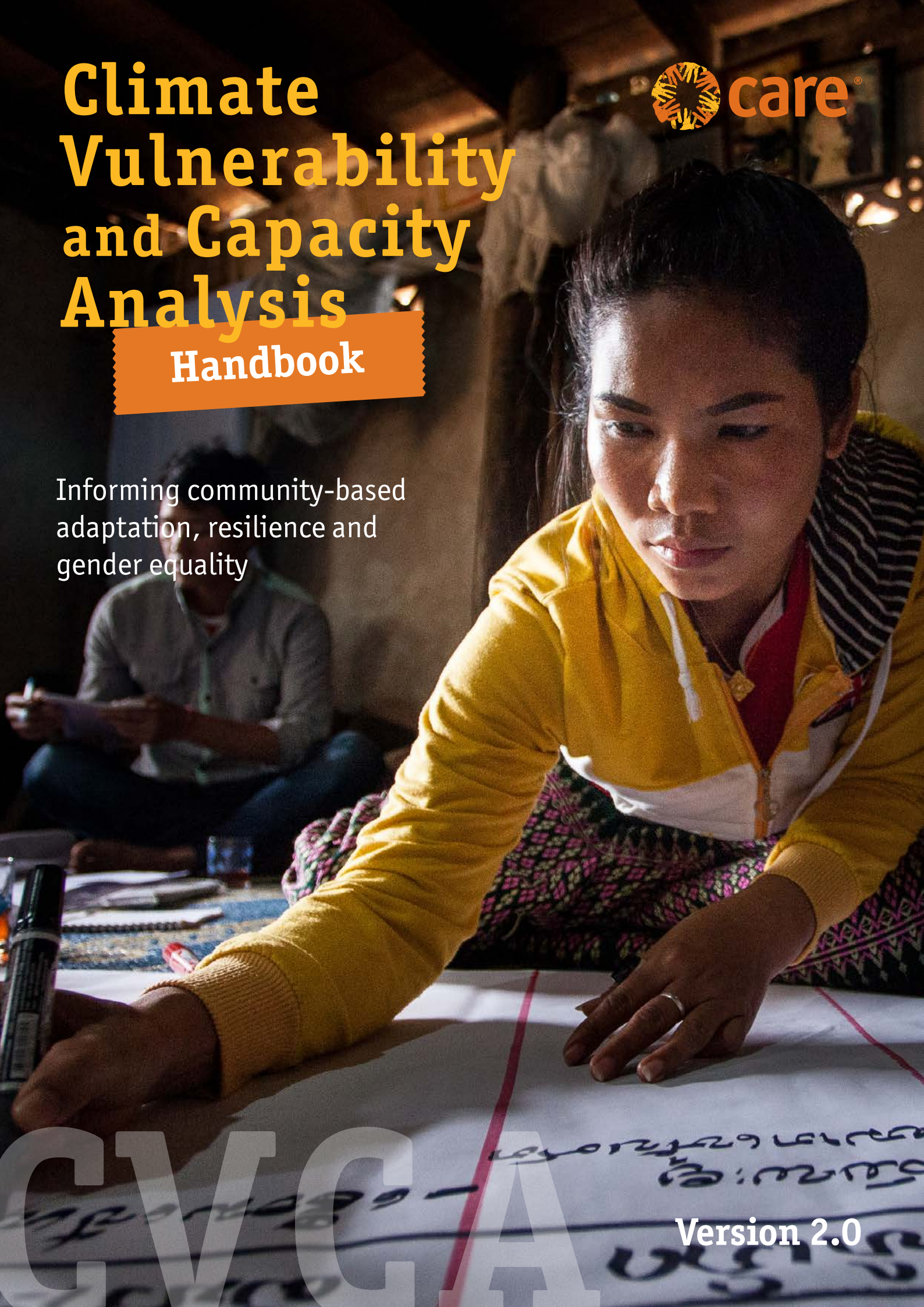
# Climate Vulnerability and Capacity Analysis

## Handbook

Informing community-based adaptation, resilience and gender equality



CVCA

Version 2.0

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This revision was made possible by Partners for Resilience, a programme working on integrated risk management approaches in countries where vulnerable communities are affected by disasters, mismanagement of land and water resources, and impacts from climate change.

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# FOREWORD

I am a Ugandan woman who has been building resilient communities for 18 years. With this experience, I know it is critical to consider the local context and traditional knowledge. But it is also important to take into account the health of ecosystems, gender inequalities and differential vulnerabilities when strengthening the resilience of communities. I first used the Climate Vulnerability and Capacity Assessment (CVCA) in 2011 and realised it was an ideal participatory tool for including these considerations and I have been using it ever since.

The CVCA has been an essential resource for the Partners for Resilience programme that I am managing in Uganda. In turn, the experience from this programme, which takes an integrated approach to Disaster Risk Reduction, Ecosystem Management Restoration and Climate Change Adaptation, has provided useful insights to guide this revised version of the CVCA. This CVCA 2.0 Handbook is important as it now pays greater attention to gender inequality and the role of ecosystems when analysing community vulnerability and capacity. It also provides clearer guidance on how to analyse all the information collected.

In the Partners for Resilience programme we have used the information coming out of the CVCA to develop participatory community adaptation action plans. These plans addressed the lack of community participation in policy development and the limited awareness and lack of funds for implementing climate change adaptation policies. Based on this we identified additional actions, including training Members of Parliament on climate change and coaching district local government officials on national disaster preparedness and management.

The CVCA was used as the first step in strengthening the adaptive capacities of the communities we support. Involving community members from the start was key to facilitating a better understanding of the risks by all. It also helped us design flexible and relevant adaptation plans. Involving women, men, boys and girls from the start was critical. This ensured that they owned the process, felt their views were valued and thus ensured solutions were adapted to the various needs and capacities of different community members. I am excited to see how the CVCA 2.0 is deepening the understanding of gender and the role of ecosystems, and continues to put communities at the centre.

**Monica Anguparu**
Initiative Manager - Partners for Resilience programme
CARE International in Uganda

# LIST OF ACRONYMS

| | |
|---|---|
| ALivE | Adaptation Livelihoods and Ecosystems Planning Tool |
| ALP | Adaptation Learning Programme for Africa |
| CBA | Community-based adaptation |
| CVCA | Climate Vulnerability and Capacity Analysis |
| EbA | Ecosystem-based Adaptation |
| IPCC | Intergovernmental Panel on Climate Change |

# GLOSSARY

**Adaptation (to climate change)**

The official definition from the Intergovernmental Panel on Climate Change (IPCC) is "the process of adjustment to actual or expected climate and its effects, in order to moderate harm or exploit beneficial opportunities."[i] In practical terms, adaptation refers to the changes people and institutions make to adjust to observed or projected changes in climate. It is an ongoing process that aims to reduce vulnerability to climate change. Adaptation can also occur in natural systems, where it is the process of adjustment to actual climate and its effects, sometimes facilitated by human intervention.[ii]

**Absorptive capacity**

The ability to accommodate the negative impacts of shocks and stresses. It is reactive, used during and/or after a shock has occurred.[iii]

**Adaptive capacity**

"The ability of systems, institutions, humans and other organisms to adjust to potential damage, to take advantage of opportunities, or to respond to consequences."[iv] Adaptive capacity is what enables people to make adjustments to protect their lives and livelihoods from the impacts of climate change. It is generally applied outside of crisis periods, based on learning from past shocks and stresses. It is oriented towards managing uncertainty and reducing future risks.[v]

**Anticipatory capacity**

The ability to foresee and therefore reduce the impact of shocks through prevention, preparedness and planning. It is proactive, used before the event occurs.[vi]

**Climate change**

"A change in the state of the climate that can be identified … by changes in the mean and/or the variability of its properties and that persists for an extended period."[vii] Climate change may be due to natural or anthropogenic factors; however, the United Nations Framework Convention on Climate Change focuses on changes in climate that can be attributed directly or indirectly to human activity.[viii]

**Community-based adaptation**

A set of or body of climate change adaptation activities developed in partnership with at-risk communities, in order to promote local awareness of, and appropriate and sustainable solutions to, current and future climatic conditions.[ix]

**Ecosystem**

Dynamic complex of plant, animal and microorganism communities and the non-living environment interacting as a functional unit. Humans are an integral part of ecosystems.[x]

| | |
|---|---|
| Ecosystem services | Ecosystem services are the benefits people obtain from ecosystems. These include provisioning services such as food, water, timber and fibre; regulating services that affect climate, floods, disease, wastes and water quality; cultural services that provide recreational, aesthetic and spiritual benefits; and supporting services such as soil formation, photosynthesis and nutrient cycling.[xi] |
| Gender | "A social construct that defines what it means to be a man or woman, boy or girl in a given society. It carries specific roles, status and expectations within households, communities and culture. Individuals may also self-identify as neither male or female, or both male and female."[xii] |
| Gender equality | "The equal enjoyment by people of all genders and ages of rights, opportunities, resources and rewards. Equality does not mean that all genders are the same but that their enjoyment of rights, opportunities and life changes are not governed by whether they were born female or male." [xiii] |
| Landscape | "A socio-ecological system that consists of a mosaic of natural and/or human-modified ecosystems, with a characteristic configuration of topography, vegetation, land [and water] use, and settlements that is influenced by the ecological, historical, economic and cultural processes and activities of the area."[xiv] |
| Livelihoods | "The resources used and the activities undertaken in order to live." Livelihoods are usually determined by the entitlements and human, social, natural, physical or financial assets to which people have access.[xv] |
| Resilience | "The capacity of social, economic and [ecological] systems to cope with a hazardous event, trend or disturbance, responding or reorganizing in ways that maintain their essential function, identity and structure while also maintaining the capacity for adaptation, learning and transformation."[xvi] For CARE, resilience is about managing risk and dealing with shocks and stresses that negatively influence people's lives. |
| Risk | "The potential for adverse consequences where something of value is at stake and where the occurrence and degree of an outcome is uncertain." Risk is a function of vulnerability, exposure and the likelihood of a hazard occurring.[xvii] |
| Shocks | Shocks are short-term events or disruptions that have negative effects on people's well-being, assets, livelihoods, safety or their ability to withstand future shocks.[xviii] |
| Stresses | Stresses are continuous, long-term trends or pressures that negatively impact people's lives and the systems they live in.[xix] |
| Transformative capacity | The ability to transform, in terms of structure and function. It involves systemic changes that enable anticipatory, absorptive and adaptive capacities.[xx] |
| Vulnerability (to climate change) | Vulnerability is defined as "the propensity or predisposition to be adversely affected."[xxi] In the context of climate change, it refers to the potential for negative effects resulting from the impacts of climate change. Vulnerability to the same risks may differ based on gender, wealth, mobility and other factors. It is influenced by adaptive capacity—the higher the adaptive capacity, the lower the vulnerability. |

# I. INTRODUCTION

CARE's *Climate Vulnerability and Capacity Analysis (CVCA) Handbook*[xxii] was first developed in 2009, at a time when humanitarian and development actors were beginning to think more seriously about climate change and how it would affect their efforts to support communities in realizing their aspirations to get out of poverty. Recognizing the context-specificity of climate impacts, as well as the socioeconomic dimensions of climate change adaptation, we developed the CVCA Handbook to guide practitioners in analyzing vulnerability to climate change and adaptive capacity at the community level. Since then, the CVCA Handbook has been applied by CARE and its partners, as well as other non-governmental organizations (NGOs), governments and researchers, in communities around the world. Practitioners have adapted it to their specific needs, linked it to other tools and applied different lenses to the analysis, depending on how it was to be used. Ten years on, much has been learned about adaptation and resilience building, as well as about the CVCA process itself. This updated handbook aims to integrate this learning.

The context has also evolved. CARE has developed its approach to increasing resilience, which builds on experience implementing projects focusing on CBA, disaster risk reduction, and food and nutrition security, among other issues. Gender equality and women's empowerment is a primary focus for the organization, and this updated handbook integrates tools and guidance to support better analysis of gender dynamics. Ecosystem-based adaptation and landscape-based approaches are receiving increasing attention and investment, and the CVCA process can support people-centred planning of these initiatives. CARE is also increasing its focus on inclusive governance, which can serve to create an enabling environment for community-level adaptation and increased resilience.

The purpose of the CVCA process is to gather and analyze information on community-level vulnerability and capacity, to inform the identification of actions, at the community level or more broadly, that build communities' resilience to climate change. The process involves collection of information through secondary research, as well as participatory tools that generate local perspectives and traditional knowledge. These two types of information are then combined and analyzed using a set of guiding questions that explore the key issues that determine people's vulnerability to climate change, as well as their existing resilience capacities.

At the end of the process, options for increasing climate resilience can be identified. This may include actions to be implemented by individual women and men or at the community level, as well as actions that involve local institutions, such as sub-national authorities, civil society organizations, private sector actors or research institutions. Collectively, these actions should enhance people's capacities to anticipate and absorb climate-related shocks and stresses, while also adapting to changes over time. They should also help address drivers of risk and create an enabling environment for climate resilience, including systemic and structural changes in norms and legislation to address the underlying causes of vulnerability to climate change.

These options can then be incorporated in relevant plans and strategies, either by communities themselves, local actors or organizations working to support targeted communities. As there are many different ways to use the analysis, this handbook does not provide guidance on its application; instead, we point you to other tools and approaches that provide these details. This is to keep the focus of the CVCA process on what it does best: engaging stakeholders in dialogue on climate risks, vulnerabilities and options for increasing resilience.

## About the CVCA Handbook

This section answers a few basic questions about the CVCA Handbook, providing a snapshot of why it has been developed and how it can be used.

### What is the CVCA's main objective?

The CVCA process provides a basis for identifying options for building climate resilience. It uses participatory research, as well as secondary research, to gain a locally specific understanding of vulnerability to climate change and existing resilience capacities.

### Who is this handbook for?

The CVCA process has generally been undertaken by technical advisors, project managers and other staff working on projects in international or local NGOs, so this updated handbook has been developed with these users in mind. The process is more effective if local government authorities and/or community representatives are engaged as co-facilitators, in addition to providing inputs to the participatory research.

### When should it be used?

Ideally, the CVCA process should be undertaken when there is a clear entry point for applying the analysis. This could be during the design of a project or programme or in the early stages of implementation. It could also be at the outset of a local development planning process or at the beginning of a community engagement process that aims to increase resilience to climate-related shocks, stresses and uncertainties.

### How long will it take?

The amount of time the CVCA process takes depends on the scope of the analysis, the number of stakeholders involved and the amount of secondary information already available on the target area. It will also depend on whether the process builds on an existing presence in the community and an existing relationship with stakeholders at the landscape level. If not, more time will be needed to identify appropriate entry points and establish trust.

### What won't it do?

The CVCA process is not a project design or planning tool in and of itself, though it provides a solid basis for identifying actions that can be incorporated in these processes. Similarly, though gender equality, ecosystems and inclusive governance are treated as cross-cutting issues in the analysis, the process is not designed to facilitate a detailed assessment in any of these areas. Instead, it helps to identify the gender, governance and ecosystem issues to be addressed and provides suggestions for complementary tools and resources that can guide users who want to go deeper into any of these issues.

### What happens after the CVCA process?

The analysis can be used to inform a number of different types of processes, including community or local development planning, development of awareness raising and advocacy campaigns or project design.

## Structure of the CVCA Handbook

This handbook is designed to provide you with all of the information that you need to undertake a CVCA analysis. Following this introduction, the handbook is divided into four major sections, as shown in Table 1.

| |
|---|
| **A: BACKGROUND AND ANALYTICAL FRAMEWORK** |
| This section provides an overview of CARE's thinking on building climate resilience and how the CVCA process can support this. It then introduces the analytical framework for the CVCA process, which guides the information-gathering and analysis steps. |
| **B: CVCA PROCESS GUIDANCE** |
| This section begins with an overview of the seven steps of the CVCA process and the associated outputs. It then provides practical, step-by-step guidance on undertaking the process. Finally, it discusses the different ways in which the analysis can be applied by communities, local organizations and external actors, providing links to other resources that can guide this application. |
| **C: CVCA TOOLS** |
| This section includes field guides for each of the recommended participatory tools. These are designed to guide the facilitation of focus group discussions during the participatory research. |
| **D: ANNEXES** |
| A template for a CVCA report is included as an annex to the handbook, along with a list of the references used to develop this guidance. |

**Table 1:** CVCA Handbook Sections and Content

Throughout the guidance, good practice tips and links to additional resources are provided. We have also included practice examples based on experience using the first version of the CVCA Handbook. You can find these by looking for these symbols:

| | |
|---|---|
| | Good practice tips |
| | Links to additional resources that can support your analysis |
| | Resources and good practice tips for integrating gender equality |
| | Practical examples |

# A. BACKGROUND AND ANALYTICAL FRAMEWORK

## CARE's Approach to Increasing Resilience in the Context of Climate Change

**This section provides an overview of CARE's thinking on increasing climate resilience and how the CVCA process can support this.**

### Why focus on increasing resilience?

Women, men, boys and girls who live in poverty are increasingly exposed to risks associated with climate change, violent conflict, ecosystem degradation and other stressors affecting more and more people.[xxiii] Shocks, stresses and uncertainties can harm livelihoods, exacerbate inequalities and erode development progress. If they are not taken into account, then efforts to reduce poverty will not be successful. Further, due to unequal power relations and their resulting imbalances in the distribution of resources and opportunities, some people—often women and girls—are more vulnerable than others to the same risks. Resilience building is an ongoing process that is relevant across all sectors, including humanitarian action, sexual and reproductive health, food and nutrition security, and women's economic empowerment.[xxiv]

### What does increasing resilience involve?

According to CARE's theoretical framework, resilience is increased if the capacities and assets to deal with various shocks, stresses and uncertainties are built and supported, if drivers of risk are reduced and if these actions are supported by an enabling environment.[xxv] These different elements of resilience are described as follows:

» *Increased capacities and assets to deal with shocks, stresses and uncertainty:* This is about increasing people's capacity to anticipate risks, absorb shocks, adapt to evolving conditions and transform when necessary.[xxvi] These capacities are strongly influenced by people's ability to access and control assets, including economic, physical and natural resources, as well as their social capital and human potential.

» *Reduced drivers of risk:* This element involves actions to reduce the likelihood of shocks arising (for example, through global efforts to reduce carbon emissions) and to address the conditions that increase people's exposure to shocks and stresses (for example, by investing in coastal protection infrastructure). It also involves efforts to avoid exacerbating existing risks or creating new ones.

» *Enabling environments:* This element refers to strengthening the social, economic and ecological systems that create the conditions for people to manage risks, absorb shocks and stresses, and adapt to uncertainty and change.

