The Adaptation Coalition Toolkit

Building Community Resilience to Climate Change

THE WORLD BANK
SOCIAL DEVELOPMENT UNIT
LATIN AMERICA AND CARIBBEAN REGION

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Introduction

Background

The Adaptation Coalition Toolkit was developed to promote the World Bank's strategic priority to empower people by creating more inclusive, cohesive, and accountable societies in the face of climate change. The framework for this Toolkit was developed from testing its implementation over a two-year period in 24 Latin American case study communities in five countries. The results from this study are presented in the companion publication *Building Community Resilience to Climate Change: Testing the Adaptation Coalition Framework in Latin America* produced by the World Bank's Social Development Unit of the Latin America and Caribbean Region. The methodology has been refined and strengthened through the case study process with this Toolkit as the final product.

Objectives

The purpose of this toolkit is to guide facilitating groups or teams of development practitioners in pursuing participatory collaboration with communities to research and implement adaptation coalitions. This is done to assist the locality in adapting to the local manifestations of climate change. Using the Adaptation Coalition Framework (ACF) as an adaptation tool, strategically links the multiple resources of market, state and civil society at various levels to best facilitate the adaptation of vulnerable communities to climate change.

[1] For more see the World Bank's Social Development Strategy <http://go.worldbank.org/6O4UXEXU60>

The framework facilitates informed local participation in the policy making process by which decisions on adaptation can be made. Building capacity for informed participation is especially critical for adapting to climate change. This is because climate change impacts are, on the one hand, highly variable, longer-term and difficult to predict, and on the other hand, have unique local effects due to the distinct social, economic and environmental conditions of every community.

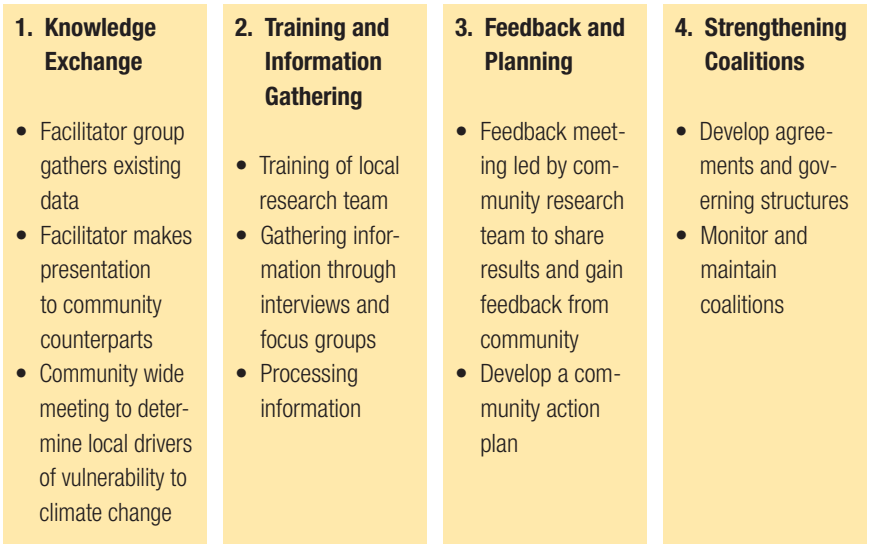
What are Adaptation Coalitions?

Adaptation Coalitions are groups of individuals or organizations that form alliances around climate change issues in order to achieve shared desired futures that a community or group of individuals is willing to plan for. The basis of this approach is to build ***Bonding and Bridging Social Capital***. *Bonding Social Capital* can be understood as the strengthening of internal community organization and capacity to take collective action. *Bridging Social Capital* refers to linking local groups to resources and external partners with similar goals for adapting to climate change. To do this, the Adaptation Coalition Toolkit follows four steps. *First*, it exchanges knowledge between local and non-local actors on climate change. *Second*, it trains local adaptation teams to gather information on vulnerability and external alliances. *Third*, it feeds this information back to the community and helps them begin adaptation planning. *Fourth*, it builds coalitions between communities, external partners and resources, which can assist the community in responding over the long-term to climate change's diverse challenges (see Figure A).

Why Build Adaptation Coalitions?

The ACF is a "no regrets" approach to climate change adaptation, meaning it involves actions that generate net social benefits under all future scenarios of climate change and impacts. This is important in dealing with climate change impacts and vulnerabilities, which are locally diverse, long-term and difficult to predict. This Toolkit was designed to deal specifically with this uncertainty. Furthermore, adaptation coalitions are a method for facilitating community driven, autonomous adaptation to climate change. The case studies undertaken as part of developing this Toolkit demonstrate that these methods are effective for increasing community participation in local, regional and national development efforts. Organizing adaptation coalitions creates a group of local stakeholders with

Figure A > The four basic steps of the Adaptation Coalition Framework.



ownership and shared accountability for tackling climate change vulnerability and building community resilience. Finally, the case studies showed [2] that the ACF can reduce the tensions that may arise over increased natural resource conflict by bringing together competing groups around a common goal or desired future.

What Conditions are Appropriate for Building Adaptation Coalitions?

Since the ACF is a "no regrets" approach to climate change, it is appropriate for most scenarios. With that said, certain community characteristics make coalition success more likely. These include:

- If community leaders, in a general sense, recognize that climatic events or "climate change" is currently, or will soon, affect their community;
- If the community has a community vision or has had a recent success in achieving a collective goal, or at a minimum have no deep schisms among its members, and;

[2] For case study results refer to the final section of this Toolkit's companion report, "Building Community Resilience to Climate Change: Testing the Adaptation Coalition Framework in Latin America" by M. Ashwill, C. Flora and J. Flora (2011).

