



**Staged Evaluation  
Third Thematic Review –  
Regional and Global Entry Points for  
Emerging Research Results**

**October 2017**



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## List of Acronyms

ACPC – Africa Climate Policy Centre  
ADB – Asian Development Bank  
AFRI-RES – African Climate Resilient Investment Facility  
AIIB – Asian Infrastructure Investment Bank  
ALR – CARIAA Annual Learning Review  
AU – African Union  
CAADP – Comprehensive Africa Agricultural Development Program  
CILSS – Comité permanent Inter-état pour la Lutte contre le Sécheresse dans le Sahel  
DFID – Department for International Development  
DRR – Disaster Risk Reduction  
ECOWAS – Economic Commission for West African States  
GCF – Green Climate Fund  
GEF – Global Environment Fund  
GFDRR – Global Facility for Disaster Reduction and Recovery (WB)  
ICCAD – International Centre for Climate Adaptation and Development  
IDDRSI – IGAD Drought Disaster and Resilience Sustainability Initiative  
IGAD – Inter-governmental Authority on Development (Horn of Africa)  
IOM – International Organization for Migration  
ISSC – International Social Science Council  
IUCN – International Union for the Conservation of Nature  
IWMI – International Water Management Institute  
NDC – Nationally Determined Contributions (UNFCCC Paris Agreement)  
NGO – Non government organization  
NIE – National Implementing Entities (under GCF)  
ODI – Overseas Development Institute  
PMU – CARIAA Program Management Unit  
PRAPS – Projet d’appui au pastoralism au Sahel (WB)  
REC – Regional economic commissions (Africa)  
RiU – Research into Use  
SAARC – South Asian Association for Regional Cooperation  
SDC – Swiss Agency for Development and Cooperation  
SDGs – Sustainable Development Goals  
SECO – Swiss State Secretariat for Economic Affairs  
SEI – Stockholm Environment Institute  
SPAC – CARIAA Science Policy Advisory Committee  
UNDP – UN Development Program  
UNECA – UN Economic Commission for Africa  
UNFCCC – UN Framework Convention on Climate Change  
UNHCR – UN High Commission for Refugees  
UNISDR – UN Office for Disaster Risk Reduction  
VC-ARID – Value Chain Analysis for Resilience in Drylands  
WAMU (JEMOA) – West African Monetary Union  
WB – International Bank for Reconstruction and Development (World Bank)  
WEDO – Women’s Environment and Development Organization  
WEF – World Economic Forum  
WRI – World Resources Institute

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## **CARIAA Staged Evaluation Third Thematic Review: Regional and Global Entry Points for Emerging Results**

### **1 Executive Summary**

The third Thematic Review in CARIAA's Staged Evaluation reports on the potential organizations and policy entry points at a regional or global scale for the types of research results emerging from CARIAA work. Its overall aim is to identify potential policy windows and international organizations that could offer entry points for emerging lessons from CARIAA research. Unlike the other two reviews, which focused on learning from the experience of the research consortia themselves, this review has primarily an external focus, on organizations and policy windows at the regional and global scale. The evaluation team attended ALR3 to gain an appreciation of emerging results, and to brainstorm potential organizations and contacts with consortium members, and then combined interviews with independent experts and desk research to complete our review.

CARIAA is already well networked. Between its PMU staff and its leading researchers, as well as member organizations like ODI and Oxfam whose business is policy influence, CARIAA is already connected to most of the organizations we describe here. In that sense, there are probably few surprises and this information should be seen more as consolidating material in a single source rather than introducing a lot of new information. We found more organizations of interest in Africa, where there are multiple regions and active interest in climate and its impacts on agriculture, than we did in South Asia, where formal regional collaboration is challenging. This suggests that regional policy organizations are a more fruitful target for influence in Africa, and that national policy organizations should remain the focus in South Asia.

We identify about 50 organizations with a potential interest in sharing CARIAA research results. CARIAA experience with transdisciplinary, South-North collaborative research may also be relevant for other large international research networks. However, in most cases, research results would have to be communicated and targeted in a way that was directly actionable in order for them to capture the attention of busy staff officers in regional or global policy organizations. This will require effort to identify current organizational policies and priorities, programs and projects, as these change frequently. Our research suggests that very few international organizations devote systematic attention to scanning for new knowledge and delivering it to relevant staff. This means that CARIAA will need to take this initiative itself. Messaging will have to be tailored to the needs of the organization and the timeliness of delivery. While scientific publications are valuable to demonstrate the credibility of conclusions and evidence, they are unlikely to be used by these organizations directly. Much can be accomplished

by collaboration between researchers and science-savvy policy intermediary organizations (such as ODI and Oxfam, already members of CARIIAA), whose mandate specifically focuses on policy influence and networking.

CARIIAA increasingly recognizes that policy influence and research uptake by users is based not only on credibility linked to scientific rigour but also on long term relationships, capacity building in relation to policy process and issues, and the need to broaden connections to maintain networks in the face of staff turnover and shifting policy priorities of public agencies. To take advantage of the windows and opportunities identified in this report, various approaches will be needed, including:

- Networking and joint activities with organizations around their current domains of interest
- Participation in knowledge sharing platforms sponsored by such organizations
- Joint publications
- Targeted webinars on specific thematic issues of timely
- Participation in conferences and regional workshops
- Exploration of potential partnership with on-going projects (advisory support, project review, shared outputs)
- Building collaborative linkages with effective policy intermediary organizations
- Engage with formal inter-governmental organizations around specific processes and timelines
- Approach formal inter-governmental organizations in person to develop explicit collaboration strategies that might include some of the elements above
- Frame messages in more policy-friendly terms, around economic and fiscal issues, food security, private investment, value-added, SDGs, or mobility and migration, rather than “adaptation”.

The roles of CARIIAA PMU and research consortia in reaching out to regional and global organizations are complementary. PMU may be better placed to identify and open doors with international organizations, particularly with help from DFID, while research consortia are more familiar with the details of research results and narratives of change in order to refine and tailor messages for particular audiences.

Successful influence is often more a function of the responsiveness of individuals within the organizations than it is of the organization, its mandate, policies and programs. This is impossible to determine from a generic survey such as this one. Unfortunately there is no alternative to the legwork and professional networks needed to connect regional and global policy organizations to CARIIAA research results.

Much of the information we found has been summarized in two spreadsheets that are easily sortable by region, theme, or organization. These can be updated and amended by PMU if they are found to be useful.

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## 2 Introduction

The third Thematic Review in CARIAA's Staged Evaluation considers the potential organizations and policy entry points at a regional or global scale for the types of research results emerging from CARIAA work. The program is now at a stage where research results are taking shape, and where the research consortia are actively engaged in planning for communication of research results and for strengthening the application and impact of these results. While there is already analysis within consortia on regional and global audiences, our working assumption is that most of the consortium effort focuses on local adaptation responses and national policies. In addition, CARIAA has commissioned a series of papers detailing the adaptation policy and program context for each of the countries in the program (see CARIAA Working Papers #6 – 20). Consortia are organized with country focal points, and local research sites. These will drive much of the effort on strengthening the application of results (described within the program as Research in Use, or RiU). So the focus of this review is on the potential for higher scale impacts from the research, including the identification of potential target organizations at that scale, and policy themes from emerging research results that would be of interest to these organizations.

Overall aim: To identify potential policy windows and international organizations that could offer entry points for emerging lessons from CARIAA research.

1. What aspects of emerging results from CARIAA research have relevance at the regional and global scale?
2. Which regional and international organizations are likely to want to apply this new knowledge, and what organizational processes or activities provide entry points?
3. What policy domains or questions of interest to these organizations could be informed by CARIAA research?
4. Building on the information shared at ALR3 about existing consortium networks, and the learning about organizational agendas and processes, what would be strategic priorities for outreach?
5. Given this information, how might CARIAA PMU and research consortia position themselves for impact in terms of relationships, topics and investment?

While the locus of adaptation action will remain primarily at the local level, these higher order organizations are of interest for several reasons:

- They are important for defining the development discourse and setting agendas that shape national action;
- They can amplify credible research findings through their own dissemination networks, events or websites;
- They provide development finance and set priorities adopted by other funding bodies;

- They interact both amongst themselves and across a wide range of scales to reach other countries not included in CARIIA.

### 3 Methodology

Unlike the other two reviews, which focused on learning primarily from the experience of the research consortia themselves, this review has primarily an external focus, on organizations and policy windows at the regional and global scale. Our approach used multiple methods to assess opportunities to link CARIIA results with these external organizations.

#### 1. Characterization of emerging results

Participation in ALR3 provided an overview of emerging research results and opportunities to interact with the researchers and consortium leaders presenting these. The team reviewed presentations and the notes and synthesis materials generated from ALR3, including the emerging key messages across consortia. Because CARIIA itself was developing a summary of emerging results for strategic purposes and for public release, we harmonized our work with that product.

#### 2. Brainstorming with research teams

The ALR3 agenda included a brainstorming session with participants on Day 4 to explore existing networks and organizational connections. The focus of this session was on gaining feedback from participants about:

- regional and global organizations with which they are already familiar, who would likely be interested in research results;
- contacts and network entry points they already know of;
- events or processes coming up in the next 12 months that would provide an opportunity for interaction or presentation of results;
- key thematic messages from research results to potentially be shared with each organization

#### 3. Interviews with SPAC members attending ALR and survey of PMU

The research team supplemented their sessions at the ALR with research consortia and consortium leaders with brief interviews with SPAC members, focusing on their assessment of potential regional and international policy influence opportunities, with a particular focus on their networks and contacts. In addition, the team circulated interview questions to PMU members, requesting them to provide written responses to the same questions posed in interviews with key informants (see below and Appendix A).

