



TRACKING ADAPTATION FINANCE

AN APPROACH FOR CIVIL SOCIETY ORGANIZATIONS
TO IMPROVE ACCOUNTABILITY FOR CLIMATE CHANGE
ADAPTATION

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ABBREVIATIONS AND ACRONYMS

ADB	Asian Development Bank	MSE	Monitoring and evaluation
AfDB	African Development Bank	MDB	Multilateral development bank
AFAI	Adaptation Finance Accountability Initiative	MS	Microsoft
ARIA	Rapid Institutional Analysis for Adaptation	NAC	National Adaptive Capacity
ATI	Aid Transparency Index	NAPA	National Adaptation Programmes of Action
CAN-U	Climate Action Network Uganda	NDF	Nordic Development Fund
CEN	Climate Energy Nepal	NGO	Nongovernmental organization
CFU	Climate Funds Update (website)	ODI	Overseas Development Institute
CIF	Climate Investment Funds	OECD	Organization for Economic Cooperation and Development
CPI	Climate Policy Initiative	PETS	Public expenditure tracking survey
CRS	Creditor Reporting System	PPCR	Pilot Program for Climate Resilience
CSO	Civil society organization	SCCF	Special Climate Change Fund
DAC	Development Assistance Committee	UN	United Nations
FSF	Fast-start finance	UN-DAF	United Nations Development Assistance Framework
GEF	Global Environment Facility	UNDP	United Nations Development Programme
IADB	Inter-American Development Bank	UNEP	United Nations Environment Programme
IATI	International Aid Transparency Initiative	UNFCCC	United Nations Framework Convention on Climate Change
iCSC	Institute for Climate and Sustainable Cities	WRI	World Resources Institute
ISET-N	Institute for Social and Environmental Transition–Nepal	ZCCN	Zambia Climate Change Network
LDCF	Least Developed Countries Fund		

INTRODUCTION

THE PURPOSE OF THIS GUIDE

This guide is designed to help civil society organizations (CSOs) track climate change adaptation finance flows. It provides essential background information and describes a five-step process for tracking adaptation finance:

Step 1: Analyze the national climate change adaptation context

Step 2: Compile and analyze international adaptation finance flows

Step 3: Map funding flows

Step 4: Set tracking objectives and select funds for detailed national tracking

Step 5: Design tailored tools for local tracking

Additionally, the guide outlines how to use information on the flow of adaptation finance to design evidence-based advocacy strategies and influence the governance of adaptation finance in your country.

If your CSO wants to engage in a meaningful debate about adaptation, you need to gather evidence on the strengths and weaknesses of current adaptation finance structures. You can obtain this data by tracking adaptation finance and assessing the roles of various institutions in delivering adaptation finance to communities. You can then use the information in a number of ways:

- Helping vulnerable communities realize their rights
- Teaching communities and citizens about adaptation and adaptation finance
- Pressing the government to improve its efforts to address climate change
- Holding donors and governments accountable for their use of funds
- Supporting government agencies, particularly those with oversight functions, to carry out their mandate

THE NEED FOR THIS GUIDE

In recent years, climate change adaptation has become a central concern for development and economic policy. The amount of public funding directed toward adaptation in developing countries has increased significantly. Sources of this funding include international assistance and domestically generated resources. In general, governments have provided this funding not only because they have committed to do so under the UN Framework Convention on Climate Change (UNFCCC), but also because they understand that climate change poses a threat to their people and economies. Yet, despite the increased emphasis on climate change, little information exists as to the status of adaptation finance. How much finance for adaptation is available within developing countries? Who gets the money? How is it used? Does it effectively meet the needs of the poorest and most vulnerable? Such details need to be improved at local, national, and international levels.



A farmer at work in Bundibugyo, Uganda.
James Ewen / Oxfam GB

By tracking and monitoring adaptation finance, you can engage in evidence-based advocacy to improve transparency and accountability, ultimately making adaptation initiatives more effective. As a representative of your CSO, you have an important role to play in improving the state of adaptation finance. You can work with communities to voice their concerns and needs, ensure that funding reaches high-priority areas, and make sure investments are having the desired impact. Transparency and accountability should be at the heart of the climate agenda. Without accountability to citizens, especially those who are most vulnerable, climate-resilient development cannot succeed.

WHO SHOULD USE THIS GUIDE

CSOs and CSO networks that focus on climate issues are the main audiences for this guide. Your organizations and networks are engaged in international and national policy debates, provide support for capacity building, and work with communities to help them adapt to current and future impacts of climate change.

Tracking adaptation finance can help you answer these questions:

- Are developed countries living up to their promise to provide new and additional climate finance to help developing countries adapt to climate change?
- How much international adaptation finance does my country receive?
- How much money (from international and domestic sources) is being spent on my country's adaptation priorities?
- How are key adaptation policy priorities implemented in my country?
- Is adaptation finance meeting the needs of vulnerable communities in my country?
- How can I ensure that my government has the capability to use adaptation finance effectively to address the needs of vulnerable people?

In addition, tracking adaptation finance can help you to identify ways to improve the transparency and accountability of adaptation finance—a prerequisite for effectiveness.

Although CSOs and CSO networks are the primary audiences for this guide, the steps and principles provided here may also help governments understand the role of CSOs in tracking adaptation finance and may even help governments to track adaptation finance. More importantly, this material could help to establish systems and practices that facilitate public monitoring and engagement by CSOs.

CAPACITY CONSIDERATIONS

Improving the accountability and transparency of adaptation finance requires time, money, and human capital. Nonetheless, there are things that you can do to help improve accountability for adaptation finance even with limited resources; do not be discouraged. With a little bit of time and internet access, you can download and analyze international adaptation finance data now. This data can help you start a discussion with the government or donors on the amount of funding that is available for adaptation in your country.

More in-depth tracking, for example, at the local level, takes more time and resources. Researching the flows of adaptation finance can be a long process, and then making sure that government is able to implement the recommended improvements requires further time and follow-through. Detailed tracking requires a variety of specific skills—such as financial analysis and assessment of adaptation relevance—usually not found within a single organization. Therefore, building partnerships with other organizations that are interested in tracking and advocacy can help to bring a diverse set of skills to adaptation tracking efforts. Because climate change adaptation is a crosscutting issue, these partnerships ideally would bring together CSOs that focus on a range of issues including climate, environment, water, health, social development, transparency, and budget tracking.

Some steps require little investment, but generally, finance-tracking efforts will be more effective if backed by adequate funding to carry out field research, develop and distribute

outreach material, and attend and organize workshops and seminars. Ideally, CSOs should secure funding for a multiyear period so that research and advocacy can take place over a longer time frame. Despite the challenges and difficulties in carrying out a comprehensive tracking effort, modest efforts can prompt important discussions with governments that can improve accountability for adaptation finance.

HOW THIS GUIDE WAS DEVELOPED

This guide has been compiled as part of the Adaptation Finance Accountability Initiative (AFAI), a collaborative partnership of Oxfam, the Overseas Development Institute (ODI), the World Resources Institute (WRI), Clean Energy Nepal (CEN), the Institute for Social and Environmental Transition (ISET)–Nepal, the Institute for Climate and Sustainable Cities (iCSC), Climate Action Network Uganda (CAN-U), and the Zambia Climate Change Network (ZCCN). These organizations formed AFAI in response to a growing need for CSOs to engage in national and international discussions on adaptation finance at the national level. AFAI aims to analyze the local delivery of climate finance and to pilot new tools for improving transparency and strengthening accountability. The present guide is the result of two years of research and advocacy in Nepal, the Philippines, Uganda, and Zambia. In 2014, AFAI held two regional workshops, one in Marrakech, Morocco, with NGOs from across Africa, and another in Bangkok, Thailand, with organizations from South and Southeast Asia, to discuss methods for tracking adaptation finance and to refine the principles and steps now contained in this guide.

The initial four AFAI countries piloted different approaches to tracking adaptation finance that fit within their national contexts (Terpstra et al. 2013; Wilkinson et al. 2014). Therefore, rather than providing a blueprint, this guide offers key questions, considerations, and examples within the five-step framework described earlier that will require further elaboration and development under the user's specific circumstances.

ESSENTIAL BACKGROUND ON CLIMATE CHANGE ADAPTATION AND ADAPTATION FINANCE

The World Bank in a 2010 report estimated that developing countries need \$70 billion to \$100 billion per year to adapt to climate change. In a more recent report, the United Nations Environment Programme (UNEP) estimated that the costs could be four to five times higher (UNEP 2014). The *Global Landscape of Climate Finance 2014* report estimates that the total global funding for adaptation is currently around \$25 billion (Buchner et al. 2014). Although the international community, governments, CSOs, and individuals are becoming increasingly aware of the risks posed by climate change, current levels of investment in climate change adaptation are far below even the lowest cost estimates.

In the 2009 Copenhagen Accord, developed countries made two big climate finance promises: to provide \$30 billion of new and additional climate finance, labeled “fast-start financing,” from 2010 to 2012, and to mobilize an additional \$100 billion a year by 2020 to help developing countries mitigate and adapt to climate change. Oxfam’s analysis of fast-start financing found that only 21 percent of the \$30 billion went to support adaptation (Oxfam 2012). Since the end of the fast-start financing period, efforts have been made to address the imbalance between mitigation and adaptation, including the Green Climate Fund’s commitment to spend 50 percent of its resources on adaptation.

In addition to such underfunding, there are a number of challenges in channeling funding to vulnerable people that need it the most. Poor, marginalized people are the most vulnerable to the impacts of climate change (Olsson et al. 2014), but they are often difficult to reach. Although climate change is a global phenomenon, its impacts are local. Governments and CSOs can strive to understand and manage climate change at the national level, but building the adaptive capacity of vulnerable people requires local action. No two communities will have the same combination of exposure, vulnerability, and capacity to act, so it is imperative to plan

adaptation initiatives on a local scale. Therefore, ensuring that adaptation finance is enabling local action and addressing the needs of vulnerable people is a key concern.

WHY FOCUS ON TRACKING ADAPTATION FINANCE TO IMPROVE ACCOUNTABILITY?

Transparency and accountability are essential for both short-term adaptation projects and long-term climate-resilient development. Communities are not always involved in decisions on adaptation (Wilkinson et al. 2014), which can lead to projects that are shortsighted or irrelevant. For instance, governments might decide to design policies that encourage farmers to switch to groundwater irrigation. In some instances, this may seem like a good option, but if it leads to unchecked groundwater extraction in areas with small aquifers, then it can lead to other, more difficult problems in the future.

Furthermore, developed countries are under pressure to show that they are honoring their climate finance commitments under the UNFCCC. Donors might be tempted to count all their water projects as adaptation, even if not all of them are based on thorough analysis of climate change impacts. A first analysis by the AFAI partners of finance labeled as “adaptation” found evidence that some projects reported as adaptation are not always contributing to adaptation (Terpstra et al. 2013; but see also Michaelowa and Michaelowa 2011, and Junghans and Harmeling 2012). Sometimes these labeling errors are simple to identify, for instance, when donors entered the wrong country name when publishing the data. However, often it is the lack of information about projects that makes it difficult to determine the adaptation relevance. For example, mitigation projects

are often also labeled as “adaptation-relevant.” A project described “to observe together with the rest of the country the Earth hour and promote the benefits of low-carbon economy” in the Philippines was labeled as adaptation-relevant. But does this project contribute to adaptation and should it be labeled as adaptation finance? It might be, but the focus seems to be on mitigation, not adaptation. Without further explanation from the donor, it is difficult to determine whether this project activity really helps people to adapt.

AFAI research shows a number of challenges to transparency and accountability around climate finance (Terpstra et al. 2013, Wilkinson et al. 2014). Information about adaptation finance is scattered across different levels of donor and recipient governments, can be found in different databases, and is often difficult to obtain. This lack of information hinders communities’ ability to participate in decisions that affect their lives, and it prevents civil society from playing an active role in adaptation.

PRINCIPLES OF ACCOUNTABILITY

AFAI uses five key principles to discuss the accountability and effectiveness of adaptation finance (Terpstra et al. 2013). Derived from development literature, these principles can be applied at different levels of government from national to local, and can form the starting point for dialogue on the effectiveness of adaptation finance.

1. **Transparency:** When stakeholders (government, private sector, civil society, and affected communities) are able to gather information about the use of funding and the activities being carried out.
2. **Ownership:** When stakeholders at the national and subnational level decide what actions are taken.
3. **Responsiveness:** When resources meet the needs of the most vulnerable people and communities.
4. **Participation:** When processes allow stakeholders to provide informed, timely, and meaningful input to influence decisions that affect them.
5. **Equity:** When actions help to prevent and rectify social inequalities.

These principles are the key ingredients for transparent and accountable adaptation finance. By framing research and advocacy around them, users of this guide can develop clear advocacy messages and engage governments in productive discussion.

DEFINING ADAPTATION FINANCE

From the outset, one of the fundamental challenges of adaptation finance has been defining the term *adaptation* itself. A similar challenge exists for the broader term *climate finance*. Although that term is widely used, its exact definition has been contested (CPI 2011, Nakhooda et al. 2013). Generally, climate finance is any money directed to reducing greenhouse gas emissions or helping people to adapt to the impacts of climate change. However, in the context of international climate negotiations, climate finance refers to financial flows from developed countries to developing countries for climate actions. Climate finance can also be more narrowly limited to funds that are new and additional to existing aid flows. Competing definitions of what constitutes climate finance complicate efforts to track it.

The word *adaptation* has also sparked disagreement. Unlike mitigation finance, where it is possible to make a list of activities that reduce greenhouse gas emissions, when determining whether to tag a funding stream as *adaptation-relevant*, context is indispensable. Because the impacts of climate change vary from place to place and because communities differ in their capacities and vulnerabilities, it is not possible to create a “positive list” of activities that are always adaptation-relevant (see Box 1 for an example of HIV/AIDS as adaptation-relevant). For example, investing in drought-resistant seeds may be adaptation-relevant in some locations, but in areas that will get wetter instead of drier, investments in drought-resistant seeds will be a waste of time and resources.

