



**Republic of Malawi**

**SECTORAL GUIDELINES FOR INTEGRATION OF CLIMATE CHANGE ADAPTATION IN DEVELOPMENT  
PLANNING**

**Ministry of Natural Resources Energy and Mining**  
*Environmental Affairs Department*

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## FOREWORD

The Government of Malawi, through the Ministry of Natural Resources Energy and Mining with support from Global Environment Facility (GEF)-Least Developed Countries Fund (LDCF) and United Nation Development Programme (UNDP) is implementing a project to support the implementation of urgent adaptation priorities through strengthened decentralised and national development plans also known as ADAPT PLAN. This project was developed to address existing barriers in integrating adaptation into development planning at all levels. Some of the main barriers include: weak institutional structures, technical capacity challenges and knowledge gaps. The project aims to integrate adaptation into development planning at national and local levels, beginning with 3 sectors (Agriculture, Water and Forestry) in the pilot districts of Nkhatabay, Ntcheu and Zomba hence the development of the guidelines.

Without applying CCA lens when planning for socioeconomic development strategies and programmes at every level, chances are high that development plans may fail to address real vulnerability issues and or in some cases increase vulnerability to the impact of climate change. In addition, without having standardized guidelines in integrating CCA in development planning, proper coordination and collective reporting is grossly affected. The need therefore to have guidelines to institutionalize technical and practical integration of CCA in development planning cannot be overemphasized if there are to be sustainable socioeconomic gains in Malawi.

The goal of the guidelines is to provide direction on how climate change measures can be integrated into national policies, strategies and planning as well as how to promote knowledge and awareness on climate change adaptation amongst all stakeholders including communities. The guidelines will also support the Sustainable Development Goals (SDGs) whose goals include taking urgent action to combat climate change and its impacts through strengthening resilience and adaptive capacity to climate change impacts.

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EAD is also thankful to all community structures such as the Village Development and ADAPT Plan Production Committees and individuals in the project target areas who provided valuable information without which this activity would have not been possible.

Last but not least EAD is grateful to UNDP, an implementing partner under the GEF-LDCF financed project, for the valuable technical support rendered during the development of the guidelines.

## ACRONYMS AND ABBREVIATIONS

ACPCs	Area Civil Protection Committees
ADCs	Area Development Committees
CC	Climate Change
CCA	Climate Change Adaptation
CEDRA	Climate change Environmental Degradation Risk and adaptation Assessment
CRISTAL	Community-based Risk Screening Tool Adaptation and Livelihoods
CSOs	Civil Society Organizations
CVCA	Climate Vulnerability and Capacity Analysis
DDP	District Development Plan
DEC	District Executive Committee
DoDMA	Department of Disaster Management Affairs
DRR	Disaster Risk Reduction
EIA	Environmental impact assessment
GCM	Global Climate Models
GDP	Gross Domestic Product
GEF	Global Environment Facility
GVH	Group Village Headman
IPCC	Inter-Governmental Panel on Climate Change
LDCF	Least Developed Countries Fund
M&E	Monitoring and Evaluation
MGDS	Malawi Growth and Development Strategy
NAP	National Agriculture Policy
NAPA	National Adaptation Programmes of Action
NGO	Non-Governmental Organizations
NTCCC	National Technical Committee on Climate Change
PADR	Participatory Assessment of Disaster Risk
PVCA	Participatory Vulnerability and Capacity Assessment
PVCA	Participatory Vulnerability Capacity Assessment
RCM	Regional Climate Models
SDGs	Sustainable Development Goals
SEA	Strategic Environmental Assessment
SWOT	Strengths, Weaknesses, Opportunities, Threats'
TA	Traditional Authority
UNDP	United Nation Development Programme
UNEP	Environment Programmes
UNFCCC	United Nations Framework Convention on Climate Change
US\$	<i>US dollar</i>
VAP	Village Action Plan
VCPCs	Village Civil Protection Committees
VDCs	Village Development Committees
VDCs	Village Development Committees
WUA	Water User Association

The Guidelines provide a standard for integrating Climate Change Adaptation (CCA) in national, district and local development planning. The tool was developed through an intensive, participatory and inclusive process of all stakeholders in development, climate change and disaster risk management work in the country. The process involved conducting consultations with stakeholders at national level and in the project target districts and communities of Zomba, Ntcheu and Nkhatabay. The process also included review of relevant sectoral policies of agriculture, water and forestry. The guidelines provide procedures to enhance effective integration of climate change adaptation into national policies, plans, and development projects in order to contribute to:

- reducing vulnerability to climate impacts and variability,
- increasing the adaptive capacity of communities and national activities facing climate impacts, and
- ensuring sustainable development and avoiding decisions that will generate maladaptation or increase community vulnerability to climate change impacts

The guidelines also provide a step by step tool for integration of climate change adaptation into development planning. The tool is meant to help development practitioners to avoid engaging in socioeconomic development work that is maladaptation and thereby creating future vulnerabilities to the impact of climate change. The guidelines are a means to some extent to help Environmental Affairs Department ensure standardized and collective reporting and synthesis of CCA interventions and outcomes.

Integration of CCA measures into development planning can reduce people's vulnerability and significantly lower the costs of responding to effects of climate change. The guidelines, therefore, should form part of ongoing efforts by different development players to build community resilience to climate change. They are intended for use by policy makers, planners, technocrats and analysts in the Ministries and departments responsible for development, embracing the subsectors of agriculture, water and forestry. The guidelines are an important reference document for formulation, implementation and monitoring of policies, strategies and projects in development work. While government will continue to play its role of policy guidance and regulation, it is the onus of all development players to take the lead in mainstreaming climate change adaptation into development planning and implementation.

The adoption and use of the guidelines by relevant institutions, individuals and organizations will ascertain climate change resilience building in vulnerable communities and contribute to sustainable socioeconomic development across the Malawi

## **1.0 INTRODUCTION**

### **1.1 Project Background**

The Government of Malawi, through the Ministry of Natural Resources Energy and Mining with support from Global Environment Facility (GEF)-Least Developed Countries Fund (LDCF) and United Nation Development Programme (UNDP) is implementing a project, known as ADAPT PLAN, to support the implementation of urgent adaptation priorities through strengthened decentralised and national development plans. The project objective is to establish and demonstrate institutional framework required to mainstream adaptation into development planning at all levels, beginning with 3 Agriculture, Water and Forestry sectors and pilot work in Nkhata Bay, Ntcheu and Zomba districts. The project is to facilitate integration of climate change adaptation into development planning by developing sectoral guidelines and tools for integrating adaptation into development planning at all levels and also establishing subsequent adaptation indicators.

### **1.2 Overview of Climate Change Impact**

According to the national Climate Change Policy (2016) scientific evidence in Malawi shows an increase in frequency, intensity and magnitude over the last two decades of extreme weather events such prolonged dry spells, seasonal droughts, intense rainfall, riverine floods and flash floods. The trajectory of Malawi's experiences with climate sensitive disasters is often traced back to the 1991/92 Southern Africa drought that caused suffering to over 6.1 million people. Since then, climate sensitive disasters have continued to escalate leaving poor subsistence farming households and communities with no time to recover as they are consequently being subjected to continuous hunger and deeper cycles of poverty and vulnerability. Widespread environmental degradation due to poor land use and rampant deforestation is exacerbating the situation increasing community vulnerability to the changing climate.

### **1.3 National Strategic Directions for Adaptation in Agriculture, Water and Forestry**

Malawi Government is significantly engaged in the development and implementation of strategic directions on climate change issues both at international and national levels. At global level, the Government, in 1994, signed and ratified the United Nations Framework Convention on Climate Change (UNFCCC) held during the United Nations Conference on Environment and Development (UNCED) in Rio de Janeiro, Brazil in 1992<sup>1</sup>. Malawi is actively involved in the UNFCCC Conference of Parties (CoP) annual negotiations on Global Climate Change issues and committed to issuing agreements. Malawi is also committed to the actualization of global development strategies such as the Sustainable Development Goals (SDGs) whose goal number 13 challenges governments and all stakeholders to "Take urgent actions to combat climate change and its impacts".