#### **4. Interviews with independent key informants**

The team approached 18 independent international experts with extensive experience working with international organizations in the field of adaptation to request a brief interview to gain their suggestions for relevant regional and global organizations. Some of these were contacts from personal networks, others were referred from initial contacts, and still others were the result of our own research efforts. About 28% of our interview requests were refused or ignored after multiple inquiries. The list of final interviewees is presented in Appendix B. We found that very few informants had substantive knowledge of policies and interests of many different international organizations. Most had extensive knowledge of a small number of organizations, and a network of contacts that were tightly focused on shared agendas and personal relationships rather than broad adaptation policy knowledge. For obvious reasons, we agreed not to attribute comments or opinions to individuals, but everybody interviewed agreed to be named. Overall, the knowledge and experience of these expert respondents skewed more towards Asia than Africa. In addition, while experts with both urban and rural adaptation thematic expertise were represented in our initial requests, we had a better response from the urban group. We would have preferred to have more expert informants from Africa, and with rural expertise, but these groups proved less responsive to our inquiries. We complemented the expert opinions with independent desk research, partly in recognition of these limitations.

#### **5. Desk Research.**

The review team undertook desk research to further explore available documentation on potential regional and global scale policy organizations. We reviewed publicly available policy papers, third-party policy assessments, organizational websites and recent conference agendas and reports to identify current policy themes at regional and global scales that are linked to consortium research. This included internet searches, using Google and Google Scholar, of recent papers referencing regional policy or policy organizations in relation to key topic areas of emerging CARIIA research. This effort led to only modest results. While we did not attempt a systematic or extensive formal review of all published and grey literature, it appears that published resources reviewing recent regional and global organizations' adaptation policies are limited.

## **4 Emerging Results from CARIIA program**



Characterizing the emerging research results from the CARIIA program is challenging for several reasons. The program is very large, with hundreds of research activities led by dozens of different research teams organized in four independent research consortia, and many activities are still underway and will not be completed until 2018. The program is also very diverse, with some components emphasizing the technical modeling of hydrometeorology, while others explore the political and social factors driving gender differentiated decision making, or the micro-economic behaviour and risk aversion of farmers and small businesses. Other research efforts seek to combine multi-disciplinary approaches to see how all these factors interact to influence development outcomes in different contexts.

Rather than try to catalogue all the diverse research results in this section, we group key messages under the emerging themes identified by CARIIA. These messages are presented in a generic fashion, but in each case, research consortia and program managers would be able to mobilize a number of specific examples and evidence to illustrate these points in a variety of contexts. This information is consistent with the “key messages” document prepared by CARIIA, and was shared with external interviewees to provide context about the program and emerging results.

#### **4.1. Hotspots are bearing the brunt of climate change impacts**

Current conditions in semi-arid lands, river deltas, and glacier-fed basins already test, and regularly exceed, the ability of poor and vulnerable people to cope. Hotspots are locations where climate variability meets poverty and vulnerability. Even as the world strives to limit warming to 1.5°C above pre-industrial level, climate extremes already threaten lives and livelihoods. The impacts in hotspots are higher than the global average: mountains and drylands in South Asia are experiencing double the rate at which globe is warming, including a sharp increase in heat stress and frequency of hot nights. Sea-level rise and river delta subsidence are occurring and will accelerate.

#### **4.2. Migration is adaptation to diminishing livelihoods**

Migration is not just the one-way movement of people: geographic and socio-economic patterns are created as people leave, arrive, return and reconnect. These patterns can be described in numerous ways, including flows of people among rural and urban centres, sending and receiving areas, work opportunities and family homes. Migrants in and between different locations create linkages including remittances, mobility of labor and capital, cultural links that provide a sense of place and identity, and the diffusion and propagation of ideas, values and aspirations. People self-report moving to seek employment, as environmental change undermines resource dependent livelihoods in specific locations. Migration may or may not help people find safety and prosperity, and can generate tension within households and between social groups. Remittances are an important source of income, which could be better channeled to help build resilience. Some places, such as the Hindu Kush countryside, are de-populating. Elsewhere urban centres and local governments need to anticipate and accommodate people.

### **4.3. Overcome barriers that keep adaptation from working**

Each consortium has amassed detailed insights on barriers that keep adaptation from being practiced, or how such practices lack support. These include the lack of attention to critical periods when communities are most vulnerable, as well as specific locations and populations that are more exposed. CARIAA gained fresh insights into how to overcome these barriers and how to enhance “enablers” that allow vulnerable people to adapt and thrive in a changing climate.

### **4.4. Adaptation can catalyse transformation**

Adaptation is not merely reacting to change, it can also be anticipating and proactively responding to opportunities and challenges. Each consortium has amassed detailed insights on how adaptation is being practiced, how such practices should be supported, and how successful adaptation can catalyse social transformation to achieve the Sustainable Development Goals. Hotspots are a natural setting for testing solutions and realizing development outcomes. Adaptation pathways must balance short, medium and long-term action.

### **4.5. Private decisions at the forefront of adaptation solutions**

Whether at the level of households or firms, many of the choices made on adaptation are made privately. Such decisions could be facilitated by enhancing enabling environments at local, regional, national or supra-national scales. Rather than focusing only on government investment in public infrastructure, CARIAA urges greater attention to how government policy enables private actors to adapt. Resilience must be embedded in economic development. Climate change is impacting production value chains.

### **4.6. Without gender and social inclusion, the result is maladaptation**

Considerations of gender and social inclusion are key if adaptation and resilience are to enhance equality. The ability of individuals, households and communities to respond to the risks associated with climate change are strongly influenced by intersecting social, cultural, economic and political factors. These factors may serve to either privilege or marginalise individuals from critical decision making spaces. Furthermore, an understanding of the differentiated access to adaptation options and a recognition that these have socially differentiated implications is often lacking in adaptation decision making. Pursuing more equitable adaptation pathways therefore requires a focus on the gendered dimensions of values, capabilities, assets, and power.

### **4.7. Innovation requires working differently**

CARIAA represents one approach that attempts to reconcile knowledge production and climate solutions with the scale of the problem. Three features of this approach include: interdisciplinary research, the consortia model, and efforts to match with the scale of

ecosystems and policy processes. Climate action requires doing research differently: drawing in diverse institutions, countries, disciplines and field sites under common questions, teams, methods and datasets. The insights that result promise rich understanding of what works under diverse conditions. Intuitively robust knowledge and evidence requires a certain scale of research effort (organization, countries, disciplines) that is consonant with scale of the climate problem. Yet the advantages of scale are balanced with the costs of achieving it: CARIAA offers lessons on interdisciplinarity, organization, and engaging local-to-global policy and practice. Knowledge and solutions must be commensurate to the system under study, and overcome ‘mis-fit’ between environmental processes and human institutions.

## 5 Description of Key Regional and International Organizations

This section and Section 6 below summarize results from interviews and desk research. In this section we describe the relevant mandates and policies of key international organizations, and indicate potential entry points for CARIAA research. In Section 6 we describe strategies for accessing windows, events and opportunities for influencing regional and global policy organizations, along with a separate list of potential events in Appendix B. Both of these sections are intended to be summaries of key focal areas, rather than exhaustive inventories of all possible links. Highlights from both Section 5 and Section 6 are summarized in two separate excel spreadsheets, which contain hyperlinks to the relevant websites and contacts, and can be searched or sorted by various categories.

Some prominent international organizations are not named here either because our informants suggested from experience that they are likely to be unresponsive; or because we could not find any evidence from websites and program information of potential entry points. This is not to say, however, that specific research projects or researchers should not pursue existing contacts and networks of influence in agencies we have not mentioned here, if they find them to be responsive and interested. Also, we note from the evidence presented in the brief brainstorming session at ALR3 that CARIAA participants (either through PMU or researchers) already have personal connections to most of these organizations. Therefore we do not expect this information to be entirely new, but it should provide a shared base for developing more specific follow up strategies.

In our interviews with external experts, we identified a broad level of interest in CARIAA results. However, many of the respondents emphasized that despite this interest, it would be difficult to communicate research results in general terms due to the heavy workloads of agency officers and their limited attention span given the “firehose of information” to which they are subject in their daily work. This means that generic

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summaries of CARIIA research results (“Five Key Messages”) or even specific research results have limited value on their own. New knowledge is only likely to be absorbed if it is directly related to a particular site or problem that is the focus of current attention. The information must be immediately actionable in the context of the current program priorities of the responsible officer. Several suggestions were made for how to address this problem, but all require targeting information very specifically to contextual requirements. For example, research results and cases that relate directly to a project or policy study that is currently under development are likely to be readily received and integrated. Typical examples might be, at a policy level: sector reviews, policy lending projects, country reviews, white papers or programming strategies. At an implementation level, targets might be project development studies. For a global agency such as the World Bank, country offices are probably a more useful entry point because they have specific project development pipelines that would benefit from the latest knowledge. The problem is that such pipelines are not generally public information, so this requires direct personal engagement with the country program officer or national counterparts.

As an example, during mid-2017 UNDP in South Asia was working with the Government of Nepal to develop a major funding proposal for the GCF (Green Climate Fund) on watershed management related to glacial melt and changing hydrological risks (<http://www.adaptation-undp.org/Nepal-climate-GLOF-GCF-proposal>). ICIMOD is named as a partner, so we anticipate that HiAWARE work would find an entrée here already, but the example is illustrative of the specificity of targeting needed. This kind of targeting requires cultivation of networks and contacts.

Discussion at ALR3 also pointed out the important role of international NGOs in influencing the international discourse and agenda in ways that UN, multilateral and bilateral agencies cannot, through their advocacy and promotional work. Our interviewees pointed out that many of these international policy intermediaries are already well informed about climate adaptation and related issues, and that they may have their own research functions that are more specifically focused on policy impact than is CARIIA. While the potential for collaboration and leverage of influence networks should not be ignored, for these organizations it may require more than communications, but also funding to support specific collaborative projects (such as policy briefs on topics of common interest; joint publications; joint workshops; and other communications / influence strategies). Their networks of evidence-based policy influence make them effective and experienced advocates for policy impact, and potential collaborators with CARIIA researchers. Indeed, some of these organizations are *already members of CARIIA consortia* specifically for that reason (Oxfam, ODI).

In general, different regional and global development actors have quite different models of where they are adding value to the development effort, how they collaborate with other organizations to do so, and what role new knowledge plays in their efforts. Some

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are very knowledge-intensive and keenly receptive to new evidence, when it is directly actionable. But others have quite different objectives and business models to reach similar goals. Few organizations have systematic tools for finding, screening and integrating new knowledge in their work, which means that to reach them, CARIIA will have to take the initiative themselves.