Within this context, organizations such as multi-lateral development banks (MDBs) and the Organization for Economic Cooperation and Development (OECD) have developed their own approach to determine what counts as adaptation. The joint MDB approach includes three criteria that a project activity must fulfill in order to be reported (MDB 2012, 2013, 2014):

- Set out a context of climate vulnerability that includes impacts of climate change and risks associated with climate variability.
- Include a statement that indicates the intent to specifically address or improve climate resilience.
- Link project activities directly to the context of climate vulnerability and potential improvements in climate resilience.¹

BOX 1. IS TEACHING PEOPLE ABOUT HIV/AIDS ADAPTATION?

Perceptions on what counts as adaptation often differ widely within a country. During the AFAl work, many participants agreed that adaptation funding provided by dedicated climate funds was always adaptation-relevant. However, when discussing the adaptation relevance of overseas development assistance provided by bilateral agencies, actors' perceptions about what counted as adaptation finance varied greatly. Some argued that all official development assistance could be considered to contribute to building adaptation capacity because "development" makes people more resilient to climate shocks. Others argued that only projects that address immediate climate risks such as glacial lake outburst floods in Nepal or flooding in the Philippines should be considered adaptation.

There is a large gray area making it difficult to determine whether activities should be counted as adaptation or not. For instance, many HIV/AIDS projects in Zambia are considered adaptation-relevant. At first, this categorization seems illogical because HIV/AIDS is not a direct climate impact. However, in its 2010 climate change strategy, Zambia identifies HIV/AIDS as a crosscutting issue. The reasoning is that 85 percent of the Zambian population is dependent on rain-fed agriculture. Climate change will increase weather variability, negatively impacting agriculture and therefore reducing livelihood options. According to the Zambian climate change strategy, many women are therefore forced to go into commercial sex work as a "coping strategy" to sustain their families. This work greatly increases their exposure to HIV. Providing information on the risks and prevention of HIV therefore enhances the resilience of households.

Whether HIV/AIDS is indeed adaptation is difficult to determine. The fact that it is mentioned in the national climate change strategy means that it is a matter of national concern. Only national actors can determine whether HIV/AIDS should be a priority for programming funding for adaptation.

The OECD approach (OECD 2012) is less stringent than the MDB approach. It uses a scoring system with three values:

- Principal objective (value = 2): The climate change adaptation objective is explicitly indicated in the activity documentation and is a fundamental reason for the design.
- Significant objective (value = 1): The objective is related to adaptation, but adaptation is not the primary reason for undertaking the activity.
- Not related to adaptation (value = 0).

Some countries developed their own approach to track adaptation finance in their budget by using specific budget codes to track climate expenditures; using these codes still requires a clear and consistent definition of adaptation.

Although these methods of defining adaptation finance are useful, they are not always thorough enough to track adaptation finance on a local scale. They provide high-level figures and often little detail about the rationale for labeling a certain project or funding stream as adaptation-relevant. While government budget tagging provides a starting point for defining adaptation finance, CSOs will need to take additional steps to determine whether a project is actually adaptation-relevant given the national or local context.

The AFAl experience suggests that in order to be considered "adaptation," a project must help people deal with present or future impacts of climate change, which requires an understanding of both impacts and vulnerability at the local level. Documents associated with the project should reflect this understanding, and they should clearly explain why certain activities were selected and illustrate how they will contribute to adaptation.

Local communities are often in the best position to determine which activities will help them adapt to climate change. Therefore, it is necessary to work with vulnerable people during the design process to ensure that activities address their needs (Figure 1). Although community involvement is not strictly necessary to label a funding stream as "adaptation finance," it is a good indication that a project has accurately accounted for local vulnerability.

Therefore, to assess whether something is adaptation-relevant, the following questions can be asked:

- Did the provider of the funding make an analysis of the climate context?
- Is there a clear statement of intent that the project will help people adapt?
- Did local communities (or the target group) provide input for the design of the activity?
- Do the activities follow logically from the analysis of the climate context and do they respond to the needs of the target community?

You may want to refer back to these questions when you get to Step 2.4 in this guide.

FIVE STEPS FOR TRACKING ADAPTATION FINANCE

The AFAl tracking process combines general guidance with tailored tools for each country based on the specific flows that were tracked. The general guidelines examine national context, identify international adaptation funding flows, and map funding webs. Then, for each country, detailed tracking research from the national to local level required tailored tools that were specific to both the context and the selected financial flows. Step 5 of this guide will provide guidance and examples so that you can develop your own detailed tracking tools.

AFAl partners used five steps to track adaptation finance. The brief explanations below are followed by in-depth instructions about implementing the steps:

STEP 1: ANALYZE THE NATIONAL CLIMATE CHANGE ADAPTATION CONTEXT

Every country has its own policy, institutional, and financial dynamics. It is, therefore, important to compile information about national climate policies and priorities; the key institutions involved in climate change, their role, and their mandate; and basic information about the public financial management system.

STEP 2: COMPILE AND ANALYZE INTERNATIONAL² ADAPTATION FINANCE DATA

There are several potential sources of international adaptation finance. This step helps to identify potential sources of international adaptation finance, gather information, and analyze data.

STEP 3: MAP FUNDING FLOWS

Funds flow through many channels and involve a number of actors. Creating visual funding webs provides an overview of how funds are flowing through the system and helps identify potential bottlenecks.

STEP 4: SET TRACKING OBJECTIVES AND SELECT FUNDS FOR DETAILED NATIONAL TRACKING

In most countries, there are simply too many adaptation-related funding streams, projects, donors, and governmental ministries and agencies to track. It is, therefore, necessary to track a subset of them. This step discusses key considerations to identify specific adaptation finance flows to track and set the objectives of the tracking research.

STEP 5: DESIGN TAILORED TOOLS FOR LOCAL TRACKING

This step involves the design of detailed tracking tools. The tools need to be tailored to the specific national context and depend on the specific adaptation flows to be tracked. This step provides guidance and examples to help you develop your own tracking tools.

STEP 1: ANALYZE THE NATIONAL CLIMATE CHANGE ADAPTATION CONTEXT

The purpose of this analysis is to understand national climate change priorities, the process for developing these priorities, financial decision-making and allocation, and the roles assigned to different institutions in addressing climate change. You will use this information to identify key policy and implementation challenges and to inform your choices about the tracking research objectives.

In designing and conducting a national context analysis, three main factors are most relevant in analyzing adaptation finance flows:



Most countries already have implemented policies or have carried out studies that describe the national context (see Box 2 for possible sources of information). Accordingly, most organizations working on climate-change mitigation or adaptation will have a good sense of their national context. However, to have a complete understanding of what counts as adaptation in that country and as a reference for all stakeholders, it is still useful to describe the national context specifically as it relates to adaptation finance.

BOX 2. SECONDARY DATA SOURCES TO CONSIDER IN CONTEXT ANALYSIS

- National climate change strategy
- National development plan
- National Adaptation Plan of Action (NAPA)
- Sector-specific strategies
- Vulnerability assessments
- National climate change policy
- Red Book budget documents

This guide provides only a few questions to ask for the analysis of the national context. More information on how to carry out a detailed context analysis can be found in the documents referred to in the paragraph below headed “Further Reading.”

1.1 ANALYZING POLICIES AND PRIORITIES

Questions to ask:

- What are the national and local adaptation priorities?
- Are they consistent across different policies and plans within the country?
- What was the process to develop the national climate change policy? Was a vulnerability and impact assessment conducted?
- Did it include a gender analysis or take into consideration other social inequalities?

- Who was involved in the process? Was the process open to all stakeholders including vulnerable communities? Were women’s representatives involved?
- What is the status of the policy?
- What is the process for evaluating and revisiting the policy?

1.2 ANALYZING INSTITUTIONS’ ROLES AND RESPONSIBILITIES

Questions to ask:

- What are the institutional arrangements in the national climate policy? Which institution is in charge of implementing the policy? Are coordination systems described in the policy? What are the key institutions identified in the policy and what are their roles and responsibilities?
- How will adaptation be integrated into planning and coordination of different ministries? Are there guidelines or is there a coordinating body that supports different ministries with adaptation planning?
- What is the role of subnational and local government in planning and coordination?
- Are women’s representatives or groups involved?
- Where do responsibilities for national budgeting lie? What influence does the institution responsible for climate change have on budget allocations?
- What is the role of local government in development planning and adaptation?
- What is the local-level reach of national institutions and line agencies with responsibilities for adaptation?

1.3 UNDERSTANDING THE PUBLIC FINANCIAL MANAGEMENT SYSTEM

Questions to ask:

- What information is available on adaptation finance through national budget reports?
- Is there a climate budget code that can be used to help track climate finance flows?
- How does the government keep track of international assistance? Do civil society organizations have access to budget information?
- How is public participation in development planning and project and program development organized at central/ ministerial/local levels?

- Is there a formal national framework to monitor (budget) implementation? Are there mechanisms in place to enable citizens and CSOs to participate in oversight?
- What are the formal oversight institutions? Do they have sufficient independence and capacity?

FURTHER READING

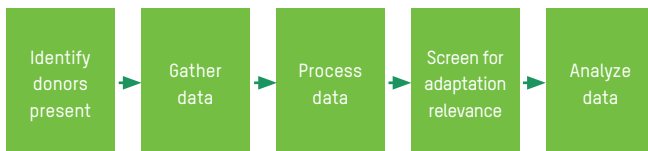
The following documents contain more information on how to design and carry out a national context analysis:

1. National Adaptive Capacity framework (Dixit et al. 2012; available online at www.wri.org/publication/ready-or-not). The National Adaptive Capacity (NAC) framework is a tool to help government officials and other stakeholders to systematically assess institutional strength and weaknesses that may help or hinder adaptation.
2. ARIA, or Rapid Institutional Analysis for Adaptation. ARIA is a tool designed by WRI specifically for civil society organizations to help them identify gaps in national systems for adaptation management. The ARIA Phase 1 toolkit can be found here: www.wri.org/sites/default/files/uploads/ARIA_Phase%20I%20Workbook_2.0.pdf; the ARIA Phase 2 toolkit can be found here: www.wri.org/sites/default/files/uploads/DRAFT_ARIA_Phase_2%20Workbook_2.0_clean.pdf. More information on ARIA can be found here: www.wri.org/our-work/project/access-initiative-tai/tools.

STEP 2: COMPILE AND ANALYZE INTERNATIONAL ADAPTATION FINANCE DATA

This step will help you identify potential sources of international adaptation finance, gather information about these sources, and analyze the data. Most of the data about international sources is readily available, but you need to collect the data from different sources into an overview for your country.

You can break down this step further:



2.1 IDENTIFY DONORS THAT ARE PRESENT IN YOUR COUNTRY

A first step in tracking adaptation finance from the international level to the national level is to identify which donors are providing funding for adaptation in your country. There are three main sources of public international adaptation finance and two additional sources you may also want to track, namely:

1. Bilateral institutions (bilateral donors)
2. Multilateral institutions (World Bank, regional development banks, UN organizations, etc.)
3. Special climate funds (Adaptation Fund, Least Developed Countries Fund, Special Climate Change Fund, etc.)
4. International NGOs and religious organizations (e.g., WWF, IUCN, Caritas, Christian Aid, etc.)
5. Private foundations (Rockefeller Foundation, Gates Foundation, etc.)

Figure 2 provides an overview of the main sources of adaptation finance that could be available in your country. To ensure that you capture all donors that provide adaptation finance, you need to start with making an overview of all donors that are currently present in your country and analyze whether they give funding for adaptation.

If your country has a central donor registry, this registry is the best place to start identifying the different donors that are present in your country. However, many countries do not have such a database, and in other instances, donor information may be incomplete. In this case, it will be necessary to look for information on the internet or by meetings with donor organizations or line ministries that might have sector-specific project information. Start by casting a wide net and try to identify as many donors as you can and then narrow in on donors providing funding for adaptation.

2.2 GATHER DATA

Once you have a list of potential donors, you need to look at different sources of information to compile a dataset with actual funding flows. Use the list of donors present in your country identified in Step 2.1 to determine which information sources you need to access data from. Table 1 provides an overview of the main sources of information on adaptation and climate finance flows. This table is not complete but is meant as an introduction to the main sources of information on adaptation finance flows.