- If community leaders and organizations are excited to participate in developing collective approaches to adjusting to climate change and willing to host a community-wide meeting.

This approach was developed under a diverse set of socio-economic and environmental conditions, ranging from dry lands to rainforest communities that were experiencing a wide variety of climate change impacts and scenarios. The ACF was designed specifically to be applicable to all of these scenarios.

What Resources and Time Commitments are needed for Building Adaptation Coalitions?

It is difficult to predict with certainty how much money or time is needed to build coalitions. Financial costs include those for the transportation and salary of facilitators, and possible travel coverage for the Community Adaptation Teams (CATs), which are described below. These costs depend on the relative prices in the country where the process is taking place, distances that need to be traveled and other context specific costs. Yet, this process is not capital intensive. In fact, one of the goals is to generate an influx of resources for the community. The ACF is not meant to necessitate high costs.

There are no predicted costs for compelling participation in the coalitions. By aligning the coalition with desired futures, both local coalitions and their partners should see a mutual benefit in forming an alliance, and no financial incentive should be needed. For external actors, these natural incentives include obtaining greater local feedback and participation in their projects and mandates, improving the coverage of projects, and tapping into community capitals[3] and knowledge. For communities, it is the prospect of obtaining external support for a prioritized community goal or to overcome a particular challenge.

In regards to time, the coalition formation and strengthening process can continue for years. In fact, that is the goal: to create an institution that will stay engaged in the theme of climate change over the long-term. The last step of the Toolkit will describe some of the goals for different time horizons. The time

[3] For an in depth description of the Community Capitals Framework, refer to Annex 1.

needed by the facilitating team will largely depend on how well ingrained they are already in the community and if a certain getting-to-know-each-other faze is required. In the testing of the ACF, the facilitators' role in the process lasted between three and nine months, depending mainly on the amount of red-tape and administrative steps required for organizing new institutions (seeking municipal permission, registrations, etcetera).

Getting Started

The sequential steps of this Toolkit begin once a community has already been selected. This Toolkit is meant to be used in a flexible fashion. Organizations with considerable experience in working with marginalized communities may want to substitute certain tools recommended here for others with which they are familiar to move the process forward. There is no one right way to build coalitions, although evidence suggests that building them from the bottom up is desirable and that participatory approaches are essential if marginalized groups are to participate on an equal footing with other members of emerging coalitions. It is also understood that the amount of time available for a meeting or a particular set of activities is limited. Thus we have placed certain activities in *italics* to indicate that they can be considered optional if there are time constraints.

At several points the reader will notice references to a "facilitator" or "facilitator team," for brevity's sake, this is the reader, i.e. the practitioner who will be implementing the ACF. This can be a local or nonlocal actor.

The Community Adaptation Team (CAT) is a group of community members who will take part in the research and coalition forming activities of this framework. This team will largely represent the coalition as a whole and complete much of the legwork in this process. The CAT is also referred to as a local research team.

Step 1.
Knowledge Exchange

1. Knowledge Exchange | **2. Training and Information Gathering** | **3. Feedback and Planning** | **4. Strengthening Coalitions**

Purpose: The purpose of the knowledge exchange step is to mesh local with non-local sources of information on climate change. The case studies demonstrate that communities with a greater awareness of climate change and its impacts were more likely to plan long-term adaptation strategies than communities with low levels of awareness. The reason is that local people often do not separate cyclical weather patterns from climate change, may have a limited understanding of the underlying features of climate change and therefore may misinterpret how it will impact their futures. Conversely, non-local practitioners often do not understand the local context through which climate change is affecting a particular community or social group and the important adaptation measures already being implemented. Step 1 is also important in identifying drivers of vulnerability, community capitals and a common desired future.

Knowledge Exchange

- Facilitator group gathers existing data
- Facilitator makes presentation to community counterparts
- Community wide meeting to determine local drivers of vulnerability to climate change

Facilitator Gathers Existing Data

The facilitator team gathers existing data, particularly from the region or regions of focus. This information will include:

- secondary data on climate change for the region; and
- other regional and local data of interest that will aid in:
  - identifying information gaps;
  - verifying the applicability of macro information at the local level;
  - triangulating scientific and local information (indigenous knowledge).

The facilitator team should familiarize itself or already be familiar with the area, particularly in understanding the ecology, economy, and social structure and how they relate to one another. Of course, regional or local climate data—if it exists, can augment the understanding of local peoples' perceptions of climate change. If the facilitator organization does not already have a relationship with an appropriate community(ies) in the region where the coalitions are to be built, then the social, economic, and ecological (including climate-change) data can play a vital role in strengthening these ties.

Facilitator Makes Presentation to Community Counterparts

The facilitator team makes a presentation to leaders and/or organizations in the communities or other localities chosen for the project to:

- Determine if there are leaders or community organizations that recognize that climate change affects, or is likely to affect, the locality and if there is interest in developing collective adaptations to climate change.
- Help community leaders understand how adaptation coalitions can be helpful in dealing with community issues or problems.
- Gain permission and active participation of the community in the formation and utilization of an adaptation coalition.
- Attain the commitment of community organizations to the process, or at least their commitment to conduct an initial community meeting that could lead to such a commitment.

This meeting should be with a carefully selected group of leaders—those that are highly respected, those that represent important institutions and organizations within the community, and perhaps including persons outside the community representing organizations with strong influence in the community. The

precise way in which this meeting is organized and who is invited depends in part on the prior relation of the facilitator team with the community. The meeting can also be used to attain commitments from those present to assist in obtaining a strong community-member turnout for the community-wide meeting that will come later. Again, flexibility is the key.

