



Putting Principles into Practice

Civil society experiences from across the world of using the **Joint Principles for Adaptation**



CONTENTS

1. Introducing the Joint Principles for Adaptation (JPA)	3
2. How the JPA are being used	7
3. The Principles and Criteria	11
4. Assessing climate policies with the JPA	17
5. On the Southern Voices and the way ahead	23

CASE STORIES

The stories are based on inputs from the Southern Voices partner networks – and illustrate how the Joint Principles for Adaptation have been put into practice. They have been divided into three broad categories: obviously these are overlapping, and every one of the SVA partners has a range of experiences in every category. The stories present just a part of the whole picture, and are by no means a comprehensive account of everything any of the partners has done.

Influencing policy processes

Introducing the JPA into UNDP's support programme – Malawi	6
Harnessing the influence of faith leaders – Kenya	8
Introducing the Joint Principles of Adaptation into the NAP process – Sri Lanka	10
Influencing the Meteorological Policy – Malawi	12
Incorporating the JPA in the procedures of a National Implementing Entity – Kenya	16
Demonstrating relevance to INDC and other policy shifts – Vietnam	20

Strengthening Capacity

Training district officials and planners – Ghana	6
JPA as a capacity building tool for community-based organisations – Cambodia	12
Empowering local partners and local government – Nicaragua	14
Customising the JPA assessment tool for national circumstances – El Salvador	16
Capacity strengthening through preparing to apply the JPA – Mozambique	18

Promoting dialogue

Working in partnership with a national agency – Bolivia	8
Creating a bridge between traditional principles and official plans – Guatemala	10
Multiple stakeholders developing a national adaptation benchmark – Nepal	18
Enhancing credibility and reputation of civil society partners – Ghana	20

When you share the JPA with people they like them and agree with them but then there is a 'so what?' period when they want to know how exactly you can actually deliver them. It is the examples that accompany the JPA that get people excited!
(Kenya)

Photo: Field visit in connection with Southern Voices partner workshop in Nairobi April 2015: Francisco from El Salvador learns from Kenyan farmers about gardening with drip irrigation – one way of adapting to climate change ©CARE Denmark

1. INTRODUCING THE JOINT PRINCIPLES FOR ADAPTATION (JPA)

The Joint Principles for Adaptation, JPA for short, are a tool for ensuring that national policies and plans meet the needs and fulfil the rights of the most vulnerable people to adapt to climate change. They are “joint” in two senses: firstly, they have been developed by a wide network of civil society organisations from across the world who have reached a consensus on what they should cover; and secondly, they are intended to apply to the actions of all actors and stakeholders involved in promoting adaptation. Climate change adaptation is a serious global challenge, and demands a united and joint effort from stakeholders in all societies.

The JPA have been developed by Southern Voices on Adaptation (SVA), which grew out of a civil society initiative of organisations working together to promote pro-poor climate policies dating from COP15 in Copenhagen. The project partners, spanning networks and organisations from four continents, initially drew up the JPA at a workshop in Kathmandu in April 2014, followed by eighteen months of testing. The intention was to arrive at the present point, of having a tried and tested tool which could be used by civil society organisations more widely.

The JPA have evolved over time, having undergone several revisions¹ after testing in twelve countries. From the experience of the SV partners, not only has the content been improved, but so too has the understanding of how the JPA can be put to good use in different contexts.

It can be difficult to assess the actual added value to an individual network of working globally on the JPA with many partners, across many continents. However, many partner networks echo the view of an external monitoring report on the Climate Change Working Group in Vietnam: “... it is useful to learn from the experiences from other countries and the fact that the JPA is global gives strength and legitimacy when discussing and advocating with the Government.”²

The SV partners believe that the Joint Principles for Adaptation have demonstrated their utility for those working to ensure that climate change adaptation is effective, equitable and inclusive. Others are now encouraged to try this tool, customising it if necessary for their own circumstances. The JPA will no doubt continue evolve as a result of feedback and learning from all those who make use of it, and in the light of new adaptation mechanisms that may emerge from international negotiations.

Other actors beyond Southern Voices are making good use of the JPA. For example, the Adaptation Fund NGO Network, coordinated by Germanwatch, has recently published a guide – “Adaptation: Get the Connection” – on how to track the progress of different adaptation initiatives in a country. The general principles for “good adaptation” used by this toolkit are drawn directly from the JPA³. Meanwhile the Salvadoran Round Table on Climate Change has on the strength of the JPA voluntarily associated itself with the SVA project, despite not receiving funding from it. Also in Central America, Centro Humboldt and SUSWATCH are developing new programmes together with CAFOD and Christian Aid to facilitate learning and

83%

of SV partners have found that using the JPA has enhanced their work

“If the approach proves successful after two years, the ...initiative will have a life of its own, with supporters and champions... spreading the use and adoption of the JPA to more countries,... civil society networks, governments, (and) donor agencies...”
(from the original project proposal)

¹ At the time of writing, the current version is Version 3, November 2015.

² Report of monitoring visit to CCWG / CARE Vietnam, The Fund for Climate and Environment, CISU (2015)