One important global organization for purposes of CARIIA follow-up and impact is NOT on our list: the Intergovernmental Panel on Climate Change (IPCC). The IPCC is of course a crucial opportunity for the promotion and transmission of CARIIA research results, as a research synthesis and review organization. The timing for the preparation of the Sixth Assessment Report is ideal for mature research results from CARIIA that are now in publication, and engagement not only allows CARIIA researchers to provide evidence, but to shape the contents and emphasis of the chapters in Working Group II on Impacts, Adaptation and Vulnerability. But in our view the consortia are all already well connected. Many senior researchers in CARIIA are chapter leads, authors or reviewers, and there has already been discussion at the ALR and elsewhere of strategies for ensuring publication of research results, connections to committee members, and promotion of CARIIA products. Given the extensive research connections and knowledge of consortium members in this regard already we felt that our own efforts could add little to existing knowledge. We also see the IPCC as a different opportunity than the other regional and global policy organizations listed. IPCC reports and syntheses are influential vehicles for delivering research result messages, but the IPCC itself is neither a policy organization, nor an advocacy or policy intermediary group. However, it is a crucial source of evidence and scientific conclusions that is used by many policy and advocacy groups. In that sense, CARIIA's links to IPCC represent an important mechanism for providing evidence to all the other organizations listed here, rather than a direct policy target.

Discussion at ALR3 on regional organizations of interest also highlighted a number of research networks. In our listing of relevant regional organizations we include research networks if they appear to have strong support from governments and close linkages to policy development in fields related to climate adaptation. We also note, from evidence provided at the ALR3 session, that CARIIA researchers are already familiar with many of these research networks and institutions.

An aspect of research influence that does not relate directly to development policy and practice, but may be an area where CARIIA experience can provide insight, is in relation to large interdisciplinary research networks supported by major research donors. Examples include research programs funded by DFID (such as BRACED, ISSC, Future Earth, Future Climate for Africa, and the Belmont Forum. While these organizations and networks are not direct targets for policy influences, they have indirect influence through their own policy networks. Some of these networks are explicitly described in our listings below. However, in addition these organizations are particularly relevant as

targets for lessons from CARIIAA about transdisciplinary collaborative science methods, consortium organization and processes, which could be instructive in shaping future multi-disciplinary research funding for programs with strong Southern participation.

The following list summarizes key organizations that contribute to shaping relevant policy agendas, are likely to be responsive to CARIIAA research results, and that were identified by interviewees or by desk research at a global and regional level. We have structured the list by region (Global / Africa / South Asia) and by type of organization (Multi-lateral or bilateral / NGO or intermediary). The list should be viewed together with the separate excel spreadsheet, which includes hyperlinks to organizational websites, and can be sorted or searched by topic, region or type of organization. We include specific contact names where our interviewees were willing to provide these, and in a few cases we have included URLs for related sites and information in the text that might otherwise be difficult to find.

Finally, we note that at the regional level, there are more (and more effective) policy organizations in Africa than in South Asia. There is a long history of donor-supported regional economic development and policy coordination effort in Africa that is not matched in South Asia, where there are both fewer countries and greater disparities in economic and political power. In South Asia, with its persistent regional political tensions, policy collaboration is very limited. The socio-economic development context in South Asia is highly dynamic: there is a lot going on, but in order to influence national or local policy decisions related to adaptation, it is more effective to focus on national policy organizations, or on the national activities of global development agencies and NGOs. By comparison, in Africa there are important regional bodies that do have effective influence on policy agendas.

## 5.1 Global

### Multi-lateral and bilateral organizations

**World Bank:** The World Bank has been a thought leader on integrating climate change and development since publication of its 2010 World Development Report on this topic (World Bank, 2010). In its Climate Change Action Plan 2016-2020, the Bank recognizes that climate change is a direct threat to the core mission of the World Bank Group and presents both enormous challenges and opportunities, requiring that climate and development be addressed in an integrated way (World Bank, 2016). Its strategy will rely on scaling up innovative climate actions, integrating climate change into all its operational decisions, and working more closely with other organizations on related issues. The WB has made a commitment under the Paris Climate Accord to extend at least 28% of its lending to climate mitigation and adaptation projects. Acknowledging that adaptation and resilience have received less attention in its portfolio, it promises to increase lending in this area. While many other global organizations are involved in this

field, the WB is probably the most important financing agency for large scale adaptation projects and programs. The Bank also commits to building and sharing the knowledge base, particularly around solution packages; climate change, gender and poverty; and measurement, evaluation and learning that link policy interventions to resilience outcomes.

The Bank's priorities vary regionally. In South Asia its adaptation efforts will focus on disaster risk management, urban flood resilience, coastal zone and deltas, and water management. In Africa, the Bank commits to increased financing for adaptation, which is prioritized in most NDCs (Nationally Determined Contributions). This support will emphasize hydrometeorological information, early warning systems, irrigation and water management, food security, livelihood, community development and pro-poor measures to build resilience.

Entry points at the WB include:

- Country program staff in relation to specific project- and policy-related opportunities
- WB Climate Policy Group
- Global Facility for Disaster Reduction and Recovery (GFDRR) – promotes knowledge sharing around issues of disaster risk, vulnerability, risk reduction, emergency response and smart recovery. The GFDRR sponsors a biannual global conference labeled “Understand Risk”, which is open, free and public, and intended to attract public sector, NGO and private sector interest in risk reduction and resilience. It includes an active community of practice comprising 7000 members. Next conference is May 14-18 2018, in Mexico City and the call for proposed sessions closes Oct 13. <https://understandrisk.org/event/ur2018/> (contact: Dr Josef Leitmann, jleitmann@worldbank.org)
- Global Knowledge Partnership on Migration and Development (KNOMAD) – a global policy-oriented knowledge hub, funded by a multi-donor trust fund and working closely with the Global Forum on Migration and Development and the Global Migration Group (contact: Kanta Kumar, WB).
- Africa Climate Resilient Investment Facility (AFRI-RES) – led by Nordic Development Fund with co-investment by WB, UNECA and other donors, this fund aims to tie climate science to infrastructure investment planning and finance (contact: Raffaello Cervigni, WB)

**UNDP / UNEP / UNISDR:** UN organizations in the climate and development field, of which these are the most prominent, seldom appeared on the lists of influential organizations discussed by our expert interviewee panel. While these organizations have useful networks for communication, convening power and direct engagement with government policy makers, they are often perceived as being highly bureaucratic, relatively unresponsive to new knowledge, and largely focused on internal processes. The most effective way to engage with these organizations is probably opportunistically,



when research results can be readily seen to have direct relevance to their internal processes, such as follow-up to SDGs, to the Sendai Framework for DRR, or to other international processes steered by these UN organizations. UNDP, for example, supports the implementation of National Adaptation Plans (NAPs), but in some cases struggles to link these strategic level plans to implementation actions. Another possibility would be directly linking to an ongoing UNDP or UNEP project, program or network. These are mostly regional in focus, and are best explored at that scale. If there are opportunities to shape or contribute to the agenda of prominent high profile events (e.g. UN Environmental Assembly), these offer potential to place key issues and evidence before an audience of international diplomats and policy officials. However, such opportunities will require considerable time and effort to cultivate through organizational linkages.

**UNFCCC:** This organization, compared to other UN operations, has been reported to be much more responsive. However, they are small and limited in what they can do, focusing primarily on inter-governmental negotiations and implementation of the various agreements linked to the Framework Convention on Climate Change. They have been described as “hungry” for relevant new knowledge and practices, particularly as these relate to implementation of the FCCC and its myriad related agreements. UNFCCC’s Task Force on Climate Displacement under the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts, which was mandated by the 21st session of the Conference of the Parties, is developing recommendations to avert, minimize and address displacement. Potential contact: Yousef Nassaf, Head of Adaptation.

**International Organization on Migration / UNHCR:**

On the issue of climate change and migration, IOM has already embraced the notion of migration as a positive adaptive response (Melde, et. al. 2017). However, the issue is more complex than just adaptation, and many advocates tend to seize on migration as a unidimensional issue: e.g. driven by conflict, or climate, or economic opportunity. Migration often carries high costs, not only economic but also in political, social and human rights terms. CARIAA research has an opportunity to contribute to understanding some of the complexities and guiding appropriate policy responses on both the sending and receiving sides of the equation. IOM has undertaken a recent global study to promote evidence-based policy approaches: this serves as a useful frame for refining their existing policy recommendations (Melde et. al. 2017). By comparison, the UNHCR and UNFCCC approaches are both more conventional, partly at the urging of developing countries who are more sensitive to the costs described above, treating migration as a response of “last resort”, and as a cost to be attributed under “loss and damage” provisions of international climate negotiations (Lee, 2017).

Organizational entry points include the IOM’s [Environmental Migration Portal](#). UNHCR, through the 2016 New York Declaration for Refugees and Migrants, is leading processes to adopt a global compact on migration and a global compact on refugees. They will be



sponsoring regional hearings to provide opportunities for input. UNHCR's work includes Guidelines on Temporary Protection or Stay Arrangements, which can apply in the context of climate change and related disasters

(<http://enb.iisd.org/climate/sb46/enbots/17may.html#event-5>).

**Green Climate Fund (GCF):** Created under the UNFCCC, this new global fund will become the primary vehicle for coordinating and disbursing public and private large-scale funding to developing countries for both mitigation and adaptation actions. The fund is still getting organized, developing its strategies, and leveraging private sector contributions. Key elements to its strategy so far include:

- only accredited organizations are eligible to access GCF funding. Accreditation consists mostly of demonstrating financial and management capacity, and so most of the accredited organizations are large multilateral and bilateral development agencies (e.g. UNDP, WB, ADB, JICA, etc).
- funds are to be disbursed in large chunks. The stated preference is for projects over \$200 million in size, although smaller projects have been approved.
- The only path to influence funding priorities is through their Board, which is served by a relatively small secretariat. Decision making is opaque, and programming priorities are unclear.
- While funds committed remain below target levels, there are also constraints in project and pipeline development, as it remains unclear how to meet GCF requirements particularly for adaptation projects.