As resilience is an ongoing process, it requires consideration of how risks will change over time. Further, resilience building requires flexibility to adjust to changing circumstances, as well as innovation to apply learning and try new approaches. Recognizing this, CARE's approach also highlights the importance of *forward-looking risk analysis, facilitating flexibility to change and promoting innovation through learning*.

These elements guide CARE's work with communities and other stakeholders, towards resilience that can be sustained into the future and that equitably benefits women, men, girls and boys of all social and economic groups. The relationships between these different elements are shown in Figure 1. Further, CARE is committed to the principle of "do no harm," which is applied across everything the organization does.[xxvii]

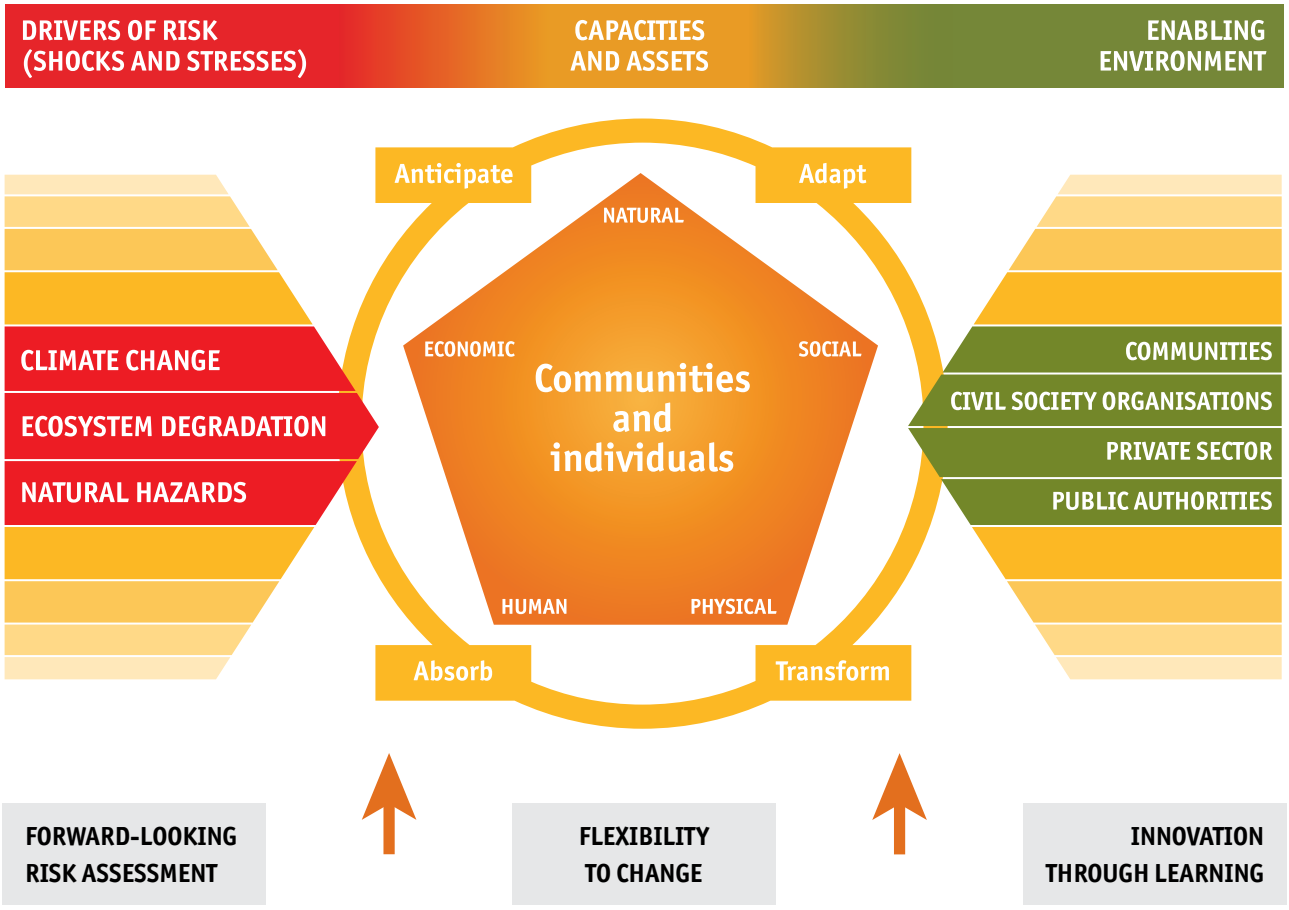



**Figure 1:** CARE's Framework for Increasing Resilience *Source: CARE, 2016.*

### CARE'S APPROACH TO INCREASING RESILIENCE

For more information on CARE's resilience-building approach, please see this theoretical guidance document. The CARE Climate Change and Resilience Information Centre has a wide range of resources, both global and country-specific, that share approaches and lessons learned from adaptation and resilience programming.

## How are climate change adaptation and increasing resilience linked?

Efforts to increase resilience aim to address all forms of risk, including those related to economic shocks, geophysical hazards such as earthquakes and social and political crises, as well as climate-related hazards and changes. Climate change adaptation specifically aims to address climate risks, taking into account the projected changes in climate conditions and extremes. As such, climate resilience is a component of broader resilience, which is focused on a subset of risks that are exacerbated by climate change. In some cases, efforts to build climate resilience will have a positive impact on resilience to other types of risks. For example, efforts to ensure that livelihoods are more resilient to climate hazards can also increase capacity to absorb economic or health-related shocks.

## How can the CVCA process support increasing resilience?

The CVCA process supports the collection of locally specific information on risks, vulnerabilities and capacities in relation to climate-related shocks, stresses and uncertainties. It facilitates analysis of this information in ways that can unearth differences based on gender and other socioeconomic characteristics that influence resilience. It also considers how ecosystem health and the state of governance shape people's vulnerability to climate change. This allows identification of actions that address all of the elements of CARE's increasing resilience approach, taking into account the specific needs of women and men, as well as particularly vulnerable groups. While focused on climate risks, the analysis can offer insights into other issues affecting the community and how these interact with climate-related challenges.

## How does the CVCA process facilitate the integration of gender equality, ecosystems and inclusive governance?

These are three cross-cutting issues for the CVCA process to be specifically considered in all steps of the CVCA, and in particular the information-gathering and analysis steps. For each of these issues, the process considers the potential negative impacts of climate change on gender equality, ecosystems and governance, as well as how their status influences people's resilience. By including these as cross-cutting issues for the process, the CVCA process can provide a basis for taking an integrated approach, including options that create positive change in relation to these issues, while also increasing climate resilience.

# Analytical Framework for the CVCA Process

The foundation of the CVCA is the process of gathering information through participatory research with community members and from secondary sources, and analyzing this information in a way that can inform actions to increase climate resilience. There are three main components in the analytical framework that guides this part of the process: key issues for information gathering; key issues for analysis of the information; and cross-cutting issues for the process, namely gender equality, ecosystems and inclusive governance. This section provides an overview of the analytical framework for the process. Details on how to gather and analyze the information can be found in Section B (Steps 3–5).

## Key issues for information gathering

The information-gathering phase focuses on understanding the context through secondary and participatory research. The key issues you will explore are:

- The climate context, focusing on observed and projected changes in weather and seasonal patterns, temperature, rainfall and extreme weather events
- The livelihood context, exploring livelihood strategies employed by different people in the community
- Climate impacts, in terms of how climate-related shocks, stresses and uncertainties affect different people in the community
- Current responses to climate risks, which identify existing strategies for managing climate-related shocks, stresses and uncertainties
- Community strategies to increase climate resilience, to gather ideas from communities on the changes they would like to make to increase their resilience

You will also gather information on gender, ecosystems and governance to enable you to integrate these cross-cutting issues during the analysis phase.

Depending on the purpose of your CVCA process, you may focus more or less on particular issues; however, you should aim to at least get a basic understanding of each. The following sections provide an overview of the key issues and why they are important for the CVCA process. An overview of the potential sources of information for these issues is presented in Table 2, which can be found in Step 2 in Section B. Details on how this information can be gathered are provided in Steps 3 and 4.

In this information-gathering phase, it is important to keep in mind that communities are not homogenous entities. Different people experience the impacts of climate change differently, depending on their gender, socioeconomic status, livelihood strategies and living situation, among other factors. You should keep this in mind during the secondary research and, most importantly, during the discussions with communities, where you will collect disaggregated information for focus groups with different characteristics. We provide guidance on disaggregation in a good practice tip under Step 2. Additional details can be found in the introduction to the field guides in Section C. Consideration of who is involved in participatory research is critical to ensuring that you are getting diverse perspectives on the issues.

### Climate context

What distinguishes climate change adaptation from business-as-usual development is that it directly confronts climate risks and changes. An understanding of the current climate-related shocks, stresses and uncertainties experienced in the community provides a basis for understanding what is needed to build climate resilience. In addition to gathering any available secondary information about climate-related hazards and stresses that affect the community (both current and past), you will engage directly with community members to gather first-hand experiences with climate risks, as well as to hear their perspectives on how things have changed. This may include changing trends in extreme weather events and temperature and rainfall patterns, as well as physical changes such as sea-level rise and glacial melt. This helps to ensure that adaptation and resilience-building options are responding to the lived experiences of community members, including the most vulnerable women and men.

The reality of climate change is that risks and uncertainty are increasing and will continue to do so in the foreseeable future. To effectively build resilience, we need to consider not just the current situation, but how shocks and stresses will evolve over time. This means we need to combine community knowledge with scientific information, notably climate change projections, to build awareness of the different scenarios that may occur. This facilitates analysis of how climate risks may change in the future, towards identification of forward-looking adaptation options.[xxviii]

### Livelihood context

Climate change represents a threat to livelihoods, particularly for people who are highly dependent on natural resources for their food, income and other needs. Understanding what people do to sustain their livelihoods and the challenges and opportunities they face is critical to identifying adaptation options that are grounded in local realities. Here, you will explore the different livelihood strategies employed, the livelihood assets used and where there may be opportunities to diversify livelihoods. In gathering this information, you must acknowledge the different roles of different household members, recognizing that women and men typically take on differing responsibilities and have differing access to and control over resources, leading to differing needs and priorities for increasing their climate resilience. This information will enable you to analyze how climate hazards are affecting livelihoods, how this may change and what is needed to build more climate resilience.

### Climate impacts

In order to direct efforts towards resilience building, we need to understand how climate risks and changes are affecting different people within the community. The first step here is to gather community perspectives on how climate impacts affect people's livelihoods, household and/or community assets, ecosystems and natural resources, and access to services. You may also seek out secondary sources that provide information on risk and vulnerability in relation to climate impacts. Secondary sources, including climate models, will help to complete community information in terms of expected climate impacts on livelihoods. This facilitates identification of targeted actions that can reduce these impacts.

### Community responses to climate risks

People can respond to climate risks in a number of different ways: they can take preventive actions in anticipation of a shock; they can absorb the negative impacts; or they can adapt their activities and behaviours to adjust to changing circumstances. The CVCA process recognizes that women and men in target communities are already taking actions to manage risks, and that efforts to increase climate resilience should build on those responses that are working well. However, some of the current responses may not be effective with increasing climate change or may not be sustainable, in terms of their impacts on ecosystems or other assets. Consequently, the process also explores how community members would like to adjust or take new actions in order to build their climate resilience, taking into account gender differences.

### Gender context

As noted above, women and men have differing experiences when it comes to sustaining their livelihoods and increasing their climate resilience. They have different knowledge and perceptions of climate change, different vulnerabilities to climate change impacts, and different capacities and assets to respond to threats and opportunities. It is thus critical that adaptation interventions recognize and respond to these differences. Women and men play particular roles and take on different responsibilities, which means that their needs and priorities related to climate change adaptation may be different. Gender inequalities can create imbalances in decision-making power within households and communities, which can often limit women's (or men's) ability to make changes to better manage climate risks. Further, there may be gender-specific barriers in access to and control over resources. Exploration of these issues will facilitate analysis of the gender-specific barriers, opportunities and options for increasing resilience through gender-responsive approaches to adaptation planning and implementation.

### Ecosystem context

Ecosystems play a critical role in sustaining people's livelihoods and increasing resilience. However, the state of ecosystem health has declined globally—the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services warns that "the great majority of indicators of ecosystems and biodiversity [are] showing rapid decline."[xxix] At the same time, climate change has negative impacts on ecosystems, with effects on biodiversity and particular species already observed.[xxx] Here you will gather information to better understand the state of ecosystem services (including provisioning, regulating, supporting and cultural services) and how it is influencing livelihoods for women, men and communities. This provides a basis for analyzing the role that ecosystems can play in supporting people's resilience, while also maintaining the health and resilience of the ecosystem itself.

### Governance context

Many of the factors that influence people's resilience have a governance dimension. To facilitate analysis of the role that inclusive governance can play in creating an enabling environment for resilience, you will gather information on relevant institutions that are operating in and around the community and how responsive they are, as well as on different people's access to those services. You may also want to look at issues of governance of important resources, such as land and forests. The policy dimensions may also be explored, in terms of the barriers and opportunities for people to build climate-resilient livelihoods and understanding the existing spaces for negotiation between the community and power-holders.

## Key issues for analysis

Although the information-gathering phase may be the most time-consuming part of the CVCA process, it is the analysis of this information that is most important in generating learning to inform efforts to increase climate resilience. During the analysis, information from different sources is combined and assessed to answer a set of guiding questions that provide insights on vulnerability and resilience to climate change, and ultimately to identify options for increasing climate resilience. The key issues shown in Figure 2 provide a structure for analyzing the information gathered, with guiding questions for each of these issues presented in Step 5 of Section B. It is important to note that the key issues build on one another and that the guiding questions may overlap, so this must be treated as an integrated analysis, also taking into consideration the cross-cutting issues related to gender equality, ecosystems and inclusive governance (these are described in more detail in the following section).

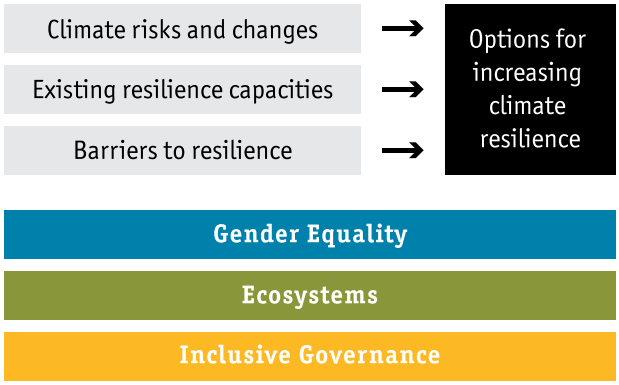



**Figure 2:** Key Issues for Analysis

Building on the secondary and participatory research, where information was gathered for different groups within the community, the analysis phase considers how groups with different social and/or economic characteristics (gender, poverty, livelihoods strategies and so on) are uniquely affected by climate risks and changes and how their resilience capacities may differ. It also considers barriers and opportunities for resilience that are specific to particular groups. This involves comparing the information gathered from different focus groups in order to draw out the differences and identify common challenges. Analyzing the information in this way helps identify options for increasing resilience that are targeted, inclusive and address the underlying causes of vulnerability. Further information on these aspects is provided in the guidance for Step 5.

### Climate risks and changes

As a first step in the analysis, you will use the information collected on the climate context to analyze the climate risks affecting the community, as well as how these are likely to change in the future. This involves a review of the climate-related shocks and stresses experienced by community members and combining this information with scientific information on future climate projections to understand the different scenarios that the community is likely to experience. You will also consider how these climate risks and changes impact people, their livelihoods and the ecosystems that support them, to identify those that are most important to address in efforts to increase climate resilience. In doing this analysis, you must keep in mind that climate change affects people differently, based on a number of factors, including their location, livelihood strategies and roles in their household and/or community.

### Existing resilience capacities

In order to assess people's existing capacities to anticipate, absorb and adapt to climate-related shocks, stresses and uncertainties, you will consider the factors that enable people to effectively respond to climate risks. These represent existing resilience capacities, which provide a basis for increasing resilience to future risks. This may include things like access to climate information, ownership of assets such as land, access to natural resources in the ecosystem or involvement in a small business. You will also need to consider the extent to which current responses will remain effective and sustainable into the future, and where there may be emerging opportunities that can serve to increase resilience.

### Barriers to resilience

You will also analyze the barriers to resilience, which may include issues such as poor governance, illiteracy, social or physical barriers to accessing services, or lack of security and control over assets, recognizing that some of these barriers may be specific to particular groups. The gender dimension is important here, to identify barriers that specifically affect women or men. You will also explore how declining quality and availability of ecosystem services limits people's options for responding to climate risks. The role of institutions, policies and power dynamics in creating barriers to individual groups or entire communities must also be considered here. This component of the analysis helps identify actions to overcome these barriers in order to build people's resilience capacities.

### Options for increasing climate resilience

Supporting increased climate resilience in communities requires a number of different types of actions. To complete the analysis, you will review the issues that have emerged and identify options that will directly or indirectly facilitate adaptation to climate change and increase resilience over time. These options include actions that can be taken by community members themselves, as well as those that create an enabling environment for community-level adaptation. The latter actions may involve other local actors, including local government institutions, community-based organizations and external partners working with community members. In some cases, they may also require actions at a higher level, for example by institutions managing resources at landscape or watershed levels, or national-level mechanisms providing services in the community. They may also involve actions that aim to transform systems and structures, for example by tackling gender inequalities that exacerbate vulnerability to climate change—see the next section for more details.

## Cross-cutting issues for the analysis

Cross-cutting issues are those that may be considered across the different issues described above. They provide an additional lens on the basic analysis, to ensure that it takes the underlying causes of vulnerability to climate change into account. To guide integration of these issues in the analysis, we have identified specific questions for each of the cross-cutting issues, which are presented in Step 5 of Section B. The rationale for the cross-cutting issues is described below. We have also provided links to additional tools and resources for cases where CVCA teams want to take the analysis further.

### Gender equality

There are many socioeconomic factors that influence people's vulnerability to climate change, including poverty, ethnicity, disability and age. Gender inequality interacts with each of these factors, exacerbating women's vulnerability by limiting their decision-making power, access to information and control over resources. Further, women and men take on different roles and responsibilities in their households and communities, creating unique opportunities and challenges related to climate change adaptation. Climate change can also drive changes to traditional roles and responsibilities, with both positive and negative outcomes in terms of women's position, workload and opportunities to build resilience for themselves and their families.[xxxi] Addressing these issues is critical to ensuring that adaptation efforts are effective and sustainable,[xxxii] requiring consideration of gender issues throughout adaptation planning, implementation, and monitoring and evaluation. This begins with integration of gender issues in the assessment of vulnerability and resilience to ensure that the specific circumstances and priorities of women and men are taken into account in the options that are identified, as well as to understand the benefits and impacts of the options for women and men.

