

NATIONAL ADAPTATION POLICY ASSESSMENT TOOL

USING THE JOINT PRINCIPLES FOR ADAPTATION

A CIVIL SOCIETY INITIATIVE TO PROMOTE EFFECTIVE AND EQUITABLE ADAPTATION TO CLIMATE CHANGE

Introduction

The Joint Principles for Adaptation (JPA) are a statement by civil society organisations from across the world of what they consider to be a benchmark for good adaptation planning. This can mean any combination of plans, policies and programmes that support adaptation to climate change, whether specifically under the rubric of climate change or measures under other sectors. Assessing the status of national adaptation policy and planning against the JPA is a useful starting point for defining an agenda for advocacy, dialogue or capacity building in a country.

The JPA consist of seven principles and 28 criteria¹. This tool is a generic assessment scale based in the JPA criteria, which can be used to produce a scorecard. ***It is not intended to be used in this form, but rather for users to adapt for their own context.*** Since it was first drafted, it has been tested in about ten different contexts, at both national and sub-national levels, and has been interpreted differently in each case. This updated version of the assessment tool has been modified based on this experience, but it is unrealistic to imagine that a single format or wording will apply equally well everywhere. It will need to be customised in almost every case.

This tool uses a scoring framework based on the criteria for each of the JPA principles, as follows:

- 0 – no start made
- 1 – some conditions in place
- 2 – significant progress
- 3 – substantially achieved

The Joint Principles for Adaptation

National frameworks for climate change adaptation are more equitable and more effective when

- A. The formulation, implementation and monitoring of adaptation policies and plans is participatory and inclusive*
- B. Funds for adaptation are utilised efficiently, and managed transparently and with integrity*
- C. All government sectors and levels of administration have defined responsibilities and appropriate resources to fulfil them*
- D. Local adaptation plans are developed through approaches that build resilience of communities and ecosystems*
- E. The resilience of groups who are most vulnerable to climate change is promoted*
- F. There is appropriate investment in the building of skills and capacities for adaptation, as well as in physical infrastructure*

¹ JPA Version 3, November 2015

G. Plans and policies respond to evidence of the current and future manifestations and impacts of climate change

National frameworks for climate change adaptation are more equitable and more effective when:

| PRINCIPLE A: The formulation, implementation and monitoring of adaptation policies and plans is participatory and inclusive | |
|--|--|
| Criteria | Rating scale |
| 1. Multiple stakeholders (including, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) participate in defining options and priorities as well as in implementation and monitoring | 0. There are no stakeholders outside national government involved in developing policies and plans |
| | 1. A limited sub-set of potential stakeholders is involved |
| | 2. A wide range of stakeholders is involved in developing plans |
| | 3. A range of stakeholders is involved in planning, implementation and monitoring |
| 2. The knowledge and experience of local communities and indigenous peoples is incorporated | 0. No mechanism for capturing local knowledge exists |
| | 1. Local knowledge has been presented but is not evident in policies and plans |
| | 2. The importance of local knowledge is acknowledged in policies of plans |
| | 3. Mechanisms are established for incorporating local knowledge and experience with actual examples of them being used |
| 3. Plans are publicised in ways that local people can understand and engage with | 0. Plans receive little publicity outside technical & political circles |
| | 1. Plans are made available through limited access channels |
| | 2. Plans accessible but in language that limits understanding by general public |
| | 3. Simplified versions of plans in local languages, and with low demands for formal literacy, are widely available |

National frameworks for climate change adaptation are more equitable and more effective when

| PRINCIPLE B: Funds for adaptation are utilised efficiently and managed transparently and with integrity | |
|--|---|
| Criteria | Rating Scale |
| 1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented | 0. Monitoring of plans is internal to government |
| | 1. Monitoring results are made available to non-governmental stakeholders |
| | 2. Monitoring process includes specific action to receive input from various stakeholders |
| | 3. Monitoring is undertaken by multi-stakeholder body including civil society |
| 2. Adaptation funding is made available through a transparent process of allocation | 0. Adaptation funding is administered centrally with no information on how it is being allocated |
| | 1. Piecemeal information on individual funding allocations is available, with no coherent information on adaptation funding overall |
| | 2. Allocation of all adaptation monies for various uses is made known, with little information on how it has been decided |
| | 3. All funds are allocated according to published criteria and meet agreed priorities |
| 3. There is full and free access to information on how adaptation funds are being spent (finances and processes) | 0. No information is collected on how adaptation funds are spent |
| | 1. Information on spending of some individual initiatives is available |
| | 2. Information of expenditure of all adaptation monies can be obtained with some effort |
| | 3. Information how all adaptation funds have been spent is publicised and freely available |
| 4. There is a mechanism in place to safeguard against initiatives that might have negative impacts | 0. No mechanism for prior appraisal of adaptation initiatives is in place |
| | 1. Social &/or environmental assessments are formally required but rarely meaningfully conducted |
| | 2. Assessments of potential social and environmental impact of adaptation initiatives are made public |
| | 3. Civil society has opportunity to propose measures to mitigate negative impacts of proposed actions |
| 5. A secure mechanism for expressing grievances and seeking redress is available | 0. No mechanism for grievance or complaints is in place |
| | 1. Formal and informal channels for complaint exist but do not provide protection for those who choose to use them |
| | 2. The right to express grievances is publicised and promoted by providing secure channels to do so |
| | 3. A formal process to report malpractice, lodge grievances and seek redress is in place |