FIGURE 2. ILLUSTRATION OF POTENTIAL SOURCES OF INTERNATIONAL ADAPTATION FINANCE

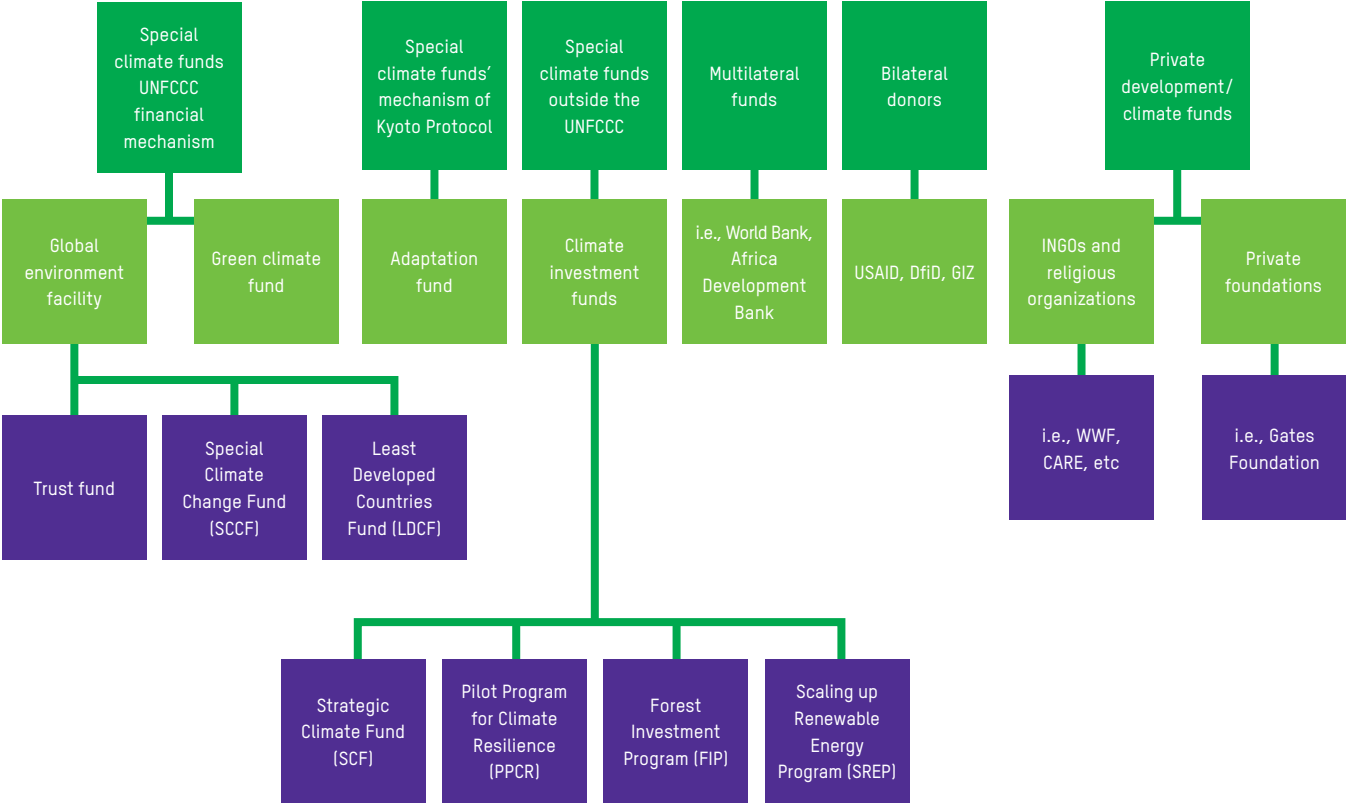


TABLE 1. MAIN SOURCES OF INFORMATION ON INTERNATIONAL ADAPTATION AND CLIMATE FINANCE FLOWS

INFORMATION SOURCE	LINK	WHAT CAN YOU FIND THERE
OVERVIEW (MULTIPLE FUNDERS)		
UNFCCC Finance Portal for Climate Change	www3.unfccc.int/pls/apex/f?p=116:1	Information on activities funded in developing countries to implement the Climate Change Convention; provides links to a number of funds that are under the convention
OECD Creditor Reporting System (CRS)	http://stats.oecd.org	Information about adaptation flows (mainly bilateral donors)
OECD Rio markers	https://public.tableausoftware.com/views/Climate-Related-Aid/IntegratedBi-multi?:embed=y&:display_count=no&:showVizHome=no#1	Information about bilateral and multilateral climate-related flows in 2013
AidData	www.aiddata.org/content/index	Database that collects information on aid (including climate) projects from multiple sources
Aid Flows	www.aidflows.org	Information dashboard on OECD and multilateral funding
International Aid Transparency Initiative (IATI)	http://iatexplorer.org www.iatiregistry.org	Information about aid flows from different organizations
MULTILATERAL DONORS		
World Bank	www.worldbank.org/projects?lang=en http://finances.worldbank.org http://go.worldbank.org/IAHNQIVK30	Information and project documents on all World Bank-funded projects
Asian Development Bank (ADB)	www.adb.org/projects www.adb.org/countries	Information and project documents on all ADB-funded projects
African Development Bank (AfDB)	www.afdb.org/en/projects-and-operations/project-portfolio/	Information and project documents on all AfDB-funded projects
Inter-American Development Bank (IADB)	www.iadb.org/en/projects	Information and project documents on all IADB-funded projects
UN ORGANIZATIONS		
UN-Development Assistance Framework (UN-DAF)	https://undg.org/home/country-teams/alphabetical-list-a-z/	Program information between a government and the United Nations country team
UNICEF	www.unicef.org/transparency/index_69597.html	Information about country programs; financial data is published through IATI

(Table 1., continued)

INFORMATION SOURCE	LINK	WHAT CAN YOU FIND THERE
SPECIAL CLIMATE FUNDS		
Climate Funds Update (CFU)	www.climatefundsupdate.org	Information about climate funds
Climate Investment Funds (CIF)	www.climateinvestmentfunds.org	Information about Pilot Program for Climate Resilience (PPCR) activities and funding
Global Environment Facility	www.thegef.org/gef/gef_projects_funding	Information on GEF-funded projects including SCCF, LDCF, and GEF trust fund
Least Developed Countries Fund (LDCF) and Special Climate Change Fund (SCCF)	www.thegef.org/gef/project_list	Information on funds are managed through the GEF
Adaptation Fund	www.adaptation-fund.org/funded_projects	Information on projects funded by the Adaptation Fund
Adaptation Fund	http://fiftrustee.worldbank.org/index.php?type=commitmentpage&ft=af	Information on payments made by Adaptation Fund
OTHER SOURCES OF INFORMATION		
WeAdapt	http://weadapt.org/	Information on adaptation projects
Aid Transparency Index (ATI)	http://ati.publishwhatyoufund.org	Links to websites where donors publish data

2.2.1 GATHER OECD DATA

The OECD collects information on climate finance from most bilateral organizations and a number of multilateral organizations. Bilateral donors are often the largest providers of adaptation funding, followed by multilateral organizations. The OECD is, therefore, one of the best sources of information about adaptation finance. In 2014, the OECD created a dedicated website for the Rio marker data³ (see link in Table 1 under “OECD Rio Markers”). Donors reporting to the OECD use the Rio Markers to label development projects as adaptation- or mitigation-relevant. At the time of writing, only data for 2013 were available through this website. The information on the OECD Rio marker provides only high-level information, but it does give a good overview of major adaptation funders in your country. Be aware, though, that the overview is not complete. For instance, at the time of writing these guidelines, the Asian Development Bank adaptation activities were not included in the OECD Rio marker overview.

If you want to download and analyze data from earlier years with more project-level detail, you will need to access the OECD Creditor Reporting System (CRS) database itself. Here you can download the datasets for your country for each calendar year in which you are interested starting from 2011 when the Rio markers for climate became obligatory. The next steps outline how to do this:

1. Go to the OECD website (<http://stats.oecd.org>).
2. Navigate to the CRS databases [Development\Individual aid projects (CRS)\Creditor Reporting System] and then under [Export\Related files] (Figure 3).

FIGURE 3. LOCATING THE CRS DOWNLOADABLE FILES



3. Select the dataset(s) you would like to download. Once you click on the dataset, it will begin to download a .zip file. It will then ask you if you would like to save the dataset. Save it.

Make sure to use Internet Explorer when downloading the files. Other browsers, for instance, Mozilla Firefox, do not always save the extension of the file [.zip]. Not having a .zip file downloaded will require you to take several additional steps to resolve. Depending on the speed of your internet connection, it may take some time to download the dataset(s)!

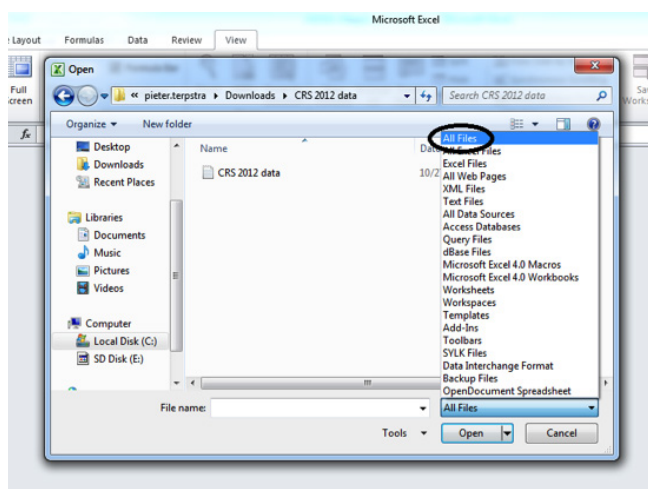
4. Extract the dataset from the .zip file that you downloaded

Once you have downloaded the file that you need, you have to extract the dataset from the [CRS 20XX.zip] file. Go to the folder where you saved the [.zip] file, right click on the file and click on [Extract All...]. Click [Extract] on the next page or change the destination folder and then click [Extract].

5. Import the data into Microsoft (MS) Excel.

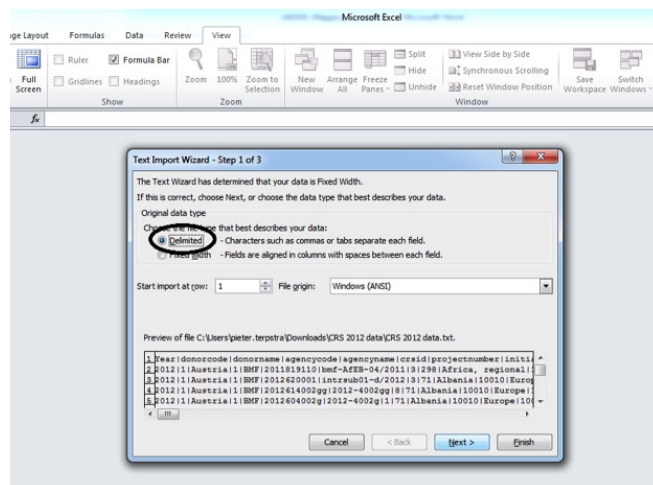
Once you have extracted the data, you can import it into MS Excel. Open MS Excel and select [Open] from the [File] menu. Go to the folder where you saved the extracted datasets. Make sure to change [Excel files] to [All Files] next to the filename; otherwise you will not be able to find the file you just extracted because it is saved with the extension [.txt], which is not directly recognized by Excel. Click on the file with the dataset and click [Open] (Figure 4).

FIGURE 4. IMPORTING THE DATASET



Excel needs to know how the data are stored in the dataset. In this case, the data are stored as [Delimited], which means a special character separates the data. Click on [Delimited] and then [Next] (Figure 5).

FIGURE 5. INDICATING HOW DATA IS STORED



The delimitation character is the “|” sign. (This is the sign that is above the \ on most keyboards.) Enter this character in the box next to [Other:] and unmark [Tab]; then click [Finish].

The dataset is now being loaded into MS Excel; this loading takes a while, as it is a very big file. Repeat steps to download additional datasets. Additional guidance on how to manage the data and identify adaptation projects will be provided in Step 2.3.

2.2.2 GATHER OTHER RELEVANT DATA

The OECD database contains information from larger bilateral donors and a number of multilateral donors. There might be donors (the ones that you identified under Step 2.1) that do not report to the OECD. You will need to gather data from these additional sources. Table 1 showed an overview of the most important sources of information. Most of the data can be downloaded from the websites of different organizations. For most organizations, this process is relatively easy and this guideline will not go into the specifics of downloading the data from all donors. To keep your data organized, it is best to collect the data from different donors on separate tabs in Excel.

2.3 PROCESS DATA

Now that you have gathered data from several different sources (e.g., OECD, IATI, World Bank, UN agencies, etc.), you will need to process the data so that it can be analyzed further. For the AFAI project, we created one overview tab with only limited information per project activity. Table 2 shows the categories that were used for the analysis of the data. Note that not all of this information will be available for each donor and each project.

Using a limited number of columns will ease comparability of the data and facilitate further analysis.

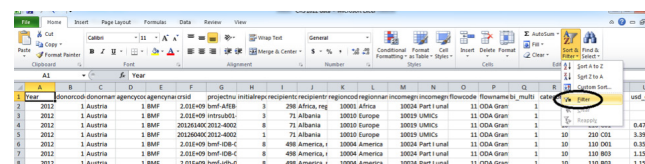
Once you create your overview tab, you need to enter the data that you gathered from the OECD dataset and other sources.

2.3.1 IDENTIFY ADAPTATION-RELEVANT PROJECTS FOR YOUR COUNTRY FROM THE OECD DATASETS

Start with the OECD data because it is the largest, most comprehensive dataset, and then move to data from other sources. You can analyze either the OECD data year by year or copy all years into one tab. To make the OECD data more manageable, you will need to first identify the adaptation-relevant projects using the Rio markers. Then, to facilitate analysis, you can create an overview tab in Excel that includes a selection of the most relevant categories in the OECD dataset.

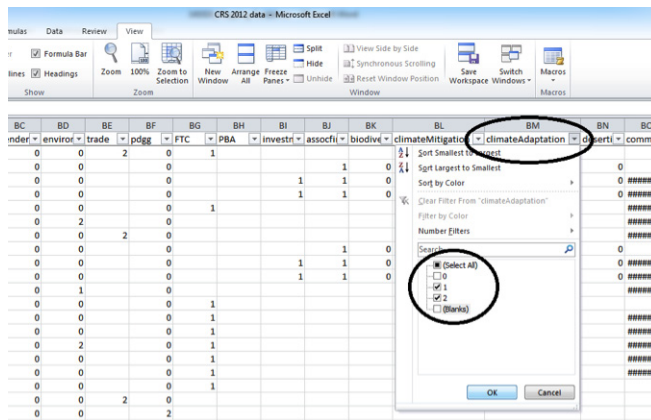
Next, you need to add a filter so you can easily select and sort the data. Click on [Sort & Filter] and select [Filter] on the [Home] menu (Figure 6).

FIGURE 6. ADDING A FILTER



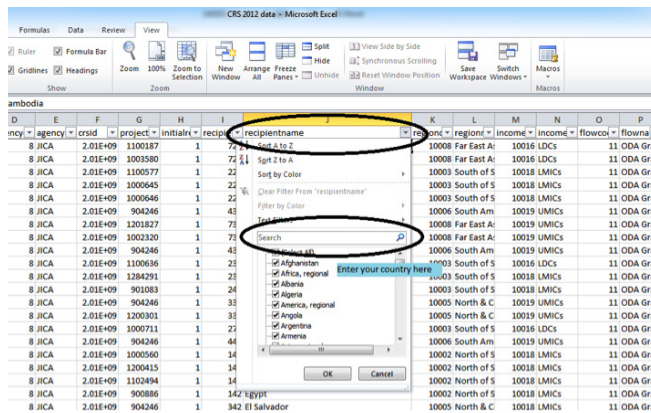
Next, you need to select all the adaptation-relevant entries. You can do this in column [climateAdaptation] (column BM in this case) by clicking on the small down arrow and deselecting [0] and [Blanks]. Now you have only selected entries that are marked with the Rio marker for adaptation (Figure 7).

FIGURE 7. SELECTING ENTRIES THAT ARE MARKED WITH THE RIO MARKER FOR ADAPTATION



Under [recipientname] in column J you can select your country to view the adaptation-relevant projects that are being funded by OECD donors in your country (Figure 8).