At national level, the Government has prioritized climate change including environment and natural resources management as one of the priorities within priorities of the Malawi Growth and Development Strategy (MGDS II 2011-2016).<sup>2</sup> The Government has also put in place a series of legislative sectoral frameworks and strategies to inform and regulate climate change management initiatives and sustainable socio-economic developmental activities. In view of the pilot sectors, table 1 below provides the list of Climate Change adaptation related policies and legal frameworks that the Government of Malawi has developed;

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<sup>1</sup>Malawi NAPA (2016)

<sup>2</sup>National Climate Change Management Policy (2016)

**Table 1: Climate Change Adaptation Related Policies and Legal Frameworks**

<b>Sector</b>	<b>Legal Frameworks</b>
<b>Agriculture</b>	Food and Nutrition Security Policy, 2005; Agriculture Sector Gender, HIV and AIDS Strategy, 2012; HIV and AIDS in the Agriculture Sector Policy and Strategy, 2003; Malawi Irrigation Policy and Development Strategy, 2000; National Agriculture Policy, 2016, Agriculture Sector Wide Approach (ASWAp), 2015
<b>Water</b>	Malawi National Water Policy, 2004; Water Resources Act, 2013.
<b>Forestry</b>	National Forestry Policy of Malawi, 1996; Malawi Energy Policy; National Environmental Policy (NEP) 2004; National Environmental Action Plan 2002; National Land Use Planning and Management Policy, 2005; National Land Policy, 2002; Land Act 2013; The Forestry Act (1997), Environmental Management Act (1996) <sup>3</sup> .

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<sup>3</sup>National Climate Change Management Policy (2016)

Climate Change Adaptation interventions ought to be integrated into development planning in a systematic approach hence the guidelines.

### 2.1 Objectives of the Guidelines

The guidelines provide clues for the integration of climate change adaptation into socioeconomic development planning at national, sectoral, district, household levels. The guidelines will help development practitioners to avoid engaging in socioeconomic development work that is maladaptation and thereby creating future vulnerabilities to the impact of climate change.

### 2.2 Operating Principles for the Guidelines

The guidelines are an important standard tool for integrating CCA in all key planning levels for socioeconomic development and pilot sectors of Agriculture, Water and Forestry sectors. The implementation or use of the Guidelines shall be directed by the following principles;

- 2.2.1 **Participatory and Inclusiveness:** ensuring that formulation, implementation and monitoring of related CCA policies and strategies involves all stakeholders for ownership and sustainability
- 2.2.2 **Enhancement of the integration of Community and Ecosystem Based approaches:** local adaptation plans at district and community level are developed through relevant participatory methodologies that build resilience of communities and ecosystems
- 2.2.3 **Consciousness of the current and future impacts of climate change:** plans and policies respond to evidence of the current and future manifestations and impacts of climate change to avoid maladaptation and ensure sustainability of development projects
- 2.2.4 **Balance between soft and hard adaptation initiatives:** ensure appropriate investment in capacity building for development practitioners and communities, as well as in physical infrastructure
- 2.2.5 **Equity in adaptation intervention:** ensuring all groups of people especially the most vulnerable groups (women, children, chronically ill, physically challenges, and elderly) actively participate in the planning and implementation of adaptation interventions for both individual and community resilience developments

### 3.0 GENERAL INTEGRATION OF CCA INTO DEVELOPMENT PLANNING AND IN THE THREE PILOT SECTORS

The process of integrating adaptation into development planning in the pilot sectors and across the board should be premised on the following areas: (1) key planning levels and entry points, (2) sector vulnerability, climate change risks and adaptation options and (3) generic integration guidelines and tools.

#### 3.1 Key Planning Levels and Entry Points

In order to ensure effective integration into development planning, adaptation must be considered across all envisaged key planning levels for socioeconomic development in the country. Table 2 provides a synthesis of key planning levels (including a wider range of stakeholders) and possible entry points to consider for integration of adaptation into socioeconomic development planning.

**Table 2: Key Planning Levels and Possible Entry Points**

Key Planning Level	Possible Entry Points
1. Central Government	<ul style="list-style-type: none"> <li>• National Development Plans formulation and Review Processes (Malawi Poverty Reduction Strategy Paper, MGDS, Malawi Vision 2020),</li> <li>• National budget formulation, allocation, adoption, execution and control processes</li> <li>• International development partner plans formulation processes</li> <li>• Private Sector development plans and/or Corporate Social Responsibility (CSR)</li> </ul>
2. Sector/Ministries	<ul style="list-style-type: none"> <li>• Sector policies, strategies and planning and review process (National Agriculture Policy, National Water Policy, National Forestry Policy)</li> <li>• Sector expenditure reviews</li> <li>• Government sectoral programmes and projects (Agriculture Infrastructure Support Programmes, Green Belt Initiative, Improved Forest Management for Sustainable Livelihoods Programme, ADAPT PLAN)</li> <li>• Integration of Climate Change into Academia Curriculum</li> </ul>
3. Local/District Structures	<ul style="list-style-type: none"> <li>• Decentralization Policy</li> <li>• District Socio Economic Profile (SEP) and District Development Plans processes</li> <li>• Private Sector and CSOs' Planning processes</li> <li>• District budget allocation process</li> <li>• Village and Area Development Planning process; Village Action Plans (VAP)</li> <li>• Development plans and projects of CSOs and Private Sector</li> </ul>
4. Household	<ul style="list-style-type: none"> <li>• Household Livelihoods development planning process</li> <li>• Development projects identification and designing processes by stakeholders</li> </ul>
5. Project	<ul style="list-style-type: none"> <li>• Project Cycle Management process</li> <li>• Development projects identification and designing processes by stakeholders</li> </ul>

#### 3.2 Sector Climate Change Risks, Vulnerability Factors and Adaptation Options

The Program focuses on Agriculture, Water and Forestry as pilot sectors to consider for adaptation integration in related development planning. In order to identify ideal adaptation interventions, potential and future climate change risks and vulnerability factors need to be assessed first. Table 3 presents primary data on sector level climate change risks, vulnerability factors and ideal adaptation options to consider.

Development practitioners should carry out a comprehensive vulnerability assessment to climate change risks for any sector in cognizant of any proposed program and target areas. This will help ensure identification of ideal adaptation interventions to integrate in the development planning processes at sector level and across.

**Table 3 Key Sector Climate Change Risk, Vulnerability and Adaptation Options**

Key Sector	Climate Change Risk	Vulnerability Factors	Adaptation options
<b>Agriculture</b>	<ul style="list-style-type: none"> <li>• Erratic rainfall (Dry spells and droughts)</li> <li>• Crop and animal disease outbreaks</li> </ul>	<ul style="list-style-type: none"> <li>• Limited Crop Diversification</li> <li>• Limited access to certified and improved quality seed</li> <li>• Poor farming practices</li> <li>• Over dependence on rain-fed agriculture</li> <li>• Lack of community based and people centered early warning systems</li> <li>• Poor post-harvest management practices</li> <li>• Limited livestock diversification</li> <li>• Soil and fertility erosion</li> <li>• Overdependence on pastoral livelihood</li> </ul>	<ul style="list-style-type: none"> <li>• Promote crop diversification to include legumes and roots and tubers</li> <li>• Promote backyard gardens, sack-bag crop growing focusing high nutritive value crop</li> <li>• Promote and increase access to drought tolerant and early maturing food and cash crops</li> <li>• Promote community-based seed systems including community seed banks</li> <li>• Promote Climate Smart Agriculture farming practices such as Conservation Agriculture</li> <li>• Promote small scale irrigation such as use of Treadle Pumps, gravity, river diversions and solar</li> <li>• Investment in big scale national irrigation initiatives</li> <li>• Facilitate establishment of community based and people centred effective early warning systems, including for famine, crop and animal diseases, drought, storms/strong winds and floods</li> <li>• Promote post-harvest handling technologies such as solar drying and grating</li> <li>• Promote fish farming and rearing of small hoofed animals</li> <li>• Promote community based and people centered small livestock management</li> <li>• Promote agro-forestry</li> <li>• Promote sustainable livelihoods diversification and off-farm enterprises at household level</li> </ul>
<b>Water</b>	<ul style="list-style-type: none"> <li>• Erratic rainfall (Dry spells and droughts)</li> <li>• Floods</li> </ul>	<ul style="list-style-type: none"> <li>• Poor Water Management and Sanitation services</li> <li>• Lack of water harvesting structures</li> <li>• Degraded environment</li> <li>• Lack of community based early warning systems</li> <li>• Dangerous locations and weak infrastructure (bridges, schools, houses, habitats, irrigation infrastructures)</li> </ul>	<ul style="list-style-type: none"> <li>• Construction of innovative borehole and gravity water fed systems considering position of aquifers</li> <li>• Promotion of water efficient technologies such as low flush toilet cisterns</li> <li>• Construction of rain water harvesting structures such as dams to conserve water</li> <li>• Lake level control and management scheme</li> <li>• Water demand management awareness campaigns</li> <li>• Water resources conservation activities that promote infiltration such as afforestation</li> <li>• Establishing byelaws to control grazing sites for livestock</li> </ul>

