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#### **Climate Risk Screening and Assessment Tools: Making Sense of a Crowded Field**

This document provides a first draft of a report on climate risk screening and assessment tools, following the discussion of the Task Team in Zurich in January 2010. The report draws on interviews and documentary sources from a wide range of tools and approaches for integrating climate change in both donor agencies and international non-governmental organisations. It aims to provide an up to date analysis and to stimulate dialogue on tools among the development community in both donors and development partners.

The document was prepared by Anne Hammill (IISD) and Thomas Tanner (IDS).

Action Required: For discussion and comment.

Contact: Shardul Agrawala (Tel: + 33 1 45 24 16 65; [Shardul.Agrawala@oecd.org](mailto:Shardul.Agrawala@oecd.org))

# Climate risk screening and assessment tools: Making sense of a crowded field

## Preamble

The need to tackle the risks posed by the impacts of climate change to poverty reduction goals has underpinned a burgeoning range of tools to integrate adaptation into development co-operation. Stock-takes and workshops have considered similarities of these tools focusing primarily on descriptions of the tool methodologies. However, as experience with implementation of these tools has grown, it is opportune to consider the experiences of users as well as developers and evaluate the potential for harmonisation across approaches.

This report draws on interviews and documentary sources from a wide range of tools and approaches for integrating climate change in both donor agencies and international non-governmental organisations. It aims to provide an up to date analysis and to stimulate dialogue on tools among the development community in both donors and development partners.

## 1. Introduction and Rationale

After its initial framing as an environmental issue, the link between poverty and climate change is now recognised as a central issue for social and economic development. There is increased acknowledgement among development cooperation agencies and their partners that climate change impacts may threaten the strategic aims of poverty reduction and the achievement of the Millennium Development Goals (MDGs) (AfDB *et al*, 2003; UNDP, 2007; World Bank, 2010a). At the same time, climate change and taking adaptive actions may provide opportunities to enhance progress to reduce poverty.

Increased awareness of the risks and opportunities related to climate change has underpinned a major drive for adaptation, and “there is now also significant high-level policy endorsement within donor agencies and International Finance Institutions for the need to integrate adaptation into development co-operation activities” (Gigli and Agrawala, 2007:9). This integration includes tackling direct risks of damages from climate hazards to specific programme investments and the risk of general underperformance of the investment due to climate change impacts (van Aalst, 2006). At the same time, without due consideration, poverty reduction investments alone may not necessarily lead to reductions in vulnerability to climate change, leading to potential ‘maladaptation’.

Policy commitments to manage these risks through integration have stimulated a burgeoning variety of tools and learning resources to improve awareness and decision-making associated with development cooperation in the context of climate variability and change. A number of preliminary attempts have been made to stock-take and compare the range of tools and approaches emerging in response to the

diversity of different organisational and situational needs (Gigli and Agrawala, 2007; Klein *et al*, 2007; Tanner and Guenther, 2007; Olhoff and Schaer, 2010; World Bank, 2010b). While a one size fits all methodology may not be appropriate, there have also been attempts at greater harmonisation of approaches to integration through examining common entry-points (OECD, 2009) and calls for harmonisation of terminology and common analytical tools within diverse approaches (Olhoff and Schaer, 2010).

Early assessment of such tools and approaches in 2007 suggested that:

- Cross-referencing and collaboration between was occurring;
- Inefficient replication appeared to be limited;
- Tools were targeting particular niches;
- Approaches generally took climate change as an additional stressor to factor into development activities (Tanner and Guenther, 2007).

However, most of these stock-taking exercises considered tools in early stages of development, focusing primarily on descriptions of the tools, with little consideration of the lessons emerging from their practical application. Even the more ‘mature’ or established tools were only developed and piloted in the last five years, yielding some very preliminary lessons; in some cases these lessons are being rolled into subsequent versions of the tools. Moreover, the wide range of tools being developed highlights the equally wide range of potential ‘users’, raising the question of who exactly tool developers are targeting as ‘adaptation practitioners’, and whether these tools are actually meeting their users’ needs.

As the range of tools expands, there are concerns that the proliferation of screening and assessment tools are leaving development practitioners confused, and development agencies working at cross purposes. This report draws on a range of the variety of tools and approaches to integrate climate change in development cooperation, assessing users as well as and developers’ perspectives through interviews and documentary analysis. It draws on experiences in both bilateral/multilateral agencies and international non-governmental organisations.

## **2. Aims and Background**

### **2.1 Aims and Methodology**

The purpose of this paper is to provide an in depth review of the main screening and assessment tools circulating within the development community, and summarise some of the common lessons emerging from their development and application – particularly as they relate to user experiences. A sample of risk screening and assessment tools were selected for more in-depth analysis and they are summarized and compared in terms of their objectives, associated approaches or methodologies, actual and/or intended outputs, and user experiences. This analysis aims to provide a reality check for tool developers and explore options for making the tools landscape more navigable for users. It is designed

to stimulate dialogue on the potential for harmonisation and cross-fertilisation of approaches, as well as how tools are matching and adapting to user needs.

The analysis and findings in this paper draw from three main sources:

- A documentary review of tools and approaches and other related literature
- 40 interviews conducted between July and September 2010
- A survey of developing country government officials representing potential tool users conducted in March 2009 at the UNFCCC's Nairobi Work Programme's workshop on Integrating Practices, Tools and Systems for Climate Risk Assessment and Management and Disaster Risk Reduction Strategies into National Policies and Programmes

## 2.2 Terminology

As the integration of climate change considerations into development cooperation has become more widespread, terminology has been used in multiple ways and different contexts. A recent UNDP report reviews the various definitions of climate risk, noting that the definitions 'may introduce as many questions as they answer' (Olhoff and Schaer, 2010:15). Much development literature uses 'risk' as a general term to describe the potential for harm, but the concept is used technically to refer to the probability of an outcome resulting from the interaction of a hazard or event with conditions of vulnerability, itself dependent on exposure, sensitivity and capacity of a system to respond (UNISDR, 2004; IPCC, 2007).

Different conceptual understandings of risk have implications for how we understand and compare the different risk screening and assessment tools in terms of what exactly are they screening for and assessing. Because the tools we examine in this paper do not endorse a common definition of 'risk' or even 'climate risk', we do not offer our own.

'Climate proofing' has been used as an overarching term to refer to managing risks from climate change, or ensuring the sustainability of investments over their entire lifetime take explicit account of a changing climate (ADB 2005; EC, 2007). 'Mainstreaming' is similarly used, but focuses less on the climate risks themselves and more on integration of responses into relevant development policies, plans, programs, and projects at the national, sub-national, and local scales (Olhoff and Schaer, 2010).

The instrumental approach to aid effectiveness encapsulated by climate proofing/mainstreaming is increasingly achieved using a 'climate risk management' approach. Again, while no single agreed definition exists, climate risk management generally describes a process to integrate climate variability and change as an additional risk factor to development. This has been variously used to describe development actions that take climate information into account (McGray *et al*, 2007), an approach that maximises 'no regrets' strategies that make sense in development terms whatever the future climate (Hellmuth *et al*, 2007), and as the basis to a set of adaptation decision-making steps (OECD, 2009):

1. *Identifying current and future vulnerabilities and climate risks;*
2. *Identifying adaptation measures;*
3. *Evaluating and selecting adaptation options; and*
4. *Evaluating “success” of adaptation.*

The terms ‘climate risk screening’ and ‘climate risk assessment’ are often used interchangeably to describe the systematic evaluation of risks and risk management associated with climate variability and change to development activities (ADB, 2009; DANIDA, 2009; Tanner, 2008). In the context of tools for integrating climate change into development cooperation and in order to aid analysis, this report differentiates between the *screening* and *assessment* elements of climate risk management (CRM) as they relate to tool use, with each referring to a range of different components (see Table 1).

