SOCIAL RESILIENCE & CLIMATE CHANGE

OPERATIONAL TOOLKIT

THE WORLD BANK
CONTENTS

SOCIAL RESILIENCE AND CLIMATE CHANGE:
How we can help .................................................................................................................. 6

CONTRIBUTION 1:
Identifying key factors of vulnerability and resilience ...................................................... 8

CONTRIBUTION 2:
Supporting pro-poor adaptation in project design and implementation ............................. 10

CONTRIBUTION 3:
Promoting socially inclusive mitigation interventions ....................................................... 12

CONTRIBUTION 4:
Promoting accountability and good governance towards improved resilience .................. 14

TIPS FOR TASK TEAM LEADERS ....................................................................................... 17

SOCIAL DEVELOPMENT TOOLS FOR CLIMATE RESILIENCE .................................. 19
INTRODUCTION

Photo: Julio Pantoja/The World Bank
“[Climate change] is a development, economic, and investment challenge. It offers an opportunity for economic and social transformation that can lead to an inclusive and sustainable globalization. That is why addressing climate change is a critical pillar of the development agenda.”

— World Bank Group President
Robert B. Zoellick

The World Bank is committed to helping its client countries better manage risks related to climate change. The Bank has already committed nearly $25 billion (about 10% of the overall portfolio) to climate change related themes. As the demand for climate change support increases, the Bank’s ability to promote an integrated approach to addressing climate change is of paramount importance.

Climate change has major social implications. The negative impacts of climate change push those living on the margin closer to the edge and can hamper the development pathways of entire regions by impeding the fight against poverty, disease, and hunger. In addition, policies and interventions to both mitigate and adapt to climate change entail significant distributional, poverty and social impacts.

The starting point to understanding vulnerability to climate change is a clear understanding of existing levels of socioeconomic vulnerability and adaptive capacity. However, climate change impacts entail a number of characteristics that require a more dynamic view of vulnerability and new ways of working: they are diverse, long-term and unpredictable. Adapting to these traits is challenging as they require making decisions under high levels of uncertainty. The 2010 World Development Report: Development and Climate Change, echoes this by stating, “Climate change adds an additional source of unknowns for decision makers to manage” and that, “Accepting uncertainty [is] inherent to the climate change problem.”

There is a need to revise existing concepts of vulnerability and integrate approaches into development efforts to help the poorest and most vulnerable access the financial, technical and institutional resources necessary to adapt to climate change impacts and climate action. Proper attention to the social dimensions of climate change can greatly enhance the effectiveness and sustainability of World Bank projects.

This note is written for World Bank task teams and explains how an understanding of the social dimensions of climate change can enhance the sustainability and quality of Bank-supported operations while mitigating potential risks. The note reviews major challenges involved in addressing the social dimensions of climate change; outlines how social development approaches can help to solve these challenges; highlights the main social development analytical and operational tools in relation to the social dimensions of climate change; and, provides operational examples to highlight strategies that focus on the social dimensions of climate change.
SOCIAL RESILIENCE AND CLIMATE CHANGE

HOW WE CAN HELP
Social development specialists help task teams better understand the multi-faceted nature of vulnerability; utilize participatory methods to engage people in the development and implementation of climate change strategies that are tailored to their needs, priorities and realities; and promote good governance, transparency and accountability, in order to enhance the efficacy of climate change related operations.

Upstream social and institutional analysis helps provide a more holistic understanding of institutional capacity for responding to climate change, and helps task teams identify potential risks and opportunities before project implementation starts. Addressing adaptation and mitigation interventions through participatory mechanisms enhances operational sustainability by providing local people with ownership of interventions and the ability to equitably benefit from programs. The section “Tips for Task Team Leaders” provides a list of tips that task teams can draw upon to maximize social development specialists’ contributions to climate change operations.

With a focus on **inclusion, cohesion, resilience and accountability**, social development specialists help task teams in four key ways:

1) **Identify key factors of vulnerability and resilience:**
The social dimensions of climate change approach helps a) identify key drivers of vulnerability b) integrate vulnerability profiles into operational design and, c) ensure that interventions effectively target vulnerable populations and build their resilience.