So while the GCF is a potentially crucial adaptation finance agency, especially for least developed countries, it will take some time to mature, and at the present time its policy procedures are opaque and impenetrable.

**Swiss Agency for Development and Cooperation (SDC):** SDC was mentioned by many expert informants as a key agency in climate and development in Southern and East Africa, as well as in South Asia, where its support for the agribusiness sector recognizes the opportunities and threats that climate change brings (e.g. cold storage). In South Africa and central Asia, the Swiss State Secretariat for Economic Affairs (SECO), also provides funding for urban infrastructure and climate-friendly growth, with thematic interests in migration, climate change and water scarcity.

**GIZ:** The German aid agency was mentioned often as influential in Eastern and Southern Africa, and in South Asia. Its long-term project commitments, practical approach and extensive research and methodological support for adaptation planning and sectoral responses at multiple scales attracted the endorsement of our expert panel members. However, like other bilateral donor agencies, its agenda and programming is not easily influenced by external actors. Linked programs, such as Nexus: Water, Energy and Food Security, are supported by German federal ministries of economic cooperation and environment (BMZ, BMUB) and the EU. The Nexus program is active in selected countries particularly in SADC and the Middle East / North Africa, and aims to provide

technical assistance in support of project development, policy change and national fiscal planning.

**DFID:** DFID was described as very active and influential in this field in South Asia in particular, but also in Africa. DFID is planning very large programs in South Asia around water governance and also climate services. Efforts should be made to ensure that CARIAA results inform the design and development of these programs.

### **NGOs and Policy Intermediaries**

**International Committee of the Red Cross (ICRC) / Red Cross Climate Center:** The Red Cross is primarily engaged with issues of disaster risk reduction (DRR) and humanitarian response. These responsibilities connect it closely to issues of climate related mobility, particularly under stress. The international Red Cross is a large organization, with strong network linkages to hundreds of (independent) national and local Red Cross organizations. This partnership network structure provides the organization with enormous global reach and local responsiveness, but also makes policy innovation and knowledge integration slow and clumsy due to largely *ad hoc* internal communications networks. Information is mostly managed at the level of national Red Cross organizations. The Red Cross has been instrumental in the establishment of the new [1 Billion Coalition](#), which is based on the ICRC's recognition that it is most effective when partnering with other organizations. They are promoting flexible local and national coalition building around the notion of resilience, as an organizing model rather than a content based or thematic model.

**IUCN:** Based in Switzerland, the IUCN has both central and regional offices that are effective in mobilizing donor funds for policy advocacy and program implementation. They are particularly active in South Asia and in East Africa. While their focus is on biodiversity conservation and ecosystem protection, they are also sensitive to community livelihoods and have active interest in the impacts of climate change on sensitive ecosystems, livelihoods, conflict and migration. They have standing with multilateral sources such as GEF and GCF, and appreciate the value of new knowledge in shaping their programming priorities and funding applications. Best approached in relation to specific issues through their regional or country operations (e.g. DECCMA has links to IUCN India).

**World Resources Institute (WRI):** WRI has built a strong international reputation as an evidence-based policy advocacy organization. Its products are widely read, it covers relevant work by other organizations in its blogs, and it leverages research results to influence policy in selected partner countries and with international organizations and donors. WRI is particularly oriented to implementation of research results in policy and practice. WRI work is project-based, and its engagement in Africa is more limited than in Latin America and Asia. A likely user of relevant evidence, with effective connections to

GCF NIE's and other national climate finance and policy organizations in the largest developing countries. Its [international climate program](#) would be engaged with and interested in (among others):

- Monitoring and evaluation of adaptation actions
- Tools for scaling adaptation: e.g. rainfed agriculture in India
- Advocating for international and national policy action

**Practical Action:** Originally set up by E. F. Schumacher as the Intermediate Technology Development Group, [Practical Action](#) has from its founding been oriented to innovation, evidence and improved practices. Several of our expert panel commented positively on the organization's capacity to partner with knowledge producers and users, and to leverage practical change at the community level. The organization has an active publishing arm that champions relevant new knowledge for community development and poverty reduction. Climate change is a cross-cutting program theme, embedded in their work across multiple sectors. They are active in South Asia and throughout Africa, but better known for their community level engagement, capacity development and project implementation work than for policy influence. HiAWARE already collaborates with Practical Action in Nepal for fieldwork, but may not be thinking of them as an influence partner.

**Stockholm Environment Institute:** Some members of our expert panel mentioned SEI as an evidence-based, climate-focused organization that played an effective policy intermediary role and could be a valuable partner for CARIAA. SEI is primarily a research organization whose mission is described as "bridging science and policy". SEI has invested a great deal of effort in focusing research on policy relevant themes and leveraging research results for policy influence. It is a global level organization with direct links to many international processes and policy organizations described here. It has a regional presence through small offices in Thailand and Kenya.

**Women's Environment and Development Organization (WEDO):** This organization was recommended as an effective global level policy intermediary and research organization in the field of [gender, climate, and migration](#). WEDO is a small organization that relies on networking and partnerships to influence global policy processes and major development actors around the world. Their main focus is on women's roles in decision making, especially in relation to climate justice and disaster risk reduction.

**Other organizations:** At the global level, one of our interviewees pointed out the influence that a small number of reputable global media organizations have on shaping informed public and policy discourse on key issues (especially in English). He mentioned in particular The Guardian, the New York Times, the Economist, and Al-Jazeera – all of whom have dedicated substantial resources to reporting on climate science and its implications for development, including issues of migration, water resources and

agriculture. Connections to their science / development reporting teams could prove influential.

Several interviewees referred to the growing interest of the private sector (i.e. large international corporations and the financial sector) in climate risk and investment strategies. This has been manifest in recent focus on climate risk management at meetings of the World Economic Forum (WEF) but also in the increasing interest of the insurance industry in exploring new forms of risk reduction and commercial insurance suitable for low income countries. However, the private sector has little interest in research results unless these are specifically targeted to questions of direct relevance (and hence often commissioned for that purpose). Private sector users of research, according to our expert panel, generally expect that it will be tailored to their requirements, with topics, research questions, style and format of research products all defined collaboratively with users before research gets underway.

Impact investing also has growing appeal to socially conscious capital funds and private investors who seek social and environmental, as well as financial, returns. The [Global Impact Investing Network \(GIIN\)](#) provides resources and support for accessing these groups and sharing new evidence and investment proposals appropriate for developing countries. [Acumen](#) (formerly the Acumen Fund) describes itself as a patient investor, making loans or taking equity positions in innovative and entrepreneurial social development opportunities. Acumen operates almost like a venture capital intermediary aimed at global poverty reduction, but with substantial training, capacity building and research functions. It has been supported by Rockefeller Foundation, Bill and Melissa Gates Foundation, Google, and a number of prominent philanthropists.

There are a number of US-based philanthropic foundations of varying size that specialize in sophisticated policy networking and influence strategies at a global scale. The Rockefeller Foundation has a strong underlying focus on resilience and a long-standing interest in both the agricultural sector, and increasingly in urbanization, in developing countries of Asia and Africa. The MacArthur Foundation has supported work with communities affected by biodiversity loss from climate change and other threats. At a different scale, the relatively new Climate Justice Resilience Fund, based in Washington, D.C., supports community-based approaches to helping women, youth and indigenous peoples adapt to climate change in East Africa, the Bay of Bengal, and the Arctic (<https://www.cjrfund.org/>).

There is also a growing recognition of the role of professional associations, communities of practice, professional networks and city networks in spreading new knowledge and practices in adaptation and resilience. Some respondents argued that for adaptation and resilience, local and decentralized action would be more relevant than national policy influence in any case. Among the prominent actors in this field at a global level, particularly in relation to urban planning, governance and development are [the C40](#), a

global network of large cities from developed and developing countries dedicated primarily to climate change response, and United City and Local Governments ([UCLG](#)), which has over 1000 member cities from more than 100 countries, and sees itself as the global organization representing local democratic self-government. Another organization that is focused on climate, DRR and environmental issues for local government is [ICLEI](#) – Local Governments for Sustainability, which has national and regional offices in most parts of the world. All these organizations foster knowledge sharing, improved tools, methods and practices in climate adaptation, professional networking, capacity building and policy reform focusing on cities and urban issues.

## 5.2 Africa

### Multi-lateral and bilateral organizations

#### **African Development Bank:**

Contact: Dr Anthony Nyong, Director Climate Change and Green Growth

**Adaptation Benefit Mechanism** - This mechanism is intended to generate additional financing for adaptation by creating a kind of clearing house mechanism whereby donors, investors or philanthropists could purchase Adaptation Benefit Units, which would be validated by consensus-based methodologies and monitoring of field level projects. The mechanism is proposed for adoption at COP23 in November 2017. There will be a need for evidence-based methodologies and measurement of adaptation benefits that could be informed by CARIIA research.

<https://www.afdb.org/en/topics-and-sectors/initiatives-partnerships/adaptation-benefit-mechanism-abm/>

Contact: Gareth Phillips | [g.phillips@afdb.org](mailto:g.phillips@afdb.org)

**Pilot Program on Climate Resilience** – An active program linked to decentralization policies in southern Africa, implemented jointly with WB. While the program engages many regional NGOs its projects are centrally developed using internal consultants, and then put out to tender. By the time the projects are announced, their terms are largely fixed. The influence challenge would be to shape the ToRs of the implementation projects and consultant calls to have them more responsive to recent evidence.

**Migration and Development Initiative:** Under this [initiative](#), launched in 2009 with a view to coordinating all the institution’s migration related activities within a common framework, AfDB is focusing on promoting strategic alliances and networking, developing new financial products, channeling funds to productive uses, and building capacity at the association and institutional levels. Although the accent is on remittances and strengthening financial systems, there could be opportunities for connection to CARIIA results regarding climate change, migration and development.

**Rural Water Supply and Sanitation Initiative:** This was launched in 2003 to support achievement of Millennium Development Goals for this sector. The initiative functions as a mechanism to coordinate donor financial and technical contributions to projects

designed and delivered largely by national policy and technical institutes, which would be the more effective targets for policy and technical influence.

