



Using Research for Transformational Change in Climate Change Adaptation

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Outline



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1. Collaborative Adaptation Research Initiative in Africa and Asia (CARIAA)



- ▶ CARIAA: bridging the gap between knowledge, policy and practice in CCA/partnership of 4 consortium
- ▶ Canada's IDRC and UK's DfID, 2012 – 2019, CAD\$70 million
- ▶ Goal: to develop robust evidence to inform how to increase the resilience of vulnerable populations in CC hotspots in Africa and Asia
- ▶ 3 research objectives: generate and share new knowledge, build new capacities and inform policy and practice
- ▶ 3 hotspots: semi-arid in Africa/South Central Asia; deltas in Africa and South Asia; and glaciers/snowpack dependent river basins in the Himalayas

CONSORTIUM and COUNTRIES

ASSAR: Botswana, India, Ethiopia, Kenya, Mali, Namibia

DECCMA: Ghana, India, Bangladesh

HI-AWARE: India, Bangladesh, Nepal, Pakistan

PRISE: Burkina Faso, Senegal, Kenya, Kyrgyzstan, Tanzania, Pakistan Tajikistan

2. Transformational change model



- ▶ Partnership among 4 research consortia (19 research institutions, 40+ partner institutions)
- ▶ Capacity development of targeted stakeholders: researchers, policy makers and practitioners
- ▶ Research in Use: uptake of research which contributes to a change in policies, practices and communities behavior
- ▶ Scale up and out of new analytical approaches and innovative opportunities

3. The Evaluation

Baastel team, mixed methods, Jan-August 2018

Focus: relevance, outcomes and sustainability (did not cover efficiency). The program was still on, preparing for potential 2nd phase



Key question	Findings
Did CARIAA produce high quality research?	large volume of research; overall rating: “very good” (RQ+ assessment)
Is the program on track of achieving outcomes and impacts?	Yes; on its way of achieving 3 objectives, particularly short-term outcomes. Needs more time to take place at scale.
What are areas for further funding (within program or by others)?	Optimization of the use of research and evidence; special expertise and focus on opportunities for upscaling; new areas of research on adaptation measures

Recommendations:

1. Incentivize the uptake of research
2. Bring expertise on how to translate and communicate the research and evidence
3. Convert research and evidence into pilots and development investments to scale and replicate

4. Transformational Change at outcome level



Research

- Research was highly relevant to the context in which it was conducted.
- Range of activities to raise awareness, built endorsement and generated demand from evidence from stakeholders, focusing the engagement of key officials and policy makers

Use of research in policy

- Researchers were involved in different policy-related committees; responding to demand from policy makers or by leveraging personal contacts among decision makers; collaborating with champions on CCA; supporting the development of CC policies or strategies (NAPs, NDC)
- The program did not reach out to program developers as much as it should have.

Figure 4. Illustration of the process to achieve outcomes



Use of research in planning

- introduced VRA tools in operational plans; provided training to policy makers; established working relationships with stakeholders at different levels (eg, co-development of policies); researchers provided advice to the design or revision of the action plans
- Most of the research did not have a clear path to use: researcher were not a proactive

Capacity Building

- Individual: provided opportunities for young professional and local technicians to increase the cadre of minds working on findings solutions for CCA.
- Institutional: built relationships within consortia institutions; each consortium gained international recognition and was exposed to global standards

5. Transformational Change at Impact Level



- ▶ limited examples: few vulnerable communities making decision and choices based on evidence.
- ▶ Some limitations to achieving transformation change:
 - ❖ “Distance and path”: timing between outcomes and impacts (not expected in 3-4 year projects)
 - ❖ Stakeholders targeted: good choices but some missed opportunities
 - ❖ evidence from research does not become bankable investment projects at scale
 - ❖ Limited economic valuation of the implementation of solutions coming from the evidence
 - ❖ Capacities building is a long term investment
 - ❖ Gaps in understanding the best way to ensure that evidence can be readily used by the stakeholders that most need it.

6. Lessons for Transformational Change



- Timing is important: producing and offering the research at the right time when the user needs it
- Use of research and changes in behavior and practices are longer term processes than the normal project lifetime
- Reputation of the participating institutions (producing and receiving research) matters
- Translating research into transformational evidence for the policy-maker requires training
- There is a need for an entry point into the policy development process
- RiU seems to be still very much based on personal relationships
- Stakeholders need to be continuously mapped to understand their needs and wants from an evidence point of view.
- Vulnerable communities have their own culture, traditions and ways of envisioning change. Introducing new technology is not straightforward process (trust on researchers)
- Government officials with the power to incorporate new approaches or evidence into the policy or plan may not readily accept new evidence or have the means to change their practices based on new findings.
- Government structures can be quite hierarchical and slow moving, with a strong legacy of “working in silos,” not fully conducive to working on integrated topics such as climate change adaptation.

7. Challenges for Transformational Change



- Policy makers targeted to be influenced may not always be receptive to evidence provided by research, or may steer research into a specific direction at the expense of others.
- Working with specific stakeholders may limit the scope to document inequitable power relations that reinforce the vulnerability of some groups at local level.
- Implementation of RiU does not guarantee more effective, appropriate and gender-sensitive adaptation outcomes on the ground.
- The capacity, integrity and knowledge of those responsible for implementation play a key role
- None of the consortia represented directly the policy making sphere where transformation should take place
- There is a lack of communication between the research and development actors spheres (“implementers”)



Annex



ANNEX 1: CARIAA Theory of Change