2) **Support socially inclusive adaptation in project design and implementation:**
The social dimensions of climate change approach helps teams a) utilize participatory strategies to engage communities in the design and implementation of adaptation interventions and b) devise community based solutions for relevant areas such as disaster risk reduction to natural resource management.

3) **Promote sustainable mitigation with equitable impacts:**
The social dimensions of climate change approach helps a) identify potential political and social risks stemming from mitigation programs b) ensure that projects are designed so that local communities can equitably benefit from mitigation interventions and c) protect the rights of indigenous peoples and other forest-dependent communities and enhance the benefits they may derive from mitigation activities.

4) **Promote accountability and good governance:**
The social dimensions of climate change approach helps teams a) implement “demand driven” interventions that enhance accountability and transparency in order to increase the efficacy of climate change policies at the local level and b) build the capacity of local institutions to adapt to the uncertainties associated with climate change.

---

**DID YOU KNOW?**

One of the key operational challenges looming on the horizon is to develop a better understanding of the range of potential complex social responses to climate change so that these risks can be integrated into project design and implementation. High quality social analysis is essential to fulfilling the Bank’s mandate for effective poverty reduction and equitable mitigation and adaptation strategies. At the global level social analysis underpins our understanding of transboundary social, environmental and political processes, including migration, conflict and the role that scarcity of natural resources plays in these processes. At the national level it is necessary to understand the context in the countries where we work in order to identify the key socio-political barriers to equitable and efficient interventions in response to climate change. At the local level it is necessary to ensure that climate change related projects and policies build the resilience of the poor and improve their welfare.

Adapted from “The Social Dimensions of Climate Change: Equity and Vulnerability in a Warming World,” Eds. Robin Mearns and Andrew Norton, December 2009
CHALLENGE:

Many of the world’s poorest and most vulnerable people already feel the effects of climate change, and adverse impacts are unavoidable for millions more. Information on hazard exposure is one component of risk analysis. It is equally critical to have a comprehensive understanding of a community’s vulnerability to those hazards as well as their adaptive capacity. Thus, a first step in formulating strategies to help poor people adapt is to develop an understanding of who is affected, how they are affected and where vulnerable groups are located. Vulnerability is shaped by livelihood context, gender, age, social class, ethnicity, caste, etc. A comprehensive understanding and quantification of risks needs to be complemented with information on how vulnerability is socially differentiated.

CONTRIBUTION 1:

IDENTIFYING KEY FACTORS OF VULNERABILITY AND RESILIENCE

Providing insights into the socially differentiated nature of vulnerability and existing capacity to build resilience.

Photo: Curt Carnemark/The World Bank
Integrating the social dimensions of climate change helps: Given that climate change is a dynamic process with uncertain outcomes, project design needs to be informed by the active and future drivers of risk and people’s existing adaptive and coping strategies. Existing frameworks grounded in vulnerability analysis, including entitlements, livelihoods, and other asset-based approaches, offer entry points for pro-poor climate action and guide task teams in targeting interventions.

Social development tools: Social development tools can be used to compile vulnerability profiles that task teams can draw upon in the process of designing operations with climate change related themes. Vulnerability profiles, in their simplest form, provide descriptive information about the major characteristics of a particular social group that make people vulnerable including: physical factors, lack of assets and/or access to resources, socioeconomic trends, cultural or political factors and institutional issues. By highlighting the social differentiation of vulnerability task teams are able to more effectively target policies and programs. Existing social analysis tools (e.g., institutional analysis, stakeholder analysis, social assessments, environmental analysis, etc.) help task teams better identify and address assets and capacities to promote resilience. Moreover, an array of participatory tools (e.g., participatory risk assessment, participatory risk mapping, participatory rural appraisal, wealth ranking) can be used to develop a comprehensive profile of vulnerability at the community level.

BOX 1. Using vulnerability profiles to inform adaptation interventions in India

Challenge: Reducing the impacts of drought has been a key priority for the Government of Andhra Pradesh. Nevertheless, the failure of the monsoon rains continues to have a disastrous effect on the state’s agricultural sector. Moreover, crafting an effective policy response has proven difficult because the effects of the drought are socially differentiated and different dry land farming systems face unique vulnerabilities.

Social development solution: Use participatory methods to tailor interventions for different vulnerability profiles.