## Resources on Integrating Gender Equality, Resilience and Climate Change Adaptation

Working towards gender equality is central to CARE's approach to reducing poverty and achieving social justice. The Gender Equality Framework (see below) is a key tool for understanding and addressing inequalities. Achieving gender equality requires sustained change in all three domains.[xxxiii]

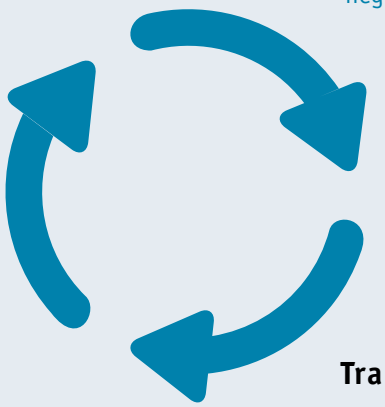



**Figure 3:** CARE Gender Equality Framework

To apply this framework to adaptation and resilience building, we need to consider the following:[xxxiv]

» *Building agency:* With increased agency, women and girls are better positioned to articulate their aspirations for the future, work towards realizing these and make changes that enhance their resilience. Efforts to build adaptation-related knowledge and skills can also contribute to agency, for example by increasing knowledge of less climate-sensitive livelihood options or enhancing abilities to use climate information for decision-making.

» *Changing relations:* Inequalities in access to information and resources and in decision-making power can present significant barriers to resilience for vulnerable women. Removing these barriers by, for example, addressing imbalances in household decision-making and control over assets, can ensure that women and girls have the same opportunities as their male counterparts to enhance their resilience.

» *Transforming structures:* Social norms, laws and policies that are discriminatory undermine the resilience of women, their families and their communities. Challenging these—for example through policy advocacy, support for women's organizations and initiatives aimed at changing social norms through engagement of men and boys—can create an enabling environment for resilience building that is inclusive and equitable. Building transformative capacities of women and men is one key element of CARE's framework to increase resilience.

More details on the gender equality framework and associated strategies can be found in the Gender Equality and Women's Voice Guidance Note. To learn more about CARE's approach to gender equality and women's voices in resilience and adaptation programming specifically, check out the gender theme in the CARE Climate Change and Resilience Information Centre, which includes a number of helpful resources.

### Ecosystems

To ensure that efforts to build resilience are sustainable and do not negatively impact the broader landscape in which the community is located, it is important to analyze the ecosystem dimensions. This involves considering how ecosystem degradation may be exacerbated by climate change, how ecosystems support people's resilience and how efforts to increase resilience may affect ecosystem health. This aspect of the analysis can support the identification of ecosystem-based adaptation options, which involve restoration, conservation and sustainable management of ecosystems to support sustainable livelihoods and adaptation for people, as well as to ensure ecosystem health and resilience.[xxxv] It can also serve as a basis for looking at landscape-level implications of climate change and resilience.

### Inclusive governance

Poor governance is an underlying cause of poverty and vulnerability to climate change. CARE is increasingly emphasizing the importance of inclusive governance, defined as "the effective, participatory, equitable and accountable management of public affairs."[xxxvi] The approach to promoting inclusive governance involves making poor and marginalized people aware of their rights and equipping them with the tools and capacities to represent their interests, while also influencing power holders to be more responsible, accountable and responsive to the needs of vulnerable people. It also involves creating linkages and convening spaces for dialogue between the two.[xxxvii] Inclusive governance supports resilience by creating the conditions for vulnerable people, both women and men, to have equitable access to information, resources and services, and to participate in decisions that affect their lives and livelihoods.

### RESOURCES ON ECOSYSTEM-BASED ADAPTATION AND LANDSCAPE APPROACHES

To undertake a more detailed ecosystem assessment, there are a number of different tools and approaches available. The International Union for Conservation of Nature has developed a useful guide to selecting the right tool for your purpose. The Ecosystem-Based Adaptation through South–South Cooperation project has an online knowledge centre that includes case studies, guidance and other resources, including a library that is organized by type of ecosystem.

The user manual for the Adaptation, Livelihoods and Ecosystem (ALivE) Planning Tool developed by the International Institute for Sustainable Development and UN Environment provides a comprehensive overview of ecosystem-based approaches to adaptation. As well, this article includes a helpful discussion of lessons that can inform integrated community-based and ecosystem-based adaptation approaches.

The landscape approach is complementary to ecosystem-based approaches. Landscape approaches are guided by 10 principles that include working with multiple stakeholders and at multiple levels—these are similar to the principles for ecosystem-based approaches. Interestingly, resilience is one of the principles, recognizing the role of ecological, social and institutional attributes in determining system-level resilience.

In partnership with Wetlands International, CARE has developed a helpful guidance note on taking a landscape approach to reducing disaster risks. The seven steps outlined are also relevant for CVCA processes that aim to look at the landscape-level impacts and vulnerabilities in identifying options for adaptation and resilience building.

### RESOURCES ON INCLUSIVE GOVERNANCE

To better understand the governance context, you may want to undertake a more detailed analysis. CARE's Inclusive Governance Wiki provides an overview of different approaches for context analysis, as well as links to useful tools for power and political economy analysis.

To act on this analysis, CARE has developed a guidance note on inclusive governance, which outlines why it is important, the changes needed to achieve it and core approaches for making these changes happen.

# B. GUIDANCE ON THE CVCA PROCESS

# Overview of the CVCA Process[xxxviii]

**This section presents an overview of the CVCA process. There are seven main steps in the process, as shown in Figure 4. The outputs of each step are also shown in orange boxes.**

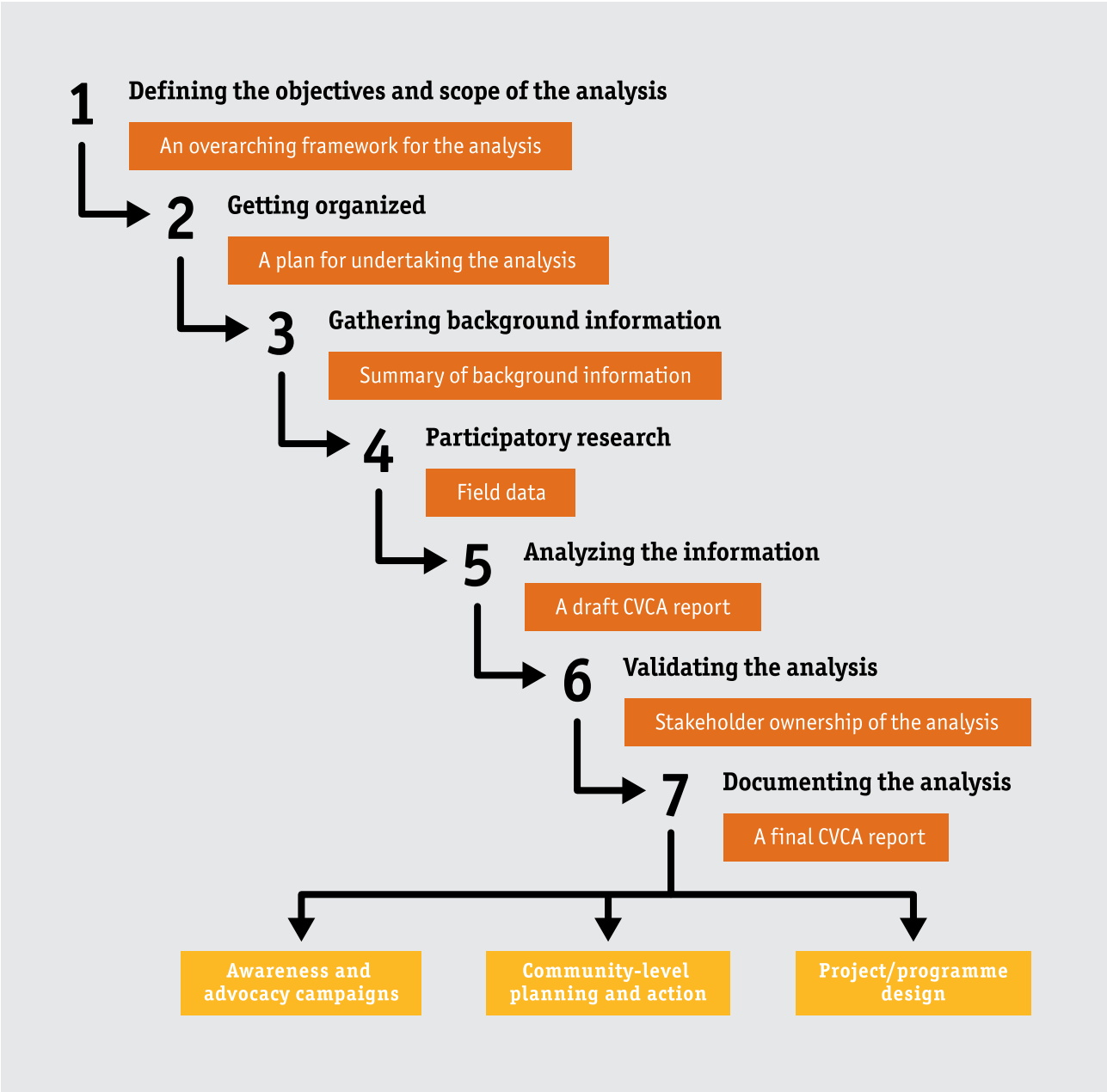



**Figure 4:** Steps in the CVCA Process

# Step-by-Step Guidance on the CVCA Process

**This section provides guidance on undertaking the seven steps in the CVCA process. Though the steps and sub-steps are presented in a logical order, this does not necessarily mean that they must be undertaken one after the other—in practice, some steps may occur concurrently and you may need to return to earlier steps to refine things as you get further along in the process.**

## 1 STEP 1: Defining the objectives and scope of the analysis

To get started, you will define the objectives and scope of your particular CVCA process. This will allow you to develop an overarching framework for the analysis.

### Clarify the purpose of the analysis

The first step is to consider why you have decided to undertake the CVCA process and how the analysis will be used. This will determine the focus of the analysis and how in-depth it will be. As noted in the introduction to this handbook, the analysis can be used in a number of different ways, by local actors and/or by CARE or other external actors supporting community-level actions. We have identified three main ways that the analysis can be used:

1. **For community-level planning and action:** Often, the CVCA process represents an initial step in engaging stakeholders in a longer-term process of planning and implementing adaptation actions. In this case, the users of the analysis will be local actors, including individual women and men, community-based organizations, local institutions and sub-national government authorities, who will integrate the adaptation options and supporting strategies in their plans and ongoing activities. This application generally requires a more in-depth process, which involves community members in defining the purpose of the analysis, the questions to be answered and the process to be followed. This approach also builds capacity of the stakeholders to understand and apply climate information in their decision-making, for improved risk management and increased resilience to climate-related shocks, stresses and uncertainty. Both ensuring sensitive facilitation and including more vulnerable community members are critically important in these processes.[xxxix]

2. **For awareness and advocacy campaigns:** The CVCA process can unearth systemic issues that represent underlying causes of vulnerability, as well as challenges that need to be addressed by actors outside the community, such as inconsistent or unhelpful policies. It can also provide evidence of local climate impacts and adaptation options that can inform policy development, including through National Adaptation Plan processes. In this instance, the users of the analysis may be local actors engaged in awareness-raising campaigns addressing social or behavioural change, or organizations working on behalf of communities to influence policy decisions at national or international levels. Depending on the

focus of the actors or the particular policy the process aims to influence, this may involve a lighter touch approach that quickly draws out the key issues or a deeper analysis that delves into the underlying causes of vulnerability to climate change.

3. **For project/programme design:** The CVCA process can also be used to inform the design of projects/programmes to be implemented in target communities in a certain region or landscape. The analysis is obviously relevant for initiatives that explicitly focus on community- or ecosystem-based adaptation and resilience building; however, it may also be useful in the design of projects/programmes in climate-sensitive sectors such as agriculture, water and natural resource management. In this case, the process is generally less in-depth, focusing on identifying the key issues that should be addressed by the project. However, once the project moves into implementation, there may be scope to do a deeper analysis addressing one or the other of the objectives described above.

These different objectives are not mutually exclusive; however, it is best to define the main purpose of your analysis, in order to plan and implement it as efficiently and effectively as possible.

### Decide on the focus and depth of the analysis

Having clarified the purpose of the CVCA process, you can make decisions about the focus and depth of the analysis. Here, you will want to consider the following questions:

- Scope:
  - » What information and analysis are necessary to achieve the defined purpose?
  - » What is the time frame for the application of the analysis? Is it to be applied in a short-term initiative or is it informing a longer-term planning process? The scope of the CVCA process should be tailored to the timescale and complexity of its application.
  - » What is the unit of analysis? This could be a single community or a group of communities within a particular governance unit, ecosystem or landscape (if the process involves multiple communities, you will need to consider how to aggregate the information without losing the local specificity).
  - » Who are the stakeholders that should be involved in the process? At a minimum, you will need to consult with community members, but you may also want to engage representatives of local government or civil society organizations, private sector entities and/or research institutions. The more stakeholders involved, the more time the research steps will take.
- Resources:
  - » How much time do you have?
  - » What financial resources are available for the process? Here you should particularly consider the level of effort involved in undertaking the participatory research in relation to the available budget.
  - » What human resources are available for the process? What are the existing skills and capacity of the envisioned team? This includes knowledge of climate change and related issues, as well as facilitation and analytical skills.
  - » How much existing data and background information are already available on the target area? If some participatory vulnerability and capacity analysis has already been conducted, then you should draw on this information as much as possible so as not to duplicate efforts and overburden community members and other stakeholders.

#### PRACTICAL EXAMPLE: TAILORING THE PROCESS

In 2017, CARE and WWF were launching an initiative in the Great Ruaha River Basin in Tanzania. A rapid CVCA process was conducted to inform the project design process. The short time frame required the team to scale back the process to suit the time and resources available, while still answering the key questions that needed to be answered. The communities engaged in the process were selected to include a balance of communities from upstream and downstream communities and different catchments, while representing all the major livelihood strategies and agro-ecological zones. Further, as time was a constraint, the team selected communities where CARE and WWF had already implemented previous projects in order to facilitate access. Focus group discussions with separate groups of women and men were conducted using four tools: hazard mapping, a vulnerability matrix, a historical timeline and a seasonal calendar. Along with a literature review, key informant interviews were conducted with village leaders to complement the information gathered from focus groups. The CVCA report highlighted the limitations in the methodology; however, it concluded that the findings provide a strong basis for design of project activities, as well as further engagement of the communities.

## 2 STEP 2: Getting organized

In this step, you will come up with a concrete plan for undertaking the analysis.

### Assemble the team

When planning a CVCA process, it is helpful to choose a team with diverse skills and knowledge that address the different aspects of the process, namely secondary research, participatory research, analysis and documentation. It is helpful to have team members who have knowledge of:

- Local languages and contexts, to ensure that the analysis is grounded in the specific realities of the target community.
- Climate change, to facilitate compilation of available climate information and analysis of community data with a climate lens.
- Gender equality and diversity, to ensure inclusive facilitation and to undertake gender analysis of the information gathered.
- Ecosystems, to facilitate compilation of ecosystems information and analysis of the links between ecosystems and livelihoods.
- Governance, to strengthen the institutional and policy dimensions of the analysis.

The following skills are crucial for a successful CVCA process.

- Facilitation expertise to ensure efficient and effective participatory research.
- Research and analysis skills, to support efficient and effective information gathering and rigorous analysis of the information.
- Communication and writing skills, to ensure quality in the documentation and dissemination of the process and the results.
- Conflict management skills, to negotiate conflicts that may arise during participatory research and/or the validation process.

For the participatory research component, you should aim to have a facilitation team that comprises women and men and older and younger team members, as well as people of different ethnic backgrounds, to enable more inclusive community participation.

### Map out the research process

As each CVCA process will be different, you will need to consider which issues you need to research in order to achieve the objectives of your analysis and decide how best to gather the related information. Table 2 provides an overview of the key issues, the key points to consider for each issue, and sources of information for the participatory and secondary research processes. Generally speaking, all CVCA processes should aim to address all of the key issues; however, the depth, level of detail and extent of disaggregation may differ (see the box on disaggregation on page 28). For more information on the participatory tools, see Table 3 under Step 4.

As many of the participatory research tools can be used to answer multiple questions, and multiple questions can be answered by a single tool, you may choose to apply a selection of the recommended tools if you are limited in time or resources. If a lot of background information is already available for the community in question, you may just want to use a couple of tools to validate this information and to ensure that it is forward-looking and incorporates the best available climate information. On the other hand, if time and resources are available, you may also want to include additional participatory tools to enable you to gather more detailed information on particular issues.

The key here is to come up with a clear plan that maps out the issues to be explored, the secondary sources of information that will be consulted and how participatory research tools will be applied, in terms of the number of focus groups and what their composition will be. You will also need to consider accessibility and timing for the participatory research, taking into account the availability and mobility of men and women, seasonal activities and important community events. If possible, it may be helpful to stagger the timing of the focus group discussions so as not to place an undue burden on community members.

**GOOD PRACTICE TIP:**
**WORKING WITH LOCAL PARTNERS**

In order to ensure appropriate entry points into communities, and to increase trust, the members of the team involved in the participatory research should include people who are known in the area, such as local NGO or community-based organization representatives. You may also want to involve local universities to build on their existing knowledge and strengthen data collection and analysis. Ideally, local government representatives will also participate in the participatory research, as well as in the analysis.