**Multi-donor Water Partnership Programme:** This program channels donor funding for integrated water resource management, including building technical capacity and data management at AfDB, promoting water resource management, and funding studies of water governance, agricultural water use, water and sanitation services and innovative financing in the water sector. Funding priorities are determined by a donor-led steering committee, with bank staff and consultants developing specific projects. Technical information on improved water resource use would be relevant to their operations.

**UN Economic Commission for Africa (UNECA):**

Contact: Dr Fatima Denton

**Africa Climate Policy Centre (ACPC):** The Africa Climate Policy Centre- (ACPC) is an integral part of the **ClimDev Africa** Programme, a joint initiative from UNECA, the African Union Commission (AUC) and the African Development Bank. The programme has been mandated at regional meetings of Heads of state and government, as well as other high level ministerial meetings. ACPC has three broad areas of activity: Knowledge generation and management, advocacy and consensus building and advisory services and technical cooperation. CARIIA has already engaged with the ACPC, by organizing side and parallel events at the *Climate change and development for Africa Conference*. In addition, it could also interact with its sub-programs on knowledge generation and advocacy. ACPC has prioritized the agricultural sector as the major entry point in debates about adaptation to climate change. Analytical work in two regional studies on adaptation is conducted in parallel in the five countries of the East African Community (EAC) and 15 countries of the Economic Community of West African States (ECOWAS). The studies are aimed at understanding the linkages between climate change, agricultural production, trade in agricultural commodities and food security.

**UNECA High Level Panel on Migration:** Established by the Economic Commission for Africa (ECA) under the direction of the joint African Union (AU) and ECA Conference of Ministers, HLP is made up of 14 member. The panel aims to push migration issues to the top of policy agenda by engaging major stakeholders and partners. Its forums and policy meetings could be relevant targets for CARIIA results in this area.

**African Union:**

Under Goal 6 of the Malabo Declaration by the AU Summit of Heads of State in June 2014, African countries committed to strengthening the climate resilience of agricultural and rural production and set targets for 2025. This provides a shared policy context for climate smart agricultural research results.

**African Ministerial Conference on Environment (AMCEN):** Under the auspices of the AU, AMCEN is a permanent forum where African ministers of the environment discuss matters of relevance to the environment and environmental policy. UNEP manages its secretariat. CARIIA is already engaged and has attended all AMCEN sessions; supported submissions for the technical segment of the sessions and networked with



representatives of key regional economic communities (RECs). AMCEN also publishes official statements and **technical reports** (such as Africa's Adaptation Gap) to which CARIAA could potentially contribute.

**African Ministerial Conference on Water (AMCOW):** AMCOW's mandate is to promote cooperation, security, social and economic development and poverty eradication among member states through the effective management of the continent's water resources and provision of water resources and provision of water supply services. In 2008, at the 11th ordinary session of the Africa Union (AU) Assembly, Heads of State and Government of the AU agreed on commitments to accelerate the achievement of water and sanitation goals in Africa and mandated AMCOW to develop and follow up an implementation strategy for these commitments. AMCOW has also being accorded the status of a Specialised Committee for Water and Sanitation in the African Union. AMCOW's Technical Advisory Committee provides technical support to the Executive Committee and the Governing Council for the formulation of policies and strategies. It comprises 25 technical experts, 5 from each of the five sub-regions of Africa, on a rotational basis. Members, identified on the web site, could be approached to discuss opportunities for CARIAA to share results related to water and climate change.

**African Water Facility:** Founded and supported by AMCOW, but administered by the AfDB, this is a funding body that channels donor support funds into grants for national and local government organizations addressing priority issues in the water sector, including climate change. They have technical collaboration partnerships with a variety of other regional and international organizations in the water sector. While they are mainly a funding body, not a policy or technical organization, their funding priorities might be responsive to new knowledge on climate resilient approaches in the water sector.

**African Group of Negotiation Expert Support (AGN):** The AGN consists of climate change negotiators from every African country. It gets its direction from the African Ministers of Environment (AMCEN), the CAHOSCC and the African Union Assembly. CARIAA has provided technical support on agriculture and gender. Proposed actions identified in the CARIAA strategy: organize side and parallel events at COP23 and continue support to ongoing AGN activities.

**NEPAD:** One of NEPAD's programs is articulated around governance issues related to natural resources and food security. One of the main objectives of that program is to facilitate the adoption of risk reduction and adaptation to climate change. Under this program of work, the Climate Change Fund and the Gender, Agriculture and Climate Change Support Program are two possible entry points for CARIAA. The **Climate Change Fund** supports research and capacity development projects that contribute to better planning and implementation of activities related to climate change, and advise African states as well as regional economic commissions on climate change. Research results and technical collaboration could be relevant here.

**Pan-African Forum on Migration:** Designed as part of the regional consultations for the UNHCR's Global Compact on Migrants and Refugees this meeting in May 2017 was intended to be an open and all-inclusive platform for dialogue; bringing in national and

regional perspectives and best practices of all relevant stakeholders including Senior Governments Officials from relevant ministries responsible for foreign affairs, development, justice, home affairs, immigration, humanitarian response, climate change, etc. for a whole of government approach. Follow-up activities including additional regional consultations could engage CARIIA findings.

**Comprehensive Africa Agricultural Development Program (CAADP):** Approved in 2002 by the African Union as a signature initiative of NEPAD, this strategy sought to inspire and promote investment in the agricultural sector as an engine of economic development and poverty reduction throughout the continent, by engaging country-level commitments to a process of assessment, multi-stakeholder planning, and coordinated donor, private and national investment in strengthening the agricultural sector. Reviews of the program after its initial decade concluded that it had contributed to a significant increase in agricultural production and investment in a relatively small number of countries, but that national commitments had been inconsistent and almost as many countries had seen declines in investment. Furthermore, the sector strategies had to that date largely ignored climate change (Action Aid, 2011; Kimenyi, et. al. 2012). But the CAADP has been revitalized through the AU's Malabo Declaration of June 2014, which re-emphasized the importance of CAADP and the agricultural sector as a cornerstone for development, and put a greater emphasis on climate resilience in sector investment, growth and hunger elimination targets. The CAADP is largely effected through regional and national policy bodies and regional technical support institutions, comprising principally the Universities of Zambia and KwaZulu-Natal; CILSS; the Forum for Agricultural Research in Africa; with support from the CGIAR International Food Policy Research Institute. Investments are funded mostly by international donors and national governments. The Malabo Declaration provides a useful overarching policy framework to justify adoption of CARIIA lessons on climate resilient agricultural investments, but these would be assessed and implemented largely through other institutions.

**Regional Economic Commissions:** In general, the regional economic commissions in Africa (of which SADC in southern Africa, ECOWAS in West Africa, COMESA in eastern and southern Africa, EAC in East Africa and IGAD in the Horn of Africa are generally seen as the most effective), have a high policy profile in their respective regions and high convening power at a senior policy level. They sponsor regular policy forums and frame regional agreements for policy goals and programming priorities. They are all active in developing strategic policies, implementing projects and programs related to climate change. SADC, COMESA, and EAC have established a Tripartite Programme on Climate Change covering all three regions focusing on climate-smart agriculture. On the other hand, they are widely perceived by our expert panellists as bureaucratic and ineffective in digesting and responding to new information. Their staff turnover is reportedly high, and communications with directly relevant national policy organizations fairly weak. For this reason, we do not elaborate on each of the economic commissions except where there is direct relevance or responsiveness to CARIIA research already.



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**Inter-governmental Authority on Development (IGAD):** This regional agency's mandate is economic development and cooperation among the 8 countries in the Horn of Africa, with a heavy emphasis on drought resilience, livestock sector, and pastoralism. Key windows for influence include:

IGAD Drought Disaster and Resilience Sustainability Initiative (IDDRSI) – a regional response to recurrent drought emergencies, intended to strengthen community level resilience and avoid future drought emergencies.

IGAD Centre for Pastoral Areas and Livestock Development (ICPALD) – promote livestock and livestock sector development in arid and semi-arid regions of the IGAD countries, in collaboration with national policy agencies. interested in VC-ARID. PRISE is already engaged with ICPALD.

**Southern Africa Development Community (SADC):** SADC sponsors many regional dialogues but their utility in reaching official level policy agendas is hampered by weak organization. SADC has separate climate change and DRR units, both with active regional communities of policy and practice, but limited collaboration.

A Memorandum of Understanding between SADC and the World Food Program highlights adaptation to climate change as one of six main areas for cooperation. The SADC Secretariat has also been working on the development of a **Climate Change Adaptation (CCA) Strategy for the Water Sector**. The main goal of the strategy is to lessen impacts of climate change through adaptive water resources development and management in the Southern African region. SADC also implements the **Regional Vulnerability Assessment and Analysis (RVAA) Programme**. The RVAA system is widely acknowledged as the main system to track, report and respond to food insecurity in the Region. Under pressure from UN – Office for the Coordination of Humanitarian Affairs, there has been an effort to strengthen such collaboration and shift from disaster response to resilience building. There is a linkage here to migration and refugees, which are high profile policy issues in South Africa in particular. There has been a regional effort to improve the quality and accessibility of climate information through SADC.

**Comité Permanent Inter-États pour la Lutte contre la Sécheresse dans le Sahel (CILSS):** CILSS (Permanent Interstate Committee for drought control in the Sahel) is a technical arm of the ECOWAS Commission. It monitors the food security of 17 West African and Sahelian countries, runs a large satellite data centre and has established a protocol for all 17 countries to collect their food security data. At the beginning, middle and end of each cropping season, CILSS members and partners meet at regional workshops and use the data to identify emerging food security issues. There are many regional programs coordinated by CILSS including AGRHYMET, a regional training and monitoring centre in Niger that focuses on agro-meteorology, hydrology and drought.

Another example is PRAPS – a WB financed regional *Projet d’appui au pastoralisme au Sahel*. It includes 6 countries, \$250 million, aimed at increasing the value of production from livestock sector. PRISE is already engaged with this program.