Community-wide Meeting

Community-wide Meeting in the Peruvian Highlands

The purposes of the community-wide meeting are two-fold: First, it acts as a workshop in which the *drivers of vulnerability* (exposure, sensitivity and adaptive capacity—see Annex 2 for more on these definitions), *climate change impacts* and *community capitals* can be actively identified and discussed. Second, the meeting should act as a source of data every bit as valuable as a library. This meeting should aim for the full participation of the community regardless of age, gender, ethnicity or socio-economic condition. If this is not possible, a series of meetings can be held to attain participation of separate groups, or if a particular group, such as women or a subordinate ethnic group in the community, feels intimidated and does not speak up at the community-wide meeting, then a separate follow-on meeting or focus group discussion should be arranged with them to gain their perspective on climate change and its impact on their group. This meeting serves as the main vehicle for identifying the community capitals and identifying a desired future: two critical steps in building successful adaptation coalitions.

The community-wide meeting *may* include the following activities:

- The facilitator team explains the objectives of the meeting and of building adaptation coalitions, the process by which such coalitions are built, and the limits of such efforts in order not to raise expectations for outside resources (for greater familiarity with the ACF, facilitators should reference this Toolkit's companion piece "Building Community Resilience to Climate Change: Testing the Adaptation Coalition Framework in Latin America").
- The participants develop examples of the seven capitals present in the community and discover relationships among them (refer to Annex 1 for more specifics on the community capitals) and identify the vulnerabilities and impacts from climate change (refer to Annex 2 for an example of how these were identified from case study communities in Peru and Argentina, respectively).
  - *Groups of meeting participants draw maps of the community, past, present, and future*
  - *Conduct a transect across the community that aids in understanding how the capitals might be integrated to further the adaptation to climate change. Alternatively, the group could map the capitals/adaptive capacity and the changes that would foster adaptation to climate change.*
    - *A transect is simply the process of community members traversing a random line through the community in order to identify a sample of the local assets available to them.*
- In participatory fashion, participants define and prioritize options for adjusting to climate change. This includes the definition of a desired future goal, which will help the emerging coalition stay focused on a particular attainable end throughout the process (see Box 1 for more on desired futures).
- Participants then examine the vulnerabilities of the locality using indicators from the community i.e. what people have noticed.
- Participants identify relevant external actors from market firms, government agencies, and civil society organizations.
  - *This can be done with a flip chart where people mention external actors; the facilitator can make a matrix of geographic levels along the horizontal and the three sectors across the vertical and insert suggestions into the appropriate cell.*
- The meeting concludes with the nomination and election (if elections are not appropriate, use the community's traditional methods for selection) of a Community Adaptation Team (CAT), it is ideal that the community be fully represented, taking into consideration gender, age, ethnic-group membership, as well as occupational sectors and organizations. This team acts as the motor of the coalition, and at times the general leadership.

In the selection of the CAT, it is recommended that an equal number of men and women be chosen. There are also certain skills that will be needed that the facilitators should mention prior to selection. These include:

- Knowledge and interest in climate change,
- Reading and writing skills (which in some communities, will also ensure that there are youth on the team), and
- Individuals with good contacts outside the community, particularly with government entities.

It is not necessary that all members of the CAT are literate, though experience has shown that it is ideal that at least one or two can read and write. This will help in keeping records of agreements and in dealing with future coalition partners who often use written forms of communication.

Box 1 > Identifying Desired Futures

The process of the community identifying a common desired future often results in many aspirations. It will be up to the facilitator team to simplify these and help the community prioritize. In the Paraguayan communities of Paso de Patria in Ñeembucú, where the ACF was tested, the community identified 11 distinct desired futures. These included everything from an improved road connecting the community with larger cities to obtaining land titles for small landholders. In the end, the facilitator helped the community identify a desired future: obtaining greater nonlocal support—public and private—for the community to strengthen climate change adaptation, which then included many of the other specific goals. In this case, the desired future was very general, which allowed for a wider appeal among community members to participate. In other communities, the desired future was very specific and actionable. When helping communities identify their desired futures it is important to strike a balance between what attains wide support and what is actionable. This is an important step since whatever the desired future is will be the organizing motivation behind the coalition. It is the coalition's mandate.

Step 2.
Training and Information Gathering

1. Knowledge Exchange	2. Training and Information Gathering	3. Feedback and Planning	4. Strengthening Coalitions

Purpose: The training and information gathering stage has the double purpose of being the time for collecting the necessary information to build adaptation coalitions and, in the process, training the local CAT to use the tools needed to continue this type of work in the future. In other words, this stage serves as both a means and end. A collateral benefit of this phase should be that some emergent leaders will gain tangible skills that will prepare them for more generalized leadership. This team training is a crucial step for developing the skills locally to adapt to an uncertain future exacerbated by climate change. It should be noted that gathering information in this step differs from the information collection in Step 1. Step 1 includes secondary information collected by the facilitators about climate change and the socio-economic and environmental context of the community. Step 2 includes primarily information collected by the CAT and the facilitating team, through interviews with potential partners, on issues like the goals of these institutions, possible collaborations, potential rivalries, costs and benefits of certain interventions, etcetera.