*Table 1: Tool types and applications*

Tool type	CRM Element	Description
Screening	Pre-screening	A systematic examination of a development activity to select or eliminate it from further consideration, or to make a diagnosis. This analysis generally takes place earlier in a climate risk management process to provide a preliminary diagnosis about whether to take further analysis or action. It tends to be relatively quicker to conduct and broader in scope. As a very light touch process it is commonly referred to as pre-screening.
	Risk Screening	
Assessment	Risk Assessment	A methodology to determine the nature and extent of risk by analyzing potential hazards and evaluating existing conditions of vulnerability that could pose a potential threat or harm to people, property, livelihoods and the environment on which they depend (UNISDR, 2004).
	Risk Analysis	A process that considers management options to minimise negative impacts and take advantage of opportunities in light of the identified current and future risks.
	Options Evaluation	Evaluating both the adequacy of current risk management strategies and potential new activities to manage additional risk or take advantage of opportunities.

Finally, the word ‘tool’, in its most generic sense, is simply anything used as a means of accomplishing a task or purpose. When used in the context of climate risk screening and assessment, this usually refers to a replicable, tangible device such as a computer program or document of some type (e.g. handbook, checklist). The UNFCCC’s Nairobi Work Programme on impacts, vulnerability and adaptation to climate change distinguishes between methods and tools: A method refers to a framework or approach for undertaking an analysis, where the emphasis is on process; a tool, on the other hand, is something that assists with a specific task in the process (UNFCCC, 2004).

For the purposes of this paper, we adopt a hybrid understanding, using the word ‘tool’ to refer to documents, computer programs, and websites that help people undertake all or some part of a climate risk screening and/or assessment process. While these tools can present a method (i.e. a framework or approach) for undertaking a screening and/or assessment, the method is not in and of itself a tool – it is the accompanying guidance on how to apply the given method that renders it a tool.

## 2.3 Typology of tools and conceptual model

Given the range of climate risk tools available in the development cooperation context, there have been several attempts to categorize them to provide some structure to the landscape and help users decide which might be appropriate to their needs. The Nairobi Work Programme uses three main filters for searching its online compendium of methods and tools, which currently houses 126 entries:

- Sector (e.g. agriculture, coastal resources, health, water resources);
- Theme (e.g. adaptation evaluations, climate scenarios, impact assessments, vulnerability mapping);
- Type (e.g. guidance document, knowledge platform, modelling tool).

In the context of development cooperation, we propose categories of tools based on their principal functions vis-à-vis the mainstreaming process (Hammill and Tanner, forthcoming 2010). These three categories are summarized in Table 2 below:

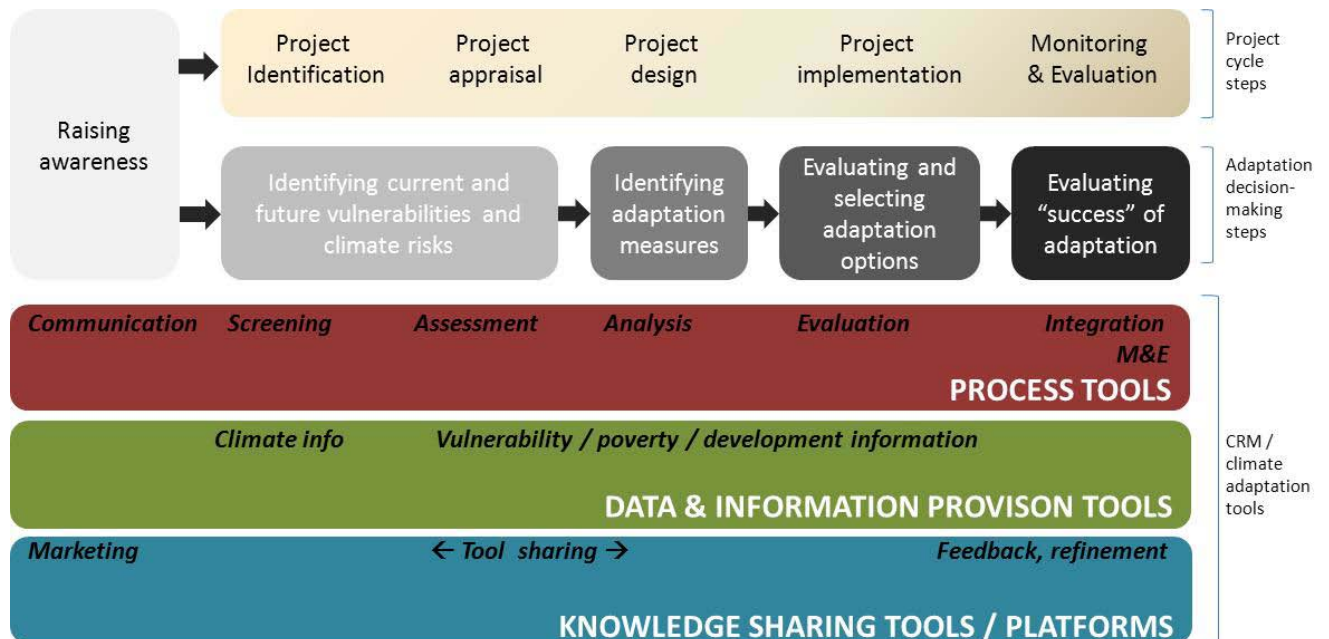
Table 2: Climate risk management and adaptation tools

Type / characteristics	User notes	Examples from the development community
<b>1. Data &amp; Information provision tools</b>		
<p>These tools offer, generate, or simply present data and information on:</p> <ul style="list-style-type: none"> <li>• Primary climate variables and projections (e.g. temperature, rainfall trends)</li> <li>• Secondary climate impacts (e.g. flood maps, crop yields)</li> <li>• Vulnerability and response options (e.g. poverty maps, example adaptation options)</li> </ul>	<p>These tools tend to depend on some computer capacity, and a growing number on Internet access.</p>	<ul style="list-style-type: none"> <li>• CI-Grasp <a href="http://www.ci-grasp.org">www.ci-grasp.org</a></li> <li>• Climate Wizard: <a href="http://www.climatewizard.org">www.climatewizard.org</a></li> <li>• Climate Change Explorer Tool: <a href="http://www.weadapt.org/wiki/The_Climate_Change_Explorer_Tool">www.weadapt.org/wiki/The_Climate_Change_Explorer_Tool</a></li> <li>• PRECIS: <a href="http://www.precis.metoffice.com">www.precis.metoffice.com</a></li> <li>• SERVIR: <a href="http://www.servir.net">www.servir.net</a></li> <li>• World Bank CC Data Portal: <a href="http://sdwebx.worldbank.org/climateportal/">http://sdwebx.worldbank.org/climateportal/</a></li> </ul>
<b>2. Process guidance tools</b>		
<p>Tools that guide users through the identification, gathering, and analysis of relevant data and information to:</p> <ul style="list-style-type: none"> <li>• Identify climate risks to development activities (often using type 1 tools)</li> <li>• Assess and analyse climate risk management strategies</li> <li>• Evaluate option to integrate climate risk management into development activities</li> </ul>	<p>These tools can guide users through the entire integration process (e.g. from awareness-raising to monitoring and evaluation), or just one or several steps in the process (e.g. assessing current and future climate risk).</p>	<ul style="list-style-type: none"> <li>• Adapting to Coastal Climate Change: A Guidebook for Development Planners <a href="http://www.crc.uri.edu/index.php?actid=366">www.crc.uri.edu/index.php?actid=366</a></li> <li>• BMZ/GTZ Climate Check <a href="http://www.gtz.de/climate-check">www.gtz.de/climate-check</a></li> <li>• CEDRA: <a href="http://tilz.tearfund.org/Topics/Environmental+Suustainability/CEDRA.htm">http://tilz.tearfund.org/Topics/Environmental+Suustainability/CEDRA.htm</a></li> <li>• CRISTAL: <a href="http://www.cristaltool.org">www.cristaltool.org</a></li> <li>• ORCHID: <a href="http://www.ids.ac.uk/climatechange/orchid">www.ids.ac.uk/climatechange/orchid</a></li> </ul>
<b>3. Knowledge-sharing tools</b>		
<p>Platforms and networks that offer adaptation practitioners a virtual space for information and experiences related to climate risk and adaptation,</p>	<p>Typically knowledge platforms, increasingly reliant on Web 2.0 functionality and user-generated content.</p>	<ul style="list-style-type: none"> <li>• Adaptation Learning Mechanism: <a href="http://www.adaptationlearning.net">www.adaptationlearning.net</a></li> <li>• Climate Adaptation Knowledge Exchange: <a href="http://www.cakex.org">www.cakex.org</a></li> </ul>

