Presented at the ADB project training workshop "TA 9993-THA: Climate Change Adaptation in Agriculture for Enhanced Recovery and Sustainability of Highlands", July 4-5 2022, Nan Province, Thailand. Please refer to the final slide for the source of material used in this presentation.

Community-Based Adaptation (CBA) Planning

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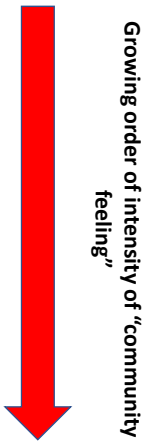
What is a Community?

- A group of people
  - who shares a common place
  - who consider a place as 'together'
  - who keeps common knowledge about their neighborhood,
  - who shares a common values, interests, attitudes, and
  - Who share responsibilities for a common benefit



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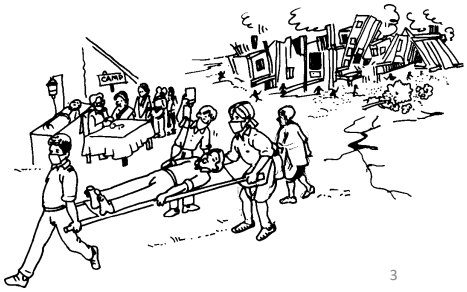
Why Community-Based Adaptation Planning?

Anarchy, confusion, ad-hoc response, and high magnitude of impacts!

Systematic & confident response that mitigates impacts!



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Why Community-Based Adaptation Planning?

- Communities are the ones who undergo climate impacts first
- They understand their vulnerabilities and capacities better than outsiders
- Communities are the stewards of local resources including natural resources (degradation of which can make them vulnerable to climate change)
- They are the first responders = building their capacity to respond to and mitigate risks is a more efficient way
- Improving the capacity of communities reduces the overall burden on governments and other agencies

What is the benefit of CBA in a rural setup?

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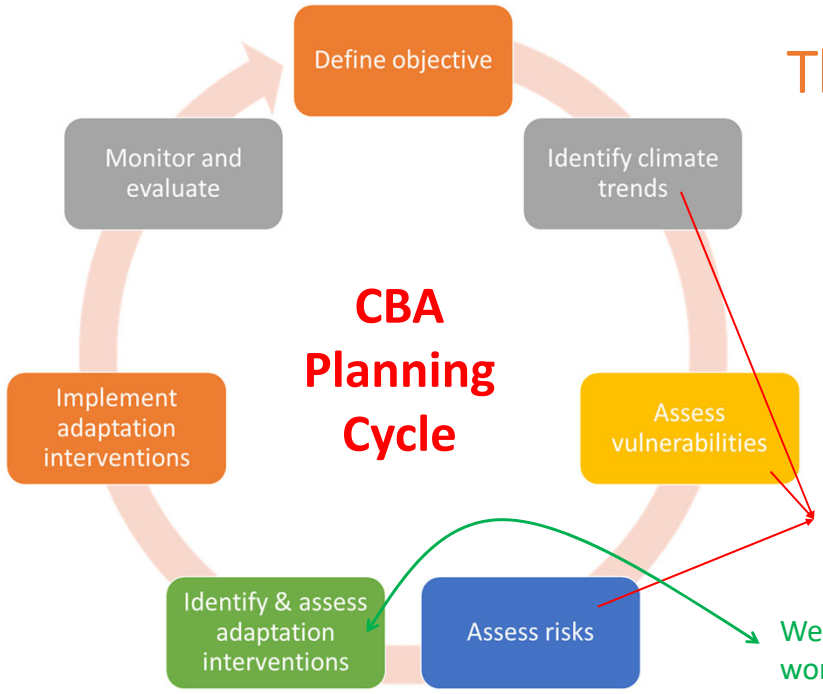

The CBA Process

- It is an iterative process, not a cyclical one! More like a spiral.
- Start with an objective that is agreed by all and those can be easily tracked.

These are already done by our colleagues and presented in this workshop.

We need to do this in this workshop.

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CBA Exercise can Employ a Variety of PRA Techniques

- Data can be collected by selecting among 21 PRA techniques

· Communication maps	· **Problem/Preference ranking**
· Cross impacts analysis	· Rain calendars
· **Focus group discussions**	· **Ranking**
· Gender audit (institutions)	· Resource maps
· Gender analysis	· **Seasonal calendar**
· **Hazard impact on livelihood matrix**	· Social maps
· **Hazard mapping**	· Transect walks
· Hazard trend analysis	· Venn diagrams
· Mental models	· **Vulnerability and capacity matrix**
· Participatory scenario development	· Wealth ranking
· Power mapping	

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The CBA Process in a Nutshell

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Step I: Identification of the Key Stakeholders

Selected steps for the group discussion in this workshop

- Who are the key stakeholders?
  - Village head, officials from local agencies
  - Representation from ethnic groups
  - Representation from professions (farmers, business, worker, teacher, health professionals)
  - Local groups or institutions (e.g. SHGs/religious groups etc.)
  - Women, men, children, elderly, disabled,
  - Farmers, business persons, government officers, informal leaders etc.
- Explain what we are doing, why we are doing and the ultimate outcome from the exercise