Training and Information Gathering

- Training of local research team (Community Adaptation Team)
- Gathering information through interviews and focus groups
- Processing information

Training of Community Adaptation Team

Training the CAT in planning and conducting primary research for developing adaptation coalitions (led by the facilitator) will cover the following topics:

- The definition of coalitions and their desired futures.
- What is climate change adaptation?
- What is action research and what procedures should be followed in conducting it?
- The roles of the facilitator team and of the CAT in the research.
  - Both locals and facilitators are involved in interviews. Initially, interviews should be practiced ahead of time, assigning different interviewers to pose different questions in the protocol. Over time members of the CAT will be given more responsibility in the conduct of the interviews. The facilitator would make appointments with potential interviewees.
- How to carry out interviews and focus groups.
- How can the community mobilize internal and external assets (the capitals)?
  - Define the capacity of the community to adapt to climate change by understanding which capitals are available to it.
    - Internal capitals (internal to the community)
    - External capitals (external to the community)
  - Discuss collective adaptation and how the capitals can be combined in new ways.
- How to prepare a report (there are multiple ways of preparing a report, whether a poster, a PowerPoint, a written document, or even an oral presentation) in order to return what the team has learned to the community.
- How to devise a consensus-based work plan that is effective.

The relationship between the facilitator team and the CAT is very important. In the workshops, the roles of the two teams should be made explicit. The workshop will introduce the CAT to the Community Capitals Framework (CCF) and explain how to mobilize the capitals both internally and externally. It will also address the act of researching, focusing in particular on the need for the interviewer to take a neutral stance toward the interviewee. The local research team

and the facilitator team can do role playing so that the CAT members will feel more comfortable in conducting individual interviews or focus groups.

Gathering Information through Interviews and Focus Groups

The gathering of information through individual interviews and focus groups is at the heart of the adaptation coalition process. These activities will allow community members to become knowledgeable about the actors involved in, and actions taken in relation to, climate change that currently affects or is likely to affect the community. The information is systematically gathered by the research team(s) (CATs). This info will then be processed and returned to the community.

Gathering information through interviews and focus groups (jointly carried out by the facilitator team and the CAT).

- *Organize focus groups with specific sectors of the community, e.g., women, youth, etc., in order to deepen the understanding of the impact of climate change on those groups. This step could be done in the community meeting, but there is already a lot to be done during that stage. This is a way to increase the participation of the excluded, or "quiet groups."*
- Conduct interviews (preferably in person) with entities outside the community that may play a key role in adaptation to climate change and that are possible partners (or opponents) of the coalition. These include public-sector authorities or agencies, leading private sector firms and civic and community organizations at various geographic levels. This is a preliminary step to building coalitions as people begin to identify potential allies and non-allies.

The facilitator team will accompany and guide the CAT in the research process. It may be efficient to divide into smaller mixed teams of facilitators and local researchers to carry out the interviews. The CAT will participate in all aspects of the research and as they gain experience will take on more of the interviewing responsibility. The interviews with the "quiet groups" in the community (certain demographic groups as well as subordinated occupational, ethnic, or religious groups), if needed, might best be conducted by the facilitator team alone. If members of the CAT are also members of a "quiet" group they could participate as members of the group interviewees.

Box 2 >
Achieving Gender Equality in the Coalition and CATs

The CAT is the group of individuals that will lead the coalition strengthening activities. These activities include handling the management of the coalition, contacting and attaining support from external partners, and communicating progress back to the community at-large. It is important to maintain representation in these teams, and the larger coalition, of different social groups in the community. For example, in Amachuma Grande, a case study community in Bolivia, a person's productive activities were determined largely by their gender. Men typically worked in nearby goldmines, while women worked in agriculture and maintaining the home. Based on these very different roles, it would only be natural that men and women had different priorities and objectives from the adaptation coalition process. For this reason it is ideal that the CATs, and coalitions generally, have a gender balance to help make sure all community perspectives and challenges are met. If men and women do not agree on desired futures, it is possible to create separate coalitions for separate issues. In this case, it may be that women gravitate towards one coalition and men another. Other social demographics should also be represented in coalitions, including young persons, ethnic or religious minorities, etcetera.

Processing Information

Meeting of the facilitator team with the CAT to process and summarize the information they have gathered. Topics to discuss include:

- Internal resources: community capitals that facilitate adaptation to climate change.
  - What capitals/adaptive capacity does the community already utilize in responding to climate change?
    - Based on the organizational interviews and focus groups, what other community capitals could be mobilized collectively to better adapt to climate change?
    - Prioritize the main issues to be dealt with in adapting to climate change.
- External resources (way of processing information from external interviews: What institutional actors are potential partners in the adaptation effort? What institutional actors could potentially increase the community's vulnerability, i.e. who isn't a part of the coalition and whose efforts may need to be countered).
  - Partners identified (including market, state, and civil society actors) at various levels:
    - Community
    - Municipality
    - Region/Department/Province
    - National
    - International

It may be necessary to have more than one meeting between the facilitating team and the CAT to process the information garnered in Step 2 and to plan the meeting in which the information is shared with the community.

Step 3. Feedback and Planning

1. Knowledge Exchange	2. Training and Information Gathering	3. Feedback and Planning	4. Strengthening Coalitions

Purpose: The purpose of the feedback and planning stage is for the CAT to report their findings to the rest of the community and gain feedback. Once this information exchange occurs, the community can begin planning its adaptation course. This is an important step in ensuring that the process is led locally.

Feedback and Planning

- Feedback meeting led by community research team to share results and gain feedback from community
- Develop a community action plan

Feedback Meeting

Feedback meeting where information is presented to the community and the community can in turn provide feedback (the CAT leads this step).