**Table 2:** Sources of Information to Explore the Key Issues

| Key issues | Key points to consider | Source(s) of information: Secondary research | Source(s) of information: Participatory research tools |
|---|---|---|---|
| **Climate context** | Extreme weather events affecting the community<br>Observed changes in weather and seasonal patterns<br>Observed changes in temperature, rainfall and extreme weather events<br>Projected changes in temperature, rainfall and extreme weather events | Climate change reports<br>Climate data (localized to the extent that this is available)<br>Reports or assessments from humanitarian/ disaster risk-reduction actors | Hazard map<br>Vulnerability matrix<br>Historical timeline<br>Seasonal calendar |
| **Livelihood context** | Primary and secondary livelihood strategies<br>Most important assets needed for the different livelihood strategies<br>Livelihood assets affected by scarcity, and why<br>Opportunities for livelihood diversification | Demographic data<br>Livelihood assessments conducted by government or NGOs<br>Baselines or evaluations for livelihood projects<br>Value chain/market studies | Vulnerability matrix<br>Seasonal calendar<br>Daily clock |
| **Climate impacts** | Impacts of climate-related shocks, stresses and uncertainties on:<br>» People's livelihoods<br>» Household and/or community assets<br>» Ecosystems and natural resources<br>Access to services | Climate change and disaster risk assessments<br>Climate change vulnerability assessments for relevant sectors<br>During and post-disaster evaluations | Impact chains |
| **Current responses[3] to climate risks[4]** | Responses to climate risks by:<br>» Different social or wealth groups<br>» People with different livelihood strategies<br>Strategies employed to protect household and/or community assets from climate risks<br>Access to climate information for decision-making | Climate change and disaster risk assessments<br>During and post-disaster evaluations | Historical timeline<br>Seasonal calendar<br>Daily clock |
| **Community strategies to increase climate resilience** | Community-identified:<br>» Adjustments to livelihood strategies to make them more climate resilient<br>» New livelihood strategies people would like to explore<br>» Strategies to protect assets from climate risks<br>» Changes in household division of labour and decision-making power<br>» Information needed | N/A | Adaptation pathways |

3 *In this handbook, we define "responding" to climate risks as anticipating the risk, absorbing its impacts and/or adapting to changing risks over time.*

4 *When we refer to "climate risks," this includes climate-related shocks, as well as stresses and uncertainties.*

**Table 2:** Sources of Information to Explore the Key Issues

| Key issues | Key points to consider | Source(s) of information: Secondary research | Source(s) of information: Participatory research tools |
|---|---|---|---|
| Gender context | Division of roles and responsibilities in the household<br>Decision-making power between women and men<br>Access to and control over livelihood assets (during normal periods and during crises) | Livelihood assessments conducted by government or NGOs<br>Baselines or evaluations for livelihood projects | Daily clock<br>Household decision-making pile sort |
| Ecosystem context | Ecosystem services that are important for livelihoods and resilience<br>Changes in ecosystem services (over time and in different places)<br>Drivers of ecosystem degradation | Ecosystem assessments<br>Satellite maps<br>Project reports | Hazard map<br>Vulnerability matrix |
| Governance context | Relevant institutions<br>Access to services<br>Policy barriers and opportunities for climate-resilient livelihoods | Statistical information on access to services, etc.<br>Government policy documents | Venn diagram |

### Agree on roles and responsibilities

Having assembled the team and come up with a plan for the CVCA process, you can agree on roles and responsibilities of different team members. A key element of this process is developing a common vision for the CVCA process. For the process to be effective, all members of the team should understand why the analysis is being done and how it will be used. Often, some members of the team will be more involved in the community-level activities, while others will be focused on secondary research, analysis and documentation. When this is the case, it is important to involve at least a couple of members of the team in both tasks to ensure that the linkages to the overarching analysis are clear and that field-level results are appropriately interpreted.

## GOOD PRACTICE TIP: DISAGGREGATION

The CVCA process recognizes that communities are not homogenous and that the impacts of climate change affect people differently based on their specific circumstances. As such, it is highly recommended that focus groups are organized in such a way that members share particular characteristics. This allows disaggregation of the information collected in line with these characteristics. In selecting focus groups, be aware of community or group history, past or present conflicts and power dynamics, as these may affect the functioning of the dialogue.

The number of focus groups that you can involve in discussions will inevitably depend on the time and resources available for the analysis. At a minimum, we recommend holding separate focus groups for women and men to allow for the collection of gender-specific information. This can help to create a safe space for discussion, especially in contexts where social norms make it difficult to have open and inclusive conversations in mixed groups.[xl] At the same time, there are other characteristics that may influence people's resilience, including age, disability, social status and wealth. As well, issues of gender inequality intersect with other forms of oppression based on religion, ethnicity, class and sexual orientation, among others. These factors may also have implications for resilience. Thus, if enough facilitators are available, you can further divide male and female groups based on other characteristics.

The appropriate approach to disaggregation will depend on the local context—for example, communities affected by conflict may need specific groups for internally displaced people or refugees. It may also depend on the purpose of the CVCA process—for example, if the analysis is undertaken to inform a youth-focused initiative, you may need to hold discussions with different age groups. In any case, it may be helpful to have concurrent sessions in the same community to allow participants in different groups to speak freely without being concerned about being heard by other groups. Using tools such as well-being analysis can help in determining which focus groups should be included in the process and inform your differential vulnerability analysis. You can find an example of how the participatory research phase was structured and focus groups discussions organized (numbers, participants) in the *Where The Rain Falls* research protocol (page 34).

Having collected data from different groups, it is important to maintain the disaggregation throughout the analysis. This facilitates gender analysis (see Step 5 for more details), assessment of underlying causes of vulnerability to climate change, and identification of specific needs and priorities of particular groups within the community. Collecting disaggregated information is only the initial step—it is how this information is used to analyze differences and identify specific barriers and opportunities for resilience that matters.

## 3 STEP 3: Gathering background information

In this step, you will gather background information from secondary sources to complement the information gathered from stakeholders through the participatory research.

### Review and synthesize available climate information for the target area

In order to effectively facilitate discussions on climate change and related issues, it is critically important that you have a solid understanding of the available climate information for the target area.

### Gather any additional secondary information needed

In addition to climate information, there may be other secondary information available that will help you undertake the participatory research by providing insights into the community context. Further, secondary sources of information can complement the information gathered from community members to assist you in answering the guiding questions. Refer to Table 2 to for potential sources of information for this purpose. Secondary sources are particularly important for the gender, ecosystem and governance context information, as the participatory tools will not necessarily cover all of the relevant issues. Further, community perspectives only provide one part of the story—it is important to triangulate the information gathered from community members with information from other sources, including government, research institutions and other local actors who are knowledgeable about the area.

#### PRACTICAL EXAMPLE: INVOLVING COMMUNITY MEMBERS IN THE CVCA PROCESS

In the second phase of its Where the Rain Falls project in Thailand, CARE selected women and men from communities involved in the first phase to act as CBA facilitators in new communities. After receiving initial training and guidance on participatory tools, including the CVCA process, they took the lead in implementing these with the communities, with CARE's support. Over the course of the project, the role of the facilitators turned out to be critical in gaining the trust of community members and giving them a sense of ownership of the process. Because the facilitators were community members themselves, with a deep knowledge of local issues, they were able to bridge some of the social, cultural and language gaps between the communities and CARE staff. "At the beginning, some facilitators felt that they may not have the legitimacy to guide other communities, but as they started to receive recognition and encouragement from their peers, they felt increasingly motivated and committed," says Sarinthip Promrit, Where the Rain Falls Project Manager. With increased confidence and skills, it is hoped that these facilitators will continue to support their communities in planning for climate change adaptation.

#### SOURCES OF SCIENTIFIC CLIMATE INFORMATION

For information on climate change at the global level, the IPCC is the most reliable source, providing assessment reports every few years. The reports on impacts, adaptation and vulnerability also include regional chapters, which may be useful for getting a bigger picture view of observed and projected climate change in your region.

National Communications to the United Nations Framework Convention on Climate Change generally present useful summaries of climate information based on the best available science at the national level.

Country profiles summarizing climate information have been developed by international organizations such as the World Bank and the World Health Organization.

You should also reach out to climate scientists and relevant government authorities in your country, as many countries are making efforts to downscale climate projections, and you may be able to access information at the sub-national scale through these sources.

### Map institutional actors and talk to key informants

Institutions, both formal and informal, play a critical role in supporting or constraining people's climate resilience and therefore are important stakeholders in the CVCA process. In order to better understand which institutions should be involved in the process, an initial institutional mapping exercise is useful (note that you will do a deeper institutional mapping exercise with focus groups later in the process).

This involves consideration of the following questions:

- Which organizations (governmental, non-governmental and community-based) are involved in addressing key issues and problems related to climate change in the target area?
- What do they do?
- What are their longer-term plans for working in the area?
- What is the institution's level of influence over planning and implementation of adaptation?

The mapping exercise assists in identifying institutions that you may want to invite to be a part of the CVCA process. It can also help to select key informants, who can provide useful insights into the local context. Power issues within and between communities and other stakeholders can also surface through interviews with key actors. You may want to give them the opportunity to remain anonymous, as this may allow them to speak more freely. Key informants at the community level may include local leaders, including chiefs, mayors and elected representatives; representatives of community-based organizations such as farmer's groups, women's groups, and savings and credit groups; representatives of NGOs working in the target community; and academic/research institutions conducting research in the target area.

Once you have compiled the background information and talked to key informants, you should review the plan for the participatory research and make adjustments if necessary.

#### PRACTICAL EXAMPLE: USING THE CVCA PROCESS IN AN URBAN CONTEXT

In Vietnam, the Institute of Social and Environment Transition is working with CARE to promote an integrated river basin approach to reducing damages caused by flooding and water shortages in the Vu Gia-Thu Bon River Basin Area, where changing trends in droughts and floods have been observed in the last 10 years. The CVCA process in this case included both rural communities and urban communities along the river and was complemented by geospatial mapping and hydraulic modelling. The participatory research, conducted with groups of women and men in the most affected communities, aimed to understand how flood and drought risks are changing and their causes, taking into account climate change as well as recent hydropower and transport infrastructure development in the area. The tools were adapted for this purpose, for example the hazard map explored the area surrounding the community to facilitate discussion of the causes of flooding. The evidence generated through these dialogues have led to concrete actions. For example, the Reservoir Management Companies relocated the warning loud speakers to be closer to the flood-prone areas instead of in the community centre and have improved the system for early warnings by SMS. Further, they organized rehearsals for flood events involving villagers in affected communities.

## 4 STEP 4: Participatory research

This step is the core of the CVCA process, when facilitators can engage community members in dialogue to learn about their experiences and gain their perspectives on climate change and its impacts on their community.

### Meet with community leaders

If you are not already working in the community, it is appropriate to meet with community leaders to explain the purpose of the participatory research and get their permission to work in the community. During this meeting, you should review the plan for the participatory research to clarify objectives, how much time will be needed and where the discussions will take place (ensuring that this is an appropriate venue that is accessible and comfortable for women or other less mobile community members). You may also want to request help from community leaders in communicating information about the focus group discussions to participants and in introducing the facilitators to community members.

### Train facilitators

The facilitators of the focus group discussions are critical team members, as they are the ones interacting with the community members, guiding the discussions and capturing their perspectives. The facilitators must therefore have a solid understanding of the objectives and process for the analysis, as well as the skills to facilitate the specific tools. They will need to be functional in local dialects and have experience with facilitating participatory processes. Training the facilitators in the different tools that will be used is a key step in ensuring a quality process. This training should cover the details of the tools, ideally involving practice sessions in facilitating the discussions. Facilitators should receive a basic overview of climate change concepts and available climate information so that they are prepared to guide the discussions in this direction. Also during the training, it should be agreed how concepts such as hazards, livelihood resources and so on will be described in local languages to ensure consistency in the explanations provided.

### Undertake focus group discussions using the field guides

To get a better understanding of the lived realities in the community you are analyzing, you will conduct focus group discussions using participatory tools. These tools allow you to structure the discussion in a practical way, to promote dialogue and consensus among community members. The recommended tools and their purposes are presented in Table 3. The field guides in Section C provide step-by-step guidance on facilitating the focus group discussions. You may not use all of the field guides listed here—the specific tools used and the topics of focus will depend on the plan you developed in Step 2. As well, you will need to tailor the dialogue to the particular context and the objectives of the analysis.

#### RESOURCES ON COMMUNITY FACILITATION

While a quick guide with facilitation tips is provided in the CVCA Tools section of this handbook, you may also want to seek out additional resources to support the facilitator training. The Community Tool Box includes a very nice overview on Developing Facilitation Skills, while these guidelines from the International Centre for Integrated mountain Development include a checklist to ensure that you are adequately addressing gender considerations in your facilitation approach.

**Table 3:** The Participatory Tools

| Field guide # | Name of tool | Purpose of tool |
|---|---|---|
| 1 | Hazard Map | The Hazard Map provides an introduction to the community, its surroundings and the hazards that affect it. It identifies key livelihood strategies, the resources they require and where they are practised. |
| 2 | Historical Timeline | The Historical Timeline provides an overview of important events in the community. It enables analysis of hazard trends and changes based on community perceptions. |
| 3 | Seasonal Calendar | The Seasonal Calendar identifies important livelihood activities throughout the year and provides a basis for discussing seasonal changes observed by communities. |
| 4 | Daily Clock | The Daily Clock explores gender differences in daily tasks, providing insights into gender-specific roles and responsibilities. |
| 5 | Household Decision-Making Pile Sorting | The Pile Sorting exercise explores gender differences in decision-making power in the household. It promotes discussion on the value of joint decision-making. |
| 6 | Impact Chains | Impact Chains facilitate assessment of direct and indirect impacts of hazards on livelihoods, providing a basis for discussing how people are currently responding to the impacts. |
| 7 | Vulnerability Matrix | The Vulnerability Matrix identifies priority livelihood assets and hazards, both climate-related and other. It also assesses the degree of impact that the hazards have on the livelihood assets. |
| 8 | Venn Diagram | The Venn Diagram identifies the institutions that interact with the community members and the services that they provide. |
| 9 | Adaptation Pathways | Adaptation Pathways identify options for adaptation and resilience building and assess the opportunities and barriers to putting them in place. |

### Compile field data and secondary information to answer the guiding questions for information gathering

Before moving on to the analysis, you should compile the information that you have gathered through participatory and secondary research to answer the guiding questions for information gathering. Refer back to Table 2 to remind yourself which information was gathered from the various participatory tools, keeping in mind that answering a single question may involve looking at the results of multiple tools. The key here is to cross-reference the information gathered through secondary research with the information you have gathered from community members and to pull together data on different issues to answer the questions as completely as possible. Remember to maintain the disaggregation of the information from the different focus groups, as this will be important for the analysis.

#### GOOD PRACTICE TIPS: COMMUNICATING CLIMATE CHANGE[XLI]

Communicating climate change at the community level requires skilled facilitation, to ensure that communities understand and that they are not discouraged or disempowered by the information. The following interconnected principles should be kept in mind when building community awareness of climate change issues:

- Value community knowledge. It is important to start the conversation about climate change by encouraging community members to share their own experiences and knowledge. This will enable you to introduce the new concepts and information in a way that values their existing knowledge and is connected to their own lives and immediate needs and priorities.
- Come prepared. In line with the CVCA process steps, ensure that you have reviewed and understood the climate scientific information available for the area before facilitating any focus group discussions, in order to be able to bring this knowledge into the discussions.
- Link community knowledge to scientific information. Generally speaking, community members are already aware that something is changing in their environment and/or with the climate. In dialogues with communities on climate change, it is important to link their knowledge to the climate information. This validates their knowledge and enables them to understand the value of scientific information, as well as potentially filling gaps in local-level information on observed changes in climate.
- Be honest about what you don't know. Community members may have a lot of questions about climate change, adaptation and resilience. If they ask a question that can't be answered, be honest and provide them with whatever relevant information you can, staying within the facts about climate change. If they ask a question that could be answered, but you don't have the information at hand, appreciate their question, explain that you can't answer it, and let them know you will get back to them with the answer and/or connect them with someone who can provide them with the information. Ensure that you will follow up on this.
- Be empowering and action-oriented. When faced with the knowledge that climate hazards are likely to occur more frequently and that the weather patterns will be increasingly uncertain, community members may feel overwhelmed or discouraged. It is critically important to follow the conversation about climate change and future projections with a discussion about action, either focusing on actions they are already taking or actions that can be taken. The aim is to empower communities with information and knowledge so that they can tackle the growing and evolving challenge of climate change.

# 5 STEP 5: Analyzing the information

**Use the compiled information to answer the guiding questions for analysis.**

In this step, you will analyze the information you have gathered to answer the analysis guiding questions (tables 4 to 7), which provide you with a framework for analyzing the different issues. The tables highlight which information you should consider in answering the questions and provide guidance for undertaking the analysis. For each of the key issues, specific questions are included to focus in on the cross-cutting issues. These are indicated by colour: **gender equality**; **ecosystems** and **inclusive governance**. Throughout the analysis, it is essential that you consider the differences among community members, in terms of gender but also other characteristics, such as age, ethnicity, disability and wealth, among other factors. References to "different people" in the guiding questions are designed to remind you to reflect on these differences.

To begin, you will analyze issues related to climate change vulnerability in the targeted community, as outlined in Table 4. This provides a basis for the key issues that follow.

### GOOD PRACTICE TIP: GENDER ANALYSIS

Gathering information separately from focus groups of women and men enables gender analysis, which can be defined as "the systematic attempt to identify key issues contributing to gender inequalities."[xlii] CARE's good practice framework for gender analysis identifies eight core areas of inquiry:[xliii]

1. Sexual/gendered division of labour
2. Household decision-making
3. Control of productive assets
4. Access to public spaces and services
5. Claiming rights and meaningful participation in public decision-making
6. Control over one's body
7. Violence and restorative justice
8. Aspirations for oneself

The guiding questions on gender equality in the following sections provide basic guidance on undertaking gender analysis of the CVCA data, with a primary focus on the first four areas of inquiry.