<p>including:</p> <ul style="list-style-type: none"> <li>• Housing or storing</li> <li>• Sharing</li> <li>• Developing</li> </ul>	<p>They can be important for <i>validation</i> of Type 1 and Type 2 tools, as these platforms can offer a space for user feedback and offer some sort of quality control mechanism. They also help to build a <i>community of practice</i> around climate change adaptation.</p>	<ul style="list-style-type: none"> <li>• Climate One Stop: <a href="http://arcserver4.iagt.org/climate1stop/">http://arcserver4.iagt.org/climate1stop/</a></li> <li>• ELDIS resource guide on Adaptation: <a href="http://www.eldis.org/go/topics/dossiers/climate-change-adaptation">www.eldis.org/go/topics/dossiers/climate-change-adaptation</a></li> <li>• weADAPT platform: <a href="http://www.weadapt.org">www.weadapt.org</a></li> </ul>
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The conceptual diagram illustrated in Figure 1, below, links the different types of tools with decision making processes in the context of steps in the project and programming cycle.

Figure 1: Linking Tools and Decision Making Steps



At the top of the figure are two sets of decision-making steps relevant to most tool users – those associated with the project cycle (top), and those for adaptation decision-making (second row) (OECD 2009). Adaptation decision-making steps appear below project cycle steps to which they most strongly correspond. Both processes are served by some level of awareness-raising about climate change and development, which explains the box on the left. The three categories of tools below the decision-making processes are relevant across all steps. Specific sub-categories of tools are listed within each tool category box, and are placed below the most relevant decision-making steps. For example, Screening and assessment tools are most relevant to identifying current and future vulnerabilities and climate risks (which are also linked to the identification and appraisal steps in the project cycle). This report deals primarily with type 2 tools, although many of these draw on type 1 tools in providing inputs to the risk assessment process, and feed into type 3 tools for marketing, feedback and tool refinement..

## 2.4 Conclusions of recent screening and assessment tool stocktakes

Before examining a number of tools in depth, including from the user perspective, it is useful to highlight conclusions of a recent stocktaking exercise of the wide range of climate risk screening approaches in the development community. Olhoff and Schaer’s recent stock-take among selected bilateral and multi-lateral donors divides climate risk tools into ‘screening tools’ used at different levels



and generic guidance documents, and indicates for which climate change adaptation mainstreaming component they can be applied (see Table 3).

Table 3: Donor climate risk screening tools and guidance documents (Source: Olhoff and Schaer, 2010)

Mainstreaming component	Awareness raising	Climate change pre-screening (1)	Climate risk assessment	Identification of adaptive options	Prioritization & selection	Implementation	M&E
Tool/Guidance							
<b>Screening tools (level)</b>							
ADAPT (project)	---	---	---	---	---		
Adaptation Wizard (organizational/institutional)	---	---	--- (2)		---		
CRISP (programming and sector)	---	---	---	---	--- (3)		
CRISTAL (project)	---	---	---	---	---	---	---
Danida matrix (sector and programming)		---					
NAPAssess (various)	---		---	---	---		
ORCHID (project)	---	---	---	---	--- (3)		
<b>Generic Guidance (level)</b>							
OECD guidance (all)	---	---	---	---	--- (4)	---	---
Red Cross guide (project)	---	---	---	---	---	---	
UNDP APF (project and programming)	---	---	---	---	---	---	---
UNDP CCA QS (project and programming)	---	---	---	---	---	---	---
UNEP manual on CC A&M in the Tourism Sector (sector)	---	---	---	---	---	---	---
USAID Manual (project)	---	---	---	---	---	---	---

Notes:

(1) Also referred to as 'rapid screening': Involves establishing an initial overview of key linkages between development and climate change and identifying core vulnerabilities. See also the discussion in Section 3.2.2.

(2) Guide to relevant resources

(3) Cost-benefit analysis

(4) Cost-benefit analysis, Multi-criteria analysis, Cost-effectiveness Analysis

While Table 3 only summaries 13 of the screening and generic guidance resources that were reviewed, the stock-take looked at a total of 30 so-called 'screening efforts', which included several knowledge-sharing platforms and portfolio screening exercises, which were stand-alone reviews undertaken by different donors.

The review noted that most tools targeted project and programme-level decision-making, while substantially less attention was paid to sector- or national-level decision-making. Few of the tools incorporated any costing exercises, despite a growing interest in the field costing adaptation. The screening tools and guidance documents also called for different levels of stakeholder engagement in one, several, or all components of mainstreaming, highlighting both the importance of stakeholder engagement to the overall mainstreaming process and the relative flexibility of the tools.

While each of the tools were associated with pilot exercises and practical case studies, these were difficult to access, compile and therefore compare. Organising and comparing practical applications would yield valuable lessons that could inform future climate change adaptation and mainstreaming efforts. The difficulty in comparing tool applications was partly attributed to the use of different terminologies and the (slightly) different types of analyses supported by each of the tools. Moreover, the tools had different points of departure, where some tools focused on mainstreaming adaptation into projects while others focused on developing adaptation projects – i.e. adapting development projects vs. developing adaptation projects.

Finally, the stocktake noted the different levels of assumed prior knowledge – particularly in regards to climate change – of particular tool users. Some tools were ‘readily operational’, offering limited direction to users, while others offer step-by-step guidance to users – i.e. from explaining the topic and explaining the rationale for using the tool, to explaining information needs and gathering methods, to analysing and using this information for decision-making. The latter require more time and resources to apply, but the simplicity of the former may compromise the quality of adaptation decisions, potentially leading to maladaptation.

This report builds upon this and previous stock-takes (see for example Gigli and Agrawala, 2007; Klein et al, 2007) by analysing selected screening and assessment tools in greater depth and engaging the experiences of both users and tool developers rather than only reviewing publically available literature.

### **3. Analysis of selected screening and assessment tools**

#### **3.1 Tools reviewed**

The above stock-take and comparative analysis demonstrate the wide range of Type 2 process tools available to help development decision-makers and practitioners integrate climate risks and adaptation into their work. Because screening tools are continually being developed, revised and even retired, it is difficult to keep such resources up-to-date. The analysis in this report does not include all of the tools reviewed in the UNDP or Klein *et al* reports; instead we focus attention on nine tools, some of which were captured in the UNDP report but also others which were not. Five of the analysed tools have been developed by donor agencies, the rest by NGOs. One is used strictly for screening (ADB), others only assessment/analysis/evaluation (DFID and all of the NGO tools), and others for all aspects of climate risk management (GTZ, USAID). Table 4 below summarizes the tools analysed in this report.