³ Available at <http://af-network.org/download/8196.pdf>

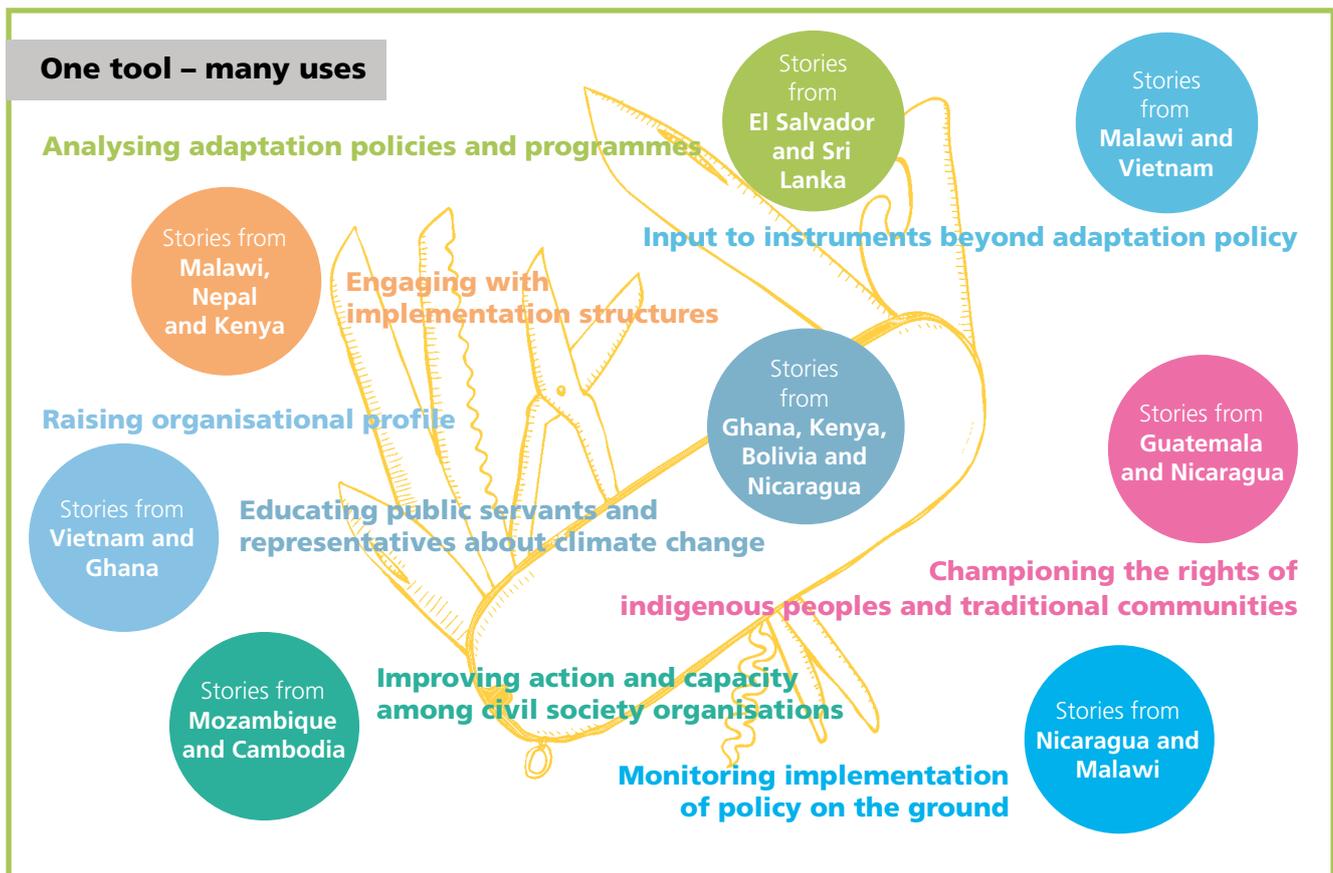
The Joint Principles for Adaptation



experience related to the JPA, working with some 30 other organizations. In Africa, CARE’s Adaptation Learning and Advocacy Programme is making use of the JPA in its advocacy work. And in Asia, the JPA have been the basis for work on NAPs in partnership with the Asia Pacific Adaptation Network.

In the following sections, this booklet describes some of the experiences of SVA partners in using the JPA. Section 2 gives an overview of the process so far, both as planned and how it has turned out. Section 3 outlines the Joint Principles themselves, while Section 4 presents some results from the assessments that have been carried out. Finally, Section 5 outlines some ideas for the way forward. Interspersed throughout the publication is a selection of stories from different SVA partners that illustrate different ways in which the JPA have been used so far, to demonstrate the value and versatility of this tool, and hopefully to inspire readers to try it in their context.

Evidently each one of our stories in this volume can be used to illustrate more than one use of the JPA. The examples in this picture are simply to illustrate the wide range of our experiences. And no doubt that tool has more blades that have not yet been unfolded.



Training district officials and planners

In the process of conducting trainings on the JPA for selected officials in **Ghana**, *ABANTU* found that District, Municipal and Metropolitan Chief Executives (MMDCEs) (the political heads of the development implementation at the local level) have a very limited knowledge of climate change. As a result, district planners are unable to specifically factor climate change into infrastructural designs and accompanying budgets, thereby hampering effective climate change adaptation and resilience.

ABANTU has now started to use the JPA to engage with the MMDCEs on climate change, JPA to guide them in the development of action plans towards prioritising climate change adaptation initiatives at the district level.

For their part, the planning officers feel inundated with too many tools and frameworks required by various actors for different elements within the plans of District Assemblies. They found it refreshing that the JPA integrates the key elements of responsive programming, making it easier to use and hold themselves accountable to the communities and constituents that they represent.

Introducing the JPA into UNDP's support programme

The Civil Society Network on Climate Change (CISONECC) presented the JPA to **Malawi's** National Technical Committee on Climate Change, which includes representatives from the Environmental Affairs Department, Economic Planning, and Ministry of Lands, Department of Climate Change and Meteorological services, academia and development partners.

Committee members acknowledged the principles as reflecting a standard for good practice in climate change adaptation. They made the following observations:

- The Principles could be used by both public and private sector actors implementing programmes on climate change adaptation.
- Similar principles are being advocated for and promoted by the UNDP through the Adapt Plan (a climate change adaptation programme in Malawi) and FAO.
- Principle B on finance should apply to all funds, not just governmental ones. There are large programmes on climate change adaptation implemented by civil society, but no mechanisms are put in place to ensure efficiency and accountability of such finances.
- CISONECC was encouraged to share the principles with other practitioners in Climate Change adaptation planning at national level (both public sector and CSOs)

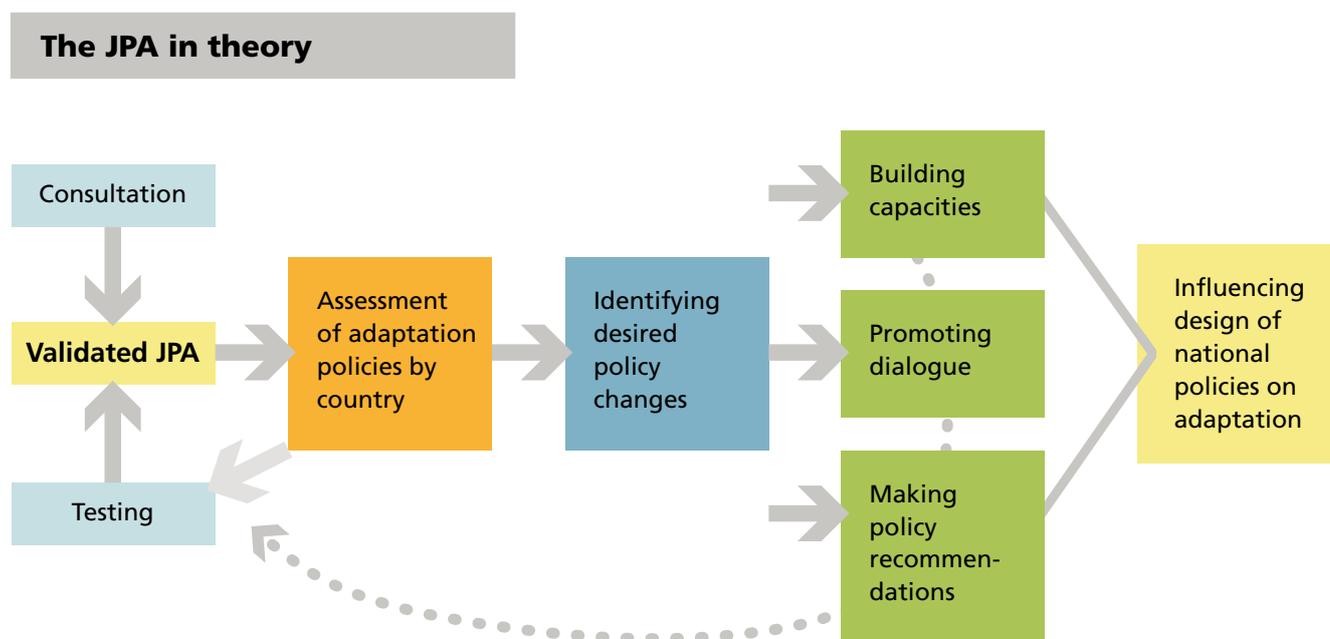
We followed up the NTCCC meeting with direct discussions with UNDP, which led to them agreeing to integrate the JPA in their Adapt Plan programme for strengthening the capacity of National and District government institutions in adaptation planning.

This de facto endorsement of the JPA will increase our ability to use them in our efforts to influence both the NAP process and its outcome in Malawi.

2. HOW THE JPA ARE BEING USED

The JPA were initially envisaged as a way of influencing the policy frameworks of countries for climate change adaptation. The assumption was that most countries would have or would be working towards something akin to a National Adaptation Plan (NAP), as mandated under the UNFCCC.

This is how the influencing process was conceived:



The major lesson learned from the period 2014-15, when the JPA were being developed and tested, is: once you start, you don't know where you might end up. That simple road map above has hardly been followed. Instead, for very good reasons, SVA partners have used the JPA in innovative and creative ways that move them towards the ultimate aim by indirect and sometimes unexpected routes. The case studies in this booklet tell some of those stories.

Most countries have yet to make much progress in the direction of developing a NAP or other overarching adaptation plan. (In that sense the JPA were perhaps slightly ahead of their time). Yet the twelve networks that have piloted the JPA found in them a tool that can be applied in different ways in different contexts, irrespective of any NAP process. In the words of one partner from Ghana, "the JPA are more of a framework for securing inclusive development", so they can be applied to all manner of policies and plans that affect adaptation.