FIGURE 8. SELECTING YOUR COUNTRY



2.3.2 ENTER DATA FROM NON-OECD SOURCES ON ADAPTATION PROJECTS INTO THE EXCEL FILE

Currently, most multilateral donors do not indicate whether a project has a focus on adaptation. In 2014, the OECD started including information from multilateral development banks (but not all!) in its Rio marker overview (see Table 1, on the following page, under OECD Rio markers). You can use this information to identify some of the multilateral projects that have an adaptation focus. However, in most cases it will be necessary to go through documents for all projects funded by MDBs in your country to look for adaptation-relevant projects.

As a first step, projects that did not have sufficient information to be considered adaptation-relevant can be removed. These projects include, for instance, projects focusing on peacekeeping, elementary and higher education, and targeted health care programs. Taking your own climate context and national policies on adaptation into account, you should be able to decide what could be adaptation in your country and what is definitely not.

Subsequently, the available project information should be screened for a link to adaptation. When you find adaptation-relevant projects, the project information about this activity should be copied to the Excel sheet.

Collecting data from donors that do not report to the OECD can be time-consuming. This data is often not available in a clear format and is scattered among many websites. To aid your search, you can also contact providers of adaptation finance directly and ask them for more information on their adaptation projects.

Once you have identified and screened all data from non-OECD sources, you can copy the data to the overview tab.

TABLE 2. INFORMATION COLUMNS USED FOR THE OVERVIEW TAB

COLUMN	TYPE	CATEGORIES	COLUMN	TYPE	CATEGORIES
A	Source	CRS 2010, CRS 2012, IATI, etc.	U	Recipient type	• Multilateral (multi)
B	Donor name	Name (country)			• Recipient government national (RGNat)
C	Agency	Name of the specific agency of the donor			• Recipient government sub-national (RSubN)
D	Donor type	<ul style="list-style-type: none"> • Bilateral • Multilateral • Special fund • Private fund • INGO • Other 			• Recipient government other (RGOther)
					• Recipient NGO (RNGO)
					• Recipient private (RPriv)
					• Recipient other (ROther)
					• Donor government national (DGNat)
E	Project number	Assigned by donor (if available)			• Donor government subnational (DSubN)
F	Project name				• Donor government other (DGOther)
G	Project description				• Donor NGO (DNGO)
H	Adaptation relevance as marked by donor	NA – Not mentioned 1 – Substantial 2 – Primary objective			• Donor private (DPriv)
					• Donor other (DOther)
I	Revised adaptation relevance	0 – Not relevant 1 – Substantial 2 – Primary objective			• International NGO (INGO)
			• International private (IPriv)		
J	National/regional	Indicate whether project is national or part of a regional project with multiple countries	• International other (IOther)		
K	Sector 1	Target sector	• Other (Other)		
L	Sector 2	Target sector	V	Fund-to-fund transfer?	Records whether this is a transfer from a donor to a special fund or another donor to prevent double counting of data
M	Sector 3	Target sector			
N	Currency	USD / local currency (try to stick with one currency to make it easier to compare figures)	W	Financial instrument	• Grant
O	Total commitment (in USD)				• Loan
P	Commitment year	YYYY			• Technical assistance
Q	Total disbursement (in USD)				• Equity investment
R	Disbursement year	YYYY	X	Start date	DD/MM/YYYY
S	Location	Indicate geographical location if possible	Y	Completion date	DD/MM/YYYY
T	Recipient	Recipient of the funding	Z	Information	Any other information relevant for the project, such as links to a website with project descriptions and documents

2.4 FURTHER SCREENING FOR ADAPTATION RELEVANCE AND FEEDBACK FROM DONORS

Once you have an overview of all potentially adaptation-relevant projects from OECD donors, multilateral development banks, and other organizations in your overview tab, you need to start matching projects that are labeled as adaptation-relevant against the national context to determine whether these projects are indeed adaptation-relevant in your country. Box 3 also offers some advice to ensure that the same financial flow isn't counted more than once.

You have used the Rio markers to extract information about adaptation-relevant projects from the OECD database under Step 2.3. Unfortunately, not all OECD donors are equally diligent in entering their information into the database. In cases where information is missing, you should seek further information from the website of the specific donor. However, even on donor websites it is not always possible to find information on why certain projects are labeled as adaptation-relevant. In such a case, you should contact the donor office in the country or, if they are not available, contact the headquarters of a donor and ask for clarification. Not only will asking for feedback increase the credibility of your data, you can also use this contact as the start of a conversation with a donor on adaptation finance. If you do not receive a response, use this outcome as evidence of lapses in accountability.

For some projects that were marked with the adaptation marker, it will be difficult to assess whether the activity was really adaptation-relevant. In the tab with the detailed OECD information, you should mark these activities. If you think that projects that are labeled as adaptation-relevant are actually not adaptation-relevant given the national context or when information is missing about the adaptation relevance, you should revise and record the revised adaptation relevance classification in a separate column in the overview sheet. During the AFAl project, partners determined that the adaptation-relevance of an activity should be revised if:

- The title was unclear or was missing long and short descriptions.
- A project was marked as having a primary focus on adaptation but has no reference to adaptation in the title or project description.
- A project was marked as having a significant focus on adaptation, but the focal area or objective did not have a direct link to adaptation; examples include sectors such as conflict prevention.
- A project that, judging from the title or description, had a focus on mitigation and did not mention adaptation in the short or long description. Examples include renewable energy projects that were marked as mitigation and adaptation but did not mention adaptation in the description.

BOX 3. PRO ADVICE ON AVOIDING DOUBLE COUNTING

Care should be taken to avoid double counting of contributions. *Double counting* means that the same adaptation-relevant project or finance flow is counted twice because two or more donors report on the same project or flow. This can happen when a donor that funds an adaptation project reports on it in the OECD database, and the recipient (for instance, a UN organization) also reports on the same project on its website.

In this case, a bilateral donor channeled its funding through a multilateral organization. Both the bilateral donor and multilateral recipient reported their information but in a different format; however, the funding should only be counted once. In order to avoid double counting, the source of the funding (e.g., bilateral donor) should be mentioned and not the intermediary (e.g., a UN agency). In the database used for the AFAl project, a column called "Fund-to-Fund Transfer" was included to indicate whether funding was transferred to another donor organization. If a transaction was a transfer from one funder (a bilateral donor) to a special climate fund, the transaction was removed from the analysis. This practice allows for tracking the flow of funds from one organization to another and prevents double counting of financial flows.

Screening of projects from donors that do not use the Rio markers requires a slightly different approach. As a first step, you already removed projects that did not have a link to adaptation under Step 2.3. These projects included, for instance, projects focusing on peacekeeping, elementary and higher education, and targeted health care programs.

The next step is to study detailed project information from the remaining projects to determine what the reason was for naming or labeling a project as “climate” or “adaptation.” Multilateral donors and climate funds often publish detailed project information on their websites. This information facilitates determining the adaptation-relevance of a project. If a project mentions climate change and adaptation in the project documents, either as a primary or secondary objective, it should be left in the overview of adaptation projects. The guiding questions on page 7 may help you determine the adaptation-relevance of specific projects. For marking the adaptation-relevance of the project, an adapted version of the Rio marker methodology can be used. A project can be marked with:

- 2, if the main objective of the project was adaptation.
- 1, if adaptation was mentioned but not the primary objective of the project or program.
- 0, if no reference to adaptation was made.

In 2012, the multilateral development banks launched an initiative to track adaptation and mitigation spending in their own programs. This tracking should, if it is made publicly available, help considerably in identifying adaptation-relevant projects and programs. Some of this data, covering the year 2013, is now available through the OECD (see Table 1 under OECD Rio markers).

Once all the data is cleaned up and available in an overview tab, ask donor organizations to review the classification of the adaptation-relevant projects. Soliciting this feedback allows you to discuss the objectives of their funding with the donors. It also lends credibility to your database, project, and subsequent recommendations. Appendix 1 contains an example of a letter that was used in the AFAI project to seek clarification from donors regarding certain funding streams.

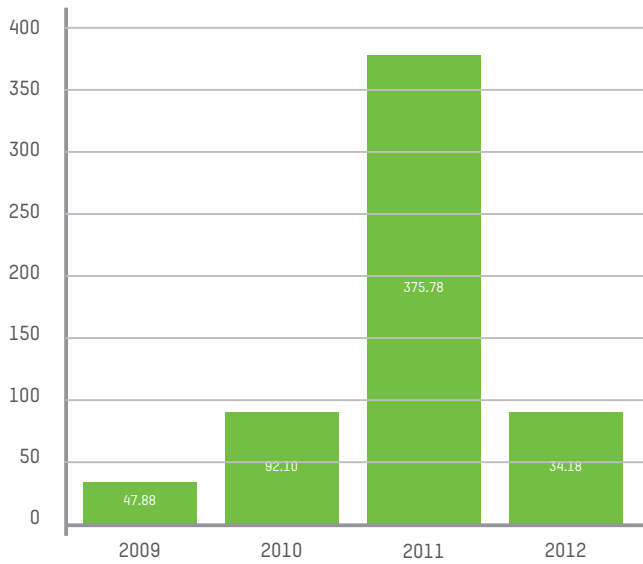
2.5 ANALYZE DATA

For this phase of the project, you can make overviews that show the total amount of funding flowing to your country (commitments vs. disbursements), the main recipients of adaptation finance, and the main target sectors. The type and extent of analysis depends on your country context and advocacy priorities. For example, in Nepal (Figure 9A), AFAI partners decided to illustrate the total amount of adaptation finance entering the country. They did this by aggregating the total disbursement amounts for each year. In another instance, the data could be useful to display the donors in the order of their commitments for a particular year. This type of analysis, along with many others, can be done using the data in the Excel file.

At this stage, you should have enough information to present to international adaptation funding providers and to the government. For instance, at this stage, in the Philippines, the AFAI project had already gathered enough evidence to show that the government lacked sufficient oversight to know how much adaptation was coming into the country. The AFAI data showed that between 2009 and 2012 international donors committed more than \$350 million for adaptation, information that was not available in the Philippines at that time. This information allowed iCSC—the AFAI partner in the Philippines—to lobby for greater transparency with Congress.

Creating a visual presentation will help convey your message. There are some examples in Figures 9A, 9B, and 9C.

FIGURE 9A. TOTAL CLIMATE CHANGE ADAPTATION FINANCE IN NEPAL (in millions of USD)



Source: Oxfam, 2014.

FIGURE 9B. PERCENTAGE OF FUNDING IN NEPAL GOING TO DIFFERENT RECIPIENTS (TOP) AND SECTORS (BOTTOM)

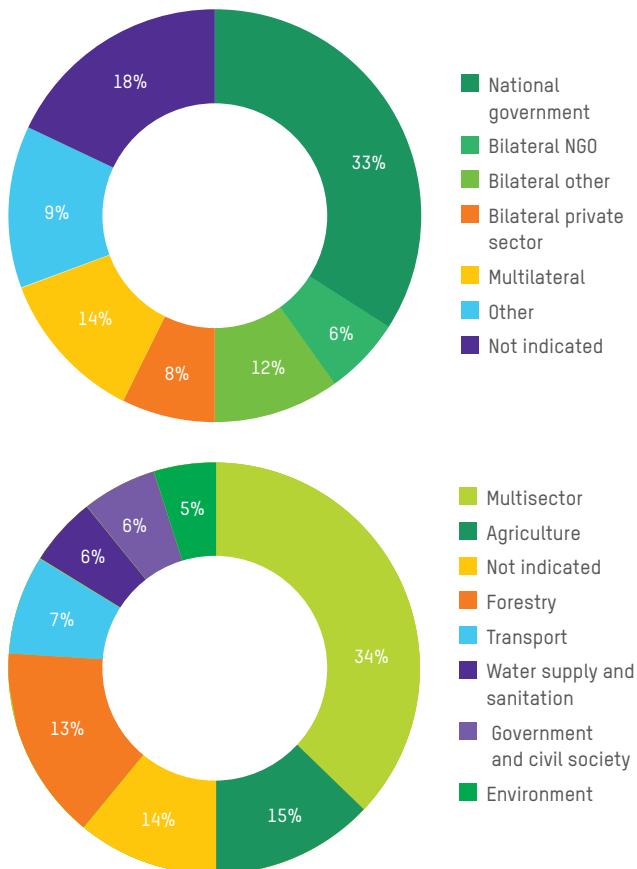
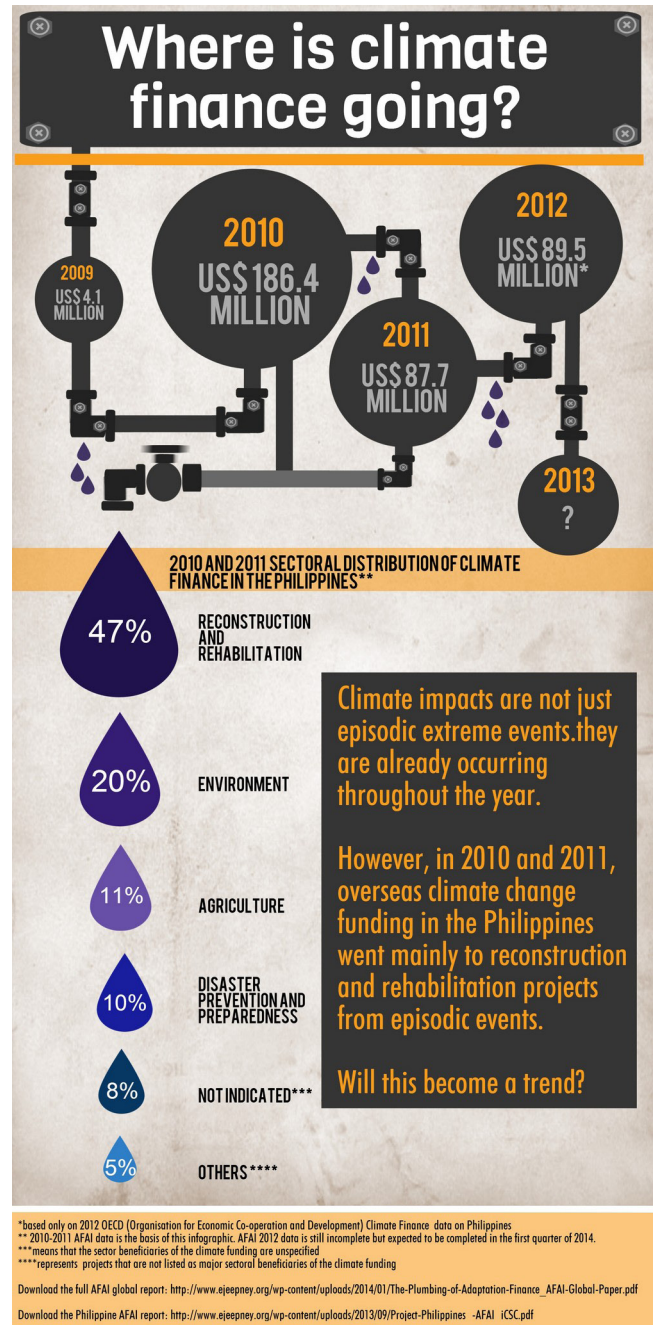