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Step II : Introduction and Objective of the Exercise

- ***Self introduction*** *of all the members of the group*
- ***Decide the objective*** *of the exercise with the community members*

In community based adaptation planning, communities at risk are actively engaged in the identification, analysis, planning, monitoring and evaluation of climate risks ***in order to reduce their vulnerabilities and enhance their capacities***

- **Expected outputs:**
  - Preparing a community based risk management team
  - Develop an action plan to better prepare and mitigate future climate change risks

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Step III: Conduct a Transect Walk/Town Watching (we do this virtually in our workshop)

- **Objective:** To identify key vulnerabilities including people, and capacities including assets and safe areas

Overall

- Houses: Nature of houses, age, number, location of vulnerable houses, cracks in walls, houses on steep slopes etc.
- Natural assets: Forest, farmland etc.
- Roads, bridges, telephone stations, vulnerable infrastructures
- Rivers, canals, ponds
- Schools, monastery, evacuation sites, critical facilities
- People: Aged, disabled, and other vulnerable sections

Our focus: Agriculture

- Nutrition depleted soils
- Eroded soils
- Soils with visible physical damage
- Fields with and without irrigation
- Irrigation facilities / drought prone / rainfed farms
- Farmers who have access to irrigation
- Farmers with and without access to markets, extension facilities
- Storage facilities
- Best cases/progressive farms
- Extension facilities and offices etc.

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Step IV: Conduct Participatory Risk Mapping

- Ask the participants to draw the village/locality map (use the provided maps)
- Locate all the features identified in Step 3
- Identify risky features as well as safer location (for potential planning) in below table using the charts and post-it provided:

Features	Total (number, length, area)	High risk (No, length, area)	Remarks
Depleted soils			
Eroded soils			
Drought prone			
…			
..			
…			

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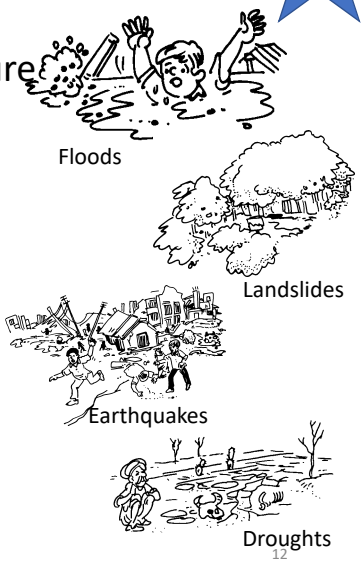
Step V: Understanding Local Catastrophic Events & Impacts

- **Objective:** To identify the place of catastrophic events among others, and to discuss about the future condition of events in the location by showing the vulnerability map developed (use the information you discussed before)
- List all the local risk events (e.g. disasters or other events, focus on climatic events but include non-climatic as well as they can compound the risks)
- Identify trends in the events (increasing or decreasing trend over the years)
- Identify the major impacts of events
  - Identify & rank impacts: Social, Economic, and environmental
  - Identify the trend in impacts
  - Identify & rank the major reasons



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Step VI: Livelihood Analysis

Objective: To identify livelihoods of communities, and to understand the resilience and vulnerability of livelihoods to climatic shocks

- What are the important livelihoods in the village?
  - What % of community members dependent on what livelihoods?
- What are the impacts of different natural hazards (in this case the climatic hazards) on these livelihoods
  - Which livelihoods are most affected by what climate elements and when? (the question of 'when' can be showed by using the seasonal calendar, see the next slide)
  - Why are these livelihoods most affected? (can use the cause-effect diagrams, reasoning, focus groups etc.)

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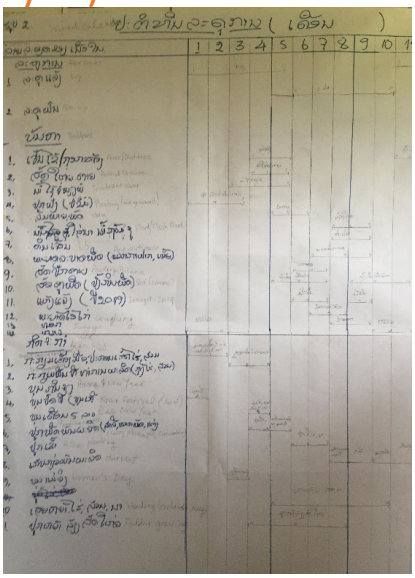
Continue VI: Seasonal Calendar for Livelihood Analysis (& Vulnerability Analysis)

	J	F	M	A	M	J	J	A	S	O	N	D
Climate • Dry • Wet • Hot/Cold												
Livelihood/Activities • Farming • Business • Marketing • Festivals • Holiday • ---												
Climate Emergencies • Droughts • Floods • Disease outbreak • ----												
• Wellbeing • Scarcity												
Vulnerable groups • Poor/Women/children/old												