*In the case of CILSS, we were able to contact directly a senior official in the agency, who offered to meet with a CARIAA mission and arrange network connections to relevant policy officials in ECOWAS and WAMU / UEMOA.*

Contact: Mahalmoudou Hamadoun, Directeur, Programme de Sécurité Alimentaire  
mahalmoudou.hamadoun@cilss.int

**Global Alliance for Resilience (AGIR):** sponsored by the OECD, AGIR is a framework that helps to foster improved synergy, coherence and effectiveness in support of resilience initiatives in the 17 West African and Sahelian countries. The Alliance is placed under the political and technical leadership of ECOWAS, UEMOA and CILSS and it is based on existing platforms and networks, in particular the RPCA (Food crisis prevention network). Building on the “Zero Hunger” target within the next 20 years, the Alliance is a policy tool aimed at channelling efforts of regional and international stakeholders towards a common results framework. Its networking and coordination efforts make it a well-known and effective policy influence organization in West Africa.

**OECD Club du Sahel / Sahel and West Africa Club (SWAC):** Food security and climate change are at the core of the SWAC Secretariat’s program. Adaptation to climate change is a key factor for a region that depends largely on rain-fed agriculture and transhumant livestock rearing. Partly due to climate variability in the region, climate model projections provide little guidance to inform decision-making on adaptation and resilience building. Another major issue in the region is urbanization. This significant shift in demographics will play an important role in climate adaptation and needs to be considered in adaptation policies. For this reason in 2017-18, the **SWAC Secretariat is focusing on resilience to climate change in border agglomerations**. The **Club’s annual meeting** is also an important regional platform for discussing adaptation to climate change, as it attracts all the major regional economic and policy organizations.

**Regional Inter-agency Standing Committee:** Southern Africa’s RIASCO has developed an Action Plan on Southern Africa El-Niño-Induced Drought. This plan addresses not only immediate humanitarian needs, but also outlines what needs to be done to build the resilience of populations to better handle future shocks. The plan is informed by SADC Vulnerability Assessment Committee (VAC) results. The RIASCO Action Plan has been developed together with and is complementary to the appeal recently launched by the South African Development Community (SADC). It can be considered a sub-set of the SADC Appeal, as it captures the effects of El Niño in the seven most-affected countries (Angola, Lesotho, Madagascar, Malawi, Mozambique, Swaziland and Zimbabwe). The emphasis on food security in the region provides a key policy entry point for adaptation research lessons, and this agency would be an important target group in that regard.

## NGOs and Policy Intermediaries

**Conservation International:** CI is very active in semi-arid landscapes in Southern Africa, and likely to be active users of CARIAA results because of their evidence-based approach to policy influence. They have a strong interest in sustainable livelihoods that are consistent with drylands conservation measures. Contact: Sarsen Scorgie, Director for Policy and Markets, Conservation South Africa, Cape Town. [sscorgie@conservation.org](mailto:sscorgie@conservation.org)

**CARE:** CARE's Adaptation Learning Program emphasizes evidence from applied research and practice, and produces tools and guidelines that are highly respected and widely referenced in NGO and community development networks. Since 2010, ALP has been working with communities, government institutions and civil society organisations in Ghana, Kenya, Mozambique and Niger with outreach to other African countries. The organization is regarded as influential in Eastern and Southern Africa, and is generally perceived to be highly collaborative. Contact: Fiona Percy, Lead – Adaptation Learning Program, Nairobi. [fiona@careclimatechange.org](mailto:fiona@careclimatechange.org).

**ROPPA:** The Réseau des organisations paysannes et de producteurs de l'Afrique de l'Ouest ( Network of Farmers' Organizations and Producers of West Africa) aims to influence policies related to agriculture, rural development and food security. It covers 13 of the 16 countries of the region and has about 25 million members. Its unique organizational structure ensures that the organization can communicate in both directions with small-scale producers very effectively, providing a strong potential network for delivery of practical and relevant information. The adoption of research results by agricultural producers, and the adaptation of agriculture to climate change are important themes for this unique African network.

**Oxfam:** While Oxfam is closely involved in ASSAR, it is worth mentioning that the organization has a broad reach across the continent. Oxfam is regarded as an effective influence on policy and practice, with a strong focus on evidence-driven change and many networks linking to other local NGOs and to regional organizations and policy networks. These networks may be of broader interest than just for ASSAR.

## Policy Related Research Networks

**Future Climate For Africa (FCFA):** FCFA is a regional research program that aims to:

- Significantly improve scientific understanding of climate variability and change across Africa and the impact of climate change on specific development decisions.

- Demonstrate flexible methods for integrating improved climate information and tools in decision-making.
- Improve medium to long term (5-40 year) decision-making, policies, planning and investment by African stakeholders and donors

Research is organized by themes: agriculture, cities, climate science, economics, energy, knowledge creation and management, livelihoods, marine and coastal, politics and governance, and water. FCFA works in West Africa (mostly Burkina and Senegal), East Africa (Kenya, Rwanda and Uganda) and Central and Southern Africa (Malawi, Mozambique, South Africa, Namibia, Tanzania, Zambia). There is already some overlap between CARIAA researchers and FCFA, and potential for collaboration on policy outreach.

**West African Science Service Centre on Climate Change and Adapted Land Use (WASCAL):** This is a large-scale research-focused Climate Service Centre designed to help tackle this challenge and enhance the resilience of human and environmental systems to climate change and increased variability. It does so by strengthening the research infrastructure and capacity in West Africa related to climate change and by pooling the expertise of ten West African countries and Germany. It has programs in Niger, Nigeria, Togo, Benin, Ghana, Burkina Faso, Mali, Côte d’Ivoire, Senegal, and The Gambia. As a parallel research effort in the same region, CARIAA may find opportunities for collaboration on policy outreach.

**Southern African Science Service Centre for Climate Change and Adaptive Land Management (SASSCAL):** This is the southern Africa regional equivalent of WASCAL. It is a joint initiative of Angola, Botswana, Namibia, South Africa, Zambia, and Germany, responding to the challenges of global change and is planned as the regional driver for innovation and knowledge exchange to enhance adaptive land use and sustainable economic development in Southern Africa under global change. As above, there may be opportunities for collaboration on policy outreach or extension.

**Food, Agriculture and Natural Resources Policy Analysis Network (FANRPAN):** FANRPAN is an Africa-wide independent, non-profit research network devoted to policy analysis and policy dialogues around agriculture, rural poverty reduction, and food security. It is based in South Africa, but has regional importance and influence. Twenty countries are members and host country nodes for their work program. Its work is highly regarded and has clear policy influence, and the network has credible linkages to national ministries of agriculture and many other agricultural sector partners throughout the continent. While climate change has not been a focus of their work in the past, it is assuming greater prominence and this provides an opportunity to direct CARIAA work towards an intermediary with a proven track record of credibility and influence.

**CORAF / WECARD (West and Central Africa Council for Agricultural Research and Development):** The objective of CORAF/WECARD is to improve the effectiveness and efficiency of small farmers and promote the agribusiness sector. Its main functions include coordination of agricultural research in the 23 countries in West and Central Africa. It has produced a research and development framework for climate change, water and agriculture in West and Central Africa. Many of its research and development projects are conducted in collaboration with partners such as ICRISAT and the World Bank. One of these regional projects is the **West Africa Agricultural Productivity program** (WAAP - PPAAO) which aims to generate and disseminate improved technologies in participating countries, including roots and tubers in Ghana, rice in Mali, cereals in Senegal, etc. In West Africa, CORAF-WECARD, with its 23 member countries is the appropriate network to disseminate climate change knowledge related to agriculture.

**CGIAR – CCAFS:** The CGIAR Research Program on Climate Change, Agriculture and Food Security (CAAFS) addresses the increasing challenge of global warming and declining food security on agricultural practices, policies and measures through a strategic collaboration between CGIAR and Future Earth. Led by the International Center for Tropical Agriculture (CIAT), CCAFS is a collaboration among all 15 CGIAR research centers. PRISE and ASSAR are already engaged in collaboration with CCAFS and will participate in November 2017 in the 4th **Global Science Conference on Climate-Smart Agriculture**.

**CCARDESA:** The Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA) is a Sub-regional Organisation (SRO) that was established by SADC Member States to coordinate the implementation of agricultural research and development in the region. CCARDESA is a subsidiary of the SADC secretariat. It currently implements the **SADC Adaptation to Climate Change in Rural Areas** in southern Africa, but in its coordination and dissemination role it could be helpful in reaching agricultural sector networks with research results.

**Southern Africa Universities Association (SARUA):** SARUA has launched a five year program for Climate Change Capacity Development, and a new regional master's degree program in climate change. SARUA is also developing a collaborative research framework to enhance co-production of knowledge. It will include strategies to strengthen networks for climate compatible development research, teaching and community outreach involving knowledge co-production processes between participating universities and policy and community stakeholders. This framework will form the basis for a SADC level research programme and for various country- based partnership agreements. It will provide a 'knowledge platform' for regional and country-based fundraising for research and knowledge co-production. These initiatives would undoubtedly benefit from familiarity with CARIAA experience and research approaches in the region.

### 5.3 South Asia

While there are regional organizations in South Asia, such as SAARC, they have little policy traction or leverage. At the regional level, inter-governmental organizations are plagued with distrust and dysfunction, reflecting deep regional political animosities. As a result there are no effective analogues to African regional organizations. Expert informants repeatedly mentioned ICIMOD as the main example, but as a research and development centre it is not really set up to promote policy coordination, it has a mandate limited to the HKH, and it is already intimately engaged in CARIIA results promotion as a consortium leader. There is a strong emphasis in this short list on international financial institutions, which are active in the region because of its infrastructure deficit and India's high GDP growth rate. However, while there is increasing access to concessional finance from a variety of sources, some interviewees suggested there is still quite limited capacity or support for innovative project development. Financing is lumpy and difficult to tailor to contextual needs that vary socially and spatially. Similarly, despite increasing activity in adaptation policy and practice, there are still only limited efforts at a regional scale to synthesize lessons and build a community of practice to avoid reinventing solutions.

**International Centre for Climate Adaptation and Development (ICCAD):** Although perhaps qualifying as a global organization, ICCAD is located in Bangladesh and most active in Asia. The organization primarily serves as a training centre for community-based climate adaptation, emphasizing networking, tools and methodologies. It has developed a high profile in a relatively narrow field, but its efforts to advance practice may have lost some of their innovation, remaining relatively static as the field evolves.