- The CAT explains how they did their research, what entities they interviewed, and their most important findings.
- They present their recommendations on what aspects of climate change have an important impact on the community and are at the same time amenable to change (can be adapted to). They also suggest possible actions that the community (in collaboration with strategic allies) could take to adapt to the identified vulnerabilities and impacts of climate change.
- *Break into groups to discuss community members' reactions: What did you like and what surprised you about what was learned? What would you add or change with respect to the actions recommended by the community researchers?*
- The suggestions and modifications that emerge from the groups are reported in plenary session, discussed, and then either accepted or rejected. The group prioritizes the proposed adaptations (next step is planning).
  - What climate change effects or vulnerabilities are a top priority for initiating adaptation activities?
  - Based on the organizational interviews, what entities are probable partners in developing an adaptation process? (See Annex 3 for an example of a Venn Diagram that identifies allies at various levels and sectors)

Feedback meeting from the Peruvian Amazon.

Box 3 >
Using Existing Institutions as Adaptation Coalitions

It is not always the case that communities will need to create a new community institution to serve as a coalition charged with pursuing desired futures. In many cases, communities already have functional and highly organized committees or organizations that can be integrated into the process of pursuing climate change adaptation. It can be advantageous to work through already existing community entities because they often already have the capacity to carry out the activities envisaged in the ACF process and may have established and long-standing alliances that could easily be shifted to support climate change adaptation. By contrast, there are also possible disadvantages to working with long-established community institutions, such as the existence of established rivalries or reputations that could make coalition formation difficult. The case studies demonstrate both the positives and negatives. For example, in the Peruvian Amazon communities where the ACF was tested, local communities already have an established coalition called COMARU (Consejo Machiguenga del Rio Urubamba) the largest indigenous Machiguenga organization representing thirty native communities. The fact that they were accepted as a representative body for such a large number of native communities was an important asset in their leadership of the adaptation coalition. At the same time, their having become well known for their persistent resistance of the Camisea natural gas extraction project in Peru, potentially complicated their role as a liaison between many different actors. In Tartagal, in northern Argentina where the ACF was tested, there were many local institutions that had become known for resisting logging, agriculture and mining interests in the region. While, in several cases, these groups had the confidence of the communities they represented, public and private interests operating in the area did not trust them. In the end, it was decided that it would not be beneficial for these institutions to act as adaptation coalitions since their potential to encounter conflict was a bigger downside than was the potential up-side of their relative capacity (which in this case was relatively weak anyway).

Community Action Plan

The community formulates a plan for building alliances with groups with like minded desired futures (this meeting could be a continuation of the feedback meeting or it could be held at a later time).

- If it is a separate meeting, the community researchers review the results of the group work in the feedback meeting, reminding people of the highest priority impacts/vulnerabilities.
- In plenary session, develop an action plan that might include:
  - The development of one or more strategies for confronting the problem. *Perhaps it would be useful to work in groups to develop the scenarios and to then report back in plenary and choose the highest priority scenario.*
  - Define the first steps for contacting potential partners in forming alliances with the coalition, giving tasks to specific individuals or groups.
  - The assembled community will need to determine whether the CAT should continue to represent the community or if a new group should be chosen to shepherd the coalition implementation phase, or some combination of both.

Step 4.
Strengthening Coalitions

1. Knowledge Exchange	2. Training and Information Gathering	3. Feedback and Planning	4. Strengthening Coalitions

Purpose: While the first three stages were designed to raise awareness around climate change vulnerability and impacts, improve internal cohesion around this issue and mobilize resources (to strengthen Bonding Social Capital), the fourth and final stage is to strengthen the all important Bridging Social Capital and to fortify the nascent coalition with more powerful outside institutions and their more ample resources (financial, political, etcetera).

Strengthening Coalitions

- Develop agreements and governing structures
- Monitor and maintain coalitions

Develop Agreements and Governing Structures

After having contacted possible coalition partners, develop agreements.

- Organize face-to-face meetings with the potential partners (either all together or with several at a time) to further explore common values and desired futures having to do with climate change.
- Develop agreements (formal or informal) for collaboration in adapting to specific aspects of climate change.
- Establish a collaborative governing structure or decision-making committee that consists of representatives of each state, market and civil society organization that is part of the emergent coalition and representatives of the community. This is done to plan for joint activities and accomplish objectives.
- Develop an action plan that specifies roles, activities, and resources to be provided by each member of the adaptation coalition.
  - Over time this will lead to the negotiation of investments of different types of capital (financial, material or knowledge) from the outside.

As the plan is developed, if it becomes apparent that a role central to achieving the coalition's objectives is not covered by the existing coalition, it may be advisable to develop a new round to select possible partners. This will be done to determine if it is appropriate for one or more of them to become part of the coalition. The ACF is an iterative and revisable process.

Box 4 >
Coalitions Attaining Agreements

There were some examples, from the case studies, in which coalitions were able to establish agreements and partnerships in the short-term, even though this is typically a medium- to long-term objective. A good example is from La Descubierta, a municipality near Lake Enriquillo in the Dominican Republic that has benefitted from extensive media coverage surrounding the rising lake water levels caused by climate change. This media coverage reached its pinnacle after heavy rains in May 2010 led to the rapid swelling of the lake. As a result USAID sought out areas affected by these impacts to take part in a major adaptation project. The coalition was able to communicate with USAID and is now being considered for this major initiative. The goals of this initiative are to diversify economic activities and agriculture towards greater sustainable and less vulnerability; to promote ecotourism; and to create, with local and civil society participation, a local community defense network and environmental warning system. These are consistent with the coalition's desired future. At press time, the project was still only a proposal, but indications were that it would go forward in La Descubierta and surrounding areas.