**Table 4:** Guiding Questions for Analysis of Climate Risks and Changes

| Key questions | Information to consider | Notes on the analysis |
|---|---|---|
| **What are the most important climate risks affecting the community? How may this change in the future?** | » Extreme weather events affecting the community<br>» Observed changes in weather and seasonal patterns<br>» Observed changes in temperature, rainfall and extreme weather events<br>» Projected changes in temperature, rainfall and extreme weather events | To analyze which are the most important climate risks, look for issues that are coming up frequently across the different focus group discussions, as well as those that have caused disasters in the recent past. It is also important to assess the community perceptions of climate risks and how things are changing and combine this with the scientific climate information to determine how risks will change in the future.<br>In determining which risks are most important, you should consider the likelihood that a particular hazard or change will happen (taking climate change projections into account), as well as the potential impacts (see below).[xliv] Keep in mind that the most important climate risks may differ for different livelihood or social groups in the community. |
| **What other shocks, stresses and uncertainties may affect the community in the future?** | » Identified natural hazards that are not climate-related<br>» Existing or potential conflicts or political crises<br>» Health shocks | Climate change interacts with other challenges to exacerbate vulnerability. Here you want to consider other issues that have come up in secondary research or community dialogues that may present additional risks to the community at large, or particular groups, and analyze how these will affect efforts to build climate resilience. |
| **How do the climate risks and changes affect the community?** | » Impacts of climate-related shocks, stresses and uncertainties | Consider what aspects of the community members' lives are affected by the climate risks and changes. This may include impacts on livelihoods, for example through scarcity of resources or damage to assets. You should also consider how people are responding to climate risks and the potential implications for resilience in the future. Impacts may also include fewer tangible issues, in terms of stress and increased conflict within households or between communities. You will also want to consider the cross-cutting issue questions below to get a fuller picture of how climate risks are affecting the community. |
| **Which members of the community are most affected by climate risks and changes? Why?** | » Impacts of climate-related shocks, stresses and uncertainties<br>» Effectiveness and sustainability of response strategies to climate risks | Climate risks and changes will affect different members of the community in different ways. Here you will assess the specific impacts of climate-related shocks, stresses and uncertainties on people and identify those who are most affected. Be as specific as possible—look at each of the priority climate risks and changes individually and assess which social or livelihood groups are most affected and why this is the case, considering issues such as age, disability and ethnicity that may influence vulnerability, along with gender (see the cross-cutting questions below). |

keep reading

| Key questions | Information to consider | Notes on the analysis |
|---|---|---|
| **What specific impacts do climate risks and changes have on women? On men? How do women and men respond differently to climate risks?** | » Sex-disaggregated information on impacts of climate-related shocks, stresses and uncertainties<br>» Sex-disaggregated information on response strategies | The impacts may differ based on gender-based roles and responsibilities, and this must be taken into account in identifying adaptation and resilience-building options if they are to address the needs of all community members. Look at the results from the different focus group discussions and analyze the differences, pulling out any impacts that are specific to the female or male groups. As well, consider the gender dimensions of the identified response strategies, identifying any that are specific to women or men. Reflect on why this is the case. |
| **How do the climate risks and changes affect ecosystems and natural resources?** | » Impacts of climate-related shocks, stresses and uncertainties on ecosystems and natural resources<br>» Changes in ecosystem services<br>» Drivers of ecosystem degradation | The impacts of climate change are often exhibited in changes in quality and availability of ecosystem services, often exacerbating the degradation caused by unsustainable human activities. It's therefore important to consider these impacts and the implications for people's ability to meet their basic needs and sustain their livelihoods. |
| **How do the climate risks and changes affect governance?** | » Impacts of climate-related shocks, stresses and uncertainties on institutions and access to services | Here you should consider how the climate risks and changes may affect people's interactions with institutions, including service providers, as well as how the institutions themselves may be affected. |

Next, you will consider the climate-resilience capacities that already exist in the community, in terms of their ability to anticipate risks, absorb climate-related shocks and adapt to changes in climate. Table 5 provides the guiding questions for this component of the analysis.

**Table 5:** Guiding Questions for Analysis of Existing Resilience Capacities

| Key questions | Information to consider | Notes on the analysis |
|---|---|---|
| **What factors enable different people to respond to climate risks?** | » Primary and secondary livelihood strategies<br>» Response strategies to climate risks for different social or wealth groups<br>» Important livelihood assets<br>» Information, knowledge and capacities<br>» Access to and control over livelihood assets, including natural resources<br>» Access to information and services | Look at the primary and secondary livelihood strategies, as well as the strategies to respond to climate risks that are effective and sustainable, now and into the future. Consider what has enabled people to employ those strategies. Note that identifying the enabling factors will help to identify actions to strengthen these or put them in place for people who do not currently have these advantages (see questions in table 7). |

keep reading

| Key questions | Information to consider | Notes on the analysis |
|---|---|---|
| **Which current responses are effective and sustainable?[xlv] Will they remain effective in relation to changing climate risks? Are they sustainable into the future?** | » Response strategies to climate risks and community perceptions of their effectiveness | Here you should look at the response strategies that different people are currently employing and assess their effectiveness and sustainability. For those that are effective and sustainable in relation to current risks, consider whether they will remain so in the face of projected changes in climate. |
| **Where are the emerging opportunities for adaptation and resilience building in the community?** | » Opportunities for livelihood diversification to build resilience<br>» Investments in programmes and services that support climate-resilient livelihoods<br>» Enabling policies | Supporting climate resilience is not only about dealing with challenges—it also involves capitalizing on opportunities. Here you will want to identify the policies, programmes, services and actors that are available to communities to facilitate adaptation and resilience building. You will also want to consider policies that are being updated or developed to integrate climate change, as these may create opportunities for building community resilience. |
| **What specific capacities do women and men have that enable them to respond to climate risks?** | » Sex-disaggregated information on response strategies<br>» Gender differences in decision-making power and access to/control over livelihood assets<br>» Gender differences in access to information and services | Gender inequality influences people's resilience capacities, yielding differences in women's and men's ability to respond to climate risks. Here you should consider the different ways in which women and men are responding to climate risks and what this tells you about their respective resilience capacities. You should also consider how gender differences in decision-making power and access to information and services affect people's ability to respond to climate risks. |
| **What role do ecosystem services play in supporting people's resilience?** | » Ecosystem services that are important for livelihoods and resilience<br>» Changes in ecosystem services | Ecosystem services are a critical resource for people to increase their resilience. Here you should consider how people are currently using ecosystem services and how this contributes to their resilience capacities. |
| **What role do effective and inclusive governance systems and structures play in facilitating responses to climate risks?** | » Relevant institutions<br>» Access to services<br>» Policy opportunities for climate-resilient livelihoods | Consider how people's interactions with relevant institutions and their access to services enhances their resilience. Also consider where existing policies create opportunities for people to build more climate-resilient livelihoods. |

In order to achieve increased resilience, there are barriers that must be overcome. The guiding questions for analyzing these barriers are found in Table 6.

**Table 6:** Guiding Questions for Analysis of Barriers to Resilience

| Key questions | Information to consider | Notes on the analysis |
|---|---|---|
| **What are the barriers different people face in responding to climate risks?** | » Response strategies to climate risks for different social or wealth groups<br>» Gaps in information, knowledge and capacities<br>» Lack of access to and control over livelihood assets and natural resources | Consider which groups do not have effective or sustainable strategies to respond to climate risks, and why this is so. Barriers are often the opposite of enabling factors—some community members may not benefit from the enablers, which turns them into a barrier. Examples would include a lack of access to information or uncertainty about land tenure. |
| **How does gender inequality create barriers to people's responses to climate risks?** | » Sex-disaggregated information on response strategies<br>» Gender differences in decision-making power and access to/control over livelihood assets<br>» Gender differences in access to information and services | Gender inequality often plays a role in determining who suffers most from the barriers. In many contexts, women are disadvantaged when it comes to opportunities to build climate resilience. Here you should assess how gender inequality creates barriers to climate change adaptation and how progress in addressing this issue can contribute to building climate resilience. |
| **How do declining quality and availability of ecosystem services limit options available to respond to climate risks?** | » Primary and secondary livelihood strategies<br>» Response strategies to climate risks for different social or wealth groups<br>» Important livelihood assets<br>» Response strategies to environmental degradation | Assess how climate change impacts and other drivers of ecosystem degradation can inhibit climate resilience, considering how people are using ecosystem services and how the quality and availability of these services is changing. Keep in mind that ecosystem services may be affected by actors or activities outside the community. |
| **What are the governance barriers to adaptation and resilience building?** | » Lack of access to services<br>» Unhelpful policies and/or policies that exist but are not properly implemented<br>» Lack of negotiation space with authorities | Here you should assess how governance barriers, including policy and institutional issues, can negatively affect people's resilience. |

Finally, you will use the above analysis to identify options for increasing climate resilience. This includes actions that community members themselves can take, actions by local institutions that support communities, and actions that will create an enabling environment for community-level climate resilience. This should include actions that are oriented towards transformation, in terms of social norms, governance and other systemic changes. Guidance on identifying these options is presented in Table 7, along with examples of the types of options you may identify.

**Table 7:** Guiding Questions for Identifying Options for Increasing Climate Resilience

| Key questions | Notes on the analysis | Examples of options |
|---|---|---|
| **What actions can be taken by community members to build their climate resilience?** | Looking at the analysis of climate change vulnerability and adaptive capacity, and building on the adaptation options identified during the focus group discussions, identify actions that can be taken by community members to build their climate resilience. These actions should be mapped to the priority climate risks, identifying specific actions to respond to the different risks. Some actions may build resilience to more than one of the priority climate risks—these should be highlighted. As well, some actions may be specific to particular groups within the community, depending on their identified adaptation needs and priorities. | » Diversifying livelihoods to reduce reliance on climate-sensitive resources<br>» Adjusting agricultural practices to reduce sensitivity to climate change<br>» Using physical measures to protect from climate extremes |
| **What information, knowledge and capacities do different people need to better respond to climate risks, now and into the future?** | Considering the gaps in information, knowledge and capacities, as well as the barriers and enablers identified in table 5 and 6, identify what people need to implement the community-level actions identified above. Next, identify actions that can be taken, by communities or by external actors, to meet these needs. In identifying these options, ensure that you are considering differences among community members based on gender, social and wealth status, and location in the community. | » Improving access to seasonal and weather forecasts<br>» Developing knowledge of appropriate adaptation technologies<br>» Creating a learning platform for dialogue on managing climate risks |
| **What resources do different people need to better respond to climate risks, now and into the future?** | In addition to the elements of human potential identified above, putting adaptation options into practice requires a range of resources, including economic, physical and natural resources, as well as the social capital that allows people to act in their households and communities.[xlvi] Consider what community members need to implement the identified adaptation options, being as specific as possible. Then, identify options for facilitating access to and control over these resources, ensuring that existing imbalances are addressed. | » Securing land tenure for women and marginalized groups<br>» Facilitating access to improved seeds and other adaptation technologies |
| **What role can services provided by government or other actors play in enabling different people to better respond to climate risks, now and into the future?** | While there are many resources within communities that local actors can draw on to support resilience building, there will always be a role for service providers, including government and other actors, in supporting community efforts. Here you should consider what services are already in place and how these can be adjusted to better aid communities in their adaptation efforts, as well as new services that may be needed to reflect the evolving context of climate change. | » Expanding access to climate information services<br>» Adjusting financial services to enable risk management<br>» Integrating climate change adaptation in agricultural extension services |

keep reading

| Key questions | Notes on the analysis | Examples of options |
|---|---|---|
| **What options are available to support adaptation while also advancing gender equality?** | Here you will apply a gender lens to the adaptation options, to ensure that you have identified strategies that respond to the adaptation needs and priorities of both women and men and to ensure that adaptation actions will not have negative impacts on gender equality. You may need to consider additional options or better target specific options to ensure that the needs of the most vulnerable community members have a voice in the process and that their needs are addressed, and that women and men benefit equitably from adaptation efforts. | » Incorporating simplified/ visual communication methods in dissemination of climate information to include those who are not literate<br>» Developing specific financial services for women to promote entrepreneurship<br>» Actions to address imbalances in household decision-making power or to increase women's leadership in community planning |
| **What options are available to support adaptation while also restoring, conserving and sustainably managing ecosystems?** | Review the adaptation options you have identified to ensure that they will not have negative impacts on ecosystems. Where possible, adjust options to ensure that they contribute to restoring, conserving and sustainably managing ecosystems. You may also want to add additional options that are oriented towards these objectives to build the resilience of ecosystems as well as people. | » Protecting and/or planting mangroves to protect coastal areas from storms<br>» Establishment of diverse agro-forestry systems<br>» Sustainable management of grasslands and rangelands to support livestock rearing[xlvii] |
| **What changes are needed in governance systems and structures to create an enabling environment for adaptation and resilience building?** | Consider the governance dimensions of the adaptation options you have identified and identify changes that are needed to enable implementation. Consider both formal and informal governance structures, taking into account participation, transparency and accountability issues that may create barriers to successful adaptation and resilience building. | » Ensuring equitable representation of women and marginalized groups in community decision-making structures<br>» Integrating adaptation in local development plans that drive allocation of government resources<br>» Improving legislation and mechanisms for management of natural resources and other community assets |

## Resource: Identifying Adaptation Options

CARE's Adaptation Learning Programme for Africa (ALP) developed the ALP Adaptation Strategies Compendium to aid practitioners in identifying adaptation options for communities.

### Agree on draft findings and options for increasing climate resilience

Working as a team, pull together a summary of the key findings from the analysis that can be presented to stakeholders for validation (you can use the report template in Annex 1 as a guide for this). You should also prepare a list of the proposed options to increase climate resilience for different groups to share and discuss with community members. Be prepared to explain the rationale for any options that have been identified by the team that go beyond those that were identified during the focus group discussions. In compiling the analysis, consider how you will present it to stakeholders for validation.

#### GOOD PRACTICE TIP: RESILIENCE CAPACITIES

Once you have completed identification of the adaptation options, it is helpful to refer back to the resilience framework to ensure that you have covered all of the resilience capacities:

- Anticipatory capacity: Options that enable people to foresee risks and prepare for hazards, therefore reducing the impacts
- Absorptive capacity: Options that prepare people to absorb/respond to shocks with minimum impact on their lives and livelihoods
- Adaptive capacity: Options that build people's capacity to adjust to changing conditions and evolving risks
- Transformative capacity: Options that promote systemic changes to create an enabling environment for community adaptation and resilience building

A comprehensive approach to building climate resilience involves actions that address all of these capacities.[xlviii]

# 6 STEP 6: Validating the analysis

In this step, you will present the draft findings and adaptation options to stakeholders and fill any information gaps that may have emerged during the analysis.

### Present the draft analysis to stakeholders to get their feedback

After the analysis has been completed, a presentation should be made to community and local government representatives to gather their feedback and ensure that the findings and identified adaptation options are on track, both from the community perspective and in terms of local development plans. Depending on the time and resources available, this can be done with the specific focus groups or with a wider group that includes representatives of the different groups. You should present the results of the analysis in a clear and simple way, providing stakeholders with an opportunity to ask questions and make comments. All feedback should be recorded so that it can be incorporated into the final analysis.

### Fill information gaps

The analysis may have unearthed additional questions or issues that require clarification—you can use the validation step as an opportunity to address these by doing further secondary research or discussing with stakeholders.

#### GOOD PRACTICE TIP: MANAGING EXPECTATIONS

When presenting the draft findings to stakeholders, you need to be careful about raising expectations that the issues discussed will be addressed. It is therefore important to clearly communicate the purpose of the exercise and ensure that next steps are clear. If there are follow-up activities planned at this point, share these, providing a timeline and as much detail as possible. If not, explain how you will be using the results of the analysis and what you expect may occur in the future, being as realistic as possible.

# 7 STEP 7: Documenting the analysis

In this step, you will develop the final report of the CVCA analysis, summarizing the validated findings and options for adaptation and resilience building.

### Finalize the analysis

Following the validation, you should consider the feedback received from stakeholders and how it can be integrated in the analysis. This is also an opportunity to incorporate any additional information that has been gathered. Once this is done, you should work as a team to come to an agreement on the finalized findings and options for increasing resilience.

### Complete the report

The analysis should be documented in a concise report that summarizes the key findings and options for increasing resilience, identifying specific options for women, men and other groups within the community where appropriate. A proposed template for the report is presented in Annex 1. This should be adapted to your particular context and analysis to ensure it fits the intended purpose.
In compiling the report, you will need to consider the audience (for example, the local government, the project management team or a donor agency) and target the level of detail in messaging accordingly. You may also want to develop a simplified version of the report to be shared with community members.

### PRACTICE EXAMPLES: DOCUMENTING THE CVCA PROCESS

The first CVCA Handbook has been applied by CARE and other organizations around the world. Below are a few links to CVCA reports produced through these efforts. Though they do not reflect the updated approach outlined in this new handbook, they provide examples of how different teams have documented their analysis.

- Climate Vulnerability and Capacity of Ethnic Minorities in the Northern Mountainous region of Vietnam
- Climate Vulnerability and Capacity Analysis (CVCA) Report: South of Thailand
- Climate Vulnerability and Capacity Analysis (CVCA) of Four Districts in South Sulawesi, Indonesia
- Climate Change Vulnerability and Adaptive Capacity in Garissa County, Kenya
- Climate Change Vulnerability and Adaptive Capacity in Northern Ghana
- Climate Change Vulnerability and Adaptive Capacity in Dakoro Department, Niger
- Risk Mapping and Vulnerability Assessment Under the Partners for Resilience Climate-Proof Disaster Risk Reduction (PFR) in Otuke District (Uganda)

# Using the Analysis

The CVCA process is intended to be action-oriented—it is not designed to generate reports that end up on shelves in government or NGO offices. This section provides an overview of the different ways that the analysis can be used, along with links to resources to guide you in applying the analysis.

### Using the analysis for community-level planning and action

Ideally, the CVCA process will be used by local actors to support community-level planning and action. Key actors in this case will include individual women and men, community-based organizations, local institutions and sub-national government authorities, who will use the findings to mobilize community-level actions based on the adaptation and resilience-building options identified. Often, this will involve integration of the actions into local development and/or adaptation plans, recognizing that adaptation is an ongoing process that requires flexibility and adjustment over time. In this instance, the CVCA process represents an initial step in the cycle of planning, implementing and monitoring community efforts towards adaptation and resilience building.[l]

#### RESOURCES FOR COMMUNITY-LEVEL PLANNING AND ACTION

To use the CVCA analysis for community-level planning and action, check out the following resources:

» CARE, through the ALP, developed a practitioner brief on adaptation planning with communities. The brief describes a seven-step community adaptation action planning process, in which one of the steps is participatory analysis of climate change vulnerability and adaptive capacity.

» Building on the learning from implementing CBA initiatives, CARE Vietnam developed a more detailed practitioner's manual to guide planning for resilience. This manual draws on the original CVCA Handbook, elaborating a 10-step process that involves strong engagement of local stakeholders in the process of analyzing vulnerability and adaptive capacity and using the analysis for planning.

#### PRACTICE EXAMPLE: INTEGRATING CVCA FINDINGS IN LOCAL PLANNING AND BUDGETING

CARE conducted the CVCA process in three local council areas in the East Region of Cameroon with a focus on community adaptation planning as part of the PRO-ACT project funded by the European Union.[3] Not only are the local communities vulnerable to changing rainfall patterns, but they have also been affected by the conflict in the Central African Republic. The conflict has caused over 275 000 refugees[xlix] to seek asylum in Cameroon, resulting in increased pressure on natural resources—especially land, wood and water. After the analysis phase, each village developed a community adaptation plan. The priorities from each village-level adaptation plan were aligned with the council-level planning process in order to identify community infrastructure projects that facilitate adaptation to climate change and improved resilience. These include spring water catchments, cereal banks, cassava driers and a village market infrastructure. The three councils have each contributed financial resources from their own budgets to match the contribution from the project in order to implement the plans.

3 *The PRO-ACT project is funded by the European Union and implemented by a consortium of NGOs – Première Urgence Internationale (lead), CARE, French Red Cross, Action Against Hunger and Solidarités Internationale.*

### Using the analysis for awareness and advocacy campaigns

Where the CVCA process has highlighted social and behavioural issues that exacerbate vulnerability to climate change, local actors may use the findings as a basis for developing awareness campaigns. Examples would include campaigns focused on promoting gender equality, risk-informed decision-making and sustainable ecosystem management. In addition to highlighting systemic changes that are needed, the analysis can help to ground the campaign messaging and communication strategies in local realities. In other cases, the analysis may point to policy changes that are needed to create an enabling environment for adaptation. While a more comprehensive policy analysis will be needed to design an effective advocacy campaign, the CVCA findings can help to target this analysis and provide initial identification issues to be addressed.