Harnessing the influence of faith leaders

After conducting an assessment of the content and process of development of Climate Change Bill 2014 and other strategy documents on climate change in **Kenya**, the *National Council of Churches in Kenya (NCKK)* concluded that the proposed legislation adequately addresses the concerns of local communities and civil society. The priority, therefore, was to ensure that enactment of the policy by both houses of parliament. To this end, NCKK began disseminating the legislation at the sub-national levels to engage faith leaders and local communities affected by climate change.

Within JPA Principle A on participation, the focus was on two criteria: plans are publicized in ways that local people can understand and engage with; and communities affected by climate change participate in defining options and priorities.

Heads of Churches at the national and county level have an influence on national affairs. In bringing them together, they acquired the knowledge and awareness needed to target three key actors:

- Members of Parliament, involved in the legislative process, especially those on the Environment and Natural Resources Committee, and those from Meru, Isiolo and Tharaka Nithi counties where NCKK had done intensive local work;
- The Cabinet Secretary of the Ministry of Environment, Water and Natural Resources, responsible for the operationalisation of the act;
- The President, who assents the bill into law.

Working in partnership with a national agency

In **Bolivia**, the *Environmental Defence League (LIDEMA)* has been engaging with national authorities, and in particular with the Plurinational Authority for Mother Earth (APMT), a government agency created in 2013 under the Ministry of Environment and Water. Under a memorandum of agreement, we collaborated in developing the draft of the Working Document for Plurinational Policy on Climate Change Policy.

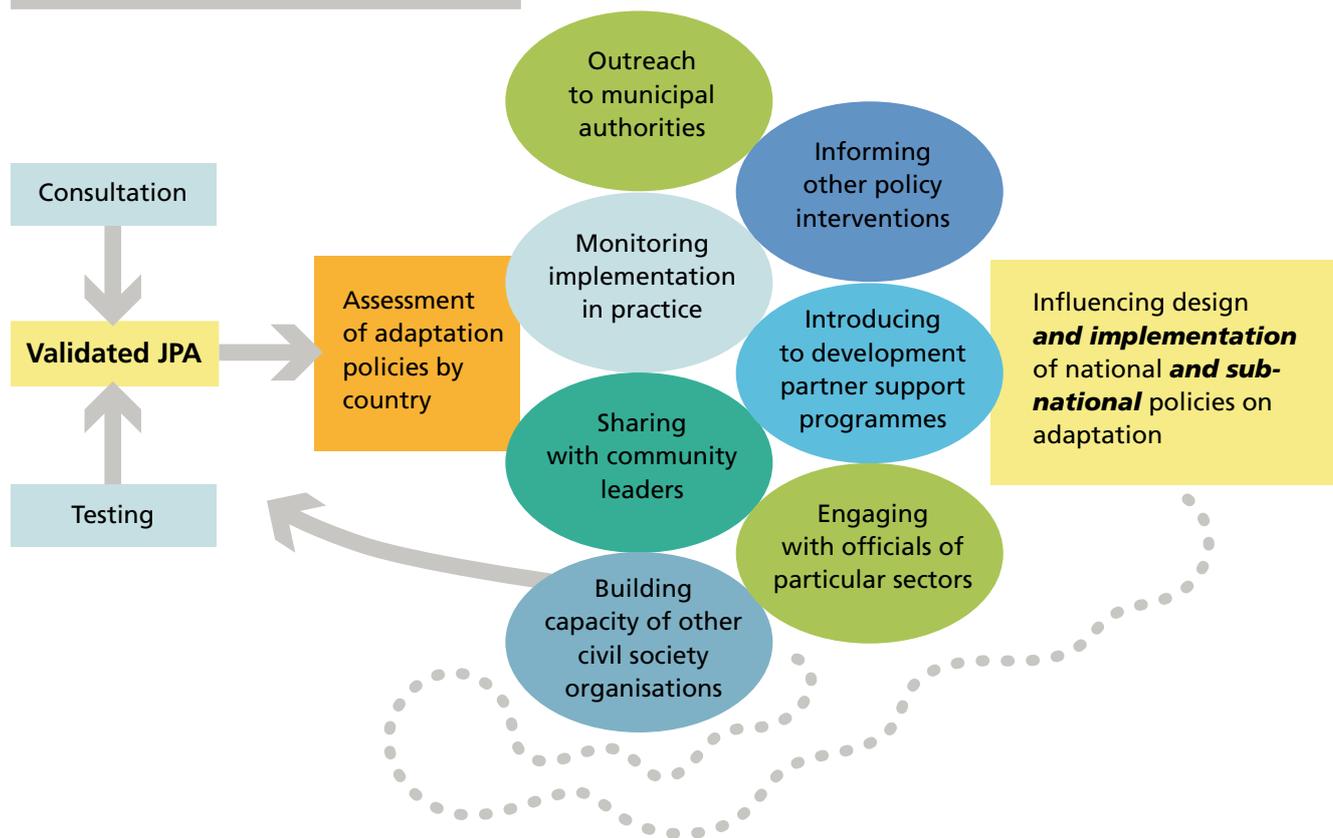
LIDEMA held several workshops with different audiences – twenty-seven LIDEMA member institutions, national government, specific sectors (such as education, gender and indigenous peoples) and local governments, which took place with newly elected authorities after the subnational elections. These were used as opportunities to disseminate the JPA.

The methodology in the workshops consisted of systematic processes of reflection, analysis and consultation on the issues arising from:

- a) Review of the status of existing regulations, as a benchmark of what actions are underway and those that are planned for implementation by state agencies;
- b) Guidance on using the JPA and applying it to the work of their institutions, analysing the actions they had taken pursuant to Law 300, Framework Law of Mother Earth and Integrated Development for Living Well.

The efforts have served to further strengthen the relationship with the APMT. The challenge ahead is to address the shortcomings identified, and further advance the process of seeing the reduction of climate vulnerability embodied in the policies of the Plurinational State, to contribute to a dignified life for all Bolivian families.

The JPA in practice



In our experience using the JPA is not a linear process with one action leading directly to another. The decision to include civil society representation in the implementation (and) oversight committees was a result of a combination of factors and efforts, including long term advocacy by civil society and the dissemination of the JPA. (Kenya)

Some of the ways that the JPA are applicable beyond the original focus on national adaptation planning include:

- The JPA have been used to assess how adaptation initiatives are implemented, not just planned. Implementation in practice can fall far short of what is written in policy documents. For example, in Nicaragua, the National Climate Change Commission established in 1999 as a forum for consultation with all sectors of society, which could in theory contribute significantly to meeting the JPA; yet it has never functioned.
- The JPA are a valuable tool for engaging with local level government, not only the national ministries. For example, the SV partner in Kenya has worked in three counties to raise the awareness of faith leaders and parliamentarians as an inroad to influencing national processes.
- The JPA can in some countries have been usefully brought to the attention of the international agencies that are supporting national adaptation planning processes, such as UNDP and FAO, while respecting national sovereignty and ownership of the process. In Malawi, for example, such an approach was suggested by the National Technical Committee on Climate Change.
- The JPA has been promoted in work with particular sectors, such as agriculture, meteorology or disaster risk management, where there are strong overlaps with climate change adaptation. For instance, the Climate Change Working Group, which champions the JPA in Vietnam, consistently deals with mainstreaming both climate change adaptation and disaster risk reduction together.

Introducing the Joint Principles of Adaptation into the NAP process

To kick off the process of **Sri Lanka** developing its NAP, in August 2014 the *Climate Change Secretariat of the Ministry of Environment and Renewable Energy* hosted a workshop entitled “Framing National Adaptation Plans”, in collaboration with Climate Action Network South Asia and Janathakshan. The combined convening power of government and non-governmental bodies ensured the participation of over 25 ministries, civil society organisations and international organisations.

We presented the JPA to this audience, highlighting their utility as a tool to help develop the NAP, and their complementarity with other sources of guidance. The JPA point to the need for inclusion and consultation when drafting the NAP (Principles A and D), accountability (B & C), flexibility (F & G) and consideration of vulnerable groups (E). We introduced the assessment tool that accompanies the JPA, suggesting that Sri Lanka could use it to evaluate its own NAP on an ongoing basis during the design process, as well as learn from the experience of others.