			<ul style="list-style-type: none"> <li>• Put in place community based and people centered food early warning and response systems</li> <li>• Building designs that take into account impacts of climate change</li> <li>• Flood mitigation works such as dykes, river canalization</li> <li>• Improved flood monitoring to enable forecasting and issuing warning</li> <li>• Establishment of flood delineation and zoning maps</li> </ul>
<b>Forestry</b>	<ul style="list-style-type: none"> <li>• Drought and Floods</li> <li>• Desertification</li> <li>• Wild fires</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of diversified energy sources</li> <li>• Poor community based natural resources management strategies</li> <li>• Lack of enforcement of policies and regulations on land use</li> <li>• Lack of sustainable diversified community and household livelihoods</li> </ul>	<ul style="list-style-type: none"> <li>• Investment on mini-hydro power plants on small rivers</li> <li>• Invest in community level low carbon technologies to ease pressure on biomass energy</li> <li>• Improve energy access and security in rural areas through promotion of energy-efficient stoves (Chitetezombaula)</li> <li>• Promote energy saving technologies and renewable energy technologies</li> <li>• Conserve and enhance forestry resources which act as both sinks and reservoirs of greenhouse gases.</li> <li>• Introducing community based fire management by engaging in forest fire fighting and prevention</li> <li>• Carry out afforestation programmes that promote drought and heat tolerant tree species.</li> <li>• Establish permanent forest ecosystem monitoring plots to monitor possible signs of forest die-back as a way to effectively plan afforestation programmes based on appropriate species.</li> <li>• Carry out research to reduce the existing gaps in knowledge on forest ecosystems and climate change, as well as on forest threats such as fires.</li> <li>• Promote afforestation and re-afforestation programmes to control siltation and the provision of wood fuel, and for their benefits, such as sources of alternative cash income;</li> <li>• Promotion of Non Timber Forest Products (NTFPs) and Environmental Education advocacy among forestry bordering communities.</li> </ul>

### **3.3 Guidelines and Tools for Integration CCA in socioeconomic development planning**

The guidelines and tools for adaptation integration are considered both for the key planning levels such as national, sectoral, local/district, household and project levels, and the three pilot sectors.

#### **3.3.1 Integrating CCA at the National level**

The Central government (Malawi Decentralization Policy 1998) sets and coordinates sectoral policies and legislations which create the incentives or disincentives for exploring CCA opportunities. Integration of adaptation in development planning should, therefore, be visible at this level.

##### **3.3.1.1 Integrating CCA within National Level Policy framework**

The Central government provides the overall guiding policy framework within which lower levels (sectoral and local government) operate. It is imperative therefore to ensure adaptation is conceptually and practically integrated within the policy cycle development framework as this is where national resources are allocated for various socioeconomic development at all levels down to the local government. A generic policy cycle development framework includes five stages namely; (1) policy formulation, (2) planning, (3) resource allocation, (4) programming and implementation, and (5) monitoring and evaluation.

##### **3.3.1.2 Guidelines for Integrating adaptation within the national level**

With reference to five stages of the Policy Cycle framework listed above, table 4 provides the stages and illustrates where and how adaptation to climate change can be considered.

**Table 4: Key Interventions for Adaption in the National Level Policy Formulation**

<b>Policy Cycle Stages</b>	<b>Summary description</b>	<b>Broader Interventions for climate change adaptation</b>
1. Policy Formulation	<ul style="list-style-type: none"> <li>National long-term visions and strategies i.e. Malawi Vision 2020, MGDS, National Strategy for Sustainable Development (2004)</li> <li>National short to medium-term policies e.g. Malawi Poverty Reduction Strategy Papers</li> </ul>	<ul style="list-style-type: none"> <li>Recognition of CC risks considering their medium to long-term timeframes within relevant national policies</li> <li>Application of the Climate Lens to examine the extent to which policies or strategies could be vulnerable to CC risks or the extent to which they could lead to maladaptation. Tools such as Strategic Environmental Assessment (SEA) may be used (ref. Annex 1)</li> <li>Identification and consideration of ideal adaptation options within relevant national policies. The Malawi NAPA (2015) can inform identification of medium-term priorities while the NAP, under development, will provide guidance on medium to long term adaptation priorities.</li> </ul>
2. Planning	<ul style="list-style-type: none"> <li>Formulation and costing of multi-year or long term development plans through which high-level national policy objectives and strategies are translated into operational action plans and budgets.</li> </ul>	<ul style="list-style-type: none"> <li>Application of climate lens to proposed sectoral plans to assess climate risks and/or opportunities and potential responses. Adoption of existing sectoral guidelines and criteria to assess plans with a view of adding climate change specs might be an important approach</li> <li>Proactive action on programmes or projects specifically aimed at enabling adaptation to climate change. The Malawi NAPA may provide important guidance though it may typically identify a limited number of priority projects for adaptation across the sectors</li> </ul>
3. Resource Allocation	<ul style="list-style-type: none"> <li>Corresponds to the translation of operational action plans into budgets and the National budget constitute the main instrument at this stage or level.</li> </ul>	<ul style="list-style-type: none"> <li>Reallocation of funds to key sectors and regions that will be more vulnerable to climate change. The Malawi NAPA, NAP and any National Climate Change Vulnerability Research work may provide some baseline information for decision making</li> <li>Provision of funding for nation-wide plans specifically aimed at enabling adaptation and also establishing a basket fund for adaptation to meet additional costs of integrating adaptation to address identified risks at sectoral level</li> </ul>
4. Programming & Implementation	<ul style="list-style-type: none"> <li>Sectoral development plans and budgets.</li> </ul>	<ul style="list-style-type: none"> <li>Application of climate lens ensure endorsement and implementation of climate proof development projects</li> </ul>
5. Monitoring & Evaluation	<ul style="list-style-type: none"> <li>Assessment of progress against set targets and objectives of national level policies and strategies</li> </ul>	<ul style="list-style-type: none"> <li>Provision of resources to strengthen M&amp;E systems and capacities at national and sectoral levels</li> <li>Develop indicators to track progress on integration of adaptation in development planning</li> </ul>

### **3.3.2 Sectoral level integration guidelines and tools**

The sector level includes bodies with policy and planning authority within a given sector such as ministries and departments created under them. Vulnerability to CC risks and response actions are highly sector-specific and it is therefore important to plan for integration of adaptation at this level.

#### **3.3.2.1 Integrating adaptation within the sectoral policy cycle**

Sectoral policy making, planning and programming are key steps in the implementation of any development investments and it is therefore important to consider possible adaptation interventions at each step of the generic policy development framework. Table 5 provides generic stages of the sectoral policy cycle development framework and illustrates where and how adaptation to climate change can be considered.

**Table 5: Key Interventions for Adaption in the Sectoral Level Policy Formulation**

Policy Cycle Stages	Summary description	Interventions for climate change adaptation
Policy Formulation	<ul style="list-style-type: none"> <li>• Translation of national policy direction into sectoral policies and strategies such as NAP (2016) and NEA Action Plan (2002)</li> </ul>	<ul style="list-style-type: none"> <li>• Reflect upon and further deepen action on climate change priorities that may have been established at the national level;</li> <li>• Recognition of climate change and the need for adaptation within sectoral policies and strategies;</li> <li>• Application of a climate lens in the formulation of sectoral policies and strategies, and make the necessary adjustments.</li> </ul>
Planning	<ul style="list-style-type: none"> <li>• Translation of sectoral policies and strategies into Sectoral Plans. These provide an opportunity to develop actions with regard to sectoral CCA</li> </ul>	<ul style="list-style-type: none"> <li>• Application of a climate lens in the formulation of sectoral plans to ensure that they are climate proof. This may lead to the reorientation and modification of sectoral plans and/or to the development of new activities.</li> <li>• Build in cross-sectoral adaptation activities and projects identified at the national level. This may include measures in relation to disaster risk management</li> </ul>
Resource Allocation	<ul style="list-style-type: none"> <li>• Sectoral Budgets. identification and costing of specific projects with timelines and estimated costs</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Sectoral management need to be proactive to identify any emerging climate change risks needing measures which might not have been considered at local government /or district level in specific regions</li> <li>• Make “room” in the budget for climate change responses identified in the context of cross-sectoral plans, or claim resources from a basket fund established for additional sectoral adaptation initiatives.</li> </ul>
Programming & Implementation	<ul style="list-style-type: none"> <li>• Sector development plans and strategies. Involves continued appraisal of top-down (sectoral level) projects and bottom-up project from local/district level.</li> </ul>	<ul style="list-style-type: none"> <li>• Add climate change lens to the range of criteria used to screen project proposals such as Social Impact Analysis (SIA), Environmental Impact Assessment (EIA) and Cost-benefit Analysis (CBA). The SEA and Community Based Risk Screening Tool - Adaptation and Livelihoods (CRISTAL) refer Annex 1</li> </ul>
Monitoring & Evaluation	<ul style="list-style-type: none"> <li>• Assessment of progress against set targets and objectives</li> </ul>	<ul style="list-style-type: none"> <li>• Provision of resources to strengthen M&amp;E systems and capacities at sectoral level</li> <li>• Develop indicators to track performance against adaptation</li> </ul>

