** | 2009 |
| **Organisation** | CARE |
| **Author** | Handbook prepared by Angie Dazé, Kaia Ambrose and Charles Ehrhart |
| **Purpose of the toolkit** | The CVCA methodology provides a framework for analysing vulnerability and capacity to adapt to climate change at the community level. Recognising that local actors must drive their own future, the CVCA prioritises local knowledge on climate risks and adaptation strategies in the data-gathering and analysis processes.<br><br>The main objectives of the CVCA are to:<br><br>• Analyse vulnerability to climate change and adaptive capacity at the community level;<br>• Combine community knowledge and scientific data to yield greater understanding about local impacts of climate change. |
| **Intended audience** | Project managers and field staff, local partners (government and NGOs) and communities |
| **Structure** | CVCA is not meant to guide the entire process of developing a project or designing an advocacy campaign. Rather, it is intended to guide the analysis which is generally the first step in either of these undertakings, and to provide suggestions for how this analysis can be used to take action on adaptation to climate change. It is also important to note that the CVCA methodology is not designed to quantify vulnerability or provide results that can be generalised to regional or national levels. However, qualitative information from the CVCA can be used to design quantitative surveys, if desired.<br><br>The analytical framework of the CVCA is based on CARE's Community-Based Adaptation (CBA) Framework. This Framework 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 enabling factors are:<br><br>• Climate-resilient livelihoods;<br>• Disaster risk reduction;<br>• Capacity development;<br>• Addressing underlying causes of vulnerability.<br><br>The CVCA process facilitates analysis of the existing situation with respect to these enabling factors. This helps to identify actions which can be taken to put the factors in place, creating an enabling environment for adaptation. |
| **When to use it** | Ideally, the CVCA approach should be integrated into the analytical process undertaken at the beginning of a project cycle, so that the analysis can be used in the design of the project. This would apply regardless of whether the objective is to develop a targeted community-based adaptation project, or to integrate adaptation into a development project. It could also be used in the initial stages of designing an advocacy campaign to develop the evidence base and identify allies and opponents.<br><br>Given the dynamic nature of vulnerability to climate change, it may be appropriate to update the CVCA analysis over the course of a project. The approaches suggested may also be incorporated into the monitoring and evaluation system of a project, to track changes in vulnerability resulting from project interventions and changing climate conditions. |

# Toolkit resources for Disaster Risk Reduction

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|---|---|
| **Title** | Disaster Risk Reduction (and Climate Change Adaptation) Toolkit |
| **Date of publication** | 2012 |
| **Organisation** | World Vision |
| **Author** | Not known |
| **Purpose of the toolkit** | Designed to assist field staff in undertaking the integration of disaster risk reduction (DRR) and climate change adaptation (CCA) into field programmes more effectively. In addition, the toolkit also serves as a step-by-step guide to help strengthen work in building community resilience. |
| **Intended audience** | Field staff, as well as other local stakeholders in government and civil society organisations |
| **Structure** | This DRR toolkit provides a step-by-step series of four tools and easy-to-use worksheets that will build knowledge and confidence for staff tackling issues around disaster and climate-related risks in the field.<br><br>Tool 1: Initial risk assessment<br><br>This tool aims to assist the Area Development Programme Manager to determine the general disaster risk in the programme area, within a limited time.<br><br>Tool 2: Risk assessment for design phase<br><br>This tool aims to assist the ADP Manager and field staff responsible for conducting in-depth surveys to determine the nature and extent of disaster risk in the programme area.<br><br>Tool 3: Assessment report and design document review<br><br>This tool examines whether DRR has been adequately considered in the ADP design. It can also be integrated into World Vision's Document Review Tool.<br><br>Tool 4: Risk monitoring and evaluation<br><br>This tool is for the use of the ADP Manager, National Office and the Support Office in monitoring and evaluating the integration of DRR and CCA measures in the project being implemented. |
| **When to use it** | The toolkit is divided into four separate tools which can be used at the appropriate point in a project/programme's life cycle |