FIGURE 9C. ADAPTATION FUNDING FLOW IN THE PHILIPPINES FROM 2009 TILL 2012



Source: ISC, 2014.⁵

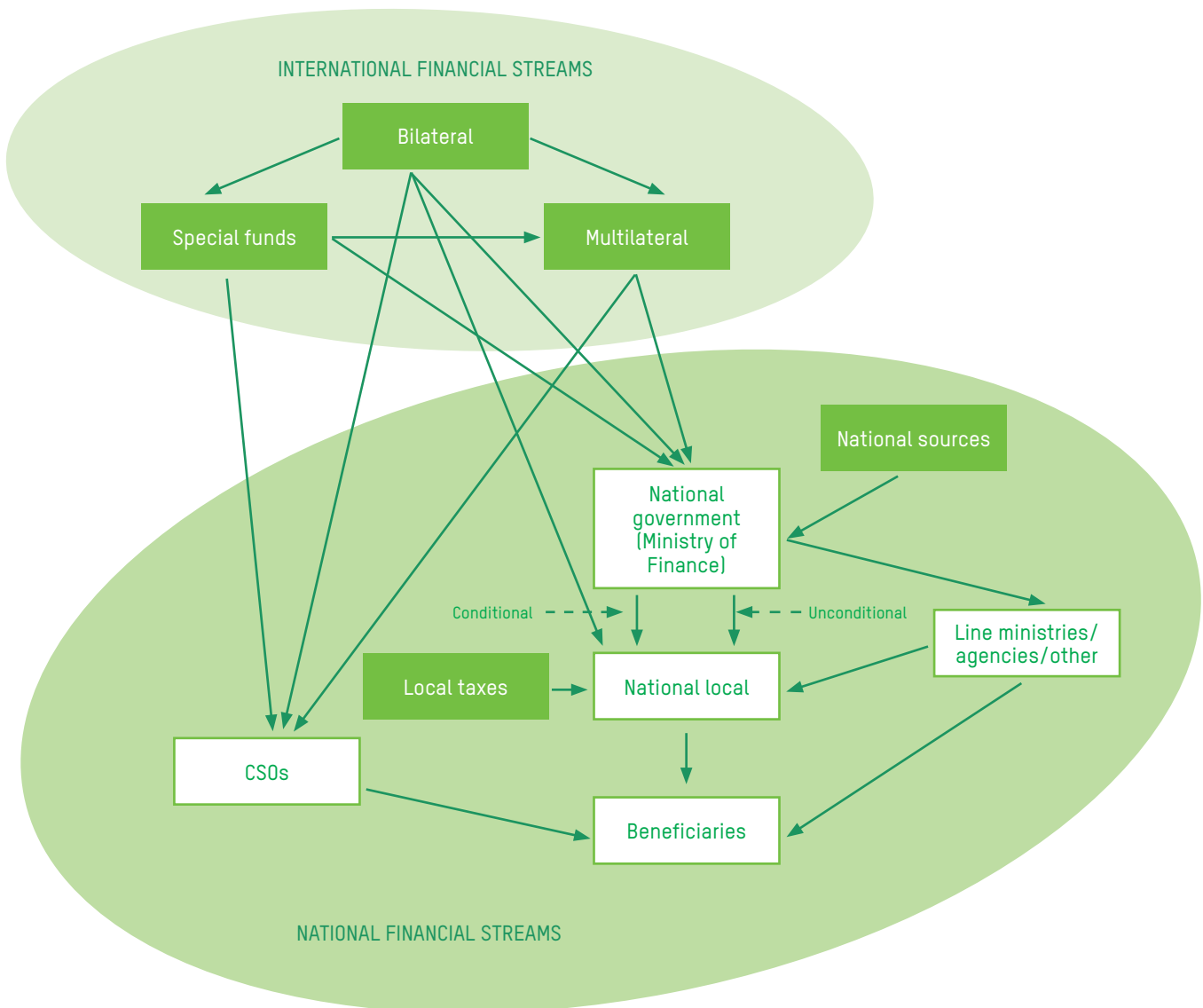
STEP 3: MAP FUNDING FLOWS

Once you have identified the flow of international funds, you can start tracking the flow of funds from the national level down to communities. At the national level, funds flow through many channels involving a number of actors. Creating visual funding webs will help you understand the complexity of these relationships and identify potential bottlenecks.

Mapping funding flows is an iterative process. Figure 10 shows a simplified funding web that the AFAL partners used as a starting point. Through analysis of national policies and interviews with stakeholders, AFAL partners were able to add details to the web.

After analyzing national policies and strategies, AFAL partners expanded the funding web to include all possible funding flows for adaptation. Figure 11 shows the expanded version of this funding web for Zambia. Note that the more complex version shows how, in principle, local communities can influence these flows from the bottom up. The funding web informed the design of local-level research and guided researchers to specific groups that should be interviewed. Unfortunately, it was not possible to track all funding flows that are mentioned in the overview. Nonetheless, this inability also highlighted the need for greater transparency.

FIGURE 10. SIMPLIFIED FUNDING WEB

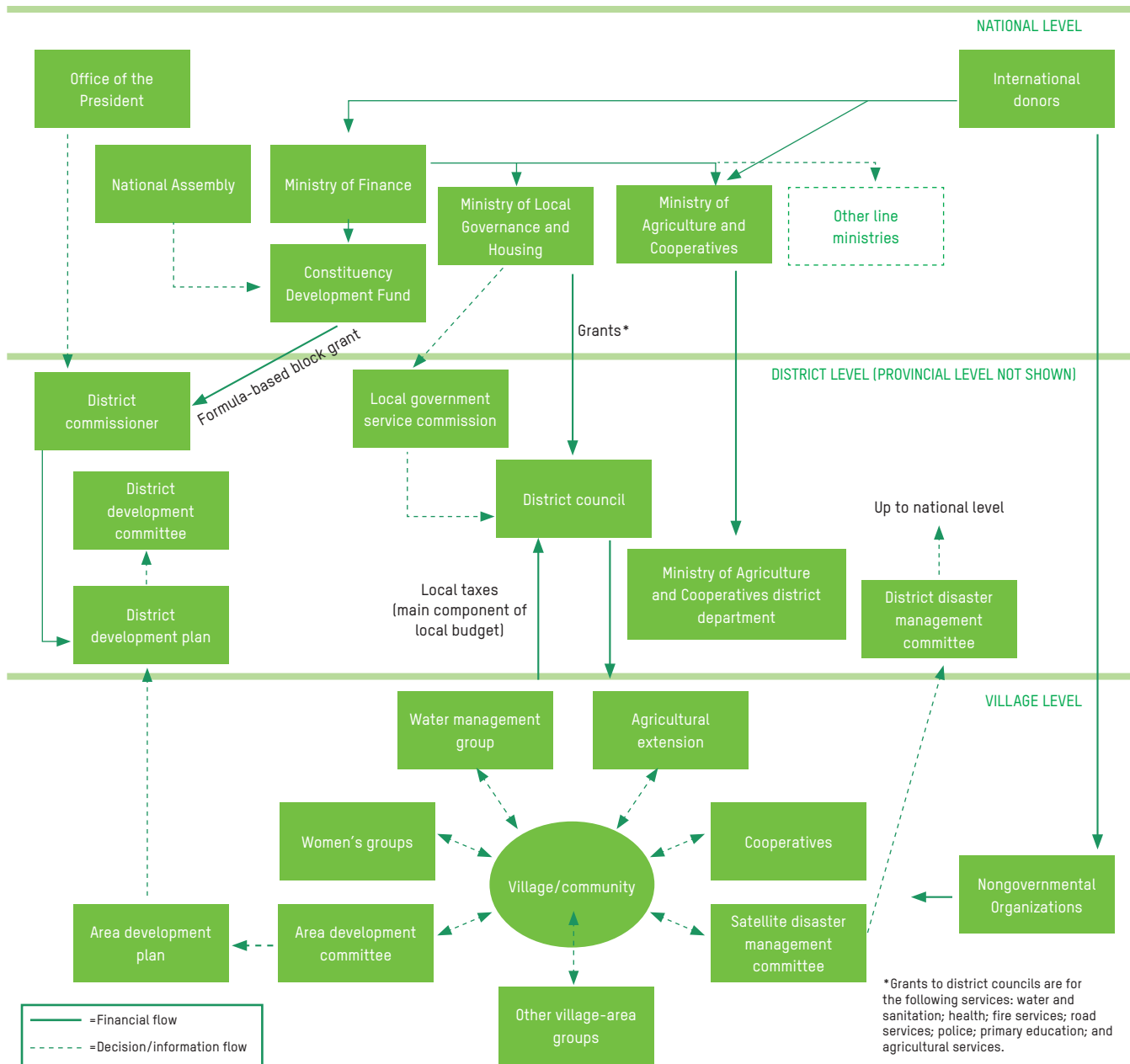


The objective of the funding webs is to show who controls the money flow and who decides how the money should be spent. A web can also be utilized to show how much money is received at various levels for adaptation. For instance, a local development committee might not control the funding itself, but it can decide on what Ministry of Agriculture and Cooperatives District Department can invest in. The local office receives its money from the national level, Ministry of Agriculture and Cooperatives. A funding web should ideally capture all of these relationships. Be aware that often there is a difference between how relationships should be according to policies or project

documents and how they really are in practice. Highlighting the difference between theory and practice can be a powerful lever in a discussion on transparency and accountability.

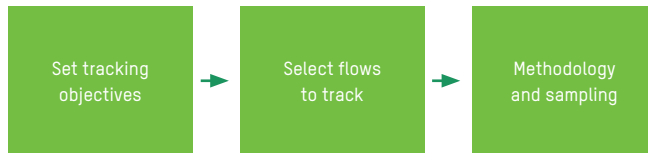
Funding webs should be simple and relatively easy to understand. If your funding web gets too big, try to focus on a specific flow or sector to limit the relationships that you have to put on paper. A simple, easy-to-understand funding web can be a powerful tool in discussions with government and can be used to explain the complexities of fund flows, reveal possible bottlenecks, and serve as a tool to explain to communities where funding that they (should) receive comes from.

FIGURE 11. ACTUAL FUNDING WEB FOR ZAMBIA



STEP 4: SET TRACKING OBJECTIVES AND SELECT FUNDS FOR DETAILED TRACKING

In most countries, there are simply too many adaptation-related funding streams, projects, donors, and governmental ministries and agencies to track. It will, therefore, be necessary to track a subset of them. Step 4 discusses key considerations to identify specific adaptation finance flows to track and to set the objectives of the tracking research.



4.1 SET TRACKING OBJECTIVES

The adaptation funding map and context analysis will help you identify potential problems with the coordination and channeling of funding. This knowledge can help you refine your objectives. You may also want to utilize the advocacy strategy development process described in the section “Engaging in Influencing and Advocacy” to help determine your tracking objectives. See Box 4 for an example from Nepal. Setting clear objectives will help you manage tracking research by helping to:

- Communicate the purpose of your tracking research with other stakeholders
- Make decisions and weigh possible trade-offs when confronted with challenges during the tracking research process
- Make decisions about research methodology, methods and further sampling during the tracking research
- Make use of your findings

BOX 4. TRACKING OBJECTIVES IN NEPAL

In Nepal, the government aimed to spend 80 percent of adaptation funds at the local level. However, the government did not articulate regarding how to operationalize this target. Therefore, the objectives of the tracking work in Nepal were to understand the extent to which this goal had been achieved and to make recommendations on how to achieve it.

The following questions may help you determine the objectives of your tracking study:

- To what extent are the national climate change adaptation priorities being funded and to what extent are projects implemented?
- Is there a region in the country that is especially vulnerable to the negative impacts of climate change? Is adaptation finance flowing to that region?
- Are there sectors that are most important to your economy? Are there projects or programs to protect these sectors?
- Do you want to assess the implementation of specific policy provisions? What are such policy provisions in your country and what is the status of their implementation?
- To what extent are projects considering the access of vulnerable people and women and the principles of accountability?
- What are the mechanisms/modalities used to deliver money from the national to subnational levels?
- What are the challenges and gaps in effectively delivering adaptation finance at the community level?
- Do you want to compare the efficacy of “on-budget” versus “off-budget” adaptation activities?

4.2 SELECT FLOWS FOR DETAILED TRACKING RESEARCH

Once the objectives are decided upon, you will need to select specific flows to track. After selecting specific flows to track you will also need to do further sampling before carrying out the tracking research. Table 3 highlights advantages and disadvantages of different tracking options.

Below is a list of additional criteria to consider when selecting adaptation flows to track:

- Volume of aid flows per capita in a certain region
- Presence of major adaptation/resilience projects being implemented
- Share of total adaptation flows (for example, in Nepal, six projects accounted for 86 percent of the total adaptation funding in the country)
- Level of vulnerability in a region
- Type of financial flow (international, national, bilateral/multilateral, dedicated climate fund, etc.)