### **3.3.2.2 Specific integration guidelines and tools for pilot sectors**

With reference to the Policy Cycle development framework specific guidelines for integration of climate change adaptation into the pilot sectors of Agriculture, Water and Forest are presented in table 6 in Annex 3.

### **3.3.3 Guidelines and tools for Local Level Integration**

Integration of CCA into socioeconomic development should spring from local levels. Local levels include districts and all decentralized structures i.e. Area Development Committees (ADCs) and Village Development Committees (VDCs). CCA should first occur at the local level for climate change impacts are manifested locally, vulnerability and adaptive capacity are also realized locally and adaptation interventions are best observed at local levels as this is where most of the action is implemented.

#### **3.3.3.1 Guidelines and tools on integrating adaptation into local development planning process:**

The first step of integrating Climate Change Adaptation into socioeconomic development is to influence the development planning processes, beginning with local levels. The Department of Local Government in the Office of the President and Cabinet developed a Development Planning System Handbook for District Councils to guide preparation of District Development Plans (DDPs). It also provides the mechanism for linking the district and national level planning and budgeting processes.

The District Development Planning System involves the following activities; (1) production of district social economic profile (SEP), (2) formulation of a district development planning framework (DDPF), (3) preparation of district development plan (DDP) which also incorporates village action plans (VAP), (4) programming and implementation of projects, (5) monitoring and evaluation and (6) annual review and reappraisal. Fig 1 in annex 4 presents the complete DDPS cycle

In order to ensure effective integration of climate change adaptation in socioeconomic development planning at local/district level, table 6 provides key questions and priorities for integrating adaptation in the local/district/rural development planning process. The table presents (1) standard development planning stages with (2) Malawi local government district development planning system aligned and (3) key questions, possible interventions and priorities for integrating adaptation into the local/district development planning process.

**Table 6: Key Interventions and Priorities for Integrating Adaptation in the local/district development planning process**

GENERIC LOCAL DEVELOPMENT PLANNING STAGES	DISTRICT DEVELOPMENT PLANNING SYSTEM (DDPS)	KEY QUESTIONS, POSSIBLE INTERVENTIONS AND PRIORITIES FOR INTEGRATING ADAPTATION
<p><b>1. Situation Analysis;</b> <i>understanding the current development situation in the district/community</i></p>	<p><b>1. Production of Socio Economic Profile (SEP)</b> <i>provides necessary information for situational analysis and formulation of DDPF</i></p>	<p><b>1.</b> What livelihoods are practiced in the district and communities?  <b>2.</b> How are they affected by climate change?  <ul style="list-style-type: none"> <li>• Use the Household Livelihood Security Framework</li> <li>• Employ the PVCA/PADR/CEDRA tool through the VAP process</li> <li>• Use of national, district and local Climate Information</li> </ul> <b>3.</b> What policies and institutions help or hinder people's ability to manage climate risk?  <ul style="list-style-type: none"> <li>• Analyze local by-laws and programmes affecting exposure to climate hazards</li> <li>• Stakeholders Analysis of district and local institutions in DRR and CCA</li> </ul> </p>
<p><b>4. Visioning and Goal Setting;</b> <i>describing where the community wants to be in the future and what it needs to do to get there</i></p>	<p><b>2. Formulation of District Development Plan Framework (DDPF)</b> <i>becomes the road map for formulation of all programmes and projects</i></p>	<p><b>1.</b> How can analysed local climate risks affect attainment of sectoral related community development goals i.e. agriculture, water, forestry, health?  <b>2.</b> How can meeting development goals enhance or undermine community vulnerability and resilience to climate risk?  <ul style="list-style-type: none"> <li>• Application of Climate Lens tools to appraise goals and subsequent programmes</li> <li>• The SEA and CRiSTAL tools would be ideal for the screening exercise</li> <li>• Use of local Climate Information</li> </ul> </p>
	<p><b>3. Approval of District Development Plan Framework (DDPF)</b></p>	
<p><b>3. Priorities Identification;</b> <i>identifying what should be done in the short, medium, and longer term</i></p>	<p><b>4. Feedback and Project Identification</b> <i>commences after the approval of the DDPF</i></p>	<p>Climate risk information can be used to prioritize and fine-tune development goals at district level  <ul style="list-style-type: none"> <li>• Vulnerability and Capacity Assessments may be used to identify vulnerable areas and people, and thus priority targets for interventions</li> <li>• Use of Climate Information to reveal emerging climate risks to community development priorities</li> <li>• Livelihoods and Coping Strategies Assessment may help to understanding effective and sustainable strategies thereby guide resource allocation and investment</li> </ul> </p>
	<p><b>5. Project Proposal Preparation and Appraisal</b> <i>Involves examining and evaluating the feasibility of proposed projects bases on technical, institutional,</i></p>	

GENERIC LOCAL DEVELOPMENT PLANNING STAGES	DISTRICT DEVELOPMENT PLANNING SYSTEM (DDPS)	KEY QUESTIONS, POSSIBLE INTERVENTIONS AND PRIORITIES FOR INTEGRATING ADAPTATION
	<i>financial/economic, social and environmental perspectives</i>	<ul style="list-style-type: none"> <li>• Application of Climate Lens to ensure climate proof development programs</li> </ul>
<b>4. Programmes/Projects/Policy (regulations) formulation;</b> <i>developing targeted actions to address priorities</i>	<b>6. Formulation of District Development Plan (DDP)</b> <i>a road map to socioeconomic development directing resources and project investment packages for accelerated poverty reduction in the district</i>	<p>Make sure climate risks are taken into account in the design of projects to avoid maladaptation</p> <ul style="list-style-type: none"> <li>• Employ PCVA/PADR/CEDRA tools in the VAP process</li> <li>• Use SEA, CRISTAL and sectoral screening tools for ensure climate proof projects</li> </ul> <p>Identify interventions that build the capacities needed to implement priority development activities that reduce climate-related vulnerabilities</p> <ul style="list-style-type: none"> <li>• Increased access to micro-credit</li> <li>• Better communication infrastructure such as roads and bridges</li> <li>• Establishing Early Warning Systems</li> <li>• Building community storm drains, establishing mitigation works and adaptation initiatives such as riverbank stabilization in flood-prone areas</li> <li>• Community Education and Awareness Campaigns</li> <li>• Capacity building for Climate Risk Information management</li> <li>• Establishing or strengthening decentralized structures and institutions for effective climate risk reduction</li> </ul>
	<b>7. Negotiations and Approval of District Development Plan (DDP)</b>	
	<b>8. Planning and Implementation of Projects</b>	
<b>5. Monitoring and Evaluation;</b> <i>tracking progress and measuring socioeconomic development achievements</i>	<b>9. Monitoring and Evaluation</b>	<p>Establish indicators that help assess local vulnerability to climate change and capacities of communities to reduce it;</p> <ul style="list-style-type: none"> <li>• Use the Livelihood Framework to analysis degree or levels vulnerability factors and capacities as baseline data</li> </ul>
	<b>10. Annual Review and Reappraisal</b>	

### **3.3.4 Guidelines and tools for Household Level Integration**

The household is the smallest unit at the community level and it is where impact of climate change is largely felt and observed. Approximately 80 percent of Malawians depend on renewable natural resources for livelihoods, and the foundation of the national economy is primarily rain-fed agriculture (NCCMP 2016). Since agriculture is the major source of income to most farmers, rural livelihoods are significantly affected by effects of climate change, contributing to lower family income and, in some cases, hunger, malnutrition, and lower living standards. Some of the most affected include female-headed households, child-headed households, the physically disabled and the elderly. It is therefore imperative to initiate integration of climate change adaptation in micro socioeconomic development at household level for sustainable livelihoods and resilience.