Being able to introduce the JPA to an audience engaged at a very early stage in the whole NAP process was an ideal opportunity to put the principles to test in practice. Subsequently, the National Expert Committee on Climate Change Adaptation (NECCCA) used the JPA as input for influencing the NAP, and also Sri Lanka’s Intended Nationally Determined Contribution (INDC) statement. When draft the NAP was released in September 2015, the JPA were proposed as a key tool for civil society to exercise its function in monitoring and evaluating that plan. Accordingly, the JPA serves as a set of guidelines for civil society in its capacities as technical advisor and respondent to national adaptation policies.

Creating a bridge between traditional principles and official plans

In **Guatemala** Sotz’il, on behalf of the *Guatemalan Indigenous Roundtable on Climate Change*, has used the JPA in an innovative way by analysing how the national Framework Law on Climate Change is reflected at the municipal level and how that relates to traditional indigenous practices. We conducted an in depth study in the municipality Patzun for this purpose, focussing on selected criteria within the principles of participation, transparency, coordination, vulnerability and information. The analysis demonstrated that there was frequent disconnection between the three levels; for example, while access to information is provided for in national law, the municipality does not make its plans public, and communities are unaware of the existence, and their right to, such information.

Furthermore, the study demonstrated that indigenous communities, through their own mechanisms and values, observe many of the principles in the JPA, though not in any formal or structured way. Overall, community-driven local adaptation efforts (Principle D) emanate from a cosmo-vision of interdependence of humanity and nature. The pursuit of sustainable improvement of livelihoods and equitable benefit from common resources are aligned with Principle E; while civic participation and respect for diversity resonate with Principle A.

Municipal authorities are not currently providing significant support to indigenous communities for adapting to climate change, though this may change as the National Climate Change Plan comes into implementation. Using the JPA for this analysis allowed local government authorities to identify their shortcomings with respect to plans and programmes for adaptation, and make the case for engaging with indigenous communities and their traditional wisdom.

Sotz’il and its allies in the Indigenous Roundtable on Climate Change are working to strengthen the capacity of indigenous communities to advocate for an effective climate response from local authorities, and to promote such adaptation in accordance with their principles and values. The JPA is an invaluable tool in this process, as it provides formal way of communicating indigenous peoples’ needs and expectations, starting at the local level and progressing to regional and national authorities.

3. THE PRINCIPLES AND CRITERIA

The JPA were developed to be consistent with the UNFCCC principles set out in the Cancun Adaptation Framework⁴ that establishes the NAPs, namely:

- Follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems;
- Be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge;
- Be undertaken with a view to integrating adaptation into relevant social, economic and environmental policies and actions;

and in the spirit of the provision on stakeholder engagement:

- Relevant multilateral, international, regional and national organizations, the public and private sectors, civil society and other relevant stakeholders are invited to undertake and support enhanced action on adaptation at all levels.

They consist of seven principles, each with a set of qualifying criteria (28 in all). They do not constitute a “how to” guide for adaptation planning – there are plenty of other good resources available to countries for NAP development, most notably the technical guidance produced by the Least Developed Countries’ Expert Group (LEG)⁵. Rather, the JPA summarise what civil society considers to be the conditions necessary to achieve effective and equitable adaptation to a changing climate.

These principles arise from the experience of civil society organisations and indigenous peoples’ groups in working with climate change adaptation on the ground, and of the policy and planning frameworks that have supported or hindered them. In some cases the principles and criteria are informed by success and the experience of good practice; in other cases, they are the result of challenges arising from obstructive practices and unfavourable policies.

The JPA cover most of the issues concerning NGOs such as participation, gender, accountability, effectiveness, and sustainability, so the joint messages were agreed easily by the network’s members, making for a stronger voice. Moreover, as this comprehensive set of principles covers almost all the important social issues needed in the policy making process, it helps to make our arguments and proposed recommendations more convincing.
(Vietnam)

⁴ <http://unfccc.int/adaptation/items/5852.php>

⁵ http://unfccc.int/adaptation/workstreams/national_adaptation_programmes_of_action/items/7279.php

Influencing the Meteorological Policy

The Civil Society Network on Climate Change (CISONECC) in Malawi had identified principles A, B, C, and G as requiring focused advocacy to improve planning and implementation of climate change adaptation policies and programmes. The advocacy objectives therefore included: Adaptation plans are based on community driven processes; Enhanced stakeholder participation in climate change adaptation; Increased financing for Adaptation and increased access to climate information.

We used the JPA as a basis for providing input into the new Meteorological policy, with some success. The policy includes strategies for community participation, balance in investments, effective climate information generation, dissemination and use and coordination between government sectors. Notably, the policy has also included Participatory Scenario Planning (PSP) as one of the strategies to be used by government in managing climate information.

PSP is a technique which CISONECC has been promoting in Malawi after coming across it through an exchange of experiences with colleagues from Kenya, under the auspices of the Southern Voices programme. It entails the use of medium term weather forecasts to help communities assess the prospects for the coming season, and plan their production accordingly. It contributes to multiple objectives, including communities defining their adaptation priorities; access to timely climate information; and coordination between national and local levels, among others. We have found that both government actors and CSOs are very receptive to this approach, as it helps them fulfil their own missions. When institutionalised as part of established policy and practice, it contributes to meeting JPA principles A (participation); C (coordination); D (localisation) and G (information).

Demonstrating relevance to INDC and other policy shifts

The Climate Change Working Group in Vietnam applied the JPA assessment tool to the National Target Programme in Response to Climate Change (NTP-RCC), which is the guiding framework for the Government's efforts toward adaptation, and its Support Programme (SP-RCC) for harmonizing and coordinating technical and financial assistance. One of the conclusions was that Vietnam's climate change policy system is quite comprehensive; yet it is in its implementation that improvements are needed.

Based on our analysis, we chose to focus our advocacy on two priority areas: how local adaptation plans are developed (Principle D); and balancing investment between physical infrastructure and capacity building (Principle F). One practical activity to pursue this was to share the JPA and its tool at the Vulnerability Assessment Workshop organized for provincial officials responsible for revising their Provincial Action Plans in response to Climate Change.

The climate policy spotlight in Vietnam subsequently shifted to the development of the Indicative Nationally Determined Contribution (INDC) report to the UNFCCC. We found that the analysis we had already done of the NTP-RCC served us well, and we were ready to make constructive and informed comments on the adaptation section of the INDC.

When submitting our comments to the Government in July 2015, we also presented the JPA and assessment tool for the INDC drafting team themselves to apply. We received positive acknowledgement, and believe that this process has contributed to raising our profile with Government and development agencies.

It is encouraging that the JPA has proved itself versatile for different policy instruments, because in Vietnam the principal government programmes for climate change expire at the end of 2015, and all future actions will be mainstreamed into overarching national programs for rural development and poverty reduction. We believe that the JPA will continue to be relevant and add value in that new policy environment.