National frameworks for climate change adaptation are more equitable and more effective when

| PRINCIPLE C: All government sectors and levels of administration have defined responsibilities and appropriate resources to fulfil them | |
|--|---|
| Criteria | Rating Scale |
| 1. National adaptation plans carry the authority to enable different government sectors to work in a coordinated way | 0. Scope of adaptation planning is confined to one ministry or government department |
| | 1. Adaptation planning explicitly notes cross-cutting issues and indicates specific responsibilities of all sectors |
| | 2. Adaptation planning has high level mandate requiring all departments to take appropriate action |
| | 3. A cross-departmental body with high level political leadership ensures coherence and coordination of adaptation actions |
| 2. Existing initiatives and sector plans are enhanced to take climate change and disaster risk into account | 0. Adaptation action is confined to specific stand-alone projects |
| | 1. All new development interventions are analysed from a climate change perspective with adaptation and disaster risk measures incorporated |
| | 2. Key national plan and policies are reviewed in the light of adaptation to climate change and disaster risk |
| | 3. The impact of climate change on the work of all sectors has been systematically analysed and respective adaptation actions designed |
| 3. Funding for adaptation is explicitly provided for within the national (or sub-national) budget and respective sectoral allocations | 0. No budget allocation exists specifically for climate change adaptation |
| | 1. There is a national allocation for climate change adaptation in the budget of a specific government office |
| | 2. The national budget allocation for adaptation is allocated to different ministries |
| | 3. All government departments have their operating budgets specifically adjusted to take into account the additional costs of climate change adaptation |
| 4. Local level adaptation plans are guided by mechanisms to ensure coherence with national adaptation policies | 0. Local adaptation plans are implemented autonomously |
| | 1. Information on local adaptation plans is compiled and shared between areas |
| | 2. Local adaptation plans reflect national policies and priorities |
| | 3. National and local adaptation plans are harmonised and coherent |

National frameworks for climate change adaptation are more equitable and more effective when

| PRINCIPLE D: Local adaptation plans are developed through approaches that build resilience of communities and ecosystems | |
|---|---|
| Criteria | Rating Scale |
| 1. Communities affected by climate change participate in defining options and priorities | 0. No mechanism for community consultation exists |
| | 1. Outreach to communities is primarily for passing information and collecting data |
| | 2. Two-way dialogue established with communities to allow them to express their views and wishes |
| | 3. Communities have opportunity for feedback and input into proposed plans before final decisions are made |
| 2. Local adaptation plans are formalised and integrated into the development priorities of local administrations | 0. No local adaptation plans are produced |
| | 1. Local adaptation plans exist in some areas, separate from other district development plans |
| | 2. National adaptation planning mandates the development of local adaptation plans |
| | 3. National mechanisms for local development planning integrate climate change adaptation into the overall planning process |
| 3. Significant resources are allocated towards implementation of local adaptation plans | 0. There are not resources for local adaptation plans |
| | 1. Funding for local adaptation plans is available in some areas from individual NGO projects |
| | 2. There is a national programme of support for local adaptation plans |
| | 3. National funding mechanisms for adaptation specify a significant percentage directed towards local adaptation plans |
| 4. Financing arrangements make commitments for multi-year programmes of support to vulnerable communities | 0. No long-term funding commitments are in place |
| | 1. Multi-year projects targeting vulnerable communities are being implemented |
| | 2. Ongoing support to existing adaptation initiatives is a criterion in the annual budget allocation process |
| | 3. Rolling programmes of support for adaptation of vulnerable target groups are instituted |