The pilot Andhra Pradesh Drought Adaptation Initiative (AP-DAI) focuses on transmitting messages and proposing approaches that recognize basic differences among communities located in dry land farming systems in the region. The impacts of drought vary significantly at small geographic scales in the region due to the natural variability in weather patterns, differences in soil types and water availability, access to markets and social circumstances. Potential responses to drought therefore require intensified efforts at village and watershed levels.

The project compiled vulnerability profiles and tailored interventions to each community. First, the project targeted areas that were representative of different challenges (e.g. little irrigated land, common property, depleted soil tops). Second, the project held participatory consultations with communities to identify other drivers of vulnerability and devise ways of addressing factors that limit long-term adaptation to climate change. Next, the project developed a variety of matrices that could be used to classify drivers of vulnerability, the way that climate change would impact these vulnerabilities and potential responses. Finally, the project used the matrices to determine the blend of interventions that should be implemented in different communities. As a result, the project has been able to tailor adaptation strategies to communities’ unique risk profiles. Based on the results of the pilot, the project has plans to scale up the approach to a bigger coverage area.


DID YOU KNOW?

As with other climate change risks, resilience to natural disasters is shaped by a variety of social factors, including gender. While men and women are equally exposed to natural hazards, their vulnerabilities differ and they face different challenges in both the response and recovery processes. For example, women in Bangladesh had a much higher mortality rate than men during cyclones as a result of a variety of factors. First, many women delayed departing for shelters because they were responsible for organizing provisions for the livestock and preparing food for their families. Second, due to religious reasons many women would not leave their homes without their husband’s permission, even in the face of a cyclone. Finally, women were hesitant to go to shelters because it put them in the company of a large number of unknown men in a dark and crowded setting and did not include separate facilities for women. By making shelters more comfortable for women and adopting community based approaches to ensure that women make it to shelters, Bangladesh has been able to decrease female mortality due to cyclones.

CONTRIBUTION 2:
SUPPORTING PRO-POOR ADAPTATION IN PROJECT DESIGN AND IMPLEMENTATION
Helping climate change interventions be responsive to the needs of the poor and vulnerable

Poor and natural resource-dependent households will bear a disproportionate burden of the adverse impacts of climate change. Information on climate change impacts and household responses to current climate risk need to be integrated into initiatives in order to strengthen existing adaptive capacity and build long-term resilience.

Photo: Steve Harris/The World Bank
Integrating the social dimensions of climate change helps: Approaches such as community driven development, community-based natural resource management and community-based disaster risk management can be used to promote pro-poor adaptation. Social development can also help mobilize or strengthen the capacity of local institutions (e.g., Water User Associations, Farmer Groups and Women Groups) to promote climate resilience. By utilizing participatory methods, social development approaches can help task teams design and implement community-based development and institutional strengthening activities that enhance local people’s capacity to adapt to climate variability and volatility. While climate science is limited at the local level, this need not be a constraint on thinking how to build resilience. By drawing on the living experience of poor communities, much can be learned about both the impacts of climate change and ways in which autonomous adaptation can be supported. Participatory methods can be used to build on local indigenous knowledge and collect good practices of past risk management strategies. In addition, participatory approaches can help bring stakeholders together to develop comprehensive regional adaptation strategies and longer-term development plans that take into account local dynamics and drivers of risk.

Social development tools: Participatory scenario development can be used to contextualize climate scenarios at a local level and facilitate discussions about potential adaptation options in order to identify what forms of public policy or investments are needed to facilitate effective adaptation at the local, regional or national levels. Moreover, tools such as the Community-based Risk Screening Tool-Adaptation and Livelihoods (CRiSTAL) can be used to provide an understanding of the links between people’s livelihoods, climate-related risks, and project activities.

BOX 2. Bridging the gap between local and national adaptation strategies in Mozambique

Challenge: Mozambique faces a high level of risk to current climate variability. Given the uncertainties related to how climate change will affect these risks in the future, national adaptation plans need to take into account the risks faced by the most vulnerable communities at the local level in order to be relevant.