#### **3.3.4.1 Entry point for integrating adaptation in development planning at household level**

Household level integration of adaptation should start with livelihoods assessment. The **Household Economy Approach** (HEA) (Fig 2 in Annex 5 illustrate the livelihood model on which the HEA approach is based) may be used to help households identify their livelihoods and specific activities. In addition participatory methodologies such as PADR may be used to analyze their livelihoods' vulnerability to climate change risks in order to develop ideal adaptation strategies

#### **3.3.4.2 Guidelines for integration of adaptation at household level**

Key questions and priorities for integrating climate change adaptation into household level socioeconomic development planning may depend on the participatory methodology used. The guidelines suggest the use of the PADR/PVCA tool, which focuses on the Livelihood Framework, to initiate integration of adaption in household level development planning. Table 7 shows the stages of the PADR in detail and illustrate where and how adaptation to climate change can be considered at household level socioeconomic development planning.

**Table 7: Priority Interventions for Adaption at household level socioeconomic development planning**

		PADR/PVCA STEPS			
		HAZARD ASSESSMENT	VULNERABILITY ASSESSMENT	CAPACITY ASSESSMENT	RISK MANAGEMENT PLANNING
Household Livelihood Framework/Elements at risk to Climate Change	Summary description	Climate Risk/Weather related hazards (general or specific to each livelihood asset)	Vulnerability factors exposing household to climate risk	Household capacities available to be harnessed for adaptation interventions	Possible Household level options for integration adaptation
	<ul style="list-style-type: none"> <li>facilitate identification of specific livelihoods by target household</li> </ul>	<ul style="list-style-type: none"> <li>help households list current and potential climate risks (using climate info &amp; other tools)</li> </ul>	<ul style="list-style-type: none"> <li>assess vulnerability factors exposing specific household livelihoods to climate risks (use tools like Disaster Crunch Model)</li> </ul>	<ul style="list-style-type: none"> <li>facilitate identification of capacities available on each of the livelihood assess</li> </ul>	<ul style="list-style-type: none"> <li>list and prioritize potential adaptation measures (using climate lens and related tools)</li> </ul>
<b>1. Human</b> <i>individual capabilities and physical health</i>					
<b>2. Social</b> <i>relationships within and outside the community</i>					
<b>3. Natural</b> <i>natural resources within the target community</i>					
<b>4. Physical</b> <i>man-made structures, livelihood tools, transport and communication</i>					
<b>5. Economic</b> <i>household income and means, livestock and assets, and financial services</i>					

### **3.3.5 Guidelines and Tools for Project level integration**

The project level is very critical for effective integration of adaptation in socioeconomic development planning as this is where the actual programming and implementation is done. The "project" refers to a discrete development activity in a predetermined location. Most disaster problems are unsolved development problems, and disaster risk management *and climate change adaptation* is thus primarily an aspect of development". Vulnerability assessment of a project to climate change impacts may focus on the type of infrastructure it develops, the activities it supports, its geographical positioning or location and expected lifetime.

#### **3.3.5.1 Entry point for integrating adaptation at project level**

The project cycle management is the ideal entry point. The Project Cycle steps include project identification, appraisal, design, implementation, monitoring and evaluation, and learning and evolution. The Cycle can be used as the framework to integrate the assessment of climate risks and the identification, analysis and prioritization of adaptation options. Fig 3 in annex6 shows the project cycle with key potential interventions for adaptation.

#### **3.3.5.2 Guidelines and Tools**

Practical integration of adaptation with within the project cycle management can effectively be achieved by applying the guidelines and tools presented in table 8 below.

**Table 8: Steps in CCA integration in a Project Cycle**

Project Cycle Steps	Broader interventions for integration of CCA	Specific activities and areas to focus on for integration of Climate Change Adaptation	Recommended Tools & Resources (ref to Annex for brief overview of Tools)
<b>1. Identification</b>	<ul style="list-style-type: none"> <li>Assessment of potential climate risks and effects on vulnerability (screening for vulnerability)</li> </ul>	<ul style="list-style-type: none"> <li>Understand past and current climate context</li> <li>Identify future changes to climate context due to CC</li> <li>Assess livelihoods-climate linkages for different groups of people</li> <li>Assess climate change and disaster risk and vulnerability effects regarding the envisaged project</li> <li>Identify vulnerability underlying causes to CC and disaster risks</li> <li>Synthesize information gathered (qualitative and quantitative) to complete identification process</li> </ul>	<ul style="list-style-type: none"> <li>Participatory methodologies/tools i.e. CVCA, CRISTAL, PVCA, PADR, CEDRA</li> <li>Environmental Impact Assessment (EIA)</li> <li>Assessment and design for adaptation to climate change (ADAPT)</li> <li>Sector Policies (Agriculture, Water and Forestry)</li> <li>National Communications Reports</li> <li>NAPA</li> <li>National Development Strategies - MGDSs</li> <li>NCCMP and NDRMP</li> <li>District Development Plans</li> </ul>
<b>2. Analysis/Appraisal</b>	<ul style="list-style-type: none"> <li>Identify Adaptations opportunities</li> </ul>	<ul style="list-style-type: none"> <li>Undertake in-depth climate risk assessments</li> <li>Ascertain adaptation options</li> <li>Prioritize and select adaptation options</li> </ul>	
<b>3. Design</b>	<ul style="list-style-type: none"> <li>Conduct Analysis &amp; Select course of action</li> </ul>	<ul style="list-style-type: none"> <li>Link adaptation with project objectives and expected results</li> <li>Devise risk mitigation strategies in the context of climate change</li> <li>Develop effective initiatives to address vulnerability underlying causes to CC and disasters to enhance climate-resilient livelihoods</li> <li>Design knowledge sharing and M&amp;E strategies</li> <li>Develop indicators for monitoring changes in adaptive capacity</li> </ul>	<ul style="list-style-type: none"> <li>Cost-benefit analysis (CBA)</li> <li>Cost-effectiveness analysis (CEA)</li> <li>Community Risk Screening Tool - Adaptation and Livelihoods (CRISTAL)</li> <li>CEDRA Field Tool Checklist</li> </ul>

Project Cycle Steps	Broader interventions for integration of CCA	Specific activities and areas to focus on for integration of Climate Change Adaptation	Recommended Tools & Resources (ref to Annex for brief overview of Tools)
<b>4. Implementation</b>	<ul style="list-style-type: none"> <li>Implement Adaptation Options</li> </ul>	<ul style="list-style-type: none"> <li>Establish multi-sectoral strategic alliances to achieve expected results</li> <li>Incorporate EWS and Preparedness measures</li> <li>Implement selected adaptation options for new project</li> </ul>	<ul style="list-style-type: none"> <li>Participatory Scenario Planning (PSP)</li> </ul>
<b>5. Monitoring &amp; Evaluation</b>	<ul style="list-style-type: none"> <li>Monitor &amp; evaluate implementation of adaptation within projects</li> </ul>	<ul style="list-style-type: none"> <li>Monitor implementation context and adjust project approach in response to findings and lessons learned</li> <li>Document and disseminate case studies</li> </ul>	<ul style="list-style-type: none"> <li>Climate Context Monitoring Tool</li> <li>Framework of Milestones and Indicators for Community Based Adaptation (CBA)</li> <li>Characteristics of a Disaster-Resilient Community: A Guidance Note</li> </ul>
<b>6. Learning &amp; Evolution</b>	<ul style="list-style-type: none"> <li>Inform review of on-going projects and designing of new ones</li> </ul>		

## **4.0 ENABLING ENVIRONMENT FOR EFFECTIVE APPLICATION OF THE GUIDELINES**

The successful application of the guidelines will require an enabling environment otherwise the guidelines will continue to be good thoughts on paper while development planning continues to be done a "business as usual approach" and communities continue to reel under the impacts of climate change. Following are key factors to establish an enabling environment for the successful implementation of the guidelines.