In addition to these criteria, other issues that may affect your ability to effectively track adaptation finance flows include:

TABLE 3. ADVANTAGES AND DISADVANTAGES OF DIFFERENT TRACKING OPTIONS

OPTIONS FOR TRACKING	ADVANTAGES AND DISADVANTAGES
Tracking individual climate change projects	<p>Advantage: Individual projects have a defined scope, set of activities, and actors involved in their implementation. Tracking the money that is spent in such a project is relatively simple, and sources of information can easily be identified and are usually readily obtained.</p> <p>Disadvantage: A narrow focus on a specific project may leave out important information about the broader context in which the project is implemented (e.g., NAPA in Uganda), and the findings may have limited applicability outside the specific project.</p>
Tracking priority sectors	<p>Advantage: Focusing on a priority sector can help you identify options for improving the integration of climate-adaptation in a specific ministry or department, and the interactions between national and sub-national departments within the ministry.</p> <p>Disadvantage: Funding for adaptation may be provided mainly through projects and not via the regular government budget, making it difficult to gain insights into regular government processes. The project may use project-specific operational mechanisms, for example. Given the different funding modalities and the multitude of projects and/or programs, it might be more difficult to obtain project and financial information.</p>
Tracking specific geographic locations	<p>Advantage: Focusing on a specific geographic location may facilitate analysis of multiple adaptation projects with many different actors involved. It may also help you study criteria for site selection, project activity duplication, and distribution of resources.</p> <p>Disadvantage: It may be difficult to compile all the information for a specific region. Local actors may not be aware they are involved in adaptation projects, making the information difficult to track.</p>

- **Data availability:** Many adaptation initiatives are in their design phase and may not yet have been implemented at the local level. Projects need to be in the implementation stage, preferably for a number of years. Otherwise, information is often limited and very little can be said about the effectiveness of the chosen implementation method.
- **Data accessibility:** Do you foresee any difficulties collecting certain aspects of the financial information?
- Do you have good relations in any area that make it easier to access necessary people or information? Scheduling interviews with local government officials and organizing discussions with communities can be difficult if you are unfamiliar with the area/actors; however, previous relationships may also introduce biases in the research methodology.

BOX 5. EXPERT ADVICE

You may have to revisit an earlier decision if it becomes apparent that data will be difficult to access. In some instances, for example, the AFAI project partners faced difficulties getting information from specific donors. It was relatively easy to access information from local government, especially where right to information laws were in place.

4.3 CONSIDER METHODOLOGY AND DETERMINE SAMPLE FOR DETAILED TRACKING RESEARCH

The AFAl teams mixed both quantitative and qualitative approaches, but relied primarily on a qualitative approach. The approach drew on the public expenditure tracking survey (PETS) methodology (World Bank 2010) to track flows and various experiences with participatory performance monitoring. However, the teams all carried out case-specific tracking studies. Because adaptation finance is in the early stages of deployment, the emphasis was on understanding adaptation more broadly and on gaining insights into various stakeholders' viewpoints. This approach meant that the findings were more case-specific than would have been the situation if a more quantitative approach had been utilized to reach general findings.

In some instances it may be possible to track all financial flows, for example if you decide to track one donor-specific project. However, in most cases you will need to select a sample of adaptation finance flows to track. For example, in the Philippines, one donor-funded project was composed of more than 200 individual subcontracts. Similarly, if you select a region or province as the target for your research, you will probably not be able to visit every village in that province. As a consequence, you have to select an appropriate number of villages to visit. The size of the sample will depend on the number of villages or projects that exist, the methodology, and the resources available.

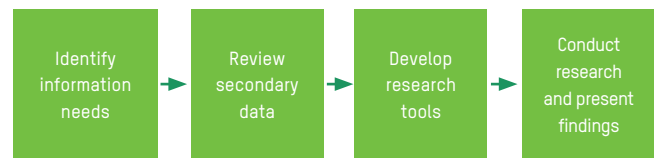
Write down your tracking objectives and reasons for selecting specific funds to track. A short document outlining the challenges, a funding web, tracking objectives, funds that you will track, and methods (see the next step) will help in communicating your project to other civil society organizations, governments and development partners. This communication is an important step in building support for your project.

FURTHER READING:

- *Social Accountability Sourcebook*, Chapter 3, "Methods and Tools." www.worldbank.org/socialaccountability_sourcebook/PrintVersions/Methods%20and%20Tools%2006.22.07.pdf.
- *Public Expenditure Tracking Surveys (PETS) and Quantitative Service Delivery Survey (QSDS) Guidebook*. <http://pets.prognoz.com/prod/Guidelines.aspx>.

STEP 5: DESIGN TAILORED TOOLS FOR LOCAL TRACKING

To design the detailed tracking research, use the tracking objectives set in the previous step and the five key accountability principles—transparency, ownership, responsiveness, participation, and equity—to frame the research. In Step 4, you set the objectives for the tracking research and thought about what methodology is best suited to your research objectives. The next step is to determine the data you need to collect, to select the most appropriate methods for collecting that data, and to develop the tools you will need to go out and gather the data. The design of the detailed tracking research will depend on the specific adaptation finance flows you have decided to track.



5.1 IDENTIFY INFORMATION NEEDS—WHAT DATA WILL YOU COLLECT AND WHAT ARE POTENTIAL SOURCES?

To plan the detailed tracking research further it is good to think about what information/data you will need to collect and where you can gather this data. You can start with a broad list of information needs and then focus your data collection work later based on the availability of secondary data and the resources you have available for primary data collection. The following guiding questions will help you brainstorm your data collection needs and sources:

- What are some of the specific questions you want to answer through your research? (See Table 4.)
- What information will you need to better understand and document adaptation finance flows, institutional barriers, and lessons learned? Do you need hard numbers (quantitative data) for explanations and experiences (qualitative data)?
- Who are the stakeholders? Who has an interest? Who has been directly involved? Who is affected? Who needs their voice to be heard?
- Where can you get information and other existing data? What information will you need to collect yourself through primary research?

Table 4 presents key questions that were used to design country-specific tracking tools.

5.2 CONDUCT A LITERATURE REVIEW AND ANALYZE SECONDARY INFORMATION

After identifying your information needs and potential sources of information, review and analyze secondary data to help determine what original data you will need to collect through your own field research. Secondary data collection will help you focus your research questions and develop the tools you will need to carry out the tracking research (i.e., interview guides, questionnaires, focus group discussion guides, etc.) Box 6 includes examples of secondary data sources reviewed by the AFAI Nepal team at this stage of the research.

BOX 6. NEPAL EXAMPLE

The Nepal team members reviewed the following documents before drafting their tracking research tools:

- Development cooperation report
- National budget, government Red Book, economic surveys
- Donor reports
- Research reports on climate finance
- Project documents—proposals, agreements, progress reports, etc.

5.3 DEVELOP RESEARCH TOOLS, TEST THEM AND REVISE THEM

After secondary data has been reviewed and analyzed, you will be able to refine the list of information to gather and key stakeholders to engage. This list will help you to develop the specific tools you will need to conduct the tracking research. Before developing the tools, consider the different research methods and choose the most appropriate method(s):

- **Surveys**—quantitative method. In survey research, a representative sample population is given a standardized set of questions or a questionnaire. Surveys can be administered in a variety of ways: through face-to-face or telephone interviews, on paper, online, etc. Surveys usually target a larger number of people so that the findings become more reliable and relevant. Surveys are considered to be less subjective than qualitative methods. Surveys were not widely used by the AFAI country teams because there was an interest in going into greater depth into the experiences and perceptions of stakeholders involved in and benefiting

from adaptation finance. An alternative approach would have been to conduct a survey with a larger number of people. Such an approach would have allowed the teams to gather information that could be more easily generalized but may not have provided detailed explanations.

- **Key informant interviews**—qualitative method. Key informant interviews are qualitative, in-depth interviews with people who have firsthand knowledge of the topic. The interviews are loosely structured and are more conversational in nature. Unlike surveys, which depend on a set list of questions, key informant interviews rely on a list of issues to be discussed and probed throughout the course of the interview. Key informant interviews allow for flexibility to explore issues that come up during the course of the discussion that weren't planned for. The AFAI country teams carried out key informant interviews with stakeholders involved in the design, management, and implementation of adaptation activities at national and subnational levels. The interviewees included funders/donors, national government officials, local government staff, NGOs, and other actors involved in the delivery of adaptation projects/programs. The key informant interviews were used to gather information about how adaptation initiatives are designed, managed, and implemented. Sample interview guides for different stakeholders are included in Appendix 2.
- **Focus group discussions (FGDs)**—Qualitative method. A focus group discussion is a group interview with six to 15 people who share common characteristics or interests. FGDs are typically used to gather in-depth information about people's perceptions, experiences, insights, or attitudes. FGDs are often used to gather qualitative information to help interpret data collected through more quantitative methods. The AFAI country teams used FGDs to gather communities' perceptions about climate change adaptation and the quality of services they received to help them adapt. A sample focus group guide is included in Appendix 3.
- **Observation (field observation)**—qualitative method (could also be used in a quantitative approach). Observation is a technique that can be used to understand the process and structure in a specific setting, and to study the explicit and tacit knowledge of local communities. The AFAI country teams used observation to get an inside view of the realities of communities and to know the impact of both climate change and adaptation activities on the everyday lives of people living in the communities. For example, the country teams often went to see infrastructure projects built with adaptation finance to both validate public expenditures and gather insight into the quality of the public works.

TABLE 4. KEY QUESTIONS TO BE ANSWERED THROUGH RESEARCH USED TO DESIGN COUNTRY-SPECIFIC TRACKING TOOLS

TOPIC	WHAT WE WANT TO KNOW
Roles and responsibilities for adaptation at the subnational level	<ul style="list-style-type: none"> • Who are the most important actors at the local level and what are their respective roles and capacities in adaptation? How do they interact at local and national levels? • What are the formal roles of these actors according to policy? What are their roles in reality? • What are the relationships between these actors at district, village, and household levels? • How do adaptation projects link to the regular development/governance systems and processes in the district? • What is the level of capacity and awareness of local governments regarding climate change and in particular about adaptation finance of these different actors? • What is the capacity of local government to manage and implement adaptation policies and projects? • Who participates in the decision-making on development planning? How do citizens/communities participate in decision-making on adaptation priorities and projects? Are the mechanisms the same or different for adaptation and development? Are both men and women able to participate in decision-making processes? • What are the drivers, constraints, weaknesses, and strengths of local institutions for channeling adaptation finance? Are the roles and responsibilities of local institutions aligned with their capacities?
Financial mechanisms at the subnational level for adaptation finance	<ul style="list-style-type: none"> • What are the ways in which adaptation funds flow to subnational government? What is the level of financial decentralization? Does funding flow from the central budget? Are special funds channeled to local governments; through line ministries; directly from donors, etc.? • Does adaptation finance use the same financial mechanisms as regular development? How do other financial mechanisms interact with adaptation finance mechanisms?
Tracking of adaptation finance flows to subdistrict units and end users	<ul style="list-style-type: none"> • How much money has your institution received? Where does the money come from? • How much time does it take for the money to move from the national to community level? Are there bottlenecks in the funding flows? If so, what's causing them? Are there any possible solutions? • How does the money flow from national to district to community level? How much money reaches different levels of subnational government (district, county, subcounty, community)? • What is adaptation funding being used for? Which sectors? Which locations? Beneficiaries? What kinds of activities? To what extent do these allocations reflect national and local policy discourses and priorities? • Was a vulnerability and adaptation needs assessment done? Do the activities supported by adaptation finance align to these needs? Were the needs differentiated by gender? • How were decisions made about the use of funds? Who participated? Were both men and women included in the process?
Community perspectives	<ul style="list-style-type: none"> • What is the level of awareness about adaptation and adaptation finance among communities? • What information do people have about adaptation activities implemented in their communities? Were they involved in decisions about the activities? • To what extent do communities feel adaptation activities respond to their needs and interests?

- **Community service delivery scorecard**—qualitative method. Community scorecards are used to learn how services are experienced by the users and providers. Scorecards are typically used as more than a research method. They are a tool to promote accountability by sharing responsibilities for monitoring the quality of services with users and involving community members and service providers in joint decision-making. The AFAL country teams used scorecards to learn about community experiences with climate change adaptation. A sample scorecard is included in Appendix 4.

Once you have considered the various methods and selected the ones that are most appropriate in your context, you can begin to draft the tools you will need to conduct research. The tools may include questionnaires, interview guides, community scorecards, etc. To make sure the tools are useful and help you gather the information that you need, obtain inputs and feedback from key stakeholders, test the tools, and adjust them before carrying out the research more widely. Further examples of questionnaires used for the tracking work in Zambia can be found in Annex 4.

BOX 7. EXPERT ADVICE

Consult key stakeholders at both national and subnational levels to gather inputs to design the tracking research tools. These group consultations will help to generate buy-in and support for the tracking research and its findings. Gathering inputs will also help to fine-tune the tracking research and tool design.

5.4 CONDUCT RESEARCH, ANALYZE DATA AND REPORT FINDINGS

After testing and finalizing your tools, you will be ready to carry out your research. The data collection process will likely require a substantial amount of travel and coordination of research team members, so you will need to plan carefully. You may find it useful to identify key milestones for completing the data collection, analysis, writing, and other possible activities to keep the work on track.

You will want to make the most of your findings and conclusions by developing recommendations. You can consider a range of dissemination channels including internal reports, external reports, conferences, workshops, etc. The next section will help you to think through advocacy and influencing strategies.

FURTHER READING:

- *From Expert to Advocate! Tools for Evidence-Based Advocacy in Your Community.* www.action.org/images/general/ACTION-Advocacy-Toolkit.pdf.
- *PETS/QSDS Data Portal.* <http://gateway.transparency.org/tools/detail/482>.
- *Research for Organizing Toolkit.* www.researchfororganizing.org/uploads/pdfs/RF0.pdf.
- *Our Money, Our Responsibility: A Citizens' Guide to Monitoring Government Expenditures.* <http://internationalbudget.org/wp-content/uploads/Our-Money-Our-Responsibility-A-Citizens-Guide-to-Monitoring-Government-Expenditures-English.pdf>.

ENGAGING IN INFLUENCING AND ADVOCACY

One of the main objectives of tracking adaptation finance is to gather evidence to inform recommendations on key policy issues that you want to influence in your country. In addition, the approach that you take to carrying out the tracking work can also influence the opinions and decisions of other individuals and organizations. For example, in the Philippines, iCSC worked collaboratively with the country's Department of Interior and Local Government (DILG) to track the Performance Challenge Fund, a performance-based grant incentive that includes adaptation as a project category. This collaborative approach helped to create buy-in for addressing the findings of the tracking work. DILG and iCSC are now in the final stages of institutionalizing the tracking effort.