### Using the analysis for project and programme design

Another way in which the CVCA process is often used is in the design of projects and programmes to be implemented by local or international actors working in target communities. This includes community- and ecosystem-based adaptation projects, but also projects that aim to integrate climate change adaptation alongside other objectives such as food security, access to potable water and sustainable natural resource management. As previously noted, the CVCA process is not a project design tool in and of itself; however, it provides useful analysis of issues in communities that can inform the design of projects that address climate-related challenges. The analysis can also provide a basis for developing theories of change for increasing resilience, as well as monitoring and evaluation systems to track progress on adaptation and resilience building, by identifying domains of change and context-specific indicators of vulnerability and resilience.

#### RESOURCES TO INTEGRATING CVCA FINDINGS IN LOCAL PLANNING AND BUDGETING

If the CVCA analysis is to be used for awareness and advocacy campaigns, the following resources may be helpful:

- To facilitate dialogue within communities on social norms and traditional practices that impede adaptation, CARE's Social Analysis and Action approach is recommended. This process seeks to address social, economic and cultural factors that influence vulnerability to climate change through recurring dialogue with communities in a reflection-action cycle.[li]
- The Southern Voices on Climate Change coalition has developed a number of tools to support advocacy campaigning, including Climate Change Advocacy Toolkits and the Joint Principles for Adaptation.
- CARE also developed a more general advocacy handbook that highlights approaches, techniques and resources to help CARE staff, partners and other NGO colleagues think about how to integrate advocacy into their work more generally.

#### RESOURCES FOR PROJECT DESIGN

The following resources may be useful in applying the CVCA analysis to design projects or programmes addressing adaptation and resilience building:

- ALP's Adaptation Good Practice Checklist is designed to guide design and decision-making related to financial support for adaptation initiatives. It presents nine good practices, with a practical scoring method to screen project designs and implementation plans.
- CARE's Resilience Marker assesses how well resilience has been integrated in a project or programme. A number of resources have been developed to support its application, including a guidance note, a vetting form and a training module.
- The ALivE Planning Tool is oriented towards the design of ecosystem-based adaptation projects.
- The SuPER Resource Paper for Practitioners & Fundraisers is a source document that assists with programme design, resource mobilization, and communication for sustainable, productive, equitable and resilient small-scale agriculture.

# C.

# CVCA PARTICIPATORY TOOLS

## Using the field guides

The following pages present field guides for facilitating the participatory tools. These field guides are designed to provide step-by-step guidance on facilitating the focus group discussions, so we suggest that you print them off and bring them with you to the community.

Before heading to the field, you should review the field guides carefully and adapt them as necessary to ensure that the process and the questions are appropriate to the context and that they gather the necessary information. The field guides are presented in a logical progression; however, this is not meant to be prescriptive—you should use them in the order that makes sense for your particular process.

In planning the focus group discussions, it is important to consider the specific groups that you will be working with and tailor the guidance accordingly. For example, Field Guides 1–3 and 6–9 are written based on the assumption that the discussions target separate groups of women and men. If this is not the case, they should be adapted with additional questions to explore the different perspectives of the women and men in the group, ensuring that all group members have the chance to participate freely. Field Guides 4 and 5, on the other hand, are designed to be used with mixed groups of women and men and will need to be adapted if this is not possible.

Even when focus groups are selected based on particular characteristics such as gender or age, there is likely to be diversity within the group. You will need to consult with trusted local partners to ensure that your focus groups are representative of the full range of perspectives and experiences within the community. Please refer back to the guidance on disaggregation on page 28 if you are having trouble deciding how to organize the focus groups. Regardless of how the groups are structured, good facilitation is key to ensuring that all voices are heard—see the box on the right for good practice tips on this.

### GOOD PRACTICE TIPS: FACILITATION

The following good practices will help to ensure that the participatory research process is effective and respectful of community members:

- Plan each field visit carefully, with a clear agenda that balances facilitator and participant expectations for the process. Decide which team members will actively facilitate which parts of the agenda and which will take notes.
- The facilitation team should include both men and women and should be trained in facilitation methods that invite equal participation of all group members. In some contexts it is very important to have female facilitators work with women's groups to increase comfort.
- Plan to provide refreshments when appropriate.
- Take illiteracy into account and adjust facilitation approaches accordingly to ensure that all can participate.
- Ensure that you have all of the materials you will need for the focus group discussions. Ideally this will include a camera to take photos of the process and its outputs (be sure to secure group members' consent to having their photo taken before taking photos during the discussions).
- Manage expectations by clearly communicating the objectives of the analysis and clarifying next steps before beginning the discussions.
- Create a safe space for dialogue by valuing participants' knowledge and experience and having a non-judgemental attitude.
- Allow time for questions and ensure that all participants have the opportunity to contribute without fear of negative reactions from others in the group.
- Allow participants to move at their own pace but keep the process on track. Ensure that you are moving quickly enough to cover the necessary ground in the time allocated.
- Probe for more information if the discussion is lagging but try not to lead participants.
- Be respectful of and grateful for the participants' time, keeping in mind that they are taking time away from their own activities to contribute to the discussions.

# field guides.

# Hazard Map[lii liii]

field guide 1.

## Objectives

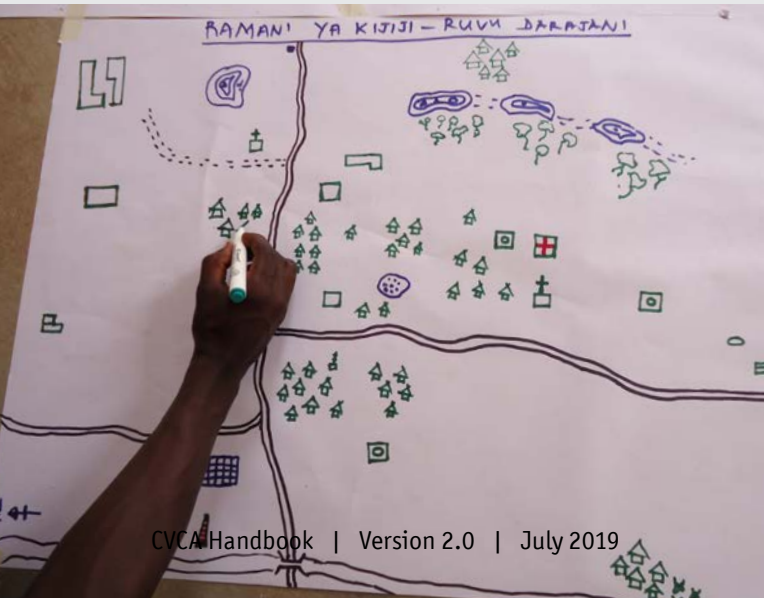
- To become familiar with the community and to see how the place is perceived by different groups within the community
- To identify important livelihood resources in and around the community
- To initiate the identification of hazards affecting the community (both climate-related and other)

## Materials

- Flipchart paper
- Thick-tipped markers in a variety of colours
- Masking tape
- Local materials such as stones, sticks, seeds, etc.
- Camera to document the process (ensure that the participants are comfortable with it before taking photos of them)
- Field Guide
- Paper for note taking
- Clipboard

## Timing

1 hour and 15 minutes




## How to facilitate

1. Explain to the participants that you would like to build a map of their community.

2. Choose a suitable place (ground, floor, paper) and medium (sticks, stones, seeds, pencils, chalk) for the map.

3. First, build the community map. Ask the community members to identify a landmark in the community.

4. Put a mark or a stone to stand for the landmark.
   **NOTE: You should help the participants get started but let them draw the map by themselves.**

5. Ask the group to draw the boundaries of the community.

6. Ask participants to draw the location of settled areas, important facilities and resources in the community. This should include houses (the map doesn't need to show every house, but the general area where houses are located), facilities such as churches, mosques, temples or other local spiritual centres, health clinics, schools, and resources such as forested areas, grazing lands and water bodies.

7. When the community members have agreed that the map is representative of their community, begin the second step: identifying the hazards.

keep reading

8. Ask the community members to identify the areas at risk from different types of hazards, and mark these in the appropriate locations on the map. These should include:

   - Natural hazards, including both geophysical and climate-related hazards
   - Political crises and/or conflict
   - Technological shocks
   - Diseases and epidemics

   Hazards that are mentioned that are not location-specific should be documented in the notes from the discussion.

**Hazards are events or conditions that cause negative impacts on people, their assets and their livelihoods. Examples of climate-related hazards include drought, flooding, cyclones, heavy rain, sea-level rise, heat waves**

9. Ask the participants: who are the members of the community who are most at risk from the different hazards? Why?

10. Ask the participants if there are safe places (inside or outside the community) they can go to in case of hazards, and if these safe places can be used by all and are used. Check if they can also protect their assets and where (storage facilities, etc.). Mark the different places on the maps.

11. Ask the participants if they are happy with the map. If not, allow them to make any changes they want to make to finalize it.

12. Ask the group if they have any questions, thank them for their participation and explain the next steps.

**The note taker should carefully copy the map and transcribe the key points of the discussion. A photo of the map may also be helpful to document the results.**

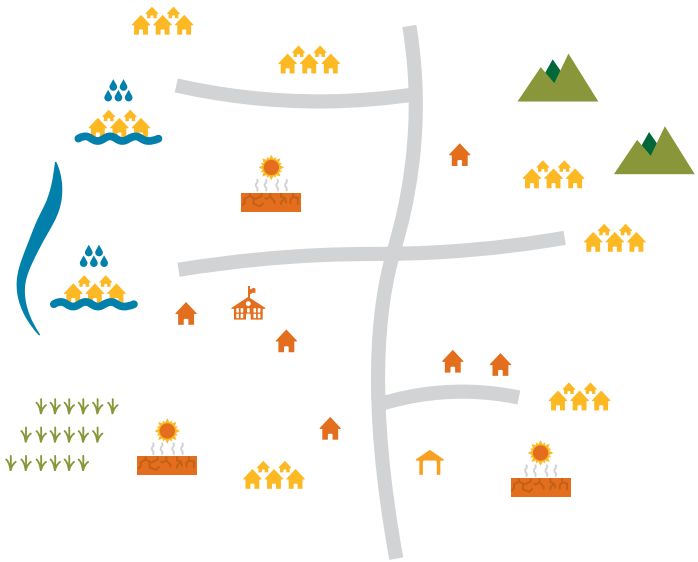


**Figure 5:** Adapted from a hazard Map, Da Nang, Vietnam

## GOOD PRACTICE TIP: USING SATELLITE MAPS AND TRANSECT WALKS

You can come to the session with a satellite map. It can be introduced during the discussion, for example after question 9, to discuss any differences with the map drawn by participants or from the beginning to ask people to complete the map. These maps are particularly helpful to understand the interaction of the community with its broader ecosystem and water basin. Another way to get a better understanding of the community context is to do a transect walk. This can help to confirm the information provided through the hazard map and potentially gather complementary information.

# Historical Timeline

field guide 2.

## Objectives

- To get an insight into past hazards, changes in their nature, intensity and behaviour
- To make people aware of trends and changes over time
- To document community observations of changing hazard trends

## Materials

- Idea cards
- Thick-tipped markers in a variety of colours
- Masking tape
- Camera to document the process (ensure that the participants are comfortable with it before taking photos of them)
- Field Guide
- Paper for note taking
- Clipboard

## Timing

1 hour and 15 minutes

## How to facilitate

1. Ask the group if they can recall major events in the community, focusing on:

   - Major climatic events (for example, droughts or floods), noting the severity where possible
   - Changes in land use (for example, introduction of a new type of crop or a changing forest land to agricultural land)
   - Major development events (for example, construction of a school or water system)

   You may want to start by asking any elders in the group about their earliest memory.

   Write each event down on an idea card, along with the year in which it occurred. Post the cards on the wall or place them on the ground in chronological order. Using cards will allow you to re-arrange and fill gaps throughout the exercise to maintain the chronological order.

2. Periodically run back through the events already reported to prompt recall and help the group to fill in gaps. Just concentrate on key events, noting that there may be a bias in the timeline as events in recent memory are more likely to be noted.

3. When they have run out of ideas, ask the participants if there are any trends or changes in the frequency of climatic events over time. Trends are patterns in the timing of events (for example, droughts occurring every three years over a period of time). To help them to visualize the trends, it may be helpful to arrange the spacing of the cards so that they show the periods of time between the different events (larger spacing for bigger gaps in time, smaller spacing for smaller gaps in time). You can also ask people to describe trends in availability and quality of their key livelihood resources (water, land, livestock...) by describing the situation today and 10, 20, 30 years ago or more. People can eventually depict it on cards and put them on a line to illustrate the changes.

4. Ask the participants if there have been any changes in the trends. A changing trend would involve an event occurring less frequently or more frequently than the usual.

5. If they feel that the trend has changed, ask the group the reasons for these changes and if they have changed the way they prepare for or respond to these events as a result of the changing trend.

6. Ask if these changes are helpful in managing risks associated with these events. If yes, how? If not, why?

7. Ask if they have been accessing weather or climate information to inform their decision-making? If yes, has this changed the way they respond to potential events?

8. Ask the group if they have any questions, thank them for their participation and explain the next steps.

**The note taker should carefully copy the timeline and transcribe the key points of the discussion. A photo of the timeline may also be helpful to document the results.**

**Figure 6:** Example of a historical timeline for Kouggou Village in Niger

| YEAR | EVENT |
|---|---|
| - | Creation of the village |
| 1965 | Drought and famine "Taballe" |
| 1973 | Drought with heavy loss of livestock |
| 1984/85 | Drought and famine – distribution of food aid |
| 1995 | Delimitation of the boundaries of the village |
| 1999 | Settling in the current village location |
| - | Creation of the school |
| 2002 | Well |
| 2004-2005 | Drought and famine |

# Seasonal Calendar[liv]

field guide 3.

## Objectives

- To analyze seasonal changes in activities and periods of stress or scarcity
- To identify important livelihood activities
- To document community observations of changing trends in seasonal patterns

## Materials

- Flipchart paper
- Thick-tipped markers in a variety of colours
- Masking tape
- Local materials such as stones, sticks, seeds, etc.
- Camera to document the process (ensure that the participants are comfortable with it before taking photos of them)
- Field Guide
- Paper for note taking
- Clipboard

## Timing

1 hour and 15 minutes

## How to facilitate

1. Use the ground or a piece of flipchart paper. Mark off the months of the year on the horizontal axis as shown in Figure 7.

2. Explain to the participants that you would like to develop a calendar to show key events and activities that occur during the year.

3. Ask people to list the key seasons, activities and other events that occur throughout the year, and arrange these along the vertical axis. The list could include:

   - Seasons (rainy and dry seasons, hot or cold seasons)
   - Holidays and festivals
   - Agricultural activities including planting, harvest and marketing
   - Periods of scarcity of resources, such as food, water, fish or pasture
   - Times of migration
   - Timing of climate events such as storms, floods, droughts and heat waves
   - When common seasonal illnesses occur for people and for livestock

4. When the key events have been listed, plot the timing of them in the table based on agreement among the participants, as shown in the example below, leaving space after each event. **You may want to suggest that they use different colours or symbols to indicate the intensity of the event or activity, for example when the rains are heaviest.** The note taker should note any events for which the group has difficulty deciding on timing.

keep reading

5. Ask whether they have observed any differences in the timing of seasons and climate events as compared to 20 or 30 years ago. Plot these on the calendar below the current situation.

6. If they have seen changes in the timing of events and activities, ask them if this has caused them to make adjustments in their livelihoods. If so, in what ways?

7. Ask if these adjustments have been helpful in managing the changes. If so, how? If not, why?

8. Ask if they have had access to seasonal forecasts in recent years. If yes, has this helped them in managing the changes? How?

9. Ask the group if they have any questions, thank them for their participation and explain the next steps.

**The note taker should carefully copy the calendar and transcribe the key points of the discussion. A photo of the calendar may also be helpful to document the results.**

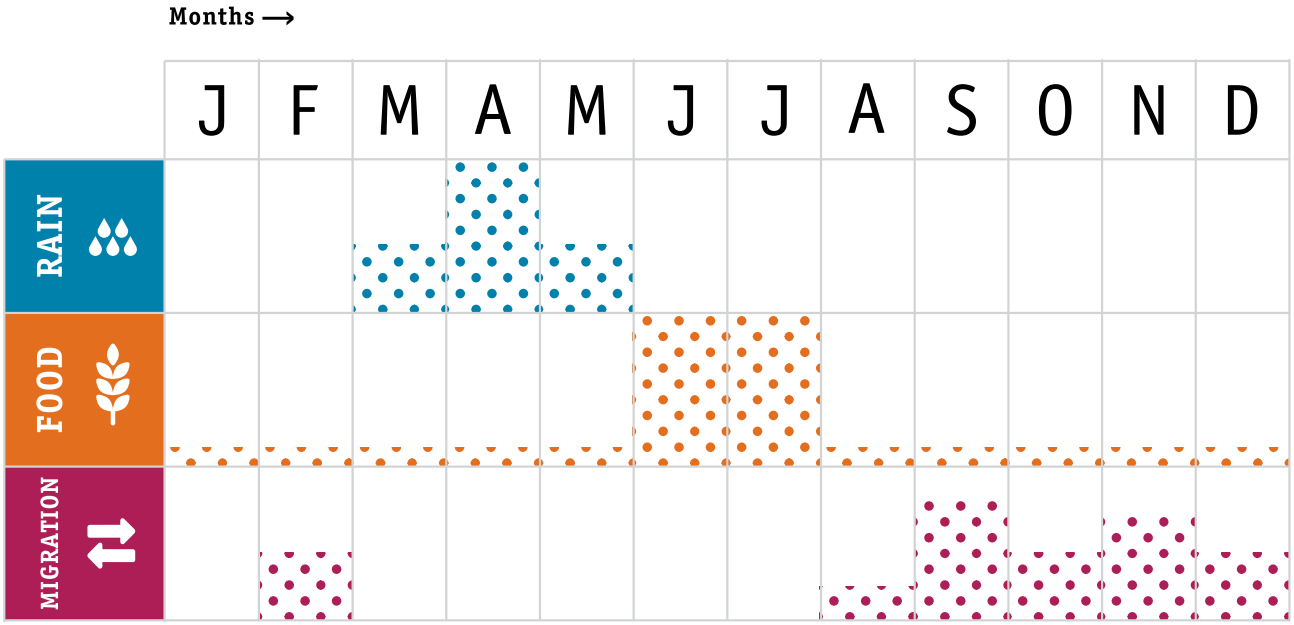



**Figure 7:** Adapted from a Seasonal Calendar: Tanzania (Where The Rain Falls project)
*Note: The points have been used to show the intensity of rains or migration or availability of food.*

### GOOD PRACTICE TIP: WORKING WITH DIFFERENT AGE GROUPS

To better highlight the changes between the past and now, you may want to divide the group into two groups, comprising elder and younger members. Each group can work on a separate calendar, with the elder group presenting the situation 20 or 30 years ago and the younger group presenting the current situation. You can then compare and discuss the two calendars, using steps 5–8.