These tools were selected for analysis on the basis that they represented some of the more ‘mature’ tools in the field with active users, or that captured innovative aspects of the climate risk management process such as strategic decision making. Most have been developed, piloted in multiple countries in multiple contexts, rolled out through training programmes and development cooperation projects.

Some are even being reviewed and updated based on preliminary experiences (CEDRA, CRiSTAL). Two of the tools – DFID’s Strategic Programme Review (SPR) and Christian Aid’s Adaptation Toolkit – are newer to the field and are still in a development and pilot phase. Nonetheless, the SPR was included in the analysis as it built on DFID’s earlier experiences with its widely-cited screening and assessment tool, ORCHID (Opportunities and Risk from Climate Change and Disasters), which is now feeding into a revised environment, climate and disaster screening process within the organisation. The Christian Aid Adaptation Toolkit has received significant attention, particularly among development NGOs, even though it was still in draft form and not (technically) publicly available; this seemed to indicate that it was addressing an unmet need in the tools marketplace.

*Table 4: The sample of tools analysed in this report*

	<b>Tool name</b>	<b>Description</b>
<b>DONOR TOOLS</b>	<b>Draft Risk Screening Tool ADB</b>	Screening tool. Series of questions to rapidly assess the impacts of natural hazards and climate change on a project, determine if further risk management measures must be considered in project preparation. For ADB Project Officers. Used to prepare detailed project designs and update country partnership strategies. Voluntary, although elements are being incorporated into existing Rapid Environmental Assessment tool which is part of the mandatory EIA process. Screening should take 20 to 30 mins.
	<b>Climate Proofing for Development GTZ</b>	Screening and assessment tool. Series of steps to identify programmes with high climate risks (screening), undertake a detailed risk analysis, then identify and prioritise adaptation options that can be integrated into planning documents. Voluntary. For GTZ field staff to adapt and use with local partners in designing GTZ-supported activities at all levels (project, municipal, policy). Takes 1-5 days (usually spread out over weeks, even months)
	<b>Guidance Manual USAID</b>	Screening and assessment tool. Six step approach for assessing vulnerability and identifying and implementing climate change adaptations; includes an initial screening to see if project is sensitive to climate. For USAID mission staff responsible for program design, as well as contractors/NGOs who design and implement USAID projects. Voluntary, although strong policy incentives for application – i.e. directives from USAID Administrator, dedicated funding, evolving US environmental regulations.
	<b>Climate Change Screening Studies DANIDA</b>	Screening tool. Consultant-led process to assist country programme in operationalising climate proofing of present and future development cooperation in ways that are aligned with the national efforts to adapt to climate change and harmonised with other agencies. Includes completion of Sector Climate Change Screening note. The process leads to a process action plan outlining recommended funded follow-up activities.
	<b>Strategic Programme Review (SPR) DFID</b>	Assessment process. Guidance process for country offices to identify strategic priorities for reducing vulnerability to climate change and to integrate adaptation and mitigation into future plans. Country office lead experts devise more specific ToR to reflect country needs. External consultants used for selected analytical components including economic analysis, climate and development scenarios, portfolio screening, political economy analysis. drawn together by in country staff. Pilot country evaluation will be used to create common guidelines for rolling out across country programmes. Typical 6 month process cycle.
	<b>NGO TOOLS</b>	<b>CEDRA Tearfund</b>
<b>CVCA CARE</b>		Assessment tool. Analytical framework, with supporting questions and exercises, to analyse vulnerability to climate change and adaptive capacity at community level, as well as combine local knowledge with science

	to understand climate change impacts. Accompanied by PRA tools to gather information at local level. Results inform programming; also an evidence base for advocacy. For project managers, field staff, local partners and communities. Not mandatory. Time needed depends on scope of analysis and available resources.
<b>CRiSTAL</b> IISD, IUCN, SEI, IC	Assessment tool. Analytical framework for understanding how local livelihoods are affected by climate and which resources are important to coping; serves as a basis for designing or adjusting community-level projects so that they contribute to adaptation. Results inform project design; can also inform policy design. For project planners and managers working at community-level. Offered in Microsoft Excel. Training recommended. Time needed to apply it depends on scope of analysis and available resources – typically 1-5 days.
<b>Adaptation Toolkit</b> Christian Aid	Assessment tool. Three module toolkit focusing on developing a climate change analysis to inform livelihood programming and the development of a climate change strategy. Emphasis on identifying, accessing, gathering, interpreting, and validating climate change information, drawing from both science and local knowledge. Builds on existing PRA, participatory vulnerability and capacity assessment tools. For Christian Aid Country Programme and partner staff. Not mandatory. Training recommended.

It is worth noting that several of the agencies or organisations covered in this analysis offer a range of climate screening and/or assessment tools. Some are separate, stand-alone tools (e.g. CARE), while others are off-shoots of an original tool (e.g. GTZ), and some are tools nested within a larger process (e.g. DANIDA's screening matrix). Table 5 below highlights the different screening and/or assessment tools associated with some of the development agencies included in the analysis.

*Table 5: Different tools and approaches within development agencies contained within this report*

Agency	Screening and assessment tools	Included in this analysis?
GTZ	<b>Environmental and Climate Assessment Tool</b> (formerly 'Climate Check', which was recently merged with GTZ's EIA tool) Mandatory, in-house assessment process Old 'Climate Check'	No, not released
	<b>Climate Proofing for Development</b> (includes an adaptation of the climate proofing process in the 'Climate Check' above) Voluntary assessment process for partners to build capacity in climate proofing	Yes
DANIDA	<b>Climate Change Screening Note</b> Series of questions to establish vulnerability and risks of a given country/sector to climate change. Sector-related questions (Part B) a supplement to DANIDA's environmental screening process.	Not alone but as part of country studies
	<b>Climate Change 'country climate screening' studies</b> Consultancy assistance to programme countries with 'operationalising' climate proofed development cooperation, leading to recommendations for funded actions to enhance adaptation actions. This included use of sector screening notes above.	Yes
DFID	<b>ORCHID / CRISP</b> Risk-based methodologies for portfolio screening of projects and programme sectors to enable a more systematic consideration of climate risks in development of the design and implementation of development projects and programs.	No (no longer used by DFID)
	<b>Integrated environment, climate and disasters screening</b> Revision to the existing environment screening process to consider climate change and disasters risks and opportunities. While this is already happening ad hoc based on existing environment procedures, it has yet to be formally introduced.	Awaiting implementation

	<p><b>Strategic Programme Reviews (SPR)</b> Multi-faceted assessment and analysis of climate change risks to enable its country offices to identify strategic priorities for reducing vulnerability to climate change and to integrate adaptation and mitigation into future plans.</p>	Yes
CARE	<p><b>Climate Vulnerability and Capacity Analysis (CVCA)</b> Handbook with introduction to key concepts and analytical framework (and supporting exercises) to understand climate change vulnerability and adaptive capacity at community-level.</p>	Yes
	<p><b>Toolkit for Integrating Adaptation into Projects</b> Online resource to guide users through the process of integrating climate change adaptation into projects. Follows project cycle. Starts with 'climate sensitivity check' to see if integration is needed. Process draws from CVCA results.</p>	No (not released)
	<p><b>Toolkit for Community-Based Adaptation (CBA)</b> Online resource providing step-by-step guidance on developing and implementing CBA projects. Follows project cycle. Includes "CBA Project Standards" that users should strive to achieve. Process draws from CVCA results.</p>	No (not released)

### 3.2 Analytical Framework

In examining the nine selected tools, the report highlights a number of cross-comparable issues and characteristics. The **tool development process** is analysed in terms of what it involved, as well as some of the challenges and co-benefits of the process. This also considers where the demand or push for a tool originated. The report then considers different tools in terms of the **different framings** of the climate change and development nexus. This examines the different conceptual and operational starting points for the tools and the incentives driving their development and use.