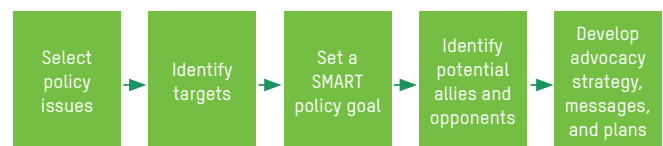
Thinking about how you want to use the findings at the outset can help you to make the most of your tracking efforts by ensuring that you gather the information you need and engage the stakeholders you want to influence. Once you have gathered the information, you can use it in a number of ways, including:

- Raising awareness about adaptation and adaptation finance with communities to help them claim their rights
- Helping to translate the needs of vulnerable communities into adaptation action
- Pressing the government to improve its efforts to address climate change
- Holding donors and governments accountable for their use of funds
- Supporting government agencies, including those with oversight functions, to carry out their mandate

Although this advocacy and influencing section comes at the end of the guide, you may find it helpful to utilize parts of the advocacy strategy development process described below at various stages throughout the process. The advocacy strategy development process can be used both to help frame the tracking research design and to utilize the findings, so you may want to strategize at various stages throughout the process.

STEPS TO DEVELOP AN ADVOCACY STRATEGY

Your findings and analysis may suggest that policies are contributing to limited accountability for adaptation finance. Therefore, advocacy may be necessary to change the policies and practices. Although it may seem that a number of policy changes are necessary, focusing on specific policy issues can help to bring about concrete policy changes that will have a lasting impact.



1. SELECT POLICY ISSUE

Compile a list of policy issues that are contributing to limited accountability for adaptation finance. You will most likely have a long list of policy issues, so you will need to make some choices before doing further work to develop your advocacy strategy.

To help you select the policy issues where change will be both feasible and meaningful (have a lasting impact on the problem), you can use a set of criteria to help you to prioritize and select policy issues to work on. The criteria can be developed in consultation with your colleagues. The following criteria will be useful in narrowing down the list of policy issues and focusing your work:

- Degree to which the policy issue is contributing to the problem
- Potential impact
- Likelihood of success
- Potential risks
- Potential for your organization or network to be successful (added value)
- Suitability of advocacy to address the policy issue

Assessing each policy issue against the above criteria will help you to prioritize and select a specific policy issue on which to focus further. Box 8 provides an example of an impact chain to connect policy issues to impacts on people.

2. IDENTIFY TARGETS

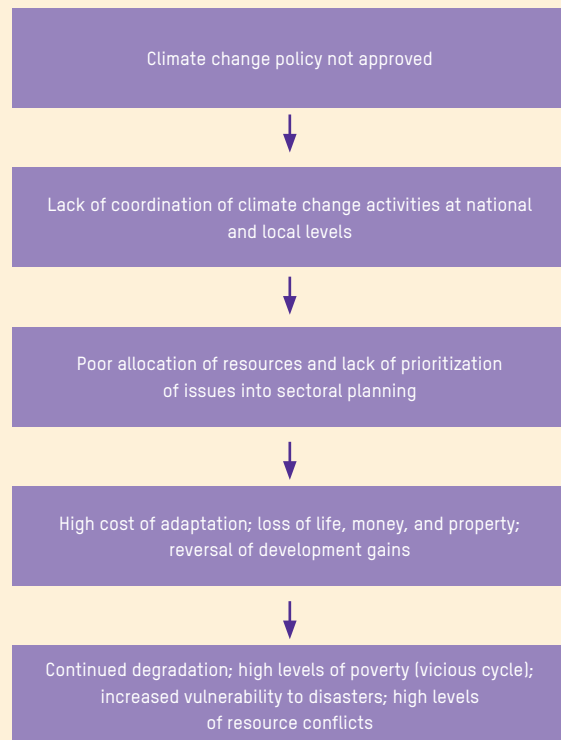
Making policy improvements/changes requires that you identify the key decision makers with the power and mandate to bring about the necessary changes. There are usually two kinds of targets: primary, meaning those with the direct authority to make policy changes (e.g., the Ministry of Environment); and secondary, meaning those that can influence the decisions of the primary target. Secondary targets can vary from specific interest groups, public pressure, other policymakers, etc. You will, therefore, need to focus on those that have the greatest potential to influence your primary audience.

To identify the primary and secondary targets, you will need to understand the policymaking process in your context and know what stage in the process the policy is currently in. For example, initiating a new policy will require different interventions from making changes to the implementation of an existing policy. You will want to identify the key actors and their role in the policy process.

BOX 8. UGANDA EXAMPLE—POLICY ISSUE

Draft climate change policy not approved.

The figure below is an example of an impact chain connecting the lack of a climate change policy to its impact on people.



BOX 9. UGANDA EXAMPLE—IDENTIFY TARGETS

Primary targets for climate change policy: president (who signs); cabinet (which discusses and recommends to the president); and subcommittee of the cabinet (which analyzes and reviews the policy)

Secondary targets for climate change policy: Climate Change Unit; Minister for Water and Environment; media; donors (EU, Danida, and UNDP); and first lady (Office of the First Lady)

3. SET A SMART POLICY GOAL

Having a clear, specific goal will help you communicate what you want to accomplish and assess to what extent you were able to achieve it. Setting SMART—specific, measurable, achievable, realistic, and time-bound—goals will help to keep your work on track. A good advocacy goal should also clearly state what will change, who needs to make the change, and by when.

BOX 10. UGANDA EXAMPLE—SMART POLICY GOAL

By December 2013, the climate change policy will be approved by the president and ready for implementation.

4. IDENTIFY POTENTIAL ALLIES AND OP- PONENTS THROUGH STAKEHOLDER/POWER ANALYSIS

You will need to identify both potential allies and opponents when developing your advocacy strategy. Determining who may support or oppose your policy goal will help you plan your interventions. You may want to work with your allies and include messages and activities that specifically target your opponents.

Identify the key actors, their interests, their influence or power in relation to the policy issue you are working on, and their current position. You can also identify secondary allies and opponents. You will use this analysis to help you make the decisions you need to finalize your advocacy strategy and develop a plan.

5. DEVELOP ADVOCACY STRATEGY, MESSAGES, AND PLANS

There are many ways to approach advocacy and the roles that you can play. Often, advocacy approaches are framed as private or public, collaborative or confrontational, insider or outsider. Some of the potential roles include:

- Expert informant: provides technical advice and information to policymakers
- Honest broker: participates in a policymaking process in an effort to facilitate agreement among competing interests
- Capacity builder: supports others participating in a policy process to influence policymakers
- Lobbyist: influences policy directly through full participation in the process

It will be useful to think about your target audience and what roles/approaches you want to consider.

Next identify your advocacy messages. A strong advocacy message tells your target what you are asking them to do, why it is worthwhile, and what its positive impact will be. In developing your messages, you can utilize the stakeholder power analysis that you carried out in the previous step (Step 4) to tailor your message to the target audience's interests. Messages are most effective when they meet the information needs and interests of the target audience. If you have the time and resources, you may want to test and refine your messages.

Once you have developed key messages for each of your targets, the next step is to identify activities to convey those messages to your targets. Your organizational strengths, potential risks, and costs will influence your choice of activities. Possible activities may include meetings, project visits, petitions, policy briefing papers, and working with the media.

To formulate the advocacy plan, bring the activities together and include the timeframe and budget. You may also wish to include a plan for monitoring and evaluating your strategy. Changing policy environments or new evidence may require that you adjust/adapt your advocacy strategy.

FURTHER READING:

- David Cohen, Rosa de la Vega, and Gabrielle Watson, *Advocacy for Social Justice: A Global Action and Reflection Guide*, 2001.
- www.path.org/publications/files/ER_advocacy_ten_steps.pdf.
- UNICEF, *Advocacy Toolkit: A Guide to Influencing Decisions That Improve Children's Lives, 2010*. www.unicef.org/evaluation/files/Advocacy_Toolkit.pdf.
- Steve Buckley, *Advocacy Strategies and Approaches: Overview Paper*, Association for Progressive Communications (APC), n.d. www.apc.org/en/node/9456.
- International NGO Training and Research Center (INTRAC), *Advocacy and Campaigning Course Toolkit, 2008*. www.intrac.org/data/files/resources/629/INTRAC-Advocacy-and-Campaigning-Toolkit.pdf.

AFAI EXPERIENCES INFLUENCING GOVERNMENT POLICY AND PRACTICE

There are many ways to influence policy and practice. Here are some examples from the AFAI country teams to inspire you:

Collaborate with government institutions. Climate change adaptation and adaptation finance are new issues, and some government actors will have an interest in learning more and improving their work. The Philippines team worked closely with the Department of Interior and Local Government (DILG) to track a subset of adaptation funds under DILG's management. The team agreed on interview questions together with the DILG and then carried out the tracking research in local municipalities that had received funding for adaptation. The findings from the tracking research carried out by the AFAI team were then presented and discussed with the DILG, and some next steps including changes to department policies and procedures and capacity building on climate change adaptation for local government staff were agreed upon.

The Philippines team also used a similar approach with the Department of Public Works and Highways, the implementing agency for the biggest adaptation-tagged project in the country. Because there was an inherent interest in

demonstrating that the project was really an adaptation measure, the Philippines team was able to participate in local site visits and was given access to various project documents.

Create spaces for citizens to share their needs and concerns with their government representatives. The Nepal team organized discussion forums that brought together community members (farmers, forest users, and mothers groups), development practitioners, local political leaders, and government officials. The purpose was to discuss concerns about public participation, financial transparency, and accountability for adaptation projects in the district. These forums provided a space for community members to share their concerns about climate change and to talk about ways to better serve the most vulnerable communities.

Share information even if only partially complete, because doing so will help to generate discussion of the key issues and encourage further information sharing. You may not be able to find detailed information on all adaptation finance flows from national down to the local, community level. Don't worry if you cannot find the details for every single financial flow. The fact that you were not able to find the information is also a valuable finding in and of itself. Sharing your findings, even if some information may be incomplete or contradictory, can help to encourage actors to share information that you may be missing. For example, a donor may be willing to provide additional information to you to clarify inconsistencies or to fill in information gaps when you share the findings.

Make information publicly available to help Congress or Parliament fulfill their oversight function. The Philippines team tailored the presentation of the tracking findings to help members of the Philippine Congress fulfill their oversight function and to more effectively participate in the budget deliberation process. Knowing where international funds were flowing helped members make decisions about where to invest domestic resources.

These are just a few examples of ways you can influence how adaptation finance is used and delivered in your country. The AFAI experiences suggest a huge demand for more information about climate change adaptation and adaptation finance in developing countries—from communities feeling the impacts of climate change to government officials responsible for development to donors eager to fund successful projects—so there are many opportunities to influence and shape the way adaptation finance is delivered to help vulnerable communities in your country.

CONCLUSION

Accountability is everyone's business! And you can play an important role in promoting accountability for adaptation finance.

This guide provides information to help you track adaptation finance flows and engage in advocacy to ensure that adaptation finance is reaching the most vulnerable communities. Although the process is described as a linear set of five steps, in reality the AFAL country teams used an iterative process. Information and learning from each step was used to inform next steps and subsequent decisions, and our influencing and advocacy strategies were updated periodically throughout the project cycle. A first strategy was used to inform the tracking research and then updated and revised as we gathered further data through our research.

Transparency and accountability are essential for both short-term adaptation projects and long-term climate-resilient development. The AFAL research has shown that a number of challenges to transparency and accountability surround climate finance. Information about adaptation finance is scattered across different levels of donor and recipient governments, and it is difficult to obtain. Although there are challenges to accessing information about climate change adaptation finance, the AFAL experiences have also demonstrated a clear role for civil society in tracking adaptation finance and promoting greater accountability.

If your organization wants to engage in a meaningful debate about adaptation, you can use this tracking guide to gather evidence of the strengths and weaknesses of current adaptation finance activities. You can then use the information in a number of ways, including:

- Raising awareness about adaptation and adaptation finance with communities to help them claim their rights
- Helping to translate the needs of vulnerable communities into adaptation action
- Pressing the government to improve its efforts to address climate change
- Holding donors and governments accountable for their use of funds
- Supporting government agencies, including those with oversight functions, to carry out their mandate

Whether you download data about adaptation projects from the OECD database, use a community scorecard to engage communities in a discussion about their adaptation needs and the quality of services they receive, or design a multiyear research and advocacy project, you can play an important role in promoting greater accountability for adaptation finance.

APPENDIX 1

SAMPLE LETTER TO DONORS FOR FEEDBACK

Subject: Request for information on adaptation finance provided by your organization

Dear [name of the donor or contact person],

[Name of your organization or network] is gathering information on climate change adaptation projects that are being implemented in [your country]. This activity is part of a national initiative implemented by [your partners] and focuses on tracking adaptation finance from the national level down to the community level. We will look at both international and domestic sources of finance. More information on the program can be found here [your website].

To compile information from the international sources flowing to [your country] for adaptation, information was gathered from public sources such as the OECD Creditor Reporting System and the International Aid Transparency Initiative. If available, information was added from donor websites. In the attached overview, you will find the list of adaptation-relevant projects that, according to these sources, are being funded by your organization.

Unfortunately, it was not possible to obtain all project information using public sources. Therefore, we request your support in verifying the attached information and adding information when necessary. The information you provide will be used to identify international adaptation funding flowing to [your country]. The results of this research will be presented in [your country] and at international forums.

Attached, you will find an overview of the adaptation-relevant activities. This overview is also available in Excel format. If you would like to receive the electronic version of this document by email, you can contact me at [your email address].

Thank you very much for your support. Please contact us if you would like to have more information about this request.

Sincerely,

[your name and full contact details]

APPENDIX 2

KEY INFORMANT INTERVIEW GUIDES—UGANDA EXAMPLE

1. DONORS

We are conducting a study on accountability of climate finance for adaptation, so we would like to ask you some questions about these projects:

- a. Project:
- b. Objectives:
- c. Implementing agency:
- d. National counterparts (e.g., Ministry of Agriculture, Climate Change Unit (CCU)):
- e. Brief justification of the project:
- f. Location (districts):
- g. Does the project have a budget allocation per district (complete as much information as the project provides):
- h. Financing (budget and release per agency, output, activity, etc.)
- i. Current status:

On the framework:

- Responsiveness: How do the project activities respond to local needs?
- Transparency: How does the project share information with different stakeholders? Do the projects share budget information? Do they report to the CCU or to local governments?
- Participation: What is the nature of the participation of the local governments and communities in the project?
- Ownership: Are the local governments and/or the communities involved in the decision-making (activities, beneficiaries, etc.)?
- Equity: Does the project have any special considerations for the marginalized (i.e., beneficiaries criteria, gender considerations)?