Social development solution: Use Participatory Scenario Development to link local realities to the national policy

In order to bridge the gap between national and local level approaches to adaptation, the World Bank facilitated a series of Participatory Scenario Development (PSD) workshops with national and local stakeholders. The PSD approach explores different futures for a region or set of social groups under changing climate conditions. Through a facilitated set of group exercises, stakeholders identify their preferred future vision for an area; apply boundary conditions of climate projections as well as socio-economic, demographic and economic projections; and then identify expected socioeconomic impacts of projected climate change and preferred adaptation options and their sequencing. The analysis is conducted with reference to a particular place (e.g., sub-national regions) or a particular producer or other socioeconomic group (e.g., smallholders, fishing community, urban petty traders, etc.). Adaptation options identified are further interrogated by the group to identify how pro-poor an option is; the synergies and tradeoffs of each option; and what policy or other pre-conditions need to be in place. A timeline for implementation is also identified. Undertaking PSD workshops across a number of key agro-ecological zones or production systems, as well as in rural, town and urban settings allows for validation of results obtained in national-level workshops and in other national plans of adaptation such as NAPAs.

Adapted from: Economics of Adaptations to Climate Change: Social Synthesis Report. Social Development Department, The World Bank, 2010
The Social Dimensions of Adaptation to Climate Change in Mozambique, Environment Discussion Paper No. 16, December, 2010
Participatory Scenario Development Approaches for Identifying Pro-Poor Adaptation Options, Environment Discussion Paper No. 18, December, 2010
Participatory Scenario Development Approaches for Pro-Poor Adaptation: Capacity Development Manual, Environment Discussion Paper No. 19, December, 2010

BOX 3. Implementing community based approaches to enhance climate resilience in China

Challenge: The World Bank supported Poverty 5 project covers some of China’s poorest areas. The project area population’s continued dependence on agriculture and their agricultural practices threaten the ecosystem and land resources sustainability. While accelerating land degradation is in great part due to poor land use decisions, these challenges are likely to be exacerbated by climate change, which is projected to have particularly pronounced effects in these agricultural transition areas.

Social development solution: Implement a Community Driven Development approach

By adopting a CDD approach, the Poverty 5 project supports communities’ ability to adapt to land use constraints and enhances their climate resilience. Promoting community-led adaptation planning helps to ensure ownership and sustainability of the project. Moreover, through its activities, the project will demonstrate ways to integrate policies and practices for ecosystem-based land use planning, sustainable land management and climate change risk management into the government’s poverty reduction programs.
Mitigation policies and measures can have significant distributional impacts, including opportunities and risks for the poor and other vulnerable groups. As programs like Reducing Emissions from Deforestation and Forest Degradation (REDD) and the Clean Development Mechanism (CDM) become more widespread, promoting low-carbon livelihood options that deliver development co-benefits—particularly in the areas of agriculture, forestry and sustainable land management—will be an important benchmark for the success and sustainability of climate mitigation. This calls for participatory approaches that place particular emphasis on robust safeguards and equitable benefit-sharing opportunities.
Integrating the social dimensions of climate change helps: Social development can help teams to manage the social risks of mitigation, assess co-benefits, promote bottom-up participation and analyze the accountability mechanisms in mitigation projects and policies. Applying diagnostic tools such as social assessments or Poverty and Social Impact Analysis (PSIA) can help to ensure that carbon programs respect the rights of Indigenous Peoples and marginalized groups and that mitigation interventions engage local communities and generate significant socio-economic co-benefits.

Social development tools: In addition to the Bank’s own safeguard policies, a variety of social development tools can be applied to guide mitigation interventions. First, social analysis, PSIA and strategic environmental and social assessments (SESA) can be incorporated at the beginning of the project cycle to inform operational design by identifying potential winners and losers of proposed interventions. Second, institutional analysis can be applied to provide an understanding of political economy and governance issues involved in mitigation projects. Finally, participatory tools such as participatory poverty assessments and participatory monitoring and evaluation can be used to enhance accountability in mitigation interventions.

**Box 4. Sharing the benefits of wind power and carbon offsets with Indigenous Communities: The Jepirachi Project in Colombia**

**Challenge:** The objective of the Jepirachi Carbon Offset Project (JCP or Jepirachi Project) is to contribute to the reduction of greenhouse gas emissions from the power sector in Colombia through the promotion of a wind-based electricity generation facility. The project is expected to displace an estimated 1.168 million metric tons of carbon dioxide equivalent over a period of 21 years. In this way, the JCP contributes to the development of the international carbon market in Colombia through the