**Asian Development Bank:** The ADB funds a great deal of lending in public infrastructure, especially at the level of provinces and local governments. It is probably less influential in shaping overall development discourse and national policies than the WB, and has been somewhat less responsive than WB in supporting innovation and building communities of practice. Its emphasis relative to CARIIA results is on DRR infrastructure and resilience building, where they are increasingly shaping urban planning, policy and investment strategies to address changing climate risks. A key locus of this effort is the Urban Climate Change Resilience Trust Fund, supported by DFID and USAID but administered by ADB. Contact: Samantha Stratton-Short.

**Asian Infrastructure Investment Bank:** This new international development finance institution, led by China, has rapidly become a prominent player in public infrastructure investment in the region. Of particular interest to CARIIA are reports from one of our sources of AIIB sponsorship of a new UN-linked international centre on climate

adaptation, co-sponsored by Dutch agencies and pro-active in knowledge networks focusing on adaptation investments in major river deltas and coastal areas in Asia. This new agency will apparently be launched at COP23.

**International Water Management Institute (IWMI):** like ICIMOD, this is a CGIAR research centre that serves all countries in the region. It has limited leverage over large national policy organizations, but its research work is seen to be highly credible and widely respected in this field. In terms of water management policies, it is well networked to national policy organizations and is an influential policy player in some smaller countries.

**Asia Pacific Adaptation Network (APAN):** [APAN](#) has been an early promoter of adaptation practice throughout Asia for almost 10 years. The network was set up by UNEP and implemented by SEI and by the Institute for Global Environmental Strategies (IGES) at the Asian Institute of Technology in Bangkok. Major donor partners include USAID, Japan Ministry of Environment, ADB, and the Global Water Partnership. ICIMOD is also a partner. The South Asia regional node of APAN is hosted by the Climate Action Network for South Asia (CANSAs). APAN holds a biannual conference aimed primarily at sharing good practices in climate adaptation. Our expert panel were divided on the value of APAN, some feeling that it lacked dynamism or novelty. From CARIAs perspective, it offers the opportunity to connect with practitioner communities in NGOs, as well as with mid-level government professionals. It is not a high-level policy network.

**TERI:** TERI is already an active member of CARIAs. But the institute also serves a valuable networking and policy influence role, particularly in India. TERI's annual World Sustainable Development Summit (WSDS) attracts a prominent regional and global crowd of experts and policy leaders in key aspects of sustainable development. The theme for the Feb 2018 summit is Partnerships for a Resilient Planet.

## 6 Policy Windows and Opportunities

The previous section lists key organizations and summarizes thematic issues for each that could provide connections through which CARIAs research results might influence adaptation policy and practice. It has been quite difficult to identify meaningful thematic policies for these organizations that could frame "policy windows" to more closely target CARIAs efforts. Earlier reviews undertaken by CARIAs itself demonstrate the paucity of scholarly work on adaptation policies, and the persistent challenges in scaling up extensive and well-documented micro-level adaptation initiatives (Lwasa, 2015). While most of the organizations listed above do indeed have explicit policies and programs on climate adaptation, the definition of these policies alone is not enough to provide guidance for targeting research communications.



It is increasingly understood by CARIAA, through its work on RiU and through previous IDRC experience (such as with the Climate Change Adaptation in Africa or Climate Change and Water programs) that policy influence and research uptake by users is based not only on credibility linked to scientific rigour but also on long term relationships, capacity building in relation to negotiations process and issues, and the need to broaden connections to maintain networks in the face of staff turnover and shifting policy priorities of public agencies. As discussed above, and as emphasized by some of our key informants, typical research products may be important to establish the credibility of the science, but they are unlikely to attract attention from policy actors at the global or regional scales. So, in relation to the list of organizations summarized above and in Appendix A, CARIAA may wish to consider the following influence strategies to support dissemination and use of research results:

- Networking and joint activities with organizations around their current domains of interest
- Participation in knowledge sharing platforms sponsored by such organizations
- Joint publications
- Targeted webinars on specific thematic issues of timely
- Participation in conferences and regional workshops
- Exploration of potential partnership with on-going projects (advisory support, project review, shared outputs).

Other opportunities and strategies include the following:

1. **Build collaborative linkages** with effective policy intermediary organizations: Because of the time and effort required to build and maintain contacts with policy agencies, CARIAA partners may wish to work with intermediaries who already have these networks and the skills to influence them, and who share an interest in evidence-based policy. These organizations are also typically more nimble and responsive than the large, formal, ponderous silo-type bureaucracies that characterize many inter-governmental organizations. A strategy could be to develop collaborative linkages to organizations that are already well connected to regional economic policy commissions in Africa, or have strong links to UNFCCC negotiations, or international networks that connect well to national policy advocacy.
2. Engage with formal inter-governmental organizations around **specific processes or timelines**. There is merit in connecting to formal inter-governmental organizations where the linkages to policy formation are more direct. In Africa, CARIAA partners are already connected to the AMCEN pre-Ministerial technical sessions that lead up to the UNFCCC COP meetings. These highlight negotiation issues and policy progress in relation to international agreements, and provide a useful platform for local and regional evidence that can be used to illustrate



- adaptation issues, constraints and opportunities, and to shape policy perceptions at the highest level precisely when policy attention can be focused on them.
3. **Approach formal inter-governmental organizations in person.** A practical issue is that to convey research results or key messages to global or regional organizations, the communications must in most cases be made in person. Email and electronic communications are ineffective in reaching most officials in formal agencies. They report that they cannot keep up with the volume of messages and information they receive already, and would be unlikely to read even summaries of relevant research information. This suggests that where contact networks do not yet exist, information missions may be needed to introduce substantive materials to new potential users. These kinds of meetings are essential to establish relationships, identify shared interests, and establish the scope for potential collaboration. The purpose of such meetings should be to formally define an appropriate strategy for collaborative knowledge sharing and engagement with relevant events or influence opportunities (e.g. see CILSS in Section 5).
  4. **Climate adaptation is not the most appealing message framing.** From our interviews and research, it was suggested that messaging for climate adaptation research could be a challenge. Adaptation is not an appealing policy topic in itself, and using that language will not obviously engage policy actors. Most policy actors and governments are preoccupied with economic and fiscal issues, agricultural production and food security. By demonstrating the economic impacts of climate change and extreme events, and the transformative potential of adaptation pathways for economic development, the agenda could have more policy appeal.
  5. If the objective of communicating research results to regional and global policy organizations is ultimately to influence national policies and local climate adaptation and development practices, then several expert informants from our panel recommended **framing specific research results in relation to the Sustainable Development Goals (SDGs)** – as CARIAA did at ALR3. National governments and economic development ministries (including India) take the SDGs seriously, have developed national indicators and targets, and report on these to public and international organizations. Donors tie funding to SDG commitments and progress. Research results that shed light on SDG progress are likely to capture attention.
  6. There is widespread interest in **climate and food security**. Demonstrating how climate smart agriculture can help achieve food security goals will attract the attention of policy and practitioner audiences. Opportunities for private sector actors, including SMEs and value chain analysis as well as innovative insurance

schemes (e.g. weather or index based insurance) feature in the policy thinking of many development agencies. Constraints to adaptation, if framed in relation to the current policy priorities of these agencies, will capture interest.

7. **Other thematic interests** that may be more appealing to development organizations include economic value added from adaptation and resilience, strengthening climate resilience of private investment, migration, and adaptation pathways as development strategies. Key transformative influences on development and adaptation, such as gender, energy access, land and resource tenure, or information technologies, could be emphasized.
8. Use **snowball techniques to identify contacts**. Once you find an individual or official who is interested in the particular research theme or results, ask them to identify contacts in related agencies, or to help reach out to their own networks to convene an informal webinar or side-event to explore new knowledge and policy implications together.

Researchers will need to engage different organizations in different ways. In all cases, the research needs to be framed in relation to the priorities and interests of the target user, which may be time sensitive (i.e. they can change rapidly). With governmental and inter-governmental organizations this means a focus on stated policies, programs and targets (e.g. SDGs) and framing research results that may be useful in their achievement. For bilateral donors, it may mean looking for ways to support and inform their programming agenda, emerging projects and focal points, rather than trying to redirect these.

Regional development banks such as ADB, AfDB, and AIIB are primarily interested in lending funds. They want to know how to lend money effectively: where and how can they finance effective adaptation. By putting together research results around overcoming constraints, increasing effectiveness of adaptation measures, increasing income security and value added, and building social and economic resilience, CARIIAA can help them to clarify criteria for effective climate adaptation lending programs and related national policies. As much of their lending is aimed at urban and coastal infrastructure, insights into climate resilient infrastructure planning will also be of interest.

Among the international organizations active in this field, we found from our interviews that there is growing attention to building **communities of practice** that integrate shared learning mechanisms. Research should feed into these communities and learning mechanisms, but researchers may not be the main sources of information and knowledge for such communities now, and these relationships may be difficult to build.

Appendix B, attached to this report as a separate excel file, lists upcoming events that were judged to be potentially useful venues for sharing research results, networking with policy intermediaries or policy organizations, and framing messages consistent with current policy priorities. This list of potential events may be sorted by date, theme, or region. There are inevitably a large number of possible candidate events, as workshops and conferences on climate change proliferate. Most of these are opportunities for networking and building contacts, rather than significant opportunities for influence. However, events that are directly linked to policy processes and regional policy exchanges (e.g. AMCEN pre-ministerial technical sessions) have potential to feed directly into the thinking of national policy officials.

However, we recognize that the events listed all share an emphasis on climate change adaptation or resilience. It may well be that the climate adaptation message needs to be taken to sectoral events focusing on relevant business, agricultural or economic issues rather than climate change *per se*. By making the links to business practices and value chains, and to public and private finance, adaptation will be more easily mainstreamed into investment decision making at multiple scales. It was impossible for us to identify all the potential events or opportunities that might be implicated here, but we wish to encourage CARIIA partners and PMU to be aware of this possibility.