JOINT PRINCIPLES FOR ADAPTATION

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

PRINCIPLES	Criteria
A. The formulation, implementation and monitoring of adaptation policies and plans is participatory and inclusive	1. Multiple stakeholders (including, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) participate in defining options and priorities as well as in implementation and monitoring
	2. The knowledge and experience of local communities and indigenous peoples is incorporated
	3. Plans and policies are publicised in ways that local people can understand and engage with
B. Funds for adaptation are utilised efficiently, and managed transparently and with integrity	1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented
	2. Adaptation funding is made available through a transparent process of allocation
	3. There is full and free access to information on how adaptation funds are being spent (finances and processes)
	4. There is a mechanism in place to safeguard against initiatives that might have negative impacts
	5. A secure mechanism for expressing grievances and seeking redress is available
C. All government sectors and levels of administration have defined responsibilities and appropriate resources to fulfil them	1. National adaptation plans carry the authority to enable different government sectors to work in a coordinated way
	2. Existing initiatives and sector plans are enhanced to take climate change and disaster risk into account
	3. Funding for adaptation is explicitly provided for within the national budget and respective sectorial allocations
	4. Local level adaptation plans are guided by mechanisms to ensure coherence with national adaptation policies
D. Local adaptation plans are developed through approaches that build resilience of communities and ecosystems	1. Communities affected by climate change participate in defining adaptation options and priorities
	2. Local adaptation plans are formalised and integrated into the development priorities of local administrations.
	3. Significant resources are allocated towards implementation of local adaptation plans
	4. Financing arrangements make commitments for multi-year programmes of support to vulnerable communities
E. The resilience of groups who are most vulnerable to climate change is promoted	1. Plans and policies address the issues affecting different groups of women, men, boys and girls
	2. Groups of people who are vulnerable to social, cultural, economic and environmental conditions are identified, targeted
	3. Initiatives take into account the differentiated needs and capacities of women and men in different age groups
	4. Initiatives promote social equity and cohesion while protecting people's livelihoods
F. There is appropriate investment in the building of skills and capacities for adaptation, as well as in physical infrastructure	1. Adequate resources are made available to improve the effectiveness of institutions responsible for managing climate change adaptation
	2. Adequate resources are made available for raising public awareness and education about climate change
	3. Investment plans contain targets for developing human capacities, natural capital, and physical infrastructure
	4. The capacities of local people and their structures are developed in ways that contribute to the empowerment of individuals and communities
G. Plans and policies respond to evidence of the current and future manifestations and impacts of climate change	1. Adaptation plans consider how exposure to climate-related stresses and extremes is affecting existing vulnerabilities
	2. Vulnerability, exposure and adaptation scenarios are based on the best available science and evidence from the ground
	3. Interventions are modified as new information becomes available
	4. Climate information is made accessible to enable adaptive decision making by all stakeholders

Empowering local partners and local government

Most adaptation initiatives carried out by the government in **Nicaragua** don't have any mechanism of accountability or monitoring, and right from the planning stage have omitted a series of criteria that are fundamental for promoting adaptation in the most vulnerable parts of the country. Many of these instruments are administrative in nature and some of them have not even been implemented after being drawn up. The JPA are a tool that helps strengthen the legal framework; with the JPA we can identify the gaps and inconsistencies in national and local policy, and use that analysis to strengthen them.

The Nicaraguan Alliance on Climate Change (ANACC) has undertaken a number of activities to disseminate the JPA and demonstrate their utility – they are an excellent tool for social audit; that is, they serve to evaluate national and local policy instruments, the implementation by authorities, and, best of all, support the strengthening of capacity of both government officials and a wide range of other actors. We have presented the JPA to more than ten members of ANACC, who have in turn put them to good use in their own work. One of our members, for example, is using the JPA in the revision of a municipal environmental ordinance in the area where they work.

We're particularly proud of how the JPA have shown their value in our work on the Caribbean coast of Nicaragua, where the impacts of climate change include reduced rainfall (a 45% drop in 2014, compounding reductions in previous years), and more intense tropical storms creating widespread severe flooding.

The Southern Caribbean Coastal Alliance on Climate Change (Alianza de la Costa Caribe Sur ante el Cambio Climático - ACCSACC) was created to promote an adequate response to this worsening situation. It is composed of local personalities, professionals, and civil society organisations, and reflects the multiethnic culture and character of the region. However their lack of experience and resources initially limited their ability to approach their work systematically.

ANACC stepped in to support ACCSACC by introducing them to the JPA. ACCSACC seized on the JPA as a way of advocating for the Regional Climate Change Strategy for the Southern Caribbean Coast, which has not yet been approved by the municipal council, to be implemented and made to work for the region's benefit. Meanwhile, Bluefields Indian Caribbean University have chosen to incorporate the JPA in their course on adaptation and sustainable livelihoods course, part of their academic programme for local community members on "Citizens prepared for Climate Change".

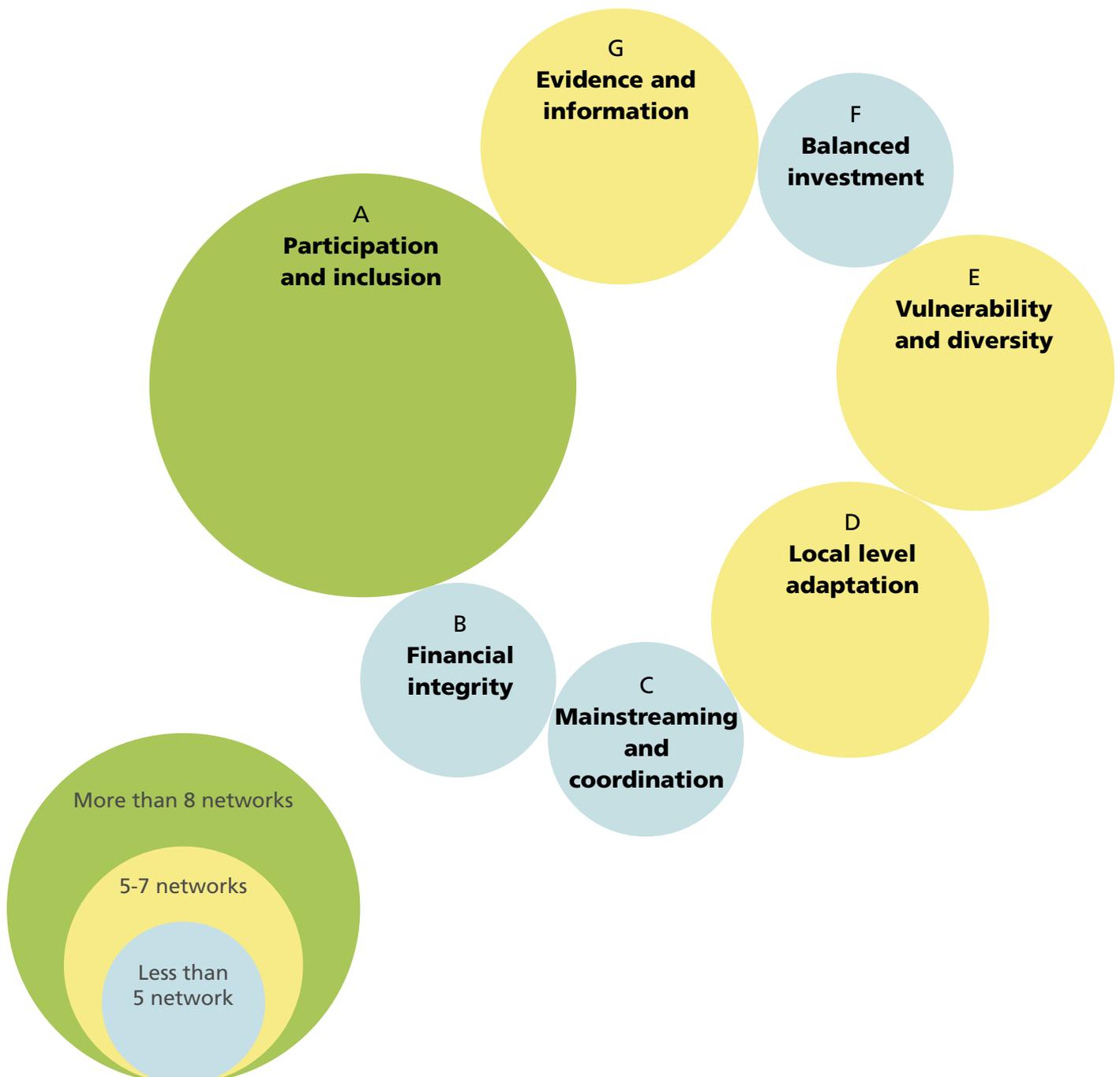
In parallel, ANACC also introduced the JPA to the local authorities in the municipal capital Bluefields. Such was their enthusiasm after the initial sessions that the mayor's office took it upon themselves to host a full workshop for a further ten local institutions involved in the development of the municipal and local adaptation plans.