2. LOCAL GOVERNMENT OFFICIALS

1. Are you aware of any climate change challenges in your district/subcounty?
 - a. If yes, mention them.
 - b. Who is most affected?
 - c. What assistance has the district received in addressing these challenges?
 - d. What has the district/subcounty done to address the challenges?
 - e. How have your interventions helped to improve the situation?
2. What are the roles and responsibilities of district and subcounty governments with regards to adaptation to climate change?
 - a. Do the roles and responsibilities include the identification of gendered needs and interests?
3. Does the district/subcounty implement any climate change projects (activities)
 - a. If yes, who funds them?
 - a. How do funds flow through the district (budget, special funds, donors, NGOs etc.)?
 - b. How much time does it take for the money to reach the district from the national level?
 - c. What mechanisms have you employed to have all stakeholders involved or informed about your adaptation projects?
 - d. Any bottlenecks and solutions?
 - b. If no, why?
4. What is climate change finance supporting?
 - a. Which sectors and activities?
5. What capacity does the district/subcounty have to manage and implement climate change projects?
6. What constraints and weaknesses does the district/subcounty have in managing and implementing climate change projects?
7. Are you aware of any climate change (adaptation) projects in the district and subcounty?
 - a. If yes, who is implementing them? (List all and their areas of operation.)
 - i. Have you interacted with any?
 - If yes, name and how (explain).
 - b. If no, where can we get information on implementers of climate change (adaptation) projects?
8. How do adaptation projects at the district level link to the governance systems and processes in the district?
9. How do citizens/communities participate in decision-making on climate change priorities and projects?
 - a. Are both men and women able to participate in decision-making processes?
10. How are the activities supported by climate change (adaptation) finance aligned to vulnerability and adaptation needs?
11. How are decisions made about the use of funds?
 - a. Who participates?
 - b. Are both women and men included in the process?

3. NGOS

1. Does your organization implement any adaptation projects (activities)?
 - a. If yes, how? [Explain implementation mechanisms.]
 - Where, target group, period, etc.?
 - b. Who is your funder?
 - c. How much, and how do funds flow?
 - d. How much time does it take for money to reach your organization from your donor?
 - e. Any bottlenecks and solutions?
2. What is adaptation finance supporting?
 - a. Which sectors and activities?
 - b. How have your interventions helped to improve the situation?
3. What mechanisms have you employed to have all stakeholders involved or informed about your adaptation projects?
4. How do citizens/communities participate in decision-making in your adaptation projects?
 - a. How did you reach out at the given activities?
 - b. Who participated in deciding the nature of the activities to be implemented? Are both men and women able to participate?
5. How are decisions made about the use of funds?
 - a. Who participates?
 - b. Are both women and men included in the process?
6. How are the activities supported by your adaptation finance aligned to vulnerability and adaptation needs?
7. What capacity does your organization have to manage and implement adaptation projects?
8. What constraints and weaknesses does your organization have in managing and implementing adaptation projects?
9. How do adaptation projects link to the governance systems and processes in the district?
10. Are there any roles and responsibilities the district and subcounty play in regards to implementation of your adaptation projects?
 - a. Explain [no or yes].
11. Are you aware of any other organizations implementing adaptation projects in the district and sub county?
 - a. If yes, list all and their areas of operation.
 - Have you interacted with any of these organizations?
 - If yes, name and how (explain).
 - b. If no, where can we get information on implementers of adaptation in the district/subcounty

APPENDIX 3

FOCUS GROUP DISCUSSION (FGD) GUIDE—UGANDA EXAMPLE

Start with drawing a community map with focus on identifying established climate adaptation projects, such as woodlots, energy technology centers, water tanks and dams, and agricultural technology uptake demonstration sites.

Start the discussion with a provoking statement to provoke a conversation: “The current climate change is God-given; we have nothing we can do about it.” Discuss. (This is a way to get people’s perceptions on climate change and the need for adaptation.)

Questions

1. What environmental/climate-related problems do you face in your community?
2. Are you aware of any programs in your community that address environmental climate-related issues?
 - a. If yes, name them.
 - b. If no, why?
3. Have you participated or benefited in the project (projects) or activity (activities)?
 - a. If yes,
 - i. How were you selected to participate?
 - ii. What activities were you engaged in?
4. Are you aware of funds allocated to the project(s)?
 - a. If yes, how much?
5. Are you involved in the budgeting (allocation) and accountability of project funds?
 - a. If yes, how?
6. Are you aware when funds are disbursed for project activities?
 - a. If yes, how?
7. Are there any changes at individual and community levels due to project activities?
 - a. Explain [no or yes].
 - b. If yes, list the changes.
8. Do you think the organization/government is doing enough to address the climate change challenges in your community?
 - a. Explain [no or yes].
9. What challenges/weakness do you see with the organization(s) implementing climate change projects in your community?
 - a. What proposals do you have to help improve implementation?

APPENDIX 4

COMMUNITY SCORECARD—ZAMBIA EXAMPLE

VWAVWA AND MUZIYO COMMUNITIES: SINAZONGWE DISTRICT COMMUNITY SERVICE DELIVERY SCORECARD

INDICATOR	SCORE					REMARKS
	1 VERY BAD	2 BAD	3 FAIR	4 GOOD	5 VERY GOOD	
Government shares information on adaptation projects including budgets		✓ X				We have not had any information from government on adaptation projects.
Communities have access to information on adaptation funds		✓	X			Through work with NGOs we have accessed some information on climate change.
Do you participate in coming up with programs for your community				✓ X		We have meetings with extension officers when we encounter problems. We also share our problems with government and Kaluli Development Fund (KDF).

KEY: X = Response from Vwavwa irrigation scheme members. ✓ = Response from Muziyo agriculture scheme farmers.

APPENDIX 5

QUESTIONNAIRES—ZAMBIA EXAMPLE

ZAMBIA: GOVERNMENT AND CSO QUESTIONNAIRE

SECTION A: BIO DATA

Name of the organization
What is the core business/specialization of your organization?
How long has your organization been in existence?
How long has your organization been supporting climate adaptation programs/activities?
Phone contact
Email contact
Name of the interviewee
Position
How long have you served in this capacity?
Name of the interviewer

SECTION B: ASSESSING ACCOUNTABILITY, ACCESSIBILITY, AND TRANSPARENCY

1. Does your organization receive funds to support adaptation and resilience activities in climate change?
2. What are your sources of funding toward adaptation and resilience activities in climate change?
 - a. 2012
 - b. 2013
3. How much funding did you receive for the year 2012 and 2013?
 - a. 2012
 - b. 2013
4. How much was your budget for the year 2012? Approximate the adaptation budget to overall budget. Also approximate the adaptation funds received overall.
5. Did you receive a surplus or deficit toward your budget?
6. What was the impact of the surplus or deficit?
7. How much was expended for the year 2012?
8. What did you spend the funding on?
9. Have you had any challenges in spending the funds?
10. If yes, provide details.
11. Who were the recipients of your subfunding in the year 2012?
12. How did you administer the funds?
13. What adaptation project(s) did you fund? How were the projects decided? What was the role of the target beneficiaries? Isolate the projects by sector (fisheries, livestock, forestry, etc.).
14. How has this funding affected the operation of your organization (efficiency and capacity)?
15. How has this funding impacted recipients? How has it changed the lives of the recipients?
16. What criteria do you use to monitor and evaluate the impacts of the funding in the recipient organization?
17. What ways were beneficiaries involved in the selection and administration of the funds? What measures, if any, were used to inform communities about funds received and how they were used?
18. Has the funding decreased or increased in 2013 compared with 2012?
19. How has this decrease or increase affected the operations your organization?
20. Have you had any constraints in accessing funds?
21. What measures can be put in place to overcome these constraints?
22. What major areas do you think should be a priority for adaptation and climate-resilience funding?
23. Do you have any additional comments?

ZAMBIA: COMMUNITY FOCUS GROUP DISCUSSION QUESTIONNAIRE

SECTION A: BIO DATA (INTERVIEWEE PROFILE—INTERVIEWER ADMINISTERED QUESTIONS)

Sex (count how many females and males):
Occupation (count how many belong to a particular occupation)
Village
Chief
District
Province

SECTION B: AREA CLIMATE CHANGE PROFILE (INTERVIEWER ADMINISTERED QUESTIONS):

1. Region (ecological zone)
2. Annual rainfall pattern
3. Most frequent weather variations
4. Main climate change impacts:
I.
II.
III.
IV.
Name of the Interviewer

**SECTION C: ASSESSING ACCOUNTABILITY, ACCESSIBILITY, AND TRANSPARENCY
(INTERVIEWER-ADMINISTERED QUESTIONS)**

1. What is your understanding of the term “climate change”?
2. In what ways has the climate been changing over the past five or so years?
3. What has been your own personal experience of climate change?
4. What has been the impact of climate change in your community?
5. Has your community received any support toward climate adaptation? If so, in what form?
6. Has your family received any support toward climate adaptation? If so, in what form?
7. How would you describe the support (sufficient or insufficient; appropriate or inappropriate; solicited or unsolicited, etc.). Elaborate on any of the answers.
8. Are you aware of any climate adaptation funds in your community?
9. How much funding has your community received toward climate adaptation?
10. Which institution or organization is responsible for facilitating the funds?
11. In what ways has this funding benefited the community or families?
12. What would you say about the distribution of these funds by the organization in charge?
13. Ask about accountability of allocation.
14. Ask questions about their involvement in information about the funds; allocation; decisions regarding projects to fund; how much money used; and so on.
15. What form of climate adaptation interventions have you received as a community?
16. Did you have any challenges in accessing support for climate adaptation?
17. How do you think funds can best be managed?
18. What impact would you like to see?
19. What structures for more effective/responsive adaptation and financing at the community level would facilitate?
20. Do you have any additional comments?

ZAMBIA: GOVERNMENT OFFICIALS QUESTIONNAIRE

SECTION A: BIO DATA

Position/title of interviewee
Period of service in the same capacity
Sex
Length of stay in the community
Name of the interviewer

SECTION B: ASSESSING ACCOUNTABILITY, ACCESSIBILITY AND TRANSPARENCY

1. What is your understanding of the term *climate change*?
2. What has been your personal experience of climate change?
3. What has been the impact of climate change in your community?
4. Has your community received any support toward climate adaptation?
5. Are you aware of any climate adaptation funds in your community?
6. How much funding has your community received toward climate adaptation?
7. Which institution or organization is responsible for facilitating the funds?
8. In what ways has this funding benefited the community?
9. What would you say about the distribution of these funds by the organizations in charge?
10. What form of climate adaptation interventions have you received as a community?
11. Does your area have any challenges in accessing support for climate adaptation?
12. Has your community received any other form of support toward climate adaptation?
13. Do you have any additional comments?

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ABOUT THE AFAI PARTNERS

The **Overseas Development Institute** (ODI) is Britain's leading independent think tank on international development and humanitarian issues. ODI's mission is to inspire and inform policy and practice that lead to the reduction of poverty, the alleviation of suffering, and the achievement of sustainable livelihoods in developing countries. ODI does this by locking together high-quality applied research, practical policy advice, and policy-focused dissemination and debate. ODI works with partners in the public and private sectors, in both developing and developed countries. In partnership with the Heinrich Böll Foundation North America, ODI coordinates Climate Funds Update, an independent website monitoring and verifying dedicated public climate finance (<http://www.climatefundsupdate.org>).

Oxfam is an international confederation of 17 organizations networked together in more than 90 countries, as part of a global movement for change, to build a future free from the injustice of poverty.

World Resources Institute (WRI) is a global research organization that turns big ideas into action at the nexus of the environment, economic opportunity and human well-being.

Climate Action Network Uganda (CAN-U) is a civil society coalition with a membership of more than 200 CSOs and individuals. These members include both local and international CSOs, which are spread all over Uganda and divided into six regional nodes/chapters. CAN-U's mission is to actively promote positive climate change action through advocacy, networking, and program development.

Clean Energy Nepal (CEN) is a leading national NGO engaged in national policy dialogues on climate change, including the country's National Adaptation Programme of Action and its Strategic Program on Climate Resilience. CEN has strong relationships with key ministries and is included in the Nepalese government's Climate Change Council and Core Negotiation Team to the UNFCCC. CEN also serves as the secretariat of Climate Change Network Nepal.

The **Institute for Climate and Sustainable Cities** (iCSC) is a Philippines-based nonprofit organization working on sustainable energy solutions and fair climate policy, focused on climate adaptation finance and low carbon development, and pioneering long-term policy transformation and sustainable social enterprise.

The **Zambia Climate Change Network** (ZCCN) is a national coalition established in 2009 with more than 80 member organizations representing civil society, intergovernmental institutions, the private sector, and academic and research institutions. ZCCN has undertaken comprehensive studies of climate finance in Zambia over the past three years and is also a civil society representative on Zambia's national technical committee on climate change.

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NOTES

- 1 Available online at www.worldbank.org/content/dam/Worldbank/document/Joint%20MDB%20Report%20on%20Adaptation%20Finance%202011.pdf.
- 2 AFAI focused primarily on international adaptation finance, because when AFAI began in 2012 climate budget codes that would have allowed easier identification of relevant domestic adaptation funds were not in use. The Philippines is the only country that selected a domestic fund, the Performance Challenge Fund, for local tracking. As countries move to track climate related budget expenditures it may be possible to gather domestic data as well as international.
- 3 OECD website. "Climate Change: OECD DAC External Development Finance Statistics." Available online at www.oecd.org/dac/stats/climate-change.htm.
- 4 iCSC.2014. "Where Are the Climate Funds, How Were They Allotted, and How Will They Be Spent?" Available online at www.ejeepney.org/where-are-the-climate-funds-how-were-they-allotted-and-how-will-they-be-spent/.
- 5 iCSC.2014. "Keeping an Eye on Philippine Climate Money." Available online at <http://www.ejeepney.org/keeping-an-eye-on-philippine-climate-money/>.

COVER: Joel Villamor, fisher farmer in Tacloban, the Philippines.
Eleanor Farmer / Oxfam



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