Monitor and Maintain Coalitions

In order to maintain coalitions they must be monitored over variable time horizons and the following indicators will demonstrate whether the coalition is functioning well.

- Short term (up to one year):
  - Have a general stock taking to see how far a coalition has come by monitoring the number and types of alliances built (see Annex 4 for an example from Peru).
- Medium term (1–3 years):
  - The implementation of adaptation projects based at the community level, i.e. autonomous adaptation.
  - Integration of a climate change focus into development projects that are implemented at the local level.
  - Interest on the part of other communities in being part of this or similar coalitions.
- Long term (over 3 years):
  - Increase in the general well being of community members and of the locality, district, or region.
  - Coalition and climate change practices ingrained in the community.

One way of taking stock is to fill out a table describing a community's exposure, sensitivity, adaptive capacity and social impacts. A baseline would be created when measuring these during Step 2, and could be repeated periodically to see if the community has increased adaptive capacity or reduced sensitivities (see the related table in Annex 2). Also, throughout the testing of the ACF, five questions emerged whose answers were indicative of the relative short-term success of the adaptation coalition. These questions include:

1. Has the community organized a group or coalition tasked with developing strategies to pursue a desired future related to climate change?
2. Has the coalition established or improved communication with potential partners?
3. Has the coalition established agreements with external actors?
4. Has the coalition mobilized any of the seven community capitals to adapt and reduce vulnerability to climate change? If so, which capitals?
5. Has the coalition successfully sought and/or received resources (financial or nonfinancial) from external partners?

As climate change advances, adaptation actions appropriate for current or past conditions may need to be modified or changed. In this case it may be

necessary to build new coalitions or revise old ones. Thus the entire process of adaptation coalitions is iterative, but as community capacity grows the need to involve outside facilitators should diminish.

In order to build a regional movement, communities that have utilized the Adaptation Coalition Framework will logically seek to engage other communities facing similar challenges, particularly if there are important policy issues to be addressed at the regional or national levels. Adaptation coalitions can be strengthened by building social capital both horizontally and vertically.

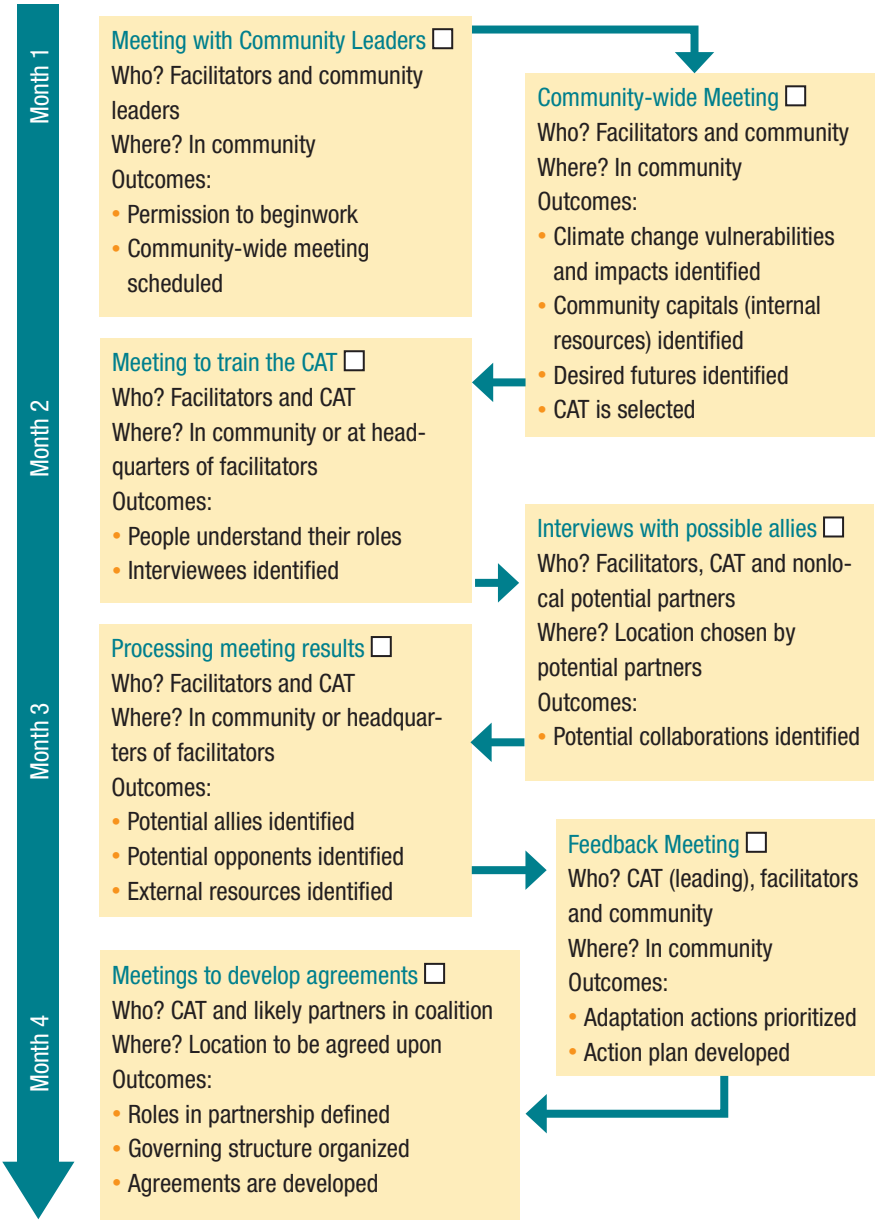
Box 5 >
Results from Testing the ACF

In the short amount of time (a matter of a few months) between when facilitator teams began helping communities form coalitions in the case study communities and press time, there were many encouraging short-term results, including:

- The majority of communities formed coalitions with the stated aim of reducing vulnerability to climate change. The formation of these groups creates, long-term local champions for building climate resilience and reducing vulnerability.
- In all five-country case studies, communities increased their levels of communication with nonlocal actors and raised their internal awareness of climate change and its dangers.
- In all five countries, building coalitions led to some form of agreement with external institutions and, as a result, strengthened local-nonlocal alliances.
- In about 75% of the communities tested, local community capitals were mobilized in order to adapt to climate change.
- In three out of five countries, communities were able to gain access to financial or material resources to adapt to climate change, despite having only a few months for the coalitions to form and strengthen. It would usually be expected that financial or material investment into local communities would be more of a long-term outcome, but evidence suggests that this support can happen quickly too.

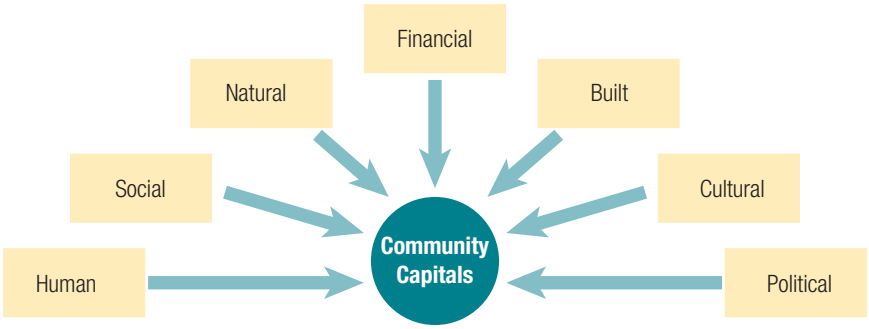
These are the meetings that must take place during the coalition building process. The *who*, *where* and *when* for each meeting has been recommended and the major outcomes from these meetings have been listed. Please use this as a checklist to make sure all major outcomes are reached. Again this process is iterative and meant to be flexible. Meetings could be combined or separated depending on what is the best option for moving the process forward. It should be noted that this is a projected timeline which could possibly be shortened or (more likely) extended.

Checklist ☑



Annex 1

Overview of the Seven Community Capitals



1. **Human capital.** This is the human resource "people" account. It includes leadership capabilities, knowledge, wisdom, information, and skills possessed by the people who live in the community.
2. **Social capital.** This is the networking account, but it also requires a certain level of trust and group-oriented reciprocity among actors for the networking to be effective and enduring. It includes the close bonds between and among family and friends—the people we know and depend on for starting a new business or dealing with a loss. It also includes our loose ties to other resources of people and organizations, such as someone we know in a government office who can help us understand the system.
3. **Natural capital.** This is the environmental account. It includes the resources that exist in the natural world: the soil, water supply, natural resources,

nature's beauty, etc. We work with these resources to produce food, and we depend on them for our quality of life. An example of adapting this capital comes from Huancané, in the *altiplano* of Peru, where locals shifted from crops to small animals to better respond to irregular rainfall.

4. **Financial capital.** This is the financial account. It includes the resources related to money and access to funding: savings, credit, grants, tax revenue, etc. In many of the communities studied, financial capital to enhance the other capitals came via NGOs or the Federal government, often through local intermediary funds. Financial capital is at times given to individuals to help support their options for supporting their livelihoods, as in Paraguay and Patagonia in Argentina. However, while those payments keep the households in place, they do not encourage seeking alternative livelihood strategies.
5. **Built capital.** This is the building and infrastructure account. It includes houses, schools, businesses, clinics, libraries, water systems, electrical grid, communication systems, roads, transportation systems, etc. An example of this capital at work in Bolivia show communities have sought government construction of larger dams in order to capture the water of the new rainfall regimes, which included a shorter rainy season but more intense rainfall, resulting in large amounts of runoff.
6. **Cultural capital.** This is the account for cultural resources. As a way of viewing the world, culture defines our traditional ways of doing and being–our habits and attitudes. It includes dances, stories, food and traditions and also our values and connections to the spirit. We draw upon this capital to bring unity and to guide our youth. Cultural capital is also a resource

to attract tourism as is the case in parts of the Amazon or the Andean Regions.

7. **Political capital.** This is the ability to transform a community's norms and values into standards, rules and regulations that determine, among other things, the distribution of and access to all the other capitals. This account represents power and the connections to the people who have power. We draw upon this resource when we unite to solve a controversial issue. We build political capital by making connections with political and community leaders both inside and outside our community. When there is conflict over resources, often heightened by climate change, political capital can be used by communities or groups to maintain access. For example, an indigenous community in Aguaray, Argentina, used social capital and political capital to prevent the undesirable sale of 18,000 hectares by the state to a private petroleum company.