Fortuitously, the local authorities, ACCSACC and other local stakeholders are all participants in a major USAID funded programme to increase capacity in the Southern Caribbean Coast Autonomous Region to respond to climate change. This creates an additional vehicle for dialogue and coordination between stakeholders, and the introduction of the JPA as part of their "common currency" will hopefully increase the impact of this initiative. The programme itself has been found to rate positively on its approach to 19 of the 27 criteria in the JPA.

One common misconception about the JPA is that they are standards for adaptation projects. While some of the principles can indeed be applied to projects that is not their purpose. As expressed in the headline text of the principles, they are intended to be used for national adaptation frameworks: that is, the policies, plans and programmes under which individual adaptation projects and initiatives take place.

That having been said, the distinctions in practice between plans, programmes and projects may not be so clear cut. Where official adaptation policies and plans are nonexistent or dysfunctional, a donor-funded programme may be the only systematic approach to climate change adaptation in a particular area. In such cases it is understandable that some partners have found it helpful to use the JPA as a programme standard.

Most commonly used Principles by partner networks



Customising the JPA assessment tool for national circumstances

The Round Table on Climate Change in El Salvador chose to analyse that country's First National Plan on Climate Change using the JPA. To do so they refined the JPA assessment tool with a more sophisticated scoring system. First, they applied a set of "Prioritisation criteria" - covering among others relevance to the national context, pertinence for generating recommendations, and feasibility of measurement - to select which Principles would be most useful for their context. They chose three: A (Participation), E (Vulnerability), and G (Evidence). Then they went further by assigning a different weighting to each criterion within each Principle. For example, under Principle A on Participation, the criteria were weighted as follows: 1. Multi-stakeholder participation 40%; 2. Traditional knowledge 40%; 3. Accessible information 20%.

Their analysis identified deficiencies in the framework of climate policy in El Salvador, relating to: missing information on the impacts of climate change, and related capacities and vulnerabilities; inadequate participation of stakeholders, particularly civil society; and poor identification of the most vulnerable people, socio-economic groups and natural systems. These observations will inform advocacy on preparation of El Salvador's Indicative Nationally Determined Contributions (INDC) report to the UNFCCC.

Incorporating the JPA in the procedures of a National Implementing Entity

The National Environment Management Authority (NEMA) is the National Implementing Entity in **Kenya**, receiving finance from the UN Adaptation Fund on behalf of 11 executing entities in the country.

The *Adaptation Learning Programme (ALP)* joined forces with Transparency International (TI), who host the national climate finance and governance network, to tackle the lack of civil society representation in the governance structure of the Adaptation Fund (AF) in Kenya. Our advocacy was aimed at ensuring

- timely information and updates on the funding was posted on the NEMA website, including the grant selection criteria and a summary of what the funding would be used for;
- Civil society representation on the NEMA AF Committee.

Mindful that these two demands fall squarely within Principle B of the JPA, we presented the whole JPA to NEMA as a suggested guideline for coordinating the Kenyan Adaptation Fund projects. NEMA has since agreed for TI to be an observer during the AF committee meetings.

Initially, we thought the JPA would be used just by civil society as a reference to check if minimum community-based adaptation standards had been met in planning and budgeting processes. But after presenting them to NEMA, they have taken them on board as a useful checklist to share with the 11 executing entities as they implement their work.

NEMA has also agreed to include the JPA within the handbook they are developing on how to implement community-based adaptation under the AF. In the words of the NEMA AF Coordinator "the JPAs would be important for us and could act as a mirror, to help us reflect on how to improve our implementation and manage any flaws in the process."

4. ASSESSING CLIMATE POLICIES WITH THE JPA

The JPA are also accompanied by an Assessment Tool⁶ that allows users to score a particular policy or set of policies against the criteria. Here is an example for one criterion, under Principle D - Local level adaptation:

CRITERION	SCORE
1. Communities affected by climate change participate in defining options and priorities	0. No mechanism for community consultation exists
	1. Outreach to communities is primarily for passing information and collecting data
	2. Two-way dialogue established with communities to allow them to express their views and wishes
	3. Communities have opportunity for feedback and input into proposed plans before final decisions are made

The scoring system in this tool is a way of putting some quantifiable measure, and a way of assessing progress, onto essentially qualitative factors. It is provided as guidance, and users are free to modify it for each criterion to suit their particular context, making it infinitely customisable. One partner, for example, has used a simple 0/1 score for each criterion.

SV partners have applied the JPA analytical framework in their own countries to approximately ten different policies and plans so far. These analyses are not directly comparable, because of the widely differing types of policy and the subjective nature of the assessments. Nevertheless, it is possible to make some generalisations.

Most policies scored around 50% of the possible maximum score, indicating that there is some attention to the issues of concern to civil society (at least on paper). This indicates a good opportunity for dialogue and engagement; but also, it shows that there is a great deal of room for improvement.

“This tool will be useful to us to see where we need to strengthen ourselves, where we have a responsibility, where we need to assign resources and plan activities: how can we advocate in order to have a dialogue and to convince the authorities? We think the JPA will help us to “see ourselves in the mirror” and so improve”.
(Nicaragua)

⁶ The tool is available on the Southern Voices website www.southernvoices.net

Capacity strengthening through preparing to apply the JPA

The National Civil Society Platform on Climate Change in Mozambique recognised that, before trying to use the JPA to develop and advocacy strategy for policy influence, they needed to undertake some detailed research on the policy environment in the country. They commissioned consultants to carry out that research, which unfortunately ran into a series of hurdles and has taken much longer to complete than planned.

Nevertheless, the network found that the actual process of managing this research was in itself a way of gaining hands-on experience with using the JPA. Drawing up the consultancy terms of reference, reviewing the interim results, and, not least of all, holding stakeholder workshops to launch the research and report on it, have all been formative experiences which have built the capacity of individual members, increased their familiarity with the JPA, and strengthened the cohesion of the Platform as a whole.

Ahead of any specific advocacy agenda arising from the research, the two stakeholder workshops were also an important opportunity for relationship-building and awareness raising about the JPA with a wide range of stakeholders including government entities, development cooperation partners, national and international NGOs, academia and the media. Stakeholders' observations on the emerging research findings also contributed to their own ownership of JPA concepts.

As a spin-off from this process, the Platform has been able to contribute inputs into the governments drafting of its INDC, which it hopes will be reflected in the final document. These include various recommendations linked to the JPA, namely:

- including communities in the processes and implementation of climate change adaptation
- improving the quality of consultation between the private sector and communities
- mechanisms for transparency of funds for climate change programmes at national and local levels

Multiple stakeholders developing a national adaptation benchmark

During formal and informal meetings around the JPA in **Nepal**, the idea of using them in setting an adaptation benchmark for Nepal gained currency among key stakeholders. This would not imply wholesale adoption of the JPA, but rather using it as a source to inform and inspire a national benchmark. Some of the JPA principles may be taken on directly; others modified; and yet others added. It will be recalled that the original JPA were drafted in Kathmandu in 2014.

A multi-stakeholder group, comprising government, UN agencies, civil society organizations and academia is taking this idea forward. They will each reach out to their respective constituencies to get wider feedback and input, as well as engaging the media. To inform this process the multi-stakeholder group agreed to undertake a series of adaptation case studies across the country, but this process was seriously delayed by the devastating earthquakes that hit the country in April 2015. These are currently under way again.

Nepal is a pioneer in establishing that local plans receive 80% of funds under the National Adaptation Programme of Action (NAPA). Now it is embarking on its NAP process, and with its local adaptation plans, using the JPA for setting an adaptation benchmark for Nepal is timely. However, we can already notice that building up the capacity of local level government staff is very much needed so as to effectively plan and implement adaptation activities.