We then move on to assessing the **tool users**, where we consider the intended audience, the expected job profiles and capacities of those responsible for using the tools and the extent to which this is reflected in examples of use to date. This considers whether tools designed for use by specific audiences and actors within development organisations have reflected the reality of practice. Closely related to this issue is the **experience of tool use**, drawing from the perspectives expressed in the interviews. It examines the different incentives for tool use, data requirements of different tools, links to other related processes within the organisation such as fiduciary risk management procedures and environment impact assessments, and the monitoring and evaluation elements of the tools (Agrawala et al, 2010; Van den Berg and Feinstein, 2009). In doing so, a critical evaluation is made of the partnerships involved in tool use, particularly with regard to development partners in other organisations and partner governments, but also the involvement of affected communities and private sector actors.

Finally, the report also assesses the **results** of the processes, gathering developer perspectives on whether these have matched the intended outputs and outcomes, and user perspectives on the extent to which the results of tools have led to implementation, monitoring and evaluation.

### 3.3 Tool development

The process of developing the tools was prompted by different signals and realisations both within and outside of the agencies. All were developed in response to the recognition that climate change was a threat to the achievement of development goals (i.e. the Millennium Development Goals) and therefore needed to be addressed more systematically. In so doing, all of the agencies analysed in this report wanted to avoid 'silo-ing' adaptation, where it would become a separate area of development practice. Some agencies recognised a disconnection between the work they were supporting on climate change (advocacy, negotiations, concrete adaptation and mitigation projects) and their own in-house operations. Thus the twin objectives of climate-resilient development and 'walking the talk' were strong motivations for developing screening and/or assessment tools.

All of the NGO tool developers interviewed mentioned demand from field staff and local partners in developing countries as being a strong motivation for developing a screening and/or assessment tool. They also tended to emphasize social justice issues in explaining their reasoning for developing their tools – i.e. many of the communities with which they were working were already

dealing with climate risks and climate change would probably make life more difficult for them, despite the fact that they've done nothing to contribute to the problem. It was therefore important to make sure the NGO and its partners were doing everything possible to make sure development programming at this level was strengthening, rather than inadvertently undermining, communities' capacity to adapt to climate change. This emphasis is not surprising considering the NGOs interviewed for this report have extensive community-level development portfolios.

For the donor agencies, the impetus for integrating climate risk was more driven by top-down policy commitments and fiduciary risk management to ensure that spending is effective in reducing poverty. For example, policy declarations from the European Commission, the G8 and OECD in mid 2000s formed early drivers for action (EC, 2004; G8, 2005; OECD, 2006). Individual donor commitments to integrate adaptation into development cooperation followed (for example, see ADB, 2009; DFID, 2006, 2009; World Bank, 2009). This was influenced by the realisation that donor portfolios may need to be structurally coherent with development in a changing climate (both in terms of direct risks and under performance, but also in matching medium term climate change implications with development plans and consideration of low carbon linkages and opportunities).

In addition, for all agencies, as climate change climbed the political agenda, development agencies were under increased pressure to demonstrate what additional actions they were taking. As part of a climate risk management agenda, screening and assessment tools both enabled internal integration, and through the development of additional risk management, the development of new activities under the label of climate change adaptation. This has led to some tension between integration and the development of specific climate change programming, either through relabeling and refocusing of existing programmes to stress their specific contributions to tackling climate change or through funding of specific climate change interventions as a result of the screening process (issues raised in both Danida and DFID programming).

It took anywhere from 6 months to one year to develop a 'testable' version of a screening and/or assessment tool. In all cases, the process of tool development was driven by headquarters personnel with varying degrees of input from field offices and local partners. This input ranged from feedback on drafts, to participating in trial applications, to co-authoring sections of a 'final' (i.e. publicly released) guidance document. The development process was described as highly collaborative and iterative. Collaboration was mostly across different teams or departments within a given agency or organisation (particularly between environment and disaster risk management teams), but was also between headquarters and field offices, as well as between different organisations (e.g. the four organisations responsible for developing CRISTAL, Christian Aid seeking inputs from the UK Meteorology Department).

Most tool developers had been aware of other screening and/or assessment tools that were developed by counterparts in other agencies, but did not feel they met the particular needs of their own

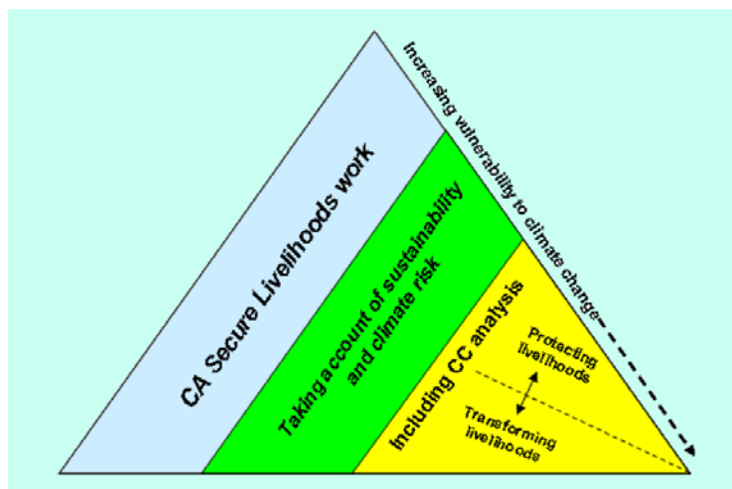
agency or decision-making context. NGO tools tended to draw from or build on familiar tools, such as participatory vulnerability and capacity assessments (PVCA) and other participatory rural appraisal (PRA) tools. In contrast, donor tools tended to reflect risk management procedures in place for social and environmental impact assessment. The first version of the tool was often more elaborate than what was ultimately launched for public consumption. The simplification of a draft tool was usually in response to a growing understanding of a potential tool user and their level of awareness on climate change, the time they had available to apply a tool, and their decision-making context. For example, the first version of the ADB tool consisted of 10 pages of questions, which was subsequently reduced to 2 pages of questions that could be answered in 30-60 minutes.

In all cases, developing the risk screening and/or assessment tool was both a symptom and enabler of some organizational change. Specifically, the process of developing the tool became a means for awareness-raising and capacity-strengthening on climate change issues. Interviewees noted that internal discussions, as well as workshops to introduce, pilot and receive feedback on the tools all contributed to demystifying the issue of climate change. Several donors noted that their tool’s greatest contribution was in fundamentally changing the mindsets of staff and partners, and in some cases policies, around project design and implementation.

### 3.4 Problem framing

While the broad concepts of climate proofing and climate risk management form a common framework for tool development and implementation, there is significant variation in the framing and operational approach taken across different development agencies. Some agencies present the rationale for applying a screening and/or assessment tool by embedding the problems and opportunities associated with climate change within some kind of an organisational framework. For example, USAID’s Guidance Manual begins with a table highlighting the potential climate change impacts and adaptations in the Agency’s five ‘Objective Areas’ (i.e. Peace and Security, Governing Justly and Democratically, Investing in People, Economic Growth, and Humanitarian Assistance). To influence more strategic programming issues, DFID has linked its SPR process to 5 year country plans and the overall review of its bilateral aid programme. NGOs commonly link climate change integration processes with disaster reduction, livelihoods and food security programming. Christian Aid depicts its adaptation work as a subset of their Secure Livelihoods work (Fig. 2 below). In so doing, these organisations define the target users of their tools.