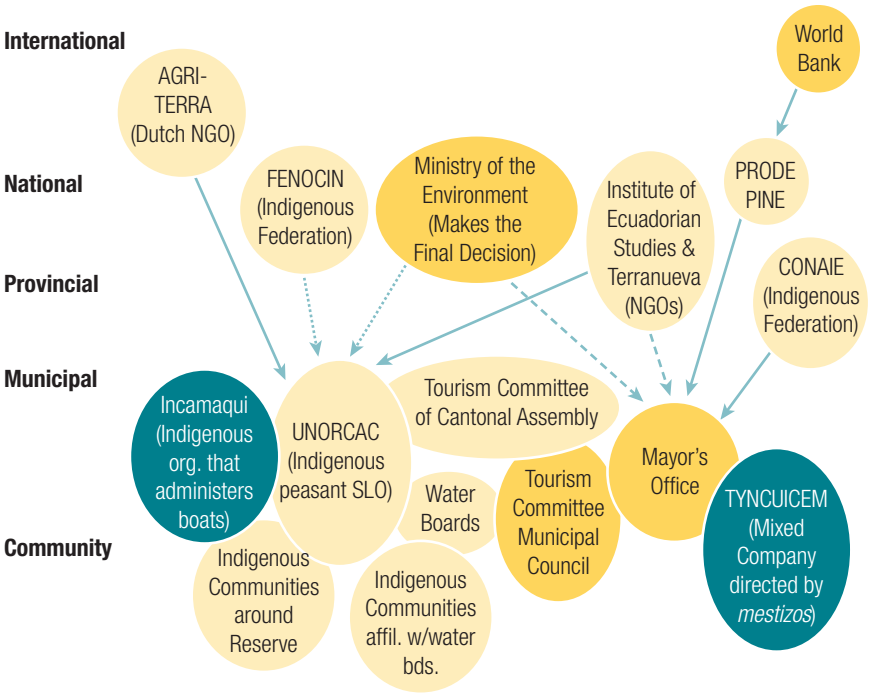
The Community Capitals Framework is useful for forming adaptation coalitions, particularly for vulnerable communities because it provides an easily understood mechanism for communities and organizations to examine the stocks and flows of their assets. Through discovery of their collective assets using this holistic framework, and seeing which ones have decreased or increased over their lifetimes, they discover which assets to invest.

Annex 2

In the ACF, the IPCC framework for vulnerability is used, with *vulnerability* being defined as, "a function of the *sensitivity* of a system to changes in climate, *adaptive capacity*, and the degree of *exposure* of the system to climatic hazards (author's italics)." The team has adapted this approach slightly. We refer to ***exposure*** as the exogenous drivers of vulnerability, or climate related events and changes that humans cannot directly control, such as weather variability, droughts and floods. ***Sensitivity*** refers to all of the endogenous drivers of vulnerability, these include community characteristics or practices that humans can control and which contribute to vulnerability. Examples of these are deforestation or the loss of vegetative cover, livelihoods reliant on the natural environment, poverty or a lack of resources, inequality, and other socio-economic and environmental factors. ***Adaptive capacity*** encapsulates the community characteristics or practices that contribute to building resilience and reducing vulnerability. These include economic diversification, migration, access to resources and community capitals, social cohesion, sustainable environmental practices, among others. These three components, or drivers of vulnerability, interact to produce the human ***impacts*** of climate change.

Community	Exposure	Sensitivity	Adaptive Capacity	Social Impacts
Huancane (Peruvian altiplano)	• Flooding • Loss of biodiversity	• Cattle raising is only source of income, • High poverty percentile • Weak links to the municipality	• Strong Producer Organization • Connected to national and regional markets • Moving agriculture from crops to diversified livestock	• Declining crop productivity • Respiratory infection/ diarrhea
Tartagal (North of Argentina) • Tartagal • Salvador • Mazza • Aguaray	• Increased precipitation and intensity • River level rise • Flooding • Some drought	• Land use changes • Deforestation • Ag Expansion (soy) • Gas exploration • High levels of conflict (no trust in the State) • Soil erosion • Inequality (concentrated wealth)	• Natural resource wealth (oil and gas) • Highly organized interests • Extra regional migration • Financial wealth	• Loss of productive lines like agriculture for others like gas exploration • Landslides • Resettlement/expulsion of peasant and indigenous communities and extra-regional migration • Increased levels of conflict • High levels of poverty • Inequality • Dengue and malaria

Annex 3


International
National
Provincial
Municipal
Community
AGRI-TERRA (Dutch NGO)
World Bank
FENOCIN (Indigenous Federation)
Ministry of the Environment (Makes the Final Decision)
Institute of Ecuadorian Studies & Terranueva (NGOs)
PRODE PINE
CONAIE (Indigenous Federation)
Incamaqui (Indigenous org. that administers boats)
UNORCAC (Indigenous peasant SLO)
Tourism Committee of Cantonal Assembly
Mayor's Office
Water Boards
Tourism Committee Municipal Council
TYNCUICEM (Mixed Company directed by *mestizos*)
Indigenous Communities around Reserve
Indigenous Communities affil. w/water bds.

Annex 4

Peru	Bonding	Bridging Local	Bridging Regional	Bridging National	Bridging International
Comunidad Nativa de Matoriato	High	High – United with COMARU to stop gas exploration	Low	Medium – CEDIA	Low – in conflict with Camisea
Comunidad Nativa de Timpia	High	High – COMARU	Low	Medium – CEDIA	Low – in conflict with Camisea
Huancané	High – Producers Assoc, women's assoc.	Medium/high – CAM Local gov.	Medium – Provincial authorities, markets	High – Env, Min CARE Peru Banks	Medium – CARE
Huayrapata	High – Assoc of producers,	Medium/high – Community Association, Producers assoc. and women, youth, and irrigators, Local gov.	Medium – Provincial authorities, markets	High – Banks, CARE Peru Env. Min.	Medium – CARE

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