### **4.1 Building upon and reinforcing existing national mechanisms for DRR**

The NCCMP (2016) provides a comprehensive institutional framework for climate change management in but there is need to build upon and reinforce existing national mechanisms for DRR such as DoDMA and National DRR Platform Adaptation. Existing DRR mechanisms also need to better reflect how climate change might affect the frequency and severity of certain types of natural disasters, such as droughts, floods, and therefore also affect the adequacy or effectiveness of DRR measures and regulations.

### **4.2 Improve access to national, district and local CC risk information**

Adaptation requires best available climate change information and assessments of impacts and vulnerabilities. The Government therefore ensure that the Department of Climate Change and Metrological Services (DCCMS) is financially and technically well capacitated to provide the information.

### **4.3 Raising Climate Change Awareness and Building Partnerships**

One predictable challenge for integration of adaptation is the lack of awareness and knowledge among policy makers and development practitioners about how climate risks can affect multi-sectoral and multi-stakeholder CCA integration. Climate change awareness and education should therefore be given a special focus.

### **4.4 Budgeting and Financing Measures for Climate Change Adaptation**

To ensure progress towards effective climate change adaptation into socioeconomic development planning, national development plans and sector policies and programs should be accompanied by suitable budgetary allocations from the national budget, and other resource mobilization strategies should be put in place.

### **4.5 Strengthening Institutions and Capacities**

Strengthening and improving national coordination arrangements for climate change adaptation must be the focus. Capacities of key institutions in coordination, administrative procedures, systems and tools at all levels for effective CCA integration, should be strengthened. Capacity building should also include equipping the human resource hub.

## **5.0 GUIDELINES IMPLEMENTATION PLAN AND REVIEW PROCESS**

### **5.1 Implementation Action Plan**

The implementation plan of the guidelines to integrate adaptation in development in the target ADAPT PLAN sectors and districts should consider the following important practical aspects

#### **5.1.1 Awareness and Communications Strategy**

The ADAPT Plan project needs to implement an efficient awareness and communication strategy of the guidelines in the pilot districts and sectors. This will help ensure that all stakeholders are aware of guidelines and understand how to apply them to integrate adaptation in development planning at all levels.

#### **5.1.2 Make use of existing Technical Working Groups and Networks:**

Existing government sectoral technical working groups and platforms such as National Technical Committee on Climate Change (NTCCC), Parliamentary Committee, and National DRR Platform should be harnessed to provide the forum to promote the guidelines. CSOs networks such as Civil Society Network on Climate Change (CISONECC) and Civil Society Agriculture Network (CISANET) should also be targeted.

#### **5.1.3 Utilize key planning levels and entry points.**

The key planning levels should be explored to promote systematic integration of adaptation in development planning. The guidelines and tools suggested may be used to appraise on-going national development strategies and programmes presented as entry points in the guidelines. Stakeholder planning meetings can be held at planning levels especially at local/district levels to pilot the work.

#### **5.1.4 Capacity building of Project Management and Implementation Teams:**

The ADAPT Plan would need to develop and implement a capacity building or orientation plan for Project Management teams in the pilot districts to understand the tools, approaches and procedures presented in the guidelines.

### **5.2 Review Process of the Guidelines**

#### **5.2.1 Introduction**

Monitoring and Evaluation is a critical process because it enables the tracking performance of the guidelines during the period of its implementation. There will be a Mid-Term review of the guidelines in 2019 to assess the extent to which set objectives of the guidelines have been achieved and take appropriate corrective actions where necessary. Another review would be conducted in 2021.

#### **5.2.2 Roles and Responsibilities**

The responsibility to carry out the review process will be vested with stakeholder groups established at national, district and local levels across the integration of climate adaptation into development planning. The district focal point entities with the support of the district councils, CSOs working in the districts and programmes will take responsibility to initiate and coordinate the process.

For the pilot application of the guidelines, the ADAPT Plan project management teams in the target district will be responsible to monitor the process. The structures will work in collaboration with other stakeholders through district technical groups such as District Environmental Committees, Development Planning Committees, and District Civil Protection Committees.

**Annex 1 Tools and approaches for projects screening****1. Participatory Assessment of Disaster Risk (PADR)**

PADR is a methodology for use at community and household level. It involves active engagement, with the community, in a process to explore the risks they face and the factors contributing to those risks. PADR deals with the deeper factors which cause vulnerability and make people and assets more at risk from natural and climate sensitive hazards. It also emphasises the capacities found within communities which increase their resilience to hazards. PADR uses five components of the Livelihood Framework as categories of analysis. These are also elements at risk to disasters and climate change risks.

The PADR is presented in a book published by Tearfund titled; *Reducing risk of disaster in our communities*, 2010 by Bob Hansford email: [roots@tearfund.org](mailto:roots@tearfund.org) website:[www.tearfund.org/tilz](http://www.tearfund.org/tilz)

**2. Community-based Risk Screening Tool - Adaptation and Livelihoods (CRiSTAL)**

CRiSTAL is a decision support tool developed jointly by the International Institute for Sustainable Development (IISD), the International Union for Conservation of Nature (IUCN), the Stockholm Environment Institute in Boston (SEI-US) and the Swiss Foundation for Development and International Cooperation (Inter-cooperation). Drawing on the Environmental Impact Assessment (EIA) model and the Sustainable Livelihoods Framework (SLF), CRiSTAL aims to provide a logical, user-friendly process to help users better understand the links between climate-related risks, people's livelihoods, and project activities. Specifically, CRiSTAL is intended to help project planners and managers to:

- Systematically understand the links between local livelihoods and climate;
- Assess a project's impact on livelihood resources important to adaptation; and
- Devise adjustments that improve a project's impact on livelihood resources

International Institute for Sustainable Development (IISD) website:[www.iisd.org/](http://www.iisd.org/)

**4. Climate change Environmental Degradation Risk and adaptation Assessment (CEDRA)**

The purpose of CEDRA purpose is to help organisations integrate adaptation into development and disaster risk reduction (DRR) work, moving towards an approach which sees projects intentionally designed to ensure that development, adaptation to climate and environmental change and resilience to disasters are addressed together.

It is intended to make existing work stronger and able to withstand environmental and climate change. It is a strategic tool, to be used across the whole of an organisation's work rather than in specific projects or sectors. It is aimed at NGOs in developing countries, but may also be useful for other bodies such as national or local government. CEDRA is designed to be approached flexibly. It involves seven different Steps and it is usually carried out in a number of Phases, beginning with a workshop.

CEDRA is a Tearfund material developed by Sarah and Mike Wiggins (2012). website:[www.tearfund.org/CEDRA](http://www.tearfund.org/CEDRA).

## Annex 2      Specific integration guidelines for pilot sectors

### 2.1 Steps for Integration of Adaptation in Agriculture Sector

<b>Evidence &amp; Analysis</b>	<p><b>Step 1: Identify And Analyze Existing Vulnerabilities</b></p> <ul style="list-style-type: none"> <li>• Establish an understanding of climate change risk and key actors</li> <li>• Establish current and future vulnerabilities to climate risks affecting the agriculture sector</li> <li>• Identify Specific Strategic Areas/Subsector policies in the sector</li> <li>• In Agriculture development programming mainly targets the following:             <ul style="list-style-type: none"> <li>✓ Policies to encourage adapted crop development and farming practices, soil conservation and land management, on irrigation and water resource management</li> <li>✓ Crop and income loss risk management policies and Disaster risk management policies (flood, drought...</li> </ul> </li> </ul>
<b>Planning process</b>	<p><b>Step 2: Integrate CCA in selected agricultural programming areas</b></p> <p>identify policy actions that can integrate adaption at the level of: (1) Crop development and farming practices, (2) Soil Conservation and land management, (3) Irrigation and water resources management, (4) Crop and income loss risk management, and (5) Disaster risk management</p>
<b>Implementation</b>	<p><b>Step 4: prioritizing CCA activities in the implementation plan</b></p> <p>Having identified the policy option in the five strategic areas of integration, the sector should make further effort to:</p> <ul style="list-style-type: none"> <li>• Identify the entry points in the policy actions under consideration and leverage on existing actions;</li> <li>• Prioritize the efficient and cost effective policy actions that will really see adaptation measures being implemented.</li> <li>• Costing of agricultural adaptation actions should be done collaboratively with all critical stakeholders within and outside the sector.</li> <li>• The government should commit a minimum percentage for adaptation from national budgetary allocations</li> <li>• Identify projects and programmes that would effectively be used as channels to implement some of the selected policy actions. Implementation of projects/programmes related to CCA in agriculture sector should be done collaboration or consortia with other players or actors such as NGOs, private sector and farmer organizations.</li> </ul>
<b>Monitoring &amp; Evaluation</b>	<p><b>Step 5: Integrate CCA indicators into M&amp;E Framework to track performance</b></p> <ul style="list-style-type: none"> <li>• Set all necessary indicators at levels of output, outcome and impact</li> <li>• Put measures to establish monitoring mechanisms to promote efforts to strengthen improve data collection, analysis and dissemination,</li> <li>• Devise ways for coordinated implementation and institutionalization i.e. ensuring that all actors from both public, private and farmers are entrusted with implanting CCA projects and programs in agriculture sector.</li> <li>• Track performance, adjust to changes and make improvements</li> </ul>