# Daily Clock[lv]

field guide 4.

## Objectives

- To illustrate the inequality in workloads within the household and how this can undermine resilience and affect the ability to implement the adaptation options
- To show the value of women's work
- To understand how daily tasks and the division of responsibilities shift when a climate-related shock occurs

## Materials

- Flip chart paper with two daily clocks already prepared (see Figure 8)
- Thick-tipped markers in a variety of colours
- Masking tape
- Camera to document the process (ensure that the participants are comfortable with it before taking photos of them)
- Field Guide
- Paper for note taking
- Clipboard

## Timing

1 hour and 15 minutes

## How to facilitate

**NOTE: For this activity, it is helpful to bring a focus group of men together with a focus group of women. They will work separately but then come together to discuss. If this isn't possible, then you can have part of the group role-play the opposite sex. You will need two facilitators—one for each group.**

1. Explain that you are going to discuss the different tasks that women and men do to keep the household running. Divide the participants into two groups, one of women and one of men (see note above), each working with a facilitator who will follow the steps below.

2. Ask the group to imagine a typical day for a woman/man like themselves, from the time they wake up to the time they go to bed.

3. Using one of the prepared daily clocks, ask them to draw or write all of the tasks that they do throughout a typical day. This should include any overnight activities (such as breastfeeding), paid and unpaid work, leisure and rest time. Give them approximately 20 minutes to do this.

4. Using the second daily clock, ask them to imagine a day when the community is affected by a climate shock (you can refer back to the hazard map and vulnerability matrix to select a particular hazard scenario to make this more specific). Ask them to repeat the exercise of building the clock, focusing on how things change when a shock has occurred.

5. Once the daily clocks are complete, bring the groups together. Ask them to place the clocks side by side.

keep reading

6. Ask one member of each group to present the daily clocks to the other group.

7. Ask the groups to share their observations on the clocks:

   - How are the days similar?
   - How are they different?
   - How does the clock for a typical day differ from a day during a shock?

   Lead a discussion on the clocks:

   - Have there been any changes in the distribution of tasks in recent years? Are there tasks that take more or less time? What are the reasons for these changes?
   - Have climate-related shocks and stresses had any impact on the distribution of tasks?
   - Who has more interactions with people or organizations outside the household?
   - Who has more time to learn and try new things?
   - What changes would you like to see to make the balance of tasks fairer?

8. Ask the group if they have any questions, thank them for their participation and explain the next steps.

**The note taker should carefully copy the clocks and transcribe the key points of the discussion. A photo of the daily clocks may also be helpful to document the results.**

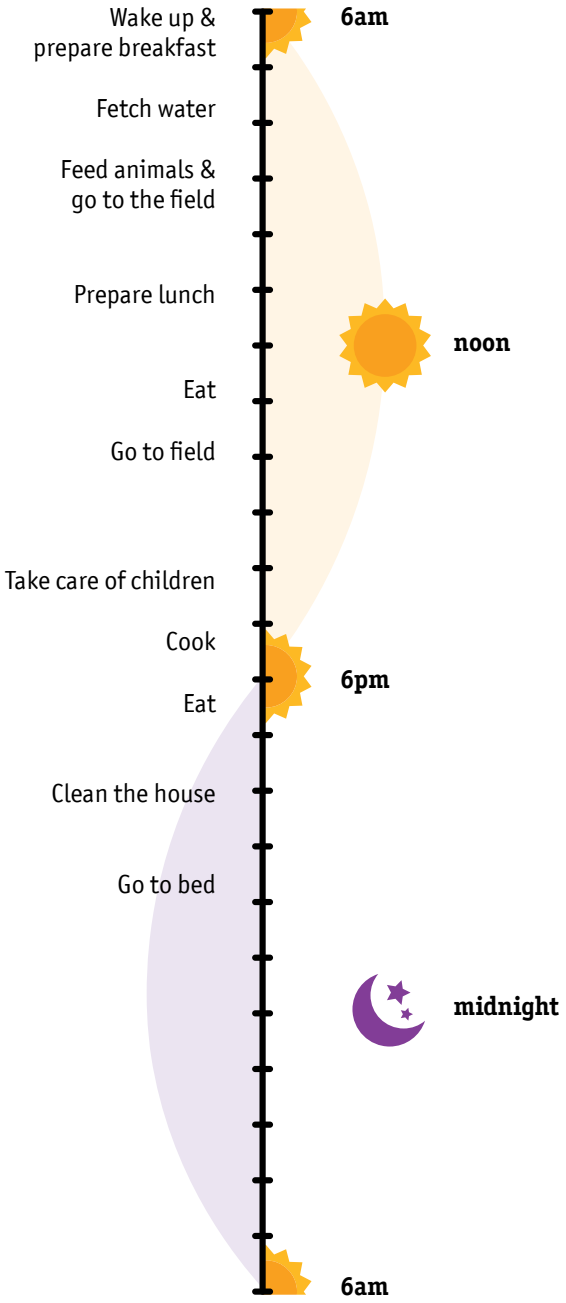



**Figure 8:** Example of a Daily Clock | *Source: Adapted from CARE Farmer's Field and Business School Toolkit: Gender Tools*

# Household Decision-Making Pile Sorting

field guide 5.

## Objectives

- To explore who in the household has the authority to make important decisions
- To discuss how decision-making could be more equal as a means to increase resilience

## Materials

- Flip chart paper, prepared with titles for symbols indicating: 1) a woman alone, 2) a man alone and 3) a woman and a man together
- Thick-tipped markers in a variety of colours
- Idea cards or pieces of different coloured paper or cardboard cut up into rectangles
- Camera to document the process (ensure that the participants are comfortable with it before taking photos of them)
- Field Guide
- Paper for note taking
- Clipboard

## Timing

1 hour

## How to facilitate

1. Explain to the participants that the exercise will explore decision-making in the household.

2. Ask them to brainstorm the critical decisions that are needed at the household level, to meet the family's needs, maintain well-being and plan for the future. Ask them to also consider decisions that are made when the household is affected by climate-related shocks and stresses. Give them approximately 10 minutes to come up with a list. Write (or draw) each decision on an individual card.

   **If they need prompting, you can provide some examples of decisions, such as:**

   - **Deciding to invest in a new business or in farm equipment**
   - **Deciding when a child should marry**
   - **Deciding what and when to plant**
   - **Deciding when to sell an asset**
   - **Deciding when to evacuate**

3. Place the prepared flip charts in front of each group. Ask participants to discuss each of the different decisions and place them on the appropriate flip chart page, showing who typically makes the decision. Allow them to add any important decisions that may have been missed during the brainstorming session.

keep reading

4. Lead a discussion:

   Who makes the most decisions? Does this change when the household is affected by a climate-related shock or stress?

   What types of decisions are made by the man alone? By the woman alone? What types of decisions are made jointly? Why is this the case? Is there any difference based on the age, ethnicity, etc. of household members?

   Have there been any changes to the ways in which decisions are made in recent years? What has driven these changes?

   What are the benefits of both partners having an equal voice in important decisions?

5. Invite them to turn to a neighbour and discuss

   - One change that they would like to see in terms of decision-making in their own household for their well-being
   - One change that they would like to see in terms of decision-making at the household level when it comes to anticipating, absorbing or adapting to climate stresses and shocks

6. Ask all group members to reflect individually on one action they can take to move towards the change they would like to see.

7. Ask the group if they have any questions, thank them for their participation and explain the next steps.

   **The note taker should carefully copy the lists of decisions and transcribe the key points of the discussion. A photo of the flip charts with the cards may also be helpful to document the results.**

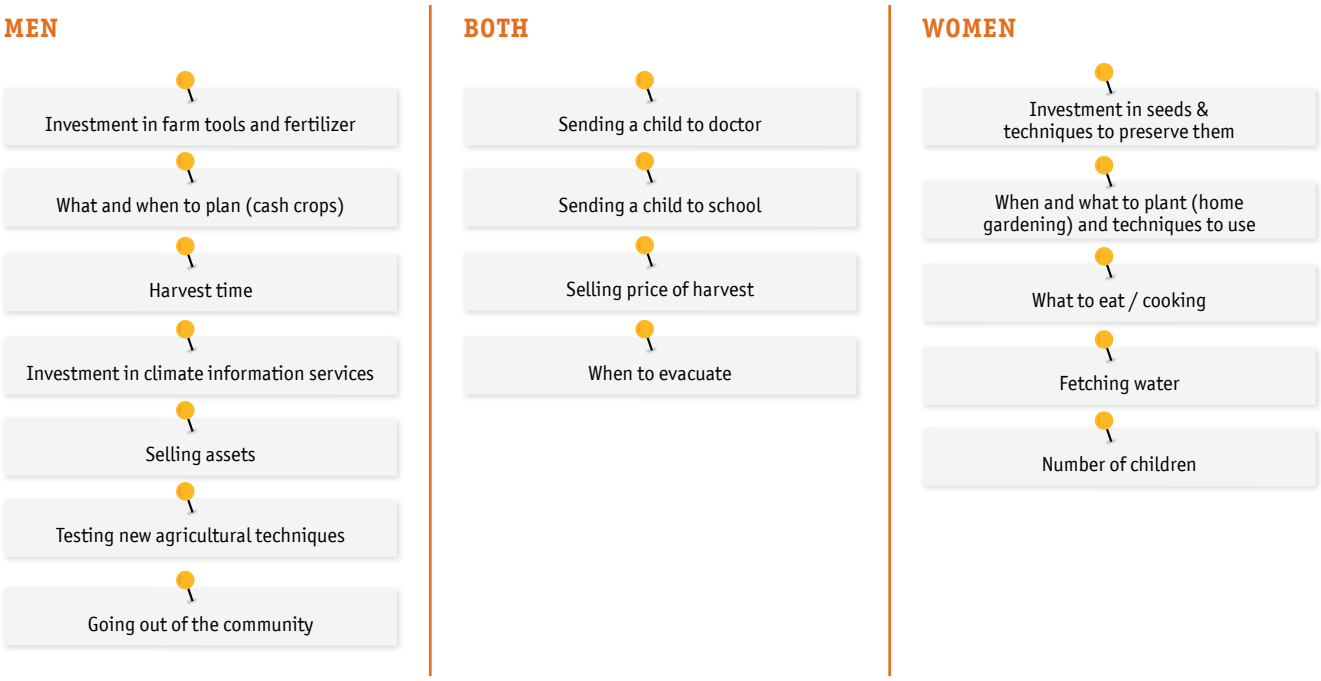



**Figure 9:** Example of a Pile Sorting

# Impact Chains[lvi]

field guide 6.

## Objectives

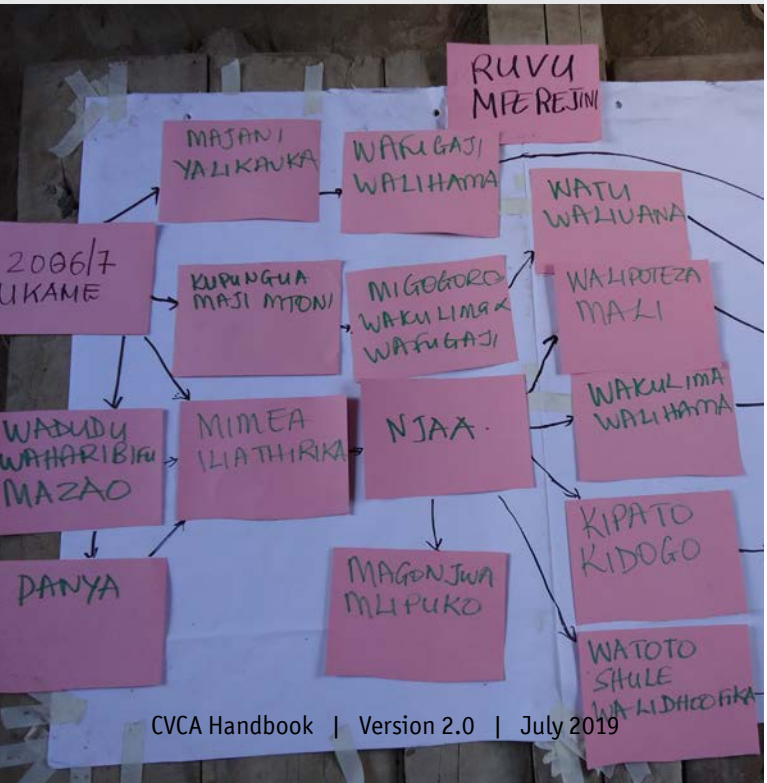
» To analyze direct and indirect impacts of climate change in the target community

## Materials

» Flip chart paper
» Thick-tipped markers in a variety of colours
» Masking tape
» Camera to document the process (ensure that the participants are comfortable with it before taking photos of them)
» Field Guide
» Paper for note taking
» Clipboard
» Idea cards

## Timing

1 hour and 30 minutes




## How to facilitate

**NOTE: As the adaptation pathways directly build on the impact chains, you can also facilitate both in a single session, allowing time for a break in between.**

1. Explain that the purpose of the session is to analyze the impacts of climate change in their community, as a basis for identifying options for adaptation.

2. Referring back to the hazard map and the discussions around changing trends and increasing uncertainty from previous sessions, work with the group to identify 2–3 climate changes that they would like to analyze. These should be changes that the community is already experiencing or is likely to experience.

   **You may need to prompt the group not to focus only on single events (e.g., drought) but also on changing trends (e.g., more frequent drought), and to consider changing patterns (e.g., uncertainty in timing of rainfall).**

3. Explain that you will work through the climate changes one at a time. Choose one to start with and write or draw it on the left side of the flip chart or the surface where the chains will be built (see Figure 10).

4. Ask the group to identify 2–3 of the most important direct impacts of the change or event. Write them down on ideas cards. Add these direct impacts as the next links in the chain as shown in Figure 10.

   **Direct impacts are the immediate consequences that result from the climate event or change. For example, direct impacts of increasing drought would include water scarcity and crop losses.**

keep reading

5. Ask the group to identify 2–3 of the most important indirect impacts, building on the direct impacts. Write them down on ideas cards. Add these indirect impacts to the chain, as shown in Figure 10.

**Indirect impacts are the consequences of the direct impacts. For example, indirect impacts of drought leading to water scarcity would be waterborne disease, increased burden on women to collect water and dehydration of livestock. You should also prompt them to think about effects on their access to information and services, as well as changes in household or community dynamics. Some indirect impacts can be linked to several direct impacts.**

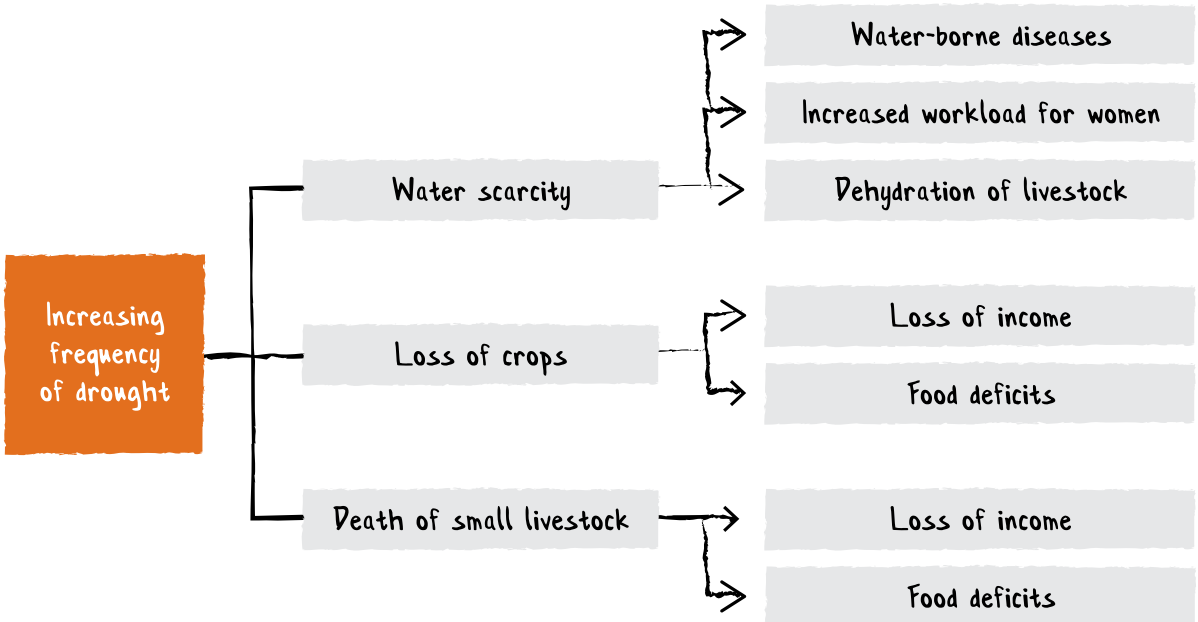
6. Repeat steps 3¬–5 for all of the climate changes.

7. Ask if they are happy with the impact chains and make any adjustments needed.

8. Ask the group if they have any questions, thank them for their participation and explain the next steps.

**The note taker should carefully copy the impact chains and transcribe the key points of the discussion. A photo of the impact chains may also be helpful to document the results.**

**Figure 10:** Example of an Impact Chain



# Vulnerability Matrix

field guide 7.