Figure 2:  
adaptation



Christian Aid’s  
Framework



The general difference in approach between donors and NGOs mirrors a dichotomy in climate change adaptation decision-making approaches that distinguishes:

- A top-down approach emphasising information about future climate conditions to identify and quantify impacts on different ecosystems and economic sectors, which then is used as a basis for devising adaptation options; and
- A bottom-up approach, which looks at historical and current climate variability, existing vulnerability and strategies for coping with this variability, and how both might be modified with climate change.

The bottom-up approach relies less on scientific inputs and uncertain projections of the future climate, and typically includes a greater understanding of social interactions and capacities. However, they may be more prone to maladaptation and short term decision making frameworks through their over-reliance on current or historical conditions. As a result, an adaptation approach that draws from both top-down and bottom-up approaches is ideal, allowing decision-makers to develop strategies that address current vulnerabilities and development priorities, while trying to ensure their long-term sustainability through a basic understanding of future projections. It is this hybrid approach to adaptation, which draws from multiple climate data sources (historical records, current observations, future projections) and tries to reconcile different timelines that perhaps best unites the climate risk management approach (UNDP, 2003; Hellmuth *et al*, 2007; McGray *et al*, 2007).

The conceptual starting point for almost all of the screening tools examined for this paper was climate impacts, but do not necessarily dominate the process as in the top-down approach described above. In most cases, users are prompted to consider the impacts of historical, current, and projected climate conditions, rather than just the longer-term projections. The tools usually begin by identifying:

- The geographic location and/or sector of a given development strategy;
- The different climate-related hazards (events and trends) that do or will affect this area;
- The (direct and indirect) impacts of these climate-related events and trends on the area and/or sector in question.

For the screening tools, this is usually the limit of the analysis, since the aim of screening is primarily to establish relevance and answer the question, 'do I need to worry about climate change?' It is a relatively rapid analysis and those tools that focus on or incorporate screening do so by using a checklist (GTZ), scoring exercise (ADB), or some 'simple rules' (USAID)<sup>1</sup>.

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<sup>1</sup> USAID's Guidance Manual provides 'two rules of thumb' when determining how climate variability or change could compromise the integrity, effectiveness, or longevity of a project, and therefore if risk management / adaptation measure are required: 1) If a project is sensitive to climate variability, it is likely to be sensitive to climate change, and 2) Long-term climate changes can introduce other risks to projects.

Some screening processes have questions that reverse the direction of impact, where the impact of a development strategy on climate change vulnerability or adaptive capacity is queried (i.e. will it inadvertently increase vulnerability or take advantage of opportunities to build adaptive capacity?) While this type of analysis is useful, it is less straightforward than determining whether a development strategy is located in a geographic area acutely affected by climate hazards or active in a climate-sensitive sector. Understanding how a project might affect vulnerability to climate change is important but requires a more in-depth assessment than is currently provided in any of the screening or assessment tools. This analysis found no evidence of an intervention that is neither exposed nor sensitive to climate but yet had been flagged for further assessment because it might increase adaptive capacity. This is a difficult area for screening, since almost any development intervention has at least some potential to increase adaptive capacity (McGray *et al*, 2007).

Whereas the screening processes we analysed were relatively similar in scope and focus, the assessment processes demonstrate greater variety. The donor assessment processes, as well as a few of the NGO tools, involve steps where:

- Climate impacts are examined in greater detail (if this is not already done during the screening phase) and compared to existing levels of risk management.
- Risk management and/or adaptation options are identified, prioritized, selected and implemented
- Monitoring and evaluation encouraged.

These steps are generally along the lines of the integration process described in section 2.2. DFID's approach is distinct in that, while it follows this process, its focus is on the overall approach to country development cooperation. CARE's CVCA and Christian Aid's toolkit are more modular, covering certain aspects of the assessment process rather than the entire process. For example, CARE's CVCA offers frameworks, questions, and exercises to understand, *inter alia*, how climate affects local livelihoods and the range of coping strategies currently being used. Thus, a user will not complete the analysis with a list of prioritized risk management and adaptation options, but results that should inform the development of such options. Similarly, Christian Aid's 'Developing a Climate Change Analysis' tool is really focused on establishing a sound basis upon which to devise adaptation options.

The reason for taking a more modular approach is presumably to avoid introducing another development decision-making process in an organisation; rather, these specific assessments can generate results that can be fed into a project or programming cycle. Indeed, the project and programming cycle offers the operational starting point for most of these tools, namely when they are developing a new project/programme, or designing a new phase of an existing project or programme. While several of the tools recommend using the assessment tools over the course of a given project or programme, possibly as part of a monitoring process, even the tool developers acknowledge that it is difficult to respond to the results of a climate risk assessment and implement mid-course adjustments. Using these assessment tools for a final evaluation is similarly difficult and unlikely.

### 3.5 Tool users

Product development, in its most generic sense, usually involves market research to understand the profile and needs of an intended consumer, as well as competing products that are already available. In development cooperation agencies, market research is usually synonymous with consultations and ‘needs assessments,’ particularly in partner countries and communities, where gaps between current and desired conditions and resources are identified. In 2007, UNDP conducted a climate change adaptation knowledge needs survey to better understand the priority adaptation interests, sectoral themes, as well as desired knowledge products, services and formats. The majority of respondents were from UN agencies and governments, who revealed their top three interests to be in developing adaptation policies and plans, integrating adaptation into national policies, and adaptation assessments or policy frameworks. While UNDP intended to use the results of this survey to further develop their online Adaptation Learning Mechanism platform (a Type 3, knowledge-sharing tool), the results generally spoke to a growing demand for support in the form of process tools (Type 2 tools), as well as a strong desire for best-practice and lessons-learned products.

Even with this documented demand for mainstreaming support in the form of screening and assessment tools, the survey did not tell tool developers much about their users (nor did it intend to). Demand and rationale are not enough for the successful development and application of a tool. Ideally a tool developer would have a clear idea of the professional profile, background or training, current responsibilities, and resources available to tool users. All of the tool developers interviewed were able to characterize their imagined user, either in terms of their technical expertise or professional responsibilities or both. Two of the nine tool developers specified that the user was a ‘non-climate’ specialist, while three others said their tools were for ‘non-environmental specialist’, recognizing that the climate change issue tended to be confined to environment departments and teams; the rest simply noted that their users were ‘subject matter specialists’, which could include climate change, disaster management and environmental issues.

In terms of responsibilities, all of the tools were targeted at individuals who are responsible for project and programme design. The donor tools tended to cast a wide net in terms of user roles. While ADB’s screening tool is clearly for project officers within the agency, USAID, GTZ, DANIDA and DFID all stated that the tool was also for external consultants who are typically hired to undertake certain programming development tasks rather than the agency’s own programme staff. This may reduce ownership of the process in country in terms of its replication and continued use, and may also reduce co-benefits in terms of raising awareness and stimulating debate. The issue of expert users, both inside and outside agencies, may influence debate on whether compulsory use of screening and assessment tools would improve integration by raising awareness and spread expertise across agency staff.

While for some donors, partner involvement is principally through dialogue at workshops, the GTZ and USAID tool developers actively extended their tool activities to include promoting their use by

implementing partners – whether they be partner governments (especially in the case of GTZ), contractors or NGOs. Evidence from GTZ’s programme in Mali and from interviews undertaken with developing country government representatives to the Nairobi Work Programme suggests that significant capacity building and support programmes are necessary to enable tool use. The government partners surveyed were already facing capacity constraints in responding to international reporting and planning initiatives such as the UNFCCC National Communication process and preparation of National Adaptation Programmes of Action (NAPAs).

NGO tool developers were, by contrast, narrower in characterizing the professional roles of their users. They saw their primary users as being organisation staff, followed by counterparts in partner agencies within developing countries. The latter is partly a function of NGOs often working through partner agencies (e.g. national and local NGOs, churches) rather than always having a country field office. Moreover, NGO tool developers all emphasized that training was a necessity, but too often a luxury, in learning the screening or assessment process.