## 2.2 Steps for Integration of Adaptation in the Forestry Sector

<p><b>Evidence &amp; Analysis</b></p>	<p><b>Step 1: Identify and analyze existing vulnerabilities</b></p> <ul style="list-style-type: none"> <li>• Identify existing forestry policies and strategies (e.g. REDD+ strategy, forest adaptation strategy) and analyze their coherence with other climate change strategies (e.g. national climate change strategy).</li> <li>• Identify gaps, inconsistencies and areas for harmonization in the legal framework for the forest sector with regard to enabling implementation of climate change related policies and actions..</li> <li>• Identify new data and information needs related to climate change, forests and land use, and identify ways to amend the current forest information systems so that the national and international needs for forest monitoring, measurement, reporting and verification can be met in accordance with national circumstances</li> <li>• Analyze capacity development needs of forest related bodies, the private sector, local community organizations and indigenous groups with respect to both climate change-related expertise and capacities to plan, participate in and/or manage related processes</li> <li>• Assess the need for additional financial resources to enable effective integration</li> <li>• Identify incentives, both positive and negative, in the forest and other sectors that influence the implementation of forest-related climate change policies or actions.</li> </ul>
<p><b>Planning &amp; process</b></p>	<p><b>Step 2: identify and develop CCA options/Actions</b></p> <ul style="list-style-type: none"> <li>• Adjust forest legislation and revise or establish regulations to ensure consistency with forest-related policies on climate change adaptation</li> <li>• Promote the revision of legislation of other sectors to eliminate conflicts and enhance synergies with forest-related climate change policies and actions.</li> <li>• Decide on the division of roles and responsibilities between governmental bodies and among other stakeholder organizations needed to facilitate effective implementation of forest-related climate change policies</li> <li>• Amend capacity development strategies to include forests, land use and climate change related issues, and devise ways and means to provide capacity development to key stakeholders at all levels.</li> <li>• Design mechanisms to ensure that new sources of financing are tapped and that resources are channeled in an equitable and transparent manner to targeted stakeholders and through suitable means</li> <li>• Revise policies and introduce measures aimed at encouraging private sector investments in forest-related climate change actions</li> </ul>
<p><b>Implementation</b></p>	<p><b>Step 4: prioritizing CCA activities in implementation plan</b></p> <ul style="list-style-type: none"> <li>• Implement forest policies related to climate change by amending and/or developing operational plans at national and sub-national levels.</li> <li>• Enforce revisions of forest law and regulations related to climate change</li> </ul>

	<ul style="list-style-type: none"> <li>• Revise existing or develop new intra- and cross-departmental and sectoral mechanisms to facilitate coordination between bodies at national sub-national and local level and between public and private bodies</li> <li>• Engage stakeholder consultative mechanisms to enhance participatory decision-making and engagement in the implementation of actions on forests and climate change, adhering to the principle of Free, Prior and Informed Consent</li> <li>• Implement education and training programmes on forests, land use and climate change tailored to specific user groups at different levels within governmental bodies, the private sector, community-based organizations and indigenous groups.</li> <li>• Implement changes in financing and incentives in the forestry sector to support adaptation and mitigation investments, innovative approaches and equitable and transparent distribution of resources.</li> </ul>
<b>Monitoring &amp; Evaluation</b>	<p><b>Step 5: Integrate CCA indicators to track performance</b></p> <ul style="list-style-type: none"> <li>• Monitor emerging issues and decisions related to national and international climate change policy processes with relevance for forests.</li> <li>• Monitor progress and periodically evaluate impacts of revisions of climate change related forest laws and regulations including issues in relation to tenure, ownership and trading rights of forest carbon.</li> <li>• Monitor progress and periodically evaluate implementation of revisions in organizational frameworks and related responsibilities and the respective alignment of bodies with the new tasks and duties.</li> <li>• Periodically evaluate the degree and effectiveness of coordination across organizational frameworks and sectors relevant to forests and climate change, in particular between bodies at national, sub-national and local level and between public and private bodies</li> <li>• Monitor and assess the degree of participation of stakeholder groups and application of the principle of Free, Prior and Informed Consent and of conflict management mechanisms in forest and climate change decision-making</li> <li>• Monitor progress in data collection, assessment, reporting and verification related to forests and climate change</li> <li>• Monitor and assess the application of social and environmental safeguards for climate change adaptation.</li> <li>• Periodically monitor and evaluate: forest research programmes for their relevance and contribution to climate change adaptation</li> <li>• Periodically monitor progress in improving the level of climate change knowledge and expertise, both technical and managerial, in government forestry bodies at different levels.</li> <li>• Monitor and periodically evaluate the allocations and funds spent on forest and climate change responses, in particular with regard to effectiveness, efficiency, equity and accountability.</li> </ul>

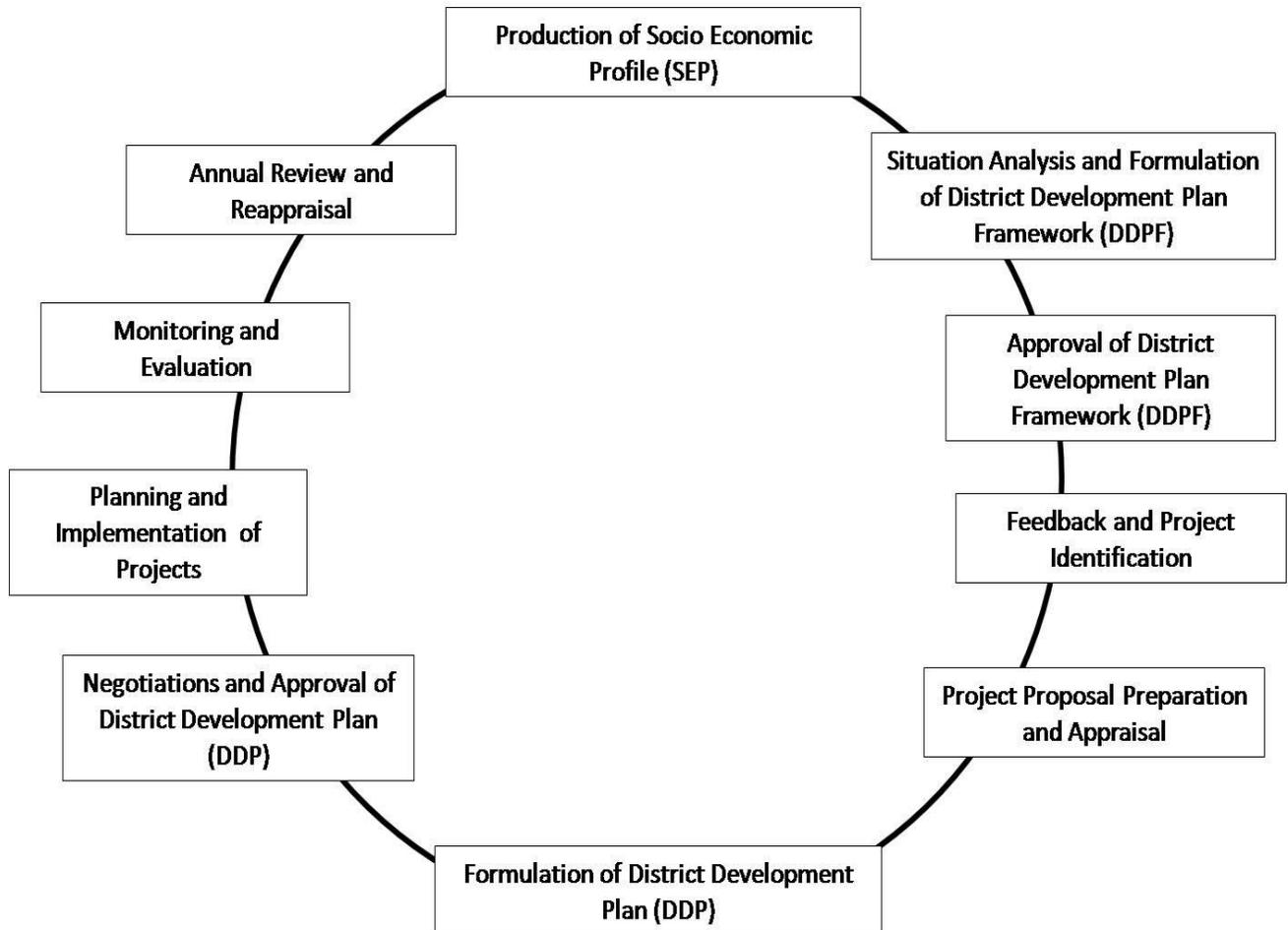
### 2.3 Steps for Integration of Adaptation in the Water Sector