## Objectives

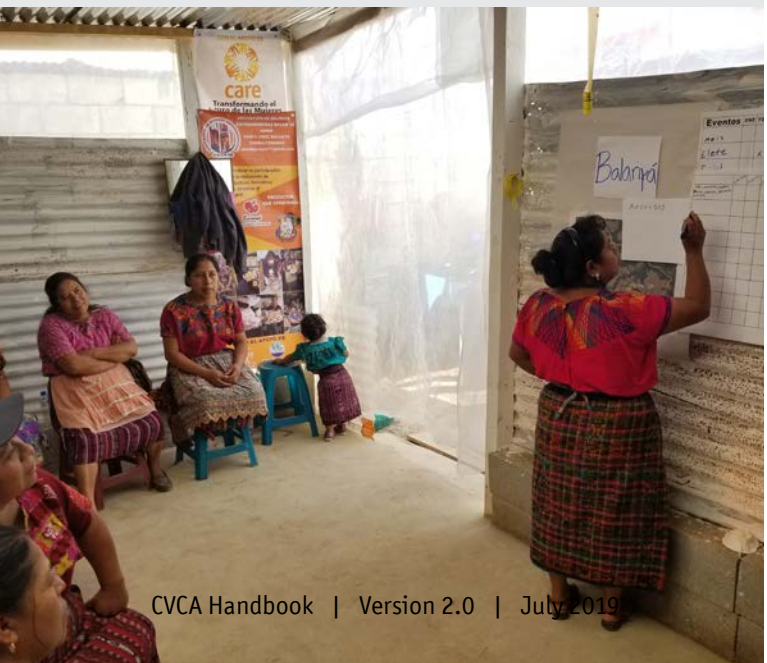
- To identify the highest-priority livelihood assets and hazards
- To analyze the degree of impact of hazards and changes on priority livelihood assets

## Materials

- Flipchart paper and/or idea cards
- Thick-tipped markers in a variety of colours
- Masking tape
- Local materials such as stones, sticks, seeds, etc.
- Camera to document the process (ensure that the participants are comfortable with it before taking photos of them)
- Field Guide
- Paper for note taking
- Clipboard

## Timing

1 hour and 15 minutes




## How to facilitate

1. Prepare a matrix in advance. This can be done on the ground, using idea cards or on flip chart paper.

2. Ask the group to identify their most important livelihoods assets. These do not have to be resources that they currently have, but those that they consider to be most important in achieving secure and resilient livelihoods. The most important assets will generally come out fairly quickly, so after the initial ideas have come out, move on to the next step.

   **Assets that may be important for livelihoods may include:**[lvii]

   - **Human potential, for example, skills, knowledge, individual motivation**
   - **Social capital, including extended family, community cohesion, voice and political influence**
   - **Economic resources, such as savings, productive assets and market access**
   - **Physical capital, including tools and infrastructure**
   - **Natural resources, for example, forests, water and soils**

3. Ask the group to identify the four assets that they consider to be most important in achieving well-being and resilience (or five, if they are having difficulty narrowing it down). List these priority assets down the left side of the matrix on the vertical. Use symbols if this will help participants to better understand.

4. For each of the priority assets, ask who in the community has access to the assets and who controls decision-making in relation to their use.

keep reading

5. Refer back to the previous discussions and the hazard map and ask the group to identify the four hazards or changes that have the greatest impacts on their livelihoods.

6. List the four (or five) most important hazards/changes horizontally across the top of the matrix, again using symbols if necessary. If they do not immediately identify climate-related hazards, try to gently guide them in that direction so that there are at least two climate-related hazards included in the analysis.

7. Ask the group to agree on a scoring system for analyzing the impacts of the hazards/changes on the livelihood assets, incorporating scores for significant, medium, low and no impact. You can use figures, stones, symbols or different colours of markers (e.g. red = significant impact on asset, orange = medium impact, green = low impact, blue = no impact). Ensure that all members of the group understand the scoring system.

8. Ask the participants to decide on the degree of impact that each of the hazards has on each of the assets, referring back to the impact chains. This will involve coming to consensus as a group. The note taker should note key points of discussion that lead to the scores assigned and any disagreements on the scores. Use this moment to also ask participants if the hazards are impacting people the same way and who is most affected.

9. Ask the group if they have any questions, thank them for their participation and explain the next steps.

**The note taker should carefully copy the matrix and transcribe the key points of the discussion. A photo of the matrix may also be helpful to document the results.**

**Figure 11:** Table Vulnerability Matrix: Guatemala

| Assets ▾ / Hazards ▸ | Hurricanes | Strong winds | Heavy rains | Droughts |
|---|---|---|---|---|
| **Agriculture (Crops)** | 3 | 3 | 3 | 3 |
| **Businesses** | 3 | 1 | 2 | 1 |
| **Small Animals** | 1 | 2 | 2 | 3 |
| **Agricultural lands** | 2 | 1 | 3 | 3 |
| **Forests** | 1 | 2 | 0 | 2 |

**3: Very important impact / 2: Important impact / 1 : Little impact / 0 : No impact**

# Venn Diagram[lviii]

field guide 8.

## Objectives

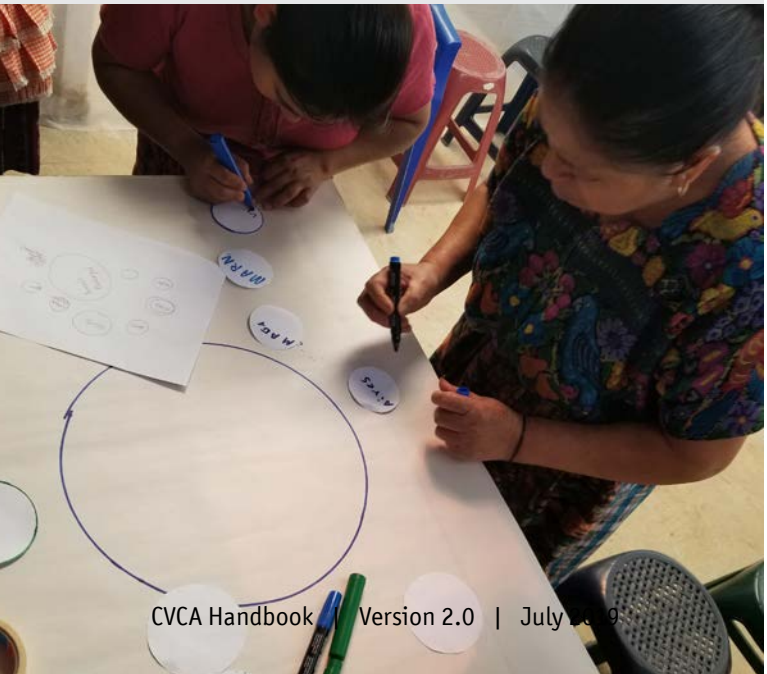
- To understand which institutions are most important to communities
- To assess access to services and availability of social safety nets

## Materials

- Flip chart paper
- Thick-tipped markers in a variety of colours
- Coloured paper cut in three different sizes of circles
- Camera to document the process (ensure that the participants are comfortable with it before taking photos of them)
- Field Guide
- Paper for note taking
- Clipboard

## Timing

1 hour and 30 minutes



## How to facilitate

1. Explain to the participants that the exercise will identify important institutions (formal and informal) and services in the community.

2. Ask the participants which institutions are active in the community. Institutions may include local governments, NGOs and community-based organizations, as well as service providers such as banks or agricultural extension services. Write down all the institutions that are mentioned and give each one a symbol that everybody can understand.

3. Working through the list, ask participants to discuss and rate the importance of the different institutions, using a simple scale (for example, very important/ somewhat important/not important). Write the organizations on the different circles, choosing the size of circle according to their importance.

4. Ask the participants to draw a big circle in the centre of the paper or on the ground that represents them.

5. Ask them to show the degree of interaction between themselves and the different institutions by placing them on the circle. If they have ongoing, close interactions with the institution, then they should be near the centre of the circle. Those that they have little interaction with should be on the outside of the circle. You may want to include arrows to show the nature of the interaction (for example, a two-way arrow would indicate that they communicate with the institution, whereas a one-way arrow would indicate that they just receive information).

keep reading

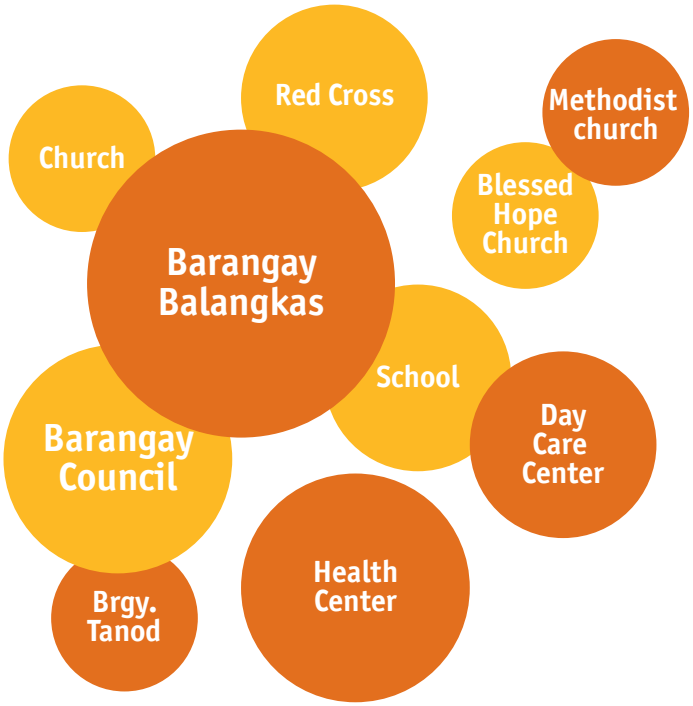
6. Ask the participants what kinds of information, resources or services they receive from the different organizations, noting these. You may also want to explore how they access the services.

7. Ask if their interactions with these organizations change when the community is affected by a climate-related shock or stress. If yes, ask how (for example, if their access to a particular service is interrupted by a flood or if the organization provides emergency aid when a disaster occurs).

8. Ask the group if they have any questions, thank them for their participation and explain the next steps.

**The note taker should carefully copy the diagram and transcribe the key points of the discussion. A photo of the diagram may also be helpful to document the results.**

**Figure 12:** Venn Diagram from Philippines (Barangay designates the community)




### GOOD PRACTICE TIP: FOCUSING THE DISCUSSION

To get a more complete picture of the institutions that may hinder or increase resilience, you can ask people to think about institutions that are supporting them when they are affected by the shocks and stresses that were identified in previous discussions.

# Adaptation Pathways[lix]

# field guide 9.

## Objectives

» To identify adaptation options to address identified climate change impacts.

## Materials

» dea cards
» Thick-tipped markers in a variety of colours
» Masking tape
» Local materials such as stones, sticks, seeds, etc.
» Camera to document the process (ensure that the participants are comfortable with it before taking photos of them)
» Facilitation Guide
» Report Format
» Clipboard

## Timing

1 hour and 30 minutes

## How to facilitate

1. Explain to participants that the next step is to identify options to minimize the negative impacts of climate change on their livelihoods.

2. Choose one of the impact chains to work on. Ask the group to identify changes they could make to their livelihoods strategies that would reduce the negative effects of the identified impacts, both direct and indirect. Write the strategies on cards (or draw pictures or symbols that represent them if the participants have low literacy).

**You may need to prompt them a bit or provide some examples to get them thinking of strategies that are future-oriented, genuinely respond to the climate change impacts and go beyond their existing activities. Examples of options to increase climate resilience include:**

- **Diversifying livelihoods to reduce dependence on climate-sensitive resources**
- **Protecting assets (including savings)**
- **Using climate change information for decision-making (such as seasonal forecasts to decide which crops to plant)**
- **Managing resources more sustainably (for example, sustainable management of water and land)**

**In some cases, this may involve doing a particular strategy differently (e.g., changing the mix of crops planted), while in others, it will involve new livelihood activities.**
**There may be some impacts where there is no obvious adaptation strategy. In this case, do not force the group to struggle to come up with something—just move on to the next step. As well, some strategies may address more than one of the impacts.**

keep reading

3. When adaptation options have been identified, ask the participants which are the most urgent. At their direction, arrange the cards into a pathway, with the most urgent at one end and the more longer-term strategies at the other.

4. Ask the participants which of the urgent strategies they can undertake themselves as individuals or households. Identify these with a symbol or a different colour on the cards. Then ask them what opportunities or existing resources they have that will support them in implementing the strategies.

5. Ask the participants which of the urgent strategies would require collective action. Identify these with another symbol or colour on the cards. Ask them how this collective action could be mobilized.

6. Ask them what additional information and support they might need to implement the individual, household or collective actions.

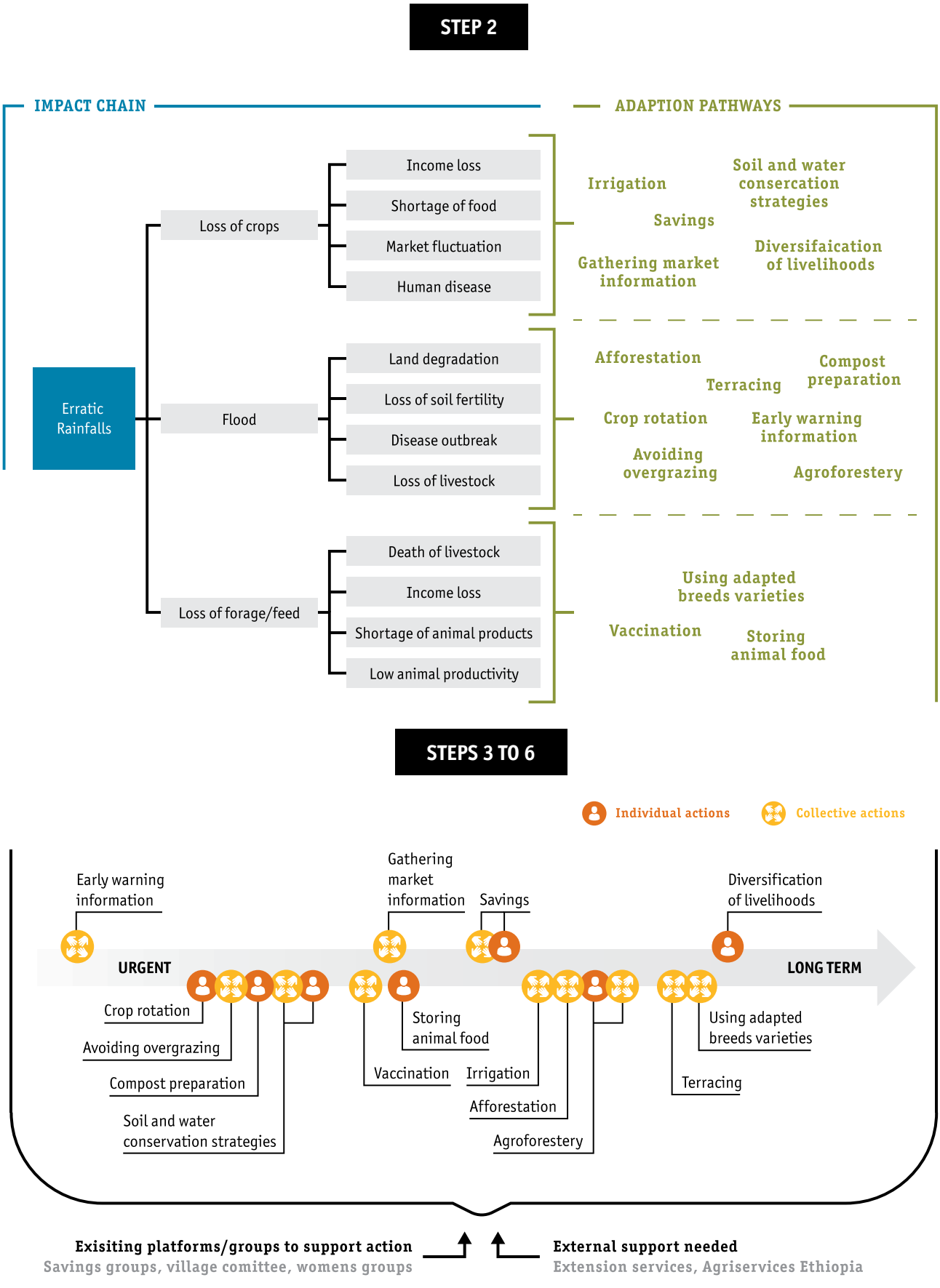
7. Repeat steps 2–6 for the other impact chains.

8. Ask the group if they have any questions, thank them for their participation and explain the next steps.

**The note taker should carefully copy the adaptation pathways and transcribe the key points of the discussion. A photo of the pathways may also be useful to document the results.**

keep reading

**Figure 13:** Adapted from a CARE Ethiopia CVCA exercice - 2019.



# D. ANNEXES

# Annex 1:
# Suggested Outline for a CVCA Report

## Introduction

» Introduce the purpose of the analysis and provide an overview of the process

## Methodology for the Analysis

» Provide details of the overall process undertaken: timeline, membership of analytical team, objectives of the analysis, etc.
» Note the sources of secondary information and the names of key informants (if they agree to be identified; otherwise, just note the number of people interviewed), etc.
» Provide details of participatory research: number of focus group discussions, location, number and characteristics of participants, names and designations of facilitators, etc.
» Describe the process of interpreting and validating the analysis.

## Key Findings

» Describe the main findings for each of the key issues for analysis, organized by the key questions in Tables 4–6
» Ensure that you include information on the relevant cross-cutting issues within each of the key issues

## Options for Increasing Climate Resilience

» Provide a table that identifies the different adaptation and resilience-building options, organized by priority climate risk
» Highlight the options that contribute to increasing resilience across the risks
» Note the options that are relevant for specific groups
» Include the options for information, knowledge and capacities; resources; and services
» Highlight options that address the cross-cutting issues

## Next Steps

» Indicate how the analysis will be used and any concrete next steps that can be identified at this point

# Annex 2:
# List of Complementary Resources

The following references are hyperlinked throughout the handbook.

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Southern Voices on Climate Change (undated). What are the Joint Principles for Adaptation? Retrieved from http://www.southernvoices.net/en/home/sv-on-adaptation/669-joint-principles-for-adaptation.html

## Resources on Gender Equality

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## Resources on Climate Change Knowledge


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# The Climate Vulnerability and Capacity Analysis (CVCA) Handbook

Informing community-based adaptation, resilience and gender equality

**ABOUT CARE**

Founded in 1945, CARE International works around the globe to save lives, defeat poverty and achieve social justice. CARE places special focus on working alongside poor girls and women because we know that we cannot overcome poverty until all people have equal rights and opportunities. CARE International works in 95 countries to assist more than 56 million people to improve basic health and education, fight hunger, increase access to clean water and sanitation, expand economic opportunity, confront climate change and recover from disasters.

**ABOUT CARE'S CLIMATE CHANGE AND RESILIENCE PLATFORM**

CARE's Climate Change and Resilience Platform (CCRP) leads and coordinates the integration of climate change and resilience across CARE's development and humanitarian work. The CCRP aims to support and strengthen the ability of CARE to increase resilience and to tackle the causes and consequences of climate change. CCRP team does this by building the capacities and by growing CARE's impact, influence and income to better serve the needs of the vulnerable – particularly women and girls – as shocks and stresses, including climate change, are increasingly overwhelming and impeding progress towards CARE's key objectives by harming poor and marginalized people. To learn more about CARE's work on climate change and resilience, go to **CARECLIMATECHANGE.ORG**