| | |
|---|---|
| **Title** | Child-Centred Disaster Risk Reduction Toolkit |
| **Date of publication** | 2010 |
| **Organisation** | Plan International |
| **Author** | Phoebe Farag (independent consultant and former Learning and Impact Assessment Manager at Plan UK) and Kelly Hawrylyshyn, the Deputy Programme Manager for the Plan UK DRR Programme |
| **Purpose of the toolkit** | To help Plan International programme countries and other organisations and groups to work effectively with children to reduce risks and increase community resilience to disasters and the effects of climate change |
| **Intended audience** | See above |
| **Structure** | This toolkit is made up of four modules focusing on:<br><br>1. Training children on disaster risk reduction through the hazard, vulnerability and capacity assessment<br>This module contains guidelines for training with children, and a training manual with a series of training sessions and activities to conduct a child-centred Hazard Vulnerability and Capacity Assessment. This module provides the foundation for a child-centred DRR programme – as a participatory, HVCA process – which is key for a successful DRR programme/project.<br>2. Planning, monitoring and evaluating child-centred disaster risk reduction programmes<br>This module contains a framework for planning, monitoring and evaluating child-centred DRR, as well as important guidelines and tools for project/programme design – such as child-centred DRR outcomes and indicators, and for designing projects and programmes– such as focus group questions. This module provides a more theoretical description of the child-centred DRR approach and expected outcomes.<br>3. Action planning with children on disaster risk reduction<br>This module contains guidelines and tools for conducting action planning with children, including how to support children to develop and implement small-scale DRR projects.<br>4. Advocacy with children on disaster risk reduction<br>This module contains an advocacy framework, guidelines, and case studies from Plan's experience doing DRR advocacy work with children locally, nationally, and internationally. It also provides guidelines and tools for planning advocacy work with children. |
| **When to use it** | The toolkit is divided into four separate modules which can be used at the appropriate point in a project/programme's life cycle |

| | |
|---|---|
| **Title** | Disaster Risk Reduction: A Toolkit for Tourism Destinations. Practical examples from coastal settlements in Asia |
| **Date of publication** | 2008 |
| **Organisation** | Coordinated by the United Nations Environment Programme (UNEP), Division of Technology, Industry and Economics (UNEP-DTIE) and the Swedish Rescue Services Agency (SRSA) Sweden, along with local partners in Thailand and India |
| **Author** | Ruth Coutto and Stefanos Fotiou (UNEP)<br>Björn Hedskog and Lars Hillerström (SRSA)<br>Srisuda Rakphao of Patong Municipality of Phuket<br>Wanchai Chaovanapanja of ANSAO/Phi Phi Islands<br>A.Y. Sundkar of National Safety Council of India<br>Abraham Rosental and Thalis Papadopoulos of International Hotel and Restaurant Association |
| **Purpose of the toolkit** | From October 2006 to the end of 2008, UNEP worked with a number of partners to help build capacity for disaster risk reduction in three tsunami-hit tourist destinations. This toolkit for tourist destinations has been developed to disseminate the project experience and to allow its replication in other tourist destinations. |
| **Intended audience** | The toolkit is intended for use by authorities at the national, regional and local levels and the private sector, including businesses that provide tourist services. Universities and research institutes studying disaster risk management will find descriptions of the methods used during the project. Potential local project managers can use the tools to replicate the project's aims and activities in their own municipality. The toolkit can be disseminated to the various actors who assist in preparing or responding to a disaster such as fire and rescue departments, environmental departments, technical departments, hospitals, school administrators, hotel owners, as well as volunteer organisations. |
| **Structure** | The toolkit includes information relating to the various steps that need to be undertaken:<br><br>• preliminary assessment;<br>• capacity building;<br>• disaster prevention and preparedness planning;<br>• communication and dissemination of the key information.<br><br>For each step in the process, the toolkit provides an explanation of what should be done and a reference to the project experience. All key project documents are mentioned in the annex and are included in the CD-ROM attached to the toolkit. |
| **When to use it** | At any time when disaster managers, local and municipal and community planners, or other stakeholders in the tourism sector want to better prepare for disasters in tourist destinations |

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