<p><b>Evidence &amp; Analysis</b></p>	<p><b>Step 1: Identify and analyze existing vulnerabilities</b></p> <ul style="list-style-type: none"> <li>• Establish current and future vulnerabilities to climate risks affecting the water sector</li> <li>• Assess if climate change adaptation is integrated in water policies and planning documents at national, district and local levels</li> <li>• Analyze how water issues addressed in adaptation planning documents (national, district and local levels)?</li> <li>• identify barriers and opportunities in relation to a good enabling environment for the integration of adaptation into the water sector</li> <li>• Analyze any existing mechanisms for documenting best practice adaptation, including autonomous adaptation</li> <li>• Identify national mechanism tasked with coordinating adaptation across sectors and ministries</li> </ul>
<p><b>Planning process</b></p>	<p><b>Step 2: identify CCA Options /Actions</b></p> <ul style="list-style-type: none"> <li>• Undertake a ‘Strengths, Weaknesses, Opportunities, Threats’ (SWOT) analysis (or similar) of the overall findings from Step 1, with the aim of identifying ways to overcome problems and capitalize on strengths and opportunities</li> <li>• Identify any catalysts that could aid the creation of supportive or stronger enabling environments, as expressed in the national policy</li> <li>• Facilitate awareness-raising among national authorities regarding the links between climate risks and present-day conditions.</li> <li>• Set up a ‘water and climate change working group’, preferably as a sub-group of any existing climate change or relevant group.</li> <li>• Dedicate a budget to implement a specific work plan for modeling climate risks in greater detail, especially with respect to water.</li> <li>• Identify ways to remedy aspects of the existing policy that are at risk from climate change.</li> </ul>
<p><b>Implementation</b></p>	<p><b>Step 4: prioritizing CCA activities in implementation plan</b></p> <ul style="list-style-type: none"> <li>• Undertake a programmatic review of the existing action plan and seek to identify areas where it could be strengthened.</li> <li>• Develop and implement a climate-resilient action plan for the water sector</li> <li>• Select adaptation activities to be carried out and establish responsibilities and budget to ensure that the integration of adaptation within existing projects is implemented; Include within existing action plans CCA activities</li> <li>• Establish priorities for what has to be done through a multi-stakeholder consultative process.</li> <li>• identify the budget for development activities and integrate adaptation funding within it (including monitoring and evaluation costs)</li> </ul>

<b>Monitoring &amp; Evaluation</b>	<ul style="list-style-type: none"><li>• Step 5: Integrate CCA indicators to track performance</li><li>• Find early investment to support monitoring and evaluation of programme projects or activities so that baselines can be established and functions carried out thoroughly</li><li>• Develop indicators to track performance</li><li>• Conduct regular monitoring through surveys and consultation.</li><li>• Record progress against key indicators.</li><li>• Produce regular reports (e.g. quarterly/annually) on achievement of key indicators.</li><li>• Identify areas of weakness and develop activities to improve programming</li><li>• Evaluate the overall approach intended to reduce vulnerability to climate risk, to capture and share learning and so improve practice</li></ul>
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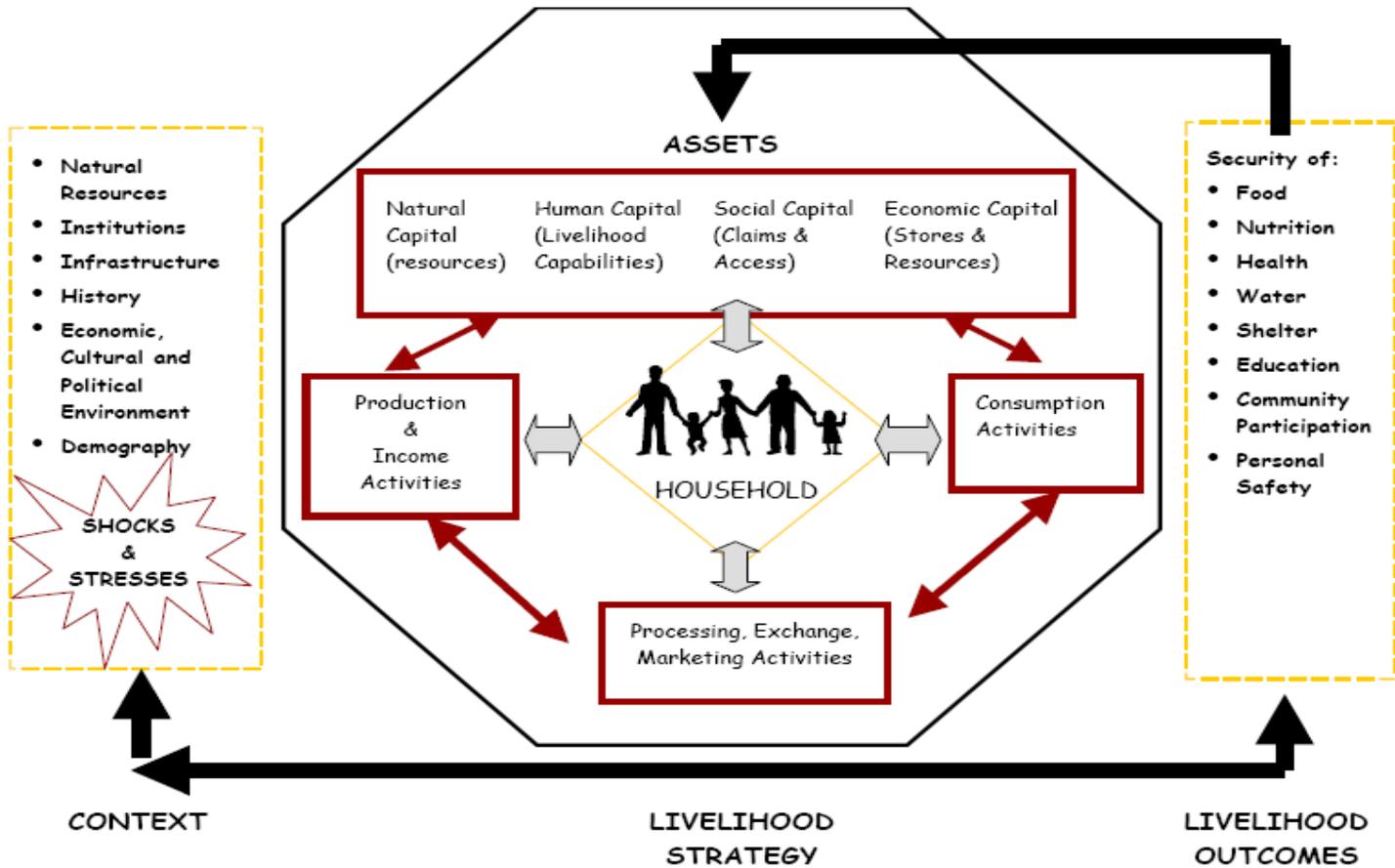
Annex 3 District Development Planning System

**DISTRICT DEVELOPMENT PLANNING SYSTEM (DDPS)**



Source: Malawi Government *Development Planning System Handbook for District Assemblies*, 2001

Annex 4 Household Economy Approach Framework



From: Frankeberger, Drinkwater and Maxwell 2000

Annex 5 Project Cycle with key interventions for integrating adaptation