National frameworks for climate change adaptation are more equitable and more effective when

| PRINCIPLE E: The resilience of groups who are most vulnerable to climate change is promoted | |
|---|--|
| Criteria | Rating Scale |
| 1. Plans and policies address the issues affecting different groups of women, men, boys and girls | 0. There is no gender differentiation in analysis underlying policies and plans |
| | 1. Gender analysis is based on generalisations about women and men |
| | 2. Analysis considers different groups of women, men, boys and girls |
| | 3. Plans enable actions to be targeted at different groups of women, men, boys and girls |
| 2. Groups of people who are vulnerable to social, cultural, economic and environmental conditions are identified and targeted | 0. Vulnerability assessment uses primarily physical criteria with no social differentiation considered |
| | 1. Relevant types of social discrimination are identified |
| | 2. Some specific targeted programmes are instigated to address particularly vulnerable groups |
| | 3. The impact of all adaptation initiatives on different social groups is monitored |
| 3. Initiatives take into account the differentiated needs and capacities of women and men in different age groups | 0. Initiatives do not differentiate by age or gender |
| | 1. Initiatives include different activities targeted at women and men, with no consideration of age |
| | 2. Specific programmes exist to address the adaptation needs of older people and of youth |
| | 3. There are appropriate initiatives for women and men who are at different stages of life |
| 4. Initiatives promote social equity and cohesion while protecting people's livelihoods | 0. The issue of social cohesion is not considered |
| | 1. Social factors that promote or undermine adaptation are noted |
| | 2. Specific actions that improve equity and social cohesion are promoted |
| | 3. Adaptation actions that jointly promote interests of different social groups are supported |

National frameworks for climate change adaptation are more equitable and more effective when

| PRINCIPLE F: There is appropriate investment in the building of skills and capacities for adaptation, as well as in physical infrastructure | |
|--|---|
| Criteria | Rating Scale |
| 1. Adequate resources are made available to improve the effectiveness of institutions responsible for managing climate change adaptation | 0. Institutional strengthening does not feature in adaptation planning |
| | 1. Training for individual professionals is provided for |
| | 2. Capacity analysis for relevant institutions is carried out |
| | 3. Adaptation readiness is built into relevant institutional development plans |
| 2. Adequate resources are made available for raising public awareness and education about climate change | 0. There is no climate change adaptation communications plan |
| | 1. A climate communications strategy is in place, with sporadic implementation for selected target groups |
| | 2. Up-to-date messages for climate change awareness form a regular part of public information programmes and educational curricula |
| | 3. Comprehensive programme of climate change information to build knowledge and motivate action among different audiences is set up |
| 3. Investment plans contain targets for developing human capacities, natural capital, and physical infrastructure | 0. Investment plans concentrate on physical interventions and infrastructure |
| | 1. Plans note the need for capacity building as a form of adaptation |
| | 2. Monitoring of expenditure distinguishes between investment in infrastructure and in capacity building |
| | 3. Plans specify ratio or percentage of funding for each category of expenditure |
| 4. The capacities of local people and their structures are developed in ways that contribute to the empowerment of individuals and communities | 0. Local capacity building is conceived as delivery of messages to communities by outsiders |
| | 1. Local community institutions are involved in running capacity building activities |
| | 2. Knowledge and skills of community members is built through practical implementation of adaptation initiatives |
| | 3. Community institutions are strengthened alongside developing the knowledge, skills and experience of community members |

National frameworks for climate change adaptation are more equitable and more effective when

| PRINCIPLE G: Plans and policies respond to evidence of the current and future manifestations and impacts of climate change | |
|---|---|
| Criteria | Rating Scale |
| 1. Adaptation plans consider how exposure to climate-related stresses and extremes is affecting existing vulnerabilities | 0. There is a generic description of climate change impacts with slim evidence base |
| | 1. Specific climate change impacts based on evidence have been compiled |
| | 2. Analysis has been carried out of how climate change aggravates existing vulnerabilities |
| | 3. Plans are directed towards reducing exposure and vulnerability to existing and future climate risks |
| 2. Vulnerability, exposure and adaptation scenarios are based on the best available science and evidence from the ground | 0. Scenarios underlying adaptation planning are not made explicit |
| | 1. Future scenarios of how climate change will evolve are based on unclear assumptions |
| | 2. Scientific projections are used to develop a range of potential scenarios |
| | 3. Observations from the experience of communities are combined with scientific forecasts to generate the scenarios used for planning |
| 3. Interventions are modified as new information becomes available | 0. No mechanism for revising activities is included within adaptation planning |
| | 1. Initiatives cannot be modified once approved and under way |
| | 2. Modifications are constrained by administrative calendar or funding cycles |
| | 3. A margin of flexibility is built into all adaptation initiatives, with an approval process to allow modifications |
| 4. Climate information is made accessible to enable adaptive decision making by all stakeholders | 0. Climate information is available only to specialists or authorised users |
| | 1. All interested users have access to climate data |
| | 2. Climate information is publicised in a single format for all users |
| | 3. Climate reports are produced, including seasonal forecasts targeted to the needs of different stakeholders |