

# Using Research for Transformational Change in Climate Change Adaptation

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# **Outline**



- 1. CARIAA, the program
- 2. Transformational change model
- 3. The Evaluation
- 4. Transformational change at outcome level
- 5. Transformational change at impact level
- 6. Lessons
- 7. Challenges
- 8. Recommendations







# 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:

- 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







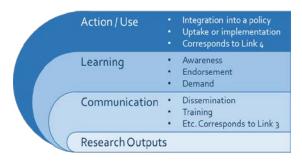


# 4. Transformational Change at outcome level

## 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

Figure 4. Illustration of the process to achieve outcomes



# 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.

## 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

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- 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

Bevond CARIAA's influence

### Hot Spot 1: River Deltas

with large populations whose livelihoods and place of are particularly vulnerable to limate change

## Hot Spot 2: River

densely populated river basins significantly affected by climate change

#### Hot Spot 3: Semi-Arid Regions

of Africa and South and Central Asia; large numbers of people depending on rain-fed agriculture will be affected by increased climate variability and change

# Assumptions:

Context

1. The 'Hot spots' defined by CARIAA are accepted as a valid scale/frame of analysis in the climate change and adaptation field

. Some research capacity has been built in 'hot spot' regions through previous programmes to enable testing of adaptation options and assess their potential impacts.

3. Addressing gaps in adaptation implementation requires a robust and credible evidence-base about tested options, to support the work of actors in policy, planning, practice (civil society) and research communities.

4. The provision of robust and credible evidence, paired with effective engagement strategies, will result in evidenceinformed decisions.

## CARIAA Strategies and Activities

Assumption 1.1: A 'gap' in adaption implementation exists amongst policy actors in 'hot spot' regions, to produce demand for robust adaptation knowledge and tested adaptation options. A high impact research-policy-practice engagement 'pathway' is an appropriate approach.

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CARIAA CONSORTIA

Pathway

LINK 1: CARIAA team

Consortia , bringing

high levels of research

stakeholder networks

in target regions.

funds Hot-Spot

capacity and

YEAR 3-7: CARIAA Consortia implement multi-site, multidsiciplinary

research strategies

Assumption 2: Excellent, high-impact research combines: technical quality and scientific merit; research effectiveness; process excellence; innovation.

LINK 2a: CARIAA Consortia undertake a range of research studies, including modelling, impact assessments, policy development and pilot applications in hot spot

YEAR 2 - 7: CARIAA Consortia implement strategies to engage policy, practice and

research actors

partner research

processes.

#### YEAR 2-7: CARIAA Programme Team implement cross-consortia management, learning mechanisms and knowledge management

Assumption 1.2 : The use of a consortium model facilitates linking of those who need the research (such as policy-makers and practitioners) and those doing the research and encourages interdisciplinary working, so that more ambitious adaptation research and policy questions can be tackled, at greater scale and over longer-term.

CARIAA Programme

Pathway

1.3: Consortium model facilitates knowledge sharing and increases capacity for uptake and use of research

#### YEAR 2-4: CARIAA Consortia establish appropriate partnerships and collaborative multi-

CARIAA's Sphere of Control

OUTPUT 2: YEAR 5-7: Consortia have developed future researchers and capacities to conduct, communicate and use research adaptation issues in 'hot spot' regions.

CARIAA Outputs

OUTPUT 1: YEAR 3-7:

Consortia produce a range

of scientifically validated

and tested policy/ practice

relevant CARIAA research,

evidence and innovation

results on what is effective

(and not) in adaptation in

'hot spot' regions

OUTPUT 3: YEAR 3-7:

policy, practice and

build an enabling

of CARIAA results.

Consortia have established

engagement networks of

research stakeholders to

T 4: Year 1-7: CARIAA Team

es and supports synthesis,

g and knowledge-brokering

regional and international

Year 2-7: Learning Products

Year 4-7: Synthesis Products

stakeholders.

es and products to engage

environment for the uptake

LINK 2b: CARIAA Programme Team implements engagement strategies, knowledge management strategy, supports cross-consortia learning and ynthesis at the programmatic level

## YEAR 2-3: CARIAA Prog team develops

engagement strategies to reach regional and international actors

#### CARIAA's Sphere of Influence

#### Influencing and uptake changes

Actors & stakeholders engaged in 'hot spot' regions at community, sub-national, national and regional & international levels

#### LINK 3:

CARIAA research and evidence products are communicated through a range of channels, including stakeholder engagement, direct policy support and piloting undertaken by CARIAA Consortia and Programme

> Actors & stakeholder: engaged at regional &

> > international levels

Assumption 3: CARIAA establishes its niche with target users through iterative interactions between consortia, actors and policy and practice stakeholders so that CARIAA-related evidence is championed in policy and practice. This process s non-linear and cumulatively builds relationships over the

lifetime of the programme (a 2-way process).

#### YEARS 2-4: INFLUENCING CHANGE 1 - AWARENESS and ENGAGEMENT

Target actors become aware of CARIAA evidence on adaptation.

#### EARS 4-6: INFLUENCIN HANGE 2 - NATIONAL NDORSEMENT

ey champions in national olicy and planning processes ndorse CARIAA concepts and vidence in their spheres of sponsibility

YEARS 3-6: INFLUENCIN CHANGE 3- INTERNATIONAL ENDORSEMENT Consortium partners in positions of influence in key processes endorse CARIAA concepts and evidence in key global policy documents.

#### YEARS 4-7: INFLUENCING CHANGE 4- DEMAND Key actors demand CARIAA evidence products to improve their adaptation policies, approaches and investments.

### Outcomes and Impac

Key stakeholders, including the most vulnerable communities have the capacities (institutions, systems, practices and skills) to enable them to make evidence-based choices for coping with current variability and potential future impacts of climate on development.

> Over time, these changes support the desired impact... -----

#### CARIAA'S RESEARCH IMPACT

Actors in planning, programme, policy and research use a range of evidence-based, tested options to enhance and support communities' livelihoods in 'hot spot' regions in the face of climate challenges, now and in the future, in ways that benefit the most vulnerable.

LINK 4: Actors take up CARIAA's results, evidence and policy options and invest in testing them in adaptation initiatives at scale.