What fares well

- The criterion that scores the highest is “National adaptation plans carry the authority to enable different government sectors to work in a coordinated way” (under Principle C, Mainstreaming and Coordination). This would indicate that climate adaptation is generally taken seriously, and considered to be a national priority, rather than relegated to being “merely” an environmental issue. Governments appear to recognise that climate change adaptation is not the responsibility of just one sector.
- Two criteria relating to vulnerability – relating to targeting the most vulnerable (in Principle E, Vulnerability and Diversity) and to analysing existing vulnerabilities (in Principle G, Evidence and Information) – also receive higher than average scores. This could indicate that, at least nominally, in most policies there is an intention for climate change adaptation to benefit the poorest and most marginalised.

From Principle C	Rating scale in assessment tool	Example from Bolivia
Criterion 1. National adaptation plans carry the authority to enable different government sectors to work in a coordinated way	0. Scope of adaptation planning is confined to one ministry or government department 1. Adaptation planning explicitly notes cross-cutting issues and indicates specific responsibilities of all sectors 2. Adaptation planning has high level mandate requiring all departments to take appropriate action 3. A cross-departmental body with high level political leadership ensures coherence and coordination of adaptation actions	As the Climate Change Policy and Adaptation Plan are being developed, there is willingness as a country to assign responsibilities and resources, and incorporate them into the organisational structure of government sectors, for the implementation of coordinated action between the central and sub-national levels.
From Principle E	Rating scale in assessment tool	Example from Nicaragua
Criterion 2. Groups of people who are vulnerable to social, cultural, economic and environmental conditions are identified and targeted	0. Vulnerability is defined only in terms of broad sectors 1. Vulnerability assessment uses primarily physical and ecological criteria 2. Social and economic factors of vulnerability are identified but not used for targeting 3. Socially & economically vulnerable groups are targeted	The National Adaptation Plan for the Agrarian Sector mentions the involvement of men and women in processes to build their local capacities. The plan also considers youth and rural producers, male and female, as potentially vulnerable and affected by climate change.
From Principle G	Rating scale in assessment tool	Example from Vietnam
Criterion 1. Adaptation plans consider how climate is affecting existing vulnerabilities	0. There is a generic description of climate change impacts with slim evidence base 1. Specific climate change impacts based on evidence have been compiled 2. Analysis has been carried out of how climate change aggravates existing vulnerabilities 3. Plans are directed towards reducing existing and future vulnerabilities	Chapter II in the National Target Plan in Response to Climate Change has indicated the climate change assessment in Vietnam with concrete evidence, as well as carried out analysis of how climate change aggravates existing vulnerabilities.

Enhancing credibility and reputation of civil society partners

ABANTU for Development used the JPA to as a guide to the key issues we raised when offering input into the Implementation Strategy of Ghana's National Climate Change Adaptation Strategy. The critical questions we asked using the JPA, as well as the long standing critical role of ABANTU in providing gender perspectives into Ghana's climate change discourse, contributed to ABANTU being nominated by the Ministry of Environment Science and Technology and Innovation (MESTI) as the only CSO representative on the Climate Change Implementation Committee. Furthermore, MESTI found the JPA so useful that they requested copies for their own use.

JPA as a capacity building tool for community-based organisations

Cambodia has made significant efforts in mainstreaming climate change into public policy, and participates actively in global processes and multilateral and bilateral programmes. An inter-agency National Climate Change Committee (NCCC) has been in place since 2006, and there is both an overall Climate Change Strategic Plan, together with sectoral plans for nine line ministries, and official mainstreaming of climate change into the National Strategic Development plan. Yet there are concerns that climate change policy in Cambodia is more driven by international incentives and structures than grounded in country-level realities.

The *NGO Forum on Cambodia* is aiming to address this concern through its Climate Change Policies Monitoring Project. Among the issues it seeks to tackle are:

- Limited engagement of communities impacted by climate change in consultation on policy and strategy.
- No access to accurate weather information and early warning systems by local communities.
- Limited knowledge and engagement of community and civil society organization of national and international climate change policy.
- Limited national budget allocation especially to sub national and grass root level for addressing climate change issues.
- Limited coordination between government agencies, academia, the private sector and civil society organizations.

These identified challenges overlap strongly with principles and criteria of the JPA, with which the NGO Forum, and its sister network Cambodia Climate Change Network (CCCN), are already familiar through their advocacy on the National Adaptation Plan (NAP) and Indicative Nationally Determined Contribution (INDC). Accordingly, in this project the NGO Forum elected to use the JPA as a vehicle for its capacity building efforts with communities and their organisations.

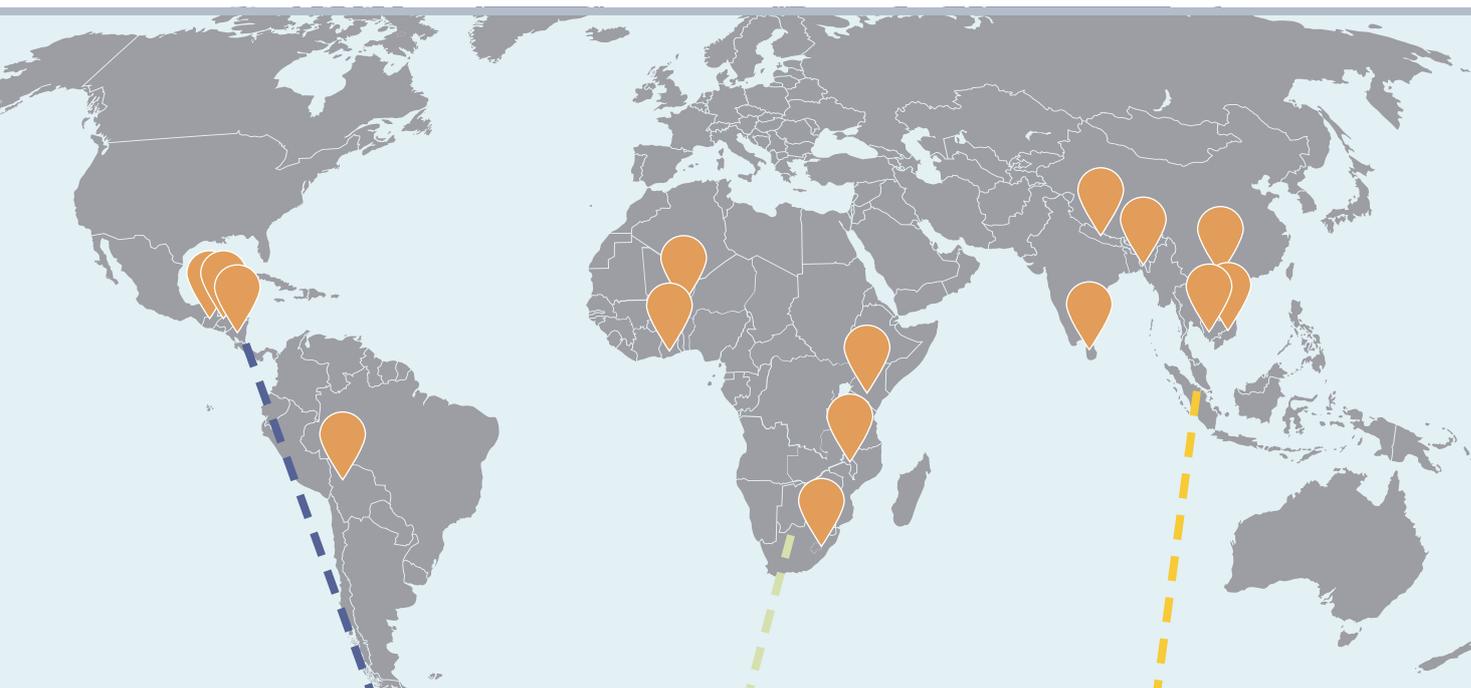
“Support and coordination from local and central government authorities for increasing resilience has been minimal or non-existent in some areas. For indigenous communities, the ancestral knowledge and experience of observing the land and the weather over long periods of time have been essential for their survival.”
(Guatemala)

What fares poorly

- Predictably, an area where policies are most consistently lacking is on finance. This probably reflects a generalised shortage of finance for adaptation, which in turn translates into a lack of commitment to funding for local level plans and multi-year programmes of action (under Principle D, Local level adaptation).
- Less understandable is the reluctance to open up adaptation finance to scrutiny. There was consistent low scoring on the criterion: “The implementation and financing of plans is periodically monitored by a body on which civil society is represented” (from Principle B, Financial integrity). This relates to wider issues of governance beyond adaptation.
- The JPA also seeks to introduce a safeguard against adaptation actions that have disproportionate negative impacts through the criterion “A secure mechanism for expressing grievances and seeking redress is available” (also under Principle B, Financial integrity). This is a criterion against which practically no policy rated well.