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Step VII: Prepare a CBA Plan

	Chart I			Chart II			Chart III		
Plan	**Short term**			**Medium**			**Long**		
	Actions (Agriculture-specific)	Resources (Available & Needed)	Roles & responsibilities	Actions	Resources (Available & Needed)	Roles & responsibilities	Actions	Resources (Available & Needed)	Roles & responsibilities
Preparedness									
Response									
Recovery & Reconstruction									

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Step VIII: Resource analysis and mapping

- **Objective:** To determine the resource needs and gaps.
- Identifying needed resources and match with existing
- Identify who owns or control these resources?
- How can these resources be made available for the community's particular risk reduction activities? (e.g. pre, emergency phase, post disaster)
- Identify the resources that can be mobilized from outside agencies and partners

Resources Analysis Matrix

	Chart I				Chart II	
	Available Resources					
Resources	Availability rating (1-5)	Accessibility rating (1-5)	Why not available?	Actions or interventions needed to make existing resources accessible	Additional Resources needed to implement CBA	Actions or interventions needed to fill the resource gap.

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Types of Climate Resources (Focus discussion on agriculture-related resources in your groups)

Infrastructure and facilities • **Roads** • **Hospitals** • **Evacuation center** • **Markets etc.**	• **Medical facilities** • **Ambulances** • **Doctors** • **Nurses**
Human resources and networks • Village head • Women groups/SHGs • Farmers groups	• Community food grain stocks
Individual assets and resources • Houses • Livestock • Vehicles (trucks, boats etc.)	• Skills that others can use (health/electrician, swimmers, electricians, iron smiths etc.)
• Finances (Banks, micro finance, DRR fund..) • Savings, lenders	• Common financial assets (e.g. DRR funds)
• Earth moving machinery • Power generators • Emergency communication equipment	• Emergency equipment (fire extinguishers, ropes, lights etc.)

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Step IX…: Actions, Roles and Responsibilities

- Who should be involved, their roles and responsibility in CBA
- Networks and coordination
- Structural intervention of prevention and mitigation
  - Local government
  - Provincial government
  - Central government
- Non-Structural measures
  - Community institutions (existing or new)
  - Local authority
  - District offices, provincial
- Response and Recovery
  - Individual capacity
  - Community capacity
  - District and provincial capacity
  - National capacity

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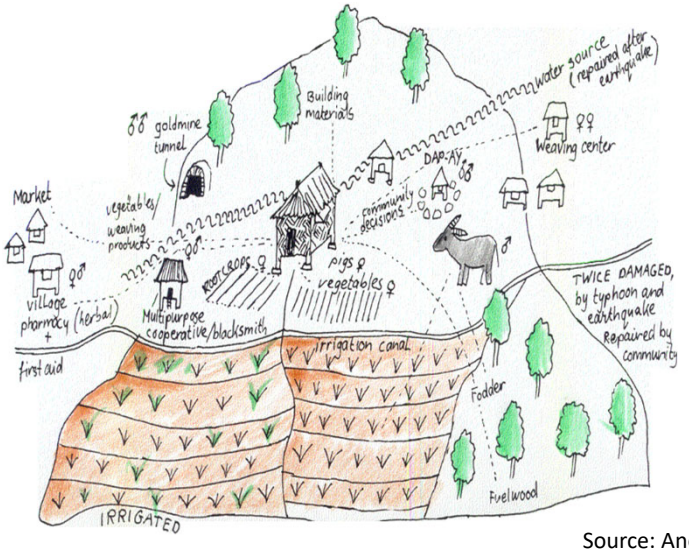
Step X: Incorporate identified measures into the map



Source: Anon)

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Questions for group discussion

- What are the constraints in implementing the adaptation actions you prioritized and how to overcome them?
- What are the unknowns in the entire planning process that affected your decision making and how they can be addressed?
- How would you synchronize the village/sub-provincial plans with that of the provincial adaptation plans, what challenges would you face in such synchronization and how to overcome?

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Where to start?

- Lets form into groups
- Each group to elect a representative who can conduct the process
- Continue using the steps as discussed in this presentation
- Since time is limited, allocate time to each step (5-7 min max) and track the time.
- Feel free to ask the session moderator if any clarifications are needed

To be led by a participant chosen within each focus group

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Materials

- Flip charts
- Risk and vulnerability maps (whole area and specific sites) for BAU and specific scenarios
- Markers, tape, pens, post-its

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Thank you!

For any enquiries, please write to prabhakar@iges.or.jp

Source acknowledgement: Several images used in this presentation were drawn from the earlier work done by the author at NIDM, India. The appropriate source of these images can be ascertained. NIDM. 2005. Preparing Training Module Designs in Disaster Management: A Short Guide. NIDM, New Delhi, India. Some photos used in this presentation were drawn from the field exercises conducted as a part of AECOM-USAID-NABARD collaborative work on vulnerability assessment.

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