Another limitation of the list of events and opportunities in Appendix B is that many events about which program information and registration details are available, are already closed for submissions. The annual international conference schedule tends to be concentrated in the period April – September. For 2017, events have already taken place, and they have not yet been announced for 2018. It is not easy to obtain information well in advance for many regional or even global events, and typically the Calls for Submissions to the program are only open for a window of 4 – 8 weeks. This means that in effect you have to know about the upcoming events before they are announced in order to be able to contribute to the program. The best way to do this is, once again, through an active network of contacts and collaborative exchange with the key sponsoring organizations. The spreadsheet is intended as an interim product that, if useful, can be enhanced with other events or opportunities that become known to PMU.

In addition to the activities and events specifically listed here, we understand that CARIIA is already highly engaged in the preparatory and side events surrounding upcoming UNFCCC COP meetings. This is appropriate, as it provides a number of advantages for networking with regional and global organizations engaged in policy related to climate change and development:

- Collaborative issue framing
- Priority identification
- Identification of key players and influential intermediaries
- Identification of shared agendas and interests

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## 7 Conclusions: Strategies for Reaching Global and Regional Organizations

This report has identified key regional and global organizations, and their related policy interests and areas of responsiveness, in order to identify opportunities for CARI AA influence based on research results and program experience. This effort, we hope, provides a shared basis for strategy discussions amongst CARI AA PMU and consortium partners about messaging and communications approaches. As we noted in our introduction, we believe that PMU and consortium partners, between them, already have a vast network of effective contacts in these organizations. However, this network is not systematically organized or utilized, and a lot of work remains to be done in messaging and targeting communications. Many of the suggestions and recommendations in this report came from CARI AA members themselves, so while they are may not be new, they are at least collected together in a single place for reference and discussion.

In pursuing the potential opportunities identified in this study, CARI AA PMU and consortium partners should adopt a coordinated strategy and complementary roles. Collaborative strategies require more communication and coordination, but are likely to be more effective, e.g. PMU may scout and create opportunity through donor meetings or conferences, and then work with a consortium to tailor products, information materials to a particular opportunity. Or researchers may meet an interested donor prospect at a conference or regional meeting, but lack access to broader CARI AA materials, in which case they can contact PMU to facilitate connections.

CARI AA PMU can play a helpful role in making more transparent the many effective contacts and networks that CARI AA partners already have. Researcher partners and consortium members know the research results more intimately, and have direct access to the local narratives of influence and change that will be crucial in conveying the significance of CARI AA results. They will be better able to modify and contextualize messages based on intimate knowledge of the evidence and its limitations. On the other hand, PMU should be better able to open doors with official agencies because of its standing as part of an international organization.

Some of our expert panel members recommended that given DFID's sponsorship and interest in the application of program results, that CARI AA should lean on DFID to help open doors with key global and regional policy agencies through their high-level interagency connections, in order to help capture attention for directly relevant and contextual messages. For both PMU and consortium partners, it would be worthwhile to consider the circumstances under which DFID support for policy access and influence

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may be crucial, and to have strategic discussions with DFID about how the organization can contribute its credibility and influence to support access to international organizations.

Several expert panel members cast doubt on the entire enterprise of directing research results to influential regional and global policy organizations. As one of our expert panel members put it, the objective may not be to find organizations that will apply the results, but rather to partner with convenors who can advance the agenda. As an option, some encouraged instead a strategy of seeking to influence practice directly, e.g. through decentralized training, professional standards, and demonstrated good practices. Their recipe for influence was not to try to communicate research results, but rather to focus on developing toolkits, methods guides, simplified how-to manuals and practitioner guidebooks, possibly in local languages. These were seen as much more likely to actually influence development practice than research evidence. In each region, an effort could be made to link research teams to community-oriented training centres, and to communities of professional practice (including professional associations), in order to better transmit tools, methods and good practices.

Our conclusion from interviews and our own experience is that there is no easy way to make connections with regional or global policy organizations. They are mostly not looking for new knowledge. Indeed, most staff are too busy to handle the information that is already coming to them every day. It will take a concerted and relentless effort to find the right contextual match for policy-relevant research results, and then to work with the likely users to frame the appropriate messages and formats in which to communicate it.

Unfortunately, many of the connections, contacts and events documented in this report will not lead anywhere. The reality is that most organizations are not structured to systematically survey their environment for new knowledge relevant to their work, and then direct it to the appropriate users. Successful influence is more a function of the responsiveness of individuals within the organizations than it is of the organization, its mandate, policies and programs. This is impossible to determine from a generic survey such as this one. Unfortunately there is no alternative to the legwork and professional networks needed to connect regional and global policy organizations to CARIAA research results.

*“There is nothing more difficult to arrange, more uncertain in outcome, or more risky in its execution than to try to introduce a change in the order of things...”*

- N. Macchiavelli, 1525

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## 8 Appendices

### Appendix A: Global and Regional Policy Organizations summary table

See separate file

### Appendix B: Global and Regional Events and Opportunities

See separate file

### Appendix C: Interview questions

Note: prior to interview, a summary of CARIAA program and emerging results, along with this set of questions, was shared with the interview subject.

Semi-structured Interview questions for expert panel:

Given these areas of climate change adaptation research results (see separate background note), and your own knowledge of international organizations in this field, for which 2 or 3 international organizations do you think this information would be of greatest relevance (to their policy agenda)? We are thinking of organizations that would be interested, responsive, and likely to use new knowledge effectively to influence policy and development. These may be large and powerful international organizations, or perhaps smaller, more nimble, open, knowledge-based organizations who are influential and well connected for policy advocacy at the regional or global scale.

Why / give examples of relevance.

Are there specific themes from the research that would be of greatest interest to these organizations?

Can you identify specific opportunities for engagement with these organizations over the coming 18 months (e.g. thematic policy conferences, workshops, international meetings, consultations, etc)? Key contact persons who would benefit from linking to researchers?

Can you name a small number of prominent international organizations that you feel might NOT be a good fit with these kinds of research results? Why? (different policy priorities? No accessible entry points? Etc)

Attribution: No responses or examples will be individually attributed.

Can I name you and your position on my interview list?

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## Appendix D: List of expert interviews

- Dr Cristina Rumbaitis del Rio, Regional Program Manager, Action on Climate Today, India
- Ian O'Donnell, Team Leader – 1 Billion Coalition, International Federation of Red Cross, Switzerland
- Dr Jim Jarvie, ThismiaFocus Consulting (former Director – Climate Change and Environment, Mercy Corps), Scotland
- Dr Josef Leitmann, Lead Disaster Risk Management Specialist, World Bank / Global Facility for Disaster Reduction and Recovery, Washington DC
- Dr Katharine Vincent, Director, Kulima Integrated Development Solutions, S Africa
- Dr Keith Bettinger, Team Leader – Capacity Building, AECOM / USAID Adapt Asia-Pacific, Thailand
- Dr Livia Bizikova, Director – SDG Knowledge Program, International Institute for Sustainable Development, Canada
- Mahalmoudou Hamadoun, Directeur, Programme de Sécurité Alimentaire, CILSS, Burkina Faso
- Dr Marcus Moench, Founder, Institute for Social and Environmental Transition (ISET), Boulder CO
- Michael Szönyi, Flood Resilience Program Lead, Zurich Insurance, Switzerland
- Natalie Phaholyotin, Associate Director, Rockefeller Foundation, Thailand
- Sam Kernaghan, Associate Director, Asia-Pacific, 100 Resilient Cities, Singapore
- Simone Balog, Disaster Risk Management Officer, Global Facility for Disaster Reduction and Recovery, Washington DC
- Dr Stephen Hammer, Manager Climate Policy, World Bank Group, Washington DC
- Srabani Roy, Republic of South Korea

### SPAC Members Interviewed at ALR3:

Dr Annie Bonnin Roncerel, BRACED  
Dr Musonda Mumba, UNEP  
Dr Calvin Nhira, consultant

## Appendix E: Examples of good practice in engagement and influence

The ToRs for this assignment did not ask us to assess the effectiveness of engagement and influence strategies, but during our fieldwork for the first Thematic Review, the team uncovered a number of examples of good practices in engagement and policy influence strategies that may be worth keeping in mind at this point in the program. As discussed in our first report, many of the relationships described here were already in place before the CARIIA program, and may take years to develop and nurture.

**Table E-1: Examples of good practice in engagement and influence by consortia**

Type of practice	Description	Consortium
Define research problems in relation to policy priorities of target organizations	Consultation process with national stakeholders in Senegal at the outset of the research program.	PRISE
	Research priorities selected in part through national stakeholder consultation in all countries.	HiAWARE
Build relationships with national policy organizations and leaders	Initiate and build relationship with national Planning Commission (Bangladesh) through delivery of practical information and modifying scope of research program to be consistent with their geographic scope.	DECCMA (BUET)
	Build links to national Development Planning Commission in Ghana in part through cross-appointment of staff to research team	DECCMA
	Use personal networks to link research results to Odisha state migration policy	HiAWARE (JU)
	Identify mountain development issues of personal interest to MP from Sikkim and provide information relevant to policy development and committee work	HiAWARE (TERI)
Build links to effective policy intermediary organizations	Use ODI skills and networks to help frame research methodology, priorities and promote results.	PRISE
	Use Oxfam skills and networks to help frame research methodology, issues and promote results.	ASSAR
	Use personal networks with WWF India to deliver emerging research results in support of policy and program development	DECCMA (JU)
	Extend engagement with Practical Action from field data collection to policy and influence strategies	HiAWARE
Engage with policy organizations around specific processes	ICIMOD has used connections with the Nepal Min of Population and Environment to gain advisory appointments to 4 of the 9 working groups drafting different chapters of the National Adaptation Plan.	Hi AWARE
Message framing	Reframe adaptation as an economic development opportunity through value chain analysis (VC-ARID)	PRISE
	Reframe sea level rise as a public safety issue in Volta Delta villages, using aerial drone video, to engage and motivate local MP	DECCMA



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IISD ENB / ENB+ covers formal international climate change negotiations, programs, financing and side event discussions, identifying key speakers, presenters, negotiators and program contacts. Well documented, searchable summaries on line.

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