From Principle D	Rating scale in assessment tool	Example from Ghana
Criterion 2. Significant resources are allocated towards implementation of local adaptation plans	0. There are no resources for local adaptation plans 1. Funding for local adaptation plans is available in some areas from individual NGO projects 2. There is a national programme of support for local adaptation plans 3. National funding mechanisms for adaptation specify a significant percentage directed towards local adaptation plans	There is budgetary allocation to such initiatives. However the budgetary support from the central government to implement such plans is often not released on time. Thus, when the funds finally come they are mostly spent on other more pressing activities to the detriment of the climate change initiatives.
From Principle B	Rating scale in assessment tool	Example from Nicaragua
Criterion 1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented	0. Monitoring of plans is internal to government 1. Monitoring results are made available to non-governmental stakeholders 2. Monitoring process includes specific action to receive input from various stakeholders 3. Monitoring is undertaken by multi-stakeholder body including civil society	There are no explicit references to the institutional mechanisms - including an independent agency with civil society participation - to ensure monitoring and evaluation of the financial allocations for adaptation. The NAP itself has not concerned itself with the institutional mechanisms necessary to ensure accountability and transparency...This important issue deserves further study.
From Principle B	Rating scale in assessment tool	Example from Malawi
Criterion 5. A secure mechanism for expressing grievances and seeking redress is available	0. No mechanism for grievance or complaints is in place 1. Formal and informal channels for complaint exist but do not provide protection for those who choose to use them 2. The right to express grievances is publicised and promoted 3. A formal process to report malpractice, lodge grievances and seek redress is in place	Mechanisms do exist in the form of law enforcement agencies and decentralization structures of government. However the procedure of redress for possible adaptation failure is not explicitly documented in adaptation planning documents. As such, existing mechanisms cannot easily be considered as mechanism for redress in the absence of clear guidance.

THE SOUTHERN VOICES ON ADAPTATION PARTNERS



Latin America

Guatemala: Asociación Sotz'il
Central America: Sustainability Watch (SUSWATCH)
Nicaragua: National Alliance on Climate Change (ANACC)
Bolivia: Environmental Defense League (LIDEMA)
El Salvador: Salvadorian Round Table on Climate Change (affiliate)

Africa

Ghana: ABANTU for Development
Kenya: National Council of Churches of Kenya
Mozambique: National Platform of Civil Society on Climate Change
Malawi: Civil Society Network on Climate Change (CISONECC)
Niger: Civil society platform for climate change and sustainable development

Asia

Nepal: National Steering Committee of CANSA, Nepal
Sri Lanka: National Steering Committee of CANSA, Sri Lanka
Vietnam: NGO Climate Change Working Group
Cambodia: Cambodian Climate Change Network (CCCN) and NGO Forum Cambodia
South Asia: Climate Action Network South Asia (CANSA)

Contact information

Peter With
 Program Coordinator
 Secretariat
 CARE Denmark
 pwith@care.dk

Alejandro Aleman
 Regional Facilitator for
 Latin America
 Sustainability Watch Network,
 Nicaragua
 milenio@humboldt.org.ni

Obed Koringo
 Regional Facilitator for Africa
 PACJA, Kenya
 koringo@pacja.org

Vositha Wijenayake
 Regional Facilitator
 for Asia
 CANSA, Sri Lanka
 vositha@cansouthasia.net

5. ON THE SOUTHERN VOICES AND THE WAY AHEAD

Since COP15 in Copenhagen the Southern Voices programme has been strengthening partner networks in the Global South to advocate for climate change policies benefiting poor and vulnerable people. The Southern Voices on Adaptation project (SV-Adapt) supports a coalition of 14 networks from Asia, Africa and Latin America focusing on pro-poor adaptation policies

The project is coordinated through three regional facilitators from southern partner NGOs, and the Secretariat in Copenhagen hosted by CARE Denmark. Decisions are taken by a Steering Committee composed of project stakeholders, and technical recommendations come from an Advisory Board made up of climate change adaptation experts.

The project is funded by the Climate and Environment Fund of CISU/DANIDA, through the Climate Capacity Consortium comprising of CARE Denmark, DanChurchAid, and IBIS.

In the coming years 2016-17 SV-Adapt will continue efforts of influencing adaptation frameworks to be more equitable, effective and supportive of the empowerment of local communities to adapt to climate change – based on the Joint Principles for Adaptation. Key elements will be the following:

- A stronger emphasis of capacity building on strategies for influencing policies
- Setting up a JPA community of practice to promote cross learning on the principles
- Using the JPA to link national with international adaptation arrangements – such as the UNFCCC Nairobi Work Programme and the NAP Expos.

Invitation to become an SV-Adapt affiliate

We would like to invite other actors to contribute to the JPA by engaging in testing the JPA in their work of influencing adaptation policies in their countries. If you are interested in joining the Southern Voices as an Affiliate Member, you are welcome to approach the Secretariat or one of the three regional facilitators.

This report was compiled by Raja Jarrah on behalf of Southern Voices based on case studies submitted by SVA partners and affiliates

Group photo from Nairobi workshop April 2015 where Southern Voices partners from three continents first shared experiences on working with the JPA ©CARE Denmark



We believe that having a set of agreed joint principles for national adaptation policies will help all stakeholders in a country unite their efforts to confront the threats posed by climate change, particularly for the most vulnerable people.

Summary

Civil society organisations have developed a set of principles for ensuring that plans and policies for adaptation to climate change meet the rights of the poorest and most vulnerable communities. Civil society networks in a dozen countries across the world have found that these principles can be used in many ways: they can be an advocacy tool for national adaptation planning, and also for monitoring how policies are implemented; and they can be applied to other policy instruments and support initiatives at levels ranging from the sub-national to the international. This publication shares some of their experiences, and invites others to make use of the Joint Principles of Adaptation in their own work.

Resumen

Las organizaciones de la sociedad civil han desarrollado un conjunto de principios para asegurar que los planes y las políticas de adaptación al cambio climático cumplan con los derechos de las comunidades más vulnerables y empobrecidas. Redes de la sociedad civil en una docena de países a lo largo del mundo han descubierto que estos principios pueden ser utilizados en diferentes formas; tanto como herramienta de incidencia para la planificación de la adaptación a nivel nacional y también para monitorear la implementación de las políticas. Pueden aplicarse también a otros instrumentos de política y iniciativas de apoyo tanto a nivel sub-nacional como a nivel internacional. Esta publicación comparte algunas de sus experiencias e invita a otros actores a que utilicen los Principios Conjuntos para la Adaptación en su propio trabajo.

Résumé

Des organisations de la société civile ont développé un ensemble de principes afin de s'assurer que les plans et les politiques du domaine de l'adaptation au changement climatique, répondent aux droits des communautés les plus pauvres et les plus vulnérables. Dans une douzaine de pays à travers le monde, des réseaux de la société civile ont constaté que ces principes pouvaient être utilisés de multiples façons: ils peuvent être utilisés comme outils de plaidoyer pour la planification de l'adaptation au niveau national, ainsi que pour superviser la manière dont les mesures sont mises en place; ils peuvent être appliqués à d'autres instruments de politique et d'initiatives de soutien menées du niveau infranational au niveau international. Cette publication partage quelques-unes des expériences faites avec ces Principes Communs pour l'Adaptation et vous invite à les utiliser dans votre travail.