### **3.6 Experience of tool use**

The majority of users interviewed for this report had backgrounds in environment and natural resources management, and all had been introduced to their respective process guidance tools through a meeting or formal training workshop. The impetus for tool application typically came from headquarters, even if tool users had been involved in tool development. While the meetings and workshops were successful in generating their interest and enthusiasm for applying the tool, and in many cases providing them with some training on how to do so, most users noted that actual tool application required financial support and incentives. This has taken several forms:

- Scaled-up training-of-trainers events, where the intention is to train enough people and identify regional or local champions so that a critical mass of expertise is available to support tool application when and where it is needed (particularly for the NGO tools)
- Writing tool use into job descriptions and ToR
- Special funds that support the application of and implementation of recommendations from the tools, albeit usually on a relatively modest scale
- Funded projects that have listed tool piloting/application as a project activity complete with an associated budget line.
- Strong linkages of tools with strategic budget allocation processes (e.g. DFID)

In the future, the integration of these climate risks screening and assessment procedures into mandatory policies and assessments, such as environmental screenings or impact assessments, may increase the incentives for tool application.

These experiences imply a range of tool users, from purely voluntary users to those complying with mandatory agency policies (See Table 6).

Table 6: Range of tool users

<b>Voluntary</b>	<p>Users who have not participated in a formal training but may be aware of a process guide tool through their own professional networks, Internet, reference documents. Use the tool(s) on an ad-hoc, as-needed basis.</p> <p>These users are difficult to identify on their own; often they must identify themselves by contacting relevant networks to ask questions or share experiences. As such, they were not interviewed for this analysis.</p>
<b>Trained and ready</b>	<p>Users who have received training in the tool and are ready and willing to apply it as needed. They may simply go and apply it in their own organisations, agencies without further prompting or much support. They may also seek out funding opportunities to apply the tool.</p> <p>Example includes users who applied for support from Christian Aid’s special innovation fund in Africa to use their Adaptation Toolkit. Also difficult to identify and follow, unless they report back their experiences.</p>
<b>Applying as part of project</b>	<p>Users who apply the tool as part of a project; tool elaboration and application are a discrete component of a given project or programme and have associated budget lines.</p> <p>Examples include the application of USAID’s Guidance manual as part of the “From the Glaciers to the Coast” project in Northern Peru; application of CRISTAL as part of IUCN’s “Climate Change and Development” project.</p>
<b>Applying as part of a job description</b>	<p>Users (staff or consultants) who are hired to, among other things, apply the tool in designing and managing development strategies.</p> <p>Examples with CARE’s CVCA in East Africa, ADB’s Draft Risk Screening Tool in Nepal, consultants hired to run tools in DANIDA and DFID, and some in-country posts in DFID.</p>
<b>Mandatory</b>	<p>Users who apply the tool because it is part of mandatory agency policy.</p> <p>For example, climate risk screening is part of environmental screening policies, which is taking place in Germany, the European Commission, and in the pipeline in Sweden and UK development cooperation.</p>

In terms of the data and information requirements for applying process tools, users discussed climate information and vulnerability and/or capacity information. Identifying, accessing or gathering,

and understanding climate-related information was cited as one of the biggest challenges in applying the different tools. Three general approaches to dealing climate information could be identified:

- i. **Outsource the climate analysis:** Hire consultants, technical experts to prepare a relevant climate analysis that will summarize historical climate, observed trends, and future projections.

Examples: Many of the donor tools take this approach, with climate experts hired to undertake downscaling of global circulation models, or impact analysis for a certain sector. The application of GTZ's Climate Proofing tool included a phase of activity where experts from a local university were hired to produce maps depicting regions that might be most affected by different climate change impacts, as well as summaries of how different crops may respond to changes in temperature and rainfall. One user mentioned taking this approach in applying CRiSTAL (although the analysis was ultimately not used)

- ii. **Use pre-fabricated or tailored information products that accompany a given tool:** Users will draw from the rudimentary, ready-made climate analyses that accompany a tool; this way, users will not be expected to seek out and query climate information on their own.

Examples: ADB's Draft Risk Screening Tool and CEDRA provide tables and useful summaries in Annexes to help users understand the key climate trends, projections, and associated impacts for their project area/sector.

- iii. **Do some minimum research, but emphasise local observations and perceptions rather than climate science:** Users will seek out some climate information, either through document research (usually UNFCCC National Communications and NAPAs), online research, discussions with technical experts and meteorology departments. They will then try to extract some general conclusions (e.g. dry seasons are lasting longer, rainfall is expected to decrease) to inform the rest of the screening/assessment/analysis process. Many NGO tools place less emphasis on climate science and focus their climate analysis around community observations and experiences.

Examples: USAID's Guidance Manual is accompanied by a CD-Rom that contains a number of source documents for climate information and impact analysis, although the onus is still on the user to draw the relevant conclusions. Users of CRiSTAL and CVCA in particular mentioned consulting secondary sources, including IPCC reports and UNDP's Climate Change Country Profiles. NGO tool users focused more on community consultations and exercises that revealed observations and experience with climate risk and, if possible, compare this with what was concluded through secondary research into the climate science.

Tool users therefore either minimized their use of climate science by outsourcing climate analysis, using pre-fabricated products that accompanied particular tools, or relying more heavily on local observations

and experiences. Christian Aid's module on 'developing a climate analysis' addresses this potential disconnect between climate science and development decision-making by trying to help staff and partners become informed users or consumers of climate information. It provides them with a summary of what types of climate information are relevant to a project or programme, where they can be accessed, how they might be interpreted and by whom, and how they can be cross-checked with community observations or knowledge, which is gathered through the use of more familiar participatory tools. Finally, for those who were actively seeking climate information, they tended to rely on national reports and consultation with meteorology departments. This implies that many process tool users are not necessarily aware of or using the global climate data and information provision tools described above in section 2.3.

The ability of screening and assessment tools in addressing multiple stressors was mentioned a number of times by users for both donor and NGO tools. While some tool frameworks have a broader focus (e.g. ADB's Draft Risk Screening Tool also considers geophysical hazards, CEDRA includes environmental degradation), they do not consider the interaction of multiple stresses or hazards and what they could mean for risk management options. GTZ's climate proofing tool and CRISTAL were both mentioned as potentially too climate-centric, not considering other environmental, political or socio-economic risk factors. While CARE's CVCA emphasizes the need to look at factors that contribute to climate vulnerability (e.g. 'drivers of vulnerability') and how they affect local vulnerability and adaptive capacity, its emphasis on livelihoods may miss other environmental or political factors.

While many users reported that the use of the tools had helped them to make changes to interventions, there appears to be a key gap in understanding the processes of moving from assessment to implementation. In some cases tool users (including CVCA, CRISTAL, and GTZ) reported that tools do not provide guidance on translating assessment into designing adaptation options or changes to interventions. This reflects in part that not all tools provide guidance on evaluation between different potential adaptation options, but also the lack of clarity in how to transition from understanding risks to developing the options themselves.

Despite these challenges and limitations with tool use, all users agreed that there were significant benefits associated with applying the various tools. The design of more climate-resilient development strategies was cited as the most useful result of tool application, and this was both at the project and programming or strategic level. Awareness-raising was cited as another important result of tool application. Users noted that the tool training workshops were critical in raising their awareness of climate change issues, and their links to development. Subsequent application of the tool with partners and communities reinforced and expanded their understanding of the issue, while simultaneously raising awareness among new constituents. This links closely to the third most often cited benefit of applying the risk screening and assessment tools – capacity building.

#### **4. Gaps and Recommendations**

#### **4.1 Continued support for training and facilitation**

All tool developers and users noted the crucial role of training and facilitation in applying screening and assessment tools. Tool developers mentioned the growing demand for training events, while tool users noted that it was critical to their experience in tool application. Indeed, Olhoff and Schaefer's stock-take even cautioned that without proper direction, some tool applications may inadvertently contribute to maladaptation (2010). The general faddism of development tools, however, can make it difficult to secure support for such training; the longer a tool has been available in the public domain, the harder it becomes to leverage new training resources. Donors may move on to support other priorities or there may be a perception that after a certain amount and tool refinement, a critical mass of people who are well-versed in tool application should make it easier for new users to pick up and apply it themselves.

Training events can range from half day workshops among office staff to become familiarized with the rationale and process for using a tool, to a week-long programme involving introductory discussions on climate change and hands-on tool application exercises. Because the tools reviewed in this report were all process tools that depended on some level of stakeholder engagement, these training events should include exercise on facilitation. While facilitation skills are exercises may be familiar to many development field practitioners, particularly to those working in NGOs who have years of experience with PRA tools, it is useful to address some of the particularities of discussing climate-related issues. This is addressed in some tools (e.g. CVCA, and the Red Cross / Red Crescent Climate Guide, which was not included in this detailed analysis), but not always a topic of focus in tool training workshops.

Continued support for training and facilitation should not only be in the way of more events that introduce new constituencies to the tools, it should also consist of follow-up training for existing users, which could offer refreshers, updates and facilitate exchange of user-experiences.

#### **4.2 Minding the gap between information provision and process tools**

The conceptual framework for this analysis presented three general categories of tools: 1) Data and information provision tools; 2) Process guidance tools; and 3) Knowledge sharing tools. These categories are based on the functions of different tools vis-à-vis the climate mainstreaming process. In an ideal situation, users of process guidance (type 2) tools would use the outputs generated by the data and information provision (type 1) tools, of which there are also a growing number being developed. This analysis found, however, that type 2 users were rarely consulting the outputs of type 1 tools. Some users mentioned trying to access or use such tools, but input tended to be more commonly taken summary documents such as National Communications, NAPAs, or UNDPs Climate Change Country Profiles. This suggests that the users for each category of tool are very different in their profiles, capacities and needs, and better links need to be forged between them. Generators of climate



information need a clearer idea of what process tool users want or need; similarly, process tool users need to become more informed consumers of climate information.

This is by no means a new issue and has occupied adaptation decision-makers for some time (Reilly et al, 2001; Challinor, 2008). What is striking, however, is that while increasing numbers of type 1 tools are being developed and targeted at non-climate experts and development decision-makers, the users interviewed for this research were, for the most part, not using them. They preferred simple, readable synthesis documents (even if they were out of date), which can be powerful in summarizing and presenting climate information, over computer-based visualization tools. But these more sophisticated climate information tools are targeted to the needs and capacities of consultants and technical experts that are hired when, for example, process tool users decide to outsource a climate analysis. Even then, the experience can be fraught with uncertainty - i.e. trusting the quality and credibility of the analysis. More dialogue and research into the intended users of category 1 tools and the preferences of category 2 users could be undertaken to understand the gap between information and process.

#### **4.3 Narrowing the gap between assessment and action**

The report makes clear that different tools on different data sources, look variously to existing climate variability or future climate change projections as a main data source, and stress different indicators of vulnerability. Despite this, most tools users report being able to come to some sort of agreed assessment of climate risks to development cooperation activities. However, many users reported that one of the more taxing parts of the process was the shift from understanding these risks to determining whether current responses were adequate and the development of new options for enhancing adaptation.

This important step in the tools guidance is usually comprised of building on existing coping strategies and drawing on ideas of adaptation options developed elsewhere. This may constrain the development of adaptation options that are more specific to the risks identified or options that are new and innovative. There is a need for greater coherence on these processes and how they should be guided. One approach may be for tool developers to pool their experiences in this area to create agreed common guidance. Another option may be to ensure that stakeholder engagement consistent with the scale of the tools application is enhanced at this stage in the process. Enabling diverse voices to feed into the climate risk management process may both enhance ownership and promote development of more appropriate and effective adaptation options.

#### **4.4 Harmonization of approaches: Desirable or feasible?**

Harmonisation is one of the key pillars of the *The Paris Declaration on Aid Effectiveness* of March 2005 and the follow-up Accra Agenda for Action of September 2008. As this report and previous stock-takes demonstrate, there are a wide range of available climate risk screening and assessment

tools meeting the needs of an even wider range of users. It is therefore instructive to stimulate discussion around the potential for harmonisation, its desirability and potential feasibility.

Dialogue between tool developers in the past has suggested that diversity of approaches may be beneficial (Tanner and Guenther, 2007). The interviews undertaken for this report with users and developers of selected tools reinforce the importance of developing processes tailored to the specific needs and contexts of different agencies and their partners. There is evidence that tools have borrowed on one another's approaches, with significant openness in the sharing of tools and methods between agencies even in the early stages of development.

By developing individual tailored tools, agencies become familiar with the screening and assessment processes themselves through a form of 'learn by doing', and design of tools has stimulated debate on the approach to and objectives of climate screening and assessment in individual agencies. This hypothesis is supported by the reported co-benefits of tool development and use of raising awareness, and stimulating dialogue and organisational change processes. The process of collaborative tool development and use in particular contexts may also foster partnership building and alignment **with** partner countries' national development strategies, institutions and procedures. Such alignment constitutes another pillar of the Paris Declaration.

At the same time, there have been general calls for harmonisation of approach, terminology and tool components (G8, 2005; Gigli and Agrawala, 2007; OECD, 2006, 2009; GTZ 2009; Olhoff and Schaer, 2010). Tool development does appear to have become part of agency moves to enhance the visibility of their efforts on climate change integration. This report demonstrates that climate tools could be broken down into common constituent parts and related to the programme management cycle (see Figure 1), suggesting that a common skeleton screening and assessment process may be possible. Such a skeleton framework, supported by common analytical tools would allow agencies and partners to tailor guidance, but relate it to an agreed minimum standard that allows some flexibility around defining impacts, risks, levels of acceptable risk, and the adaptation options chosen.

Harmonisation may also become more of a necessity for development agencies in the future as climate risks move towards the realm of procedural due diligence supported by legislation such as that currently supporting Environmental Impact Assessment (Agrawala *et al*, 2010). The initial step to harmonisation in this respect may be to develop a common approach for the initial screening of development activities, with greater flexibility around the wider assessment process.

#### **4.5 Ownership: From agencies to partners in tool development and use**

One of the conclusions of the analysis presented here is the mixed picture in terms of engagement of development partners in screening and assessment processes. While efforts are usually made to ensure consistency with national climate change plans and priorities, if the principle of ownership enshrined in the Paris Declaration is to be upheld, then greater efforts need to be made to

ensure that partner countries exercise effective leadership over their own national approaches to climate screening and assessment.

Initial tool development has tended to be largely in house, with piloting and field testing periods providing an opportunity for feedback. For donors, tools have largely been anchored in the agency's own procedures rather than the processes. This naturally constrains the adaptation impact of tools, as they only tackle the narrow field of development cooperation programmes themselves rather than engaging at scale with wider national or sub-national development planning and programming. This was noted by interviewees as an emerging priority in light of the growing proportion of development cooperation being transferred through direct and sector budget support processes. The result is that tools within development agencies alone are not able to identify climate risks and adaptation because the planning and programming occurs chiefly in partner governments.

This report therefore suggests that in order to leverage greater impact from screening and assessment tools, agencies need to work with development partners to integrate these tools within their own systems and procedures. A first step towards this process may involve closer collaboration and harmonisation between different agencies, particularly at country level, to create a combined dialogue with development partners on their own approaches to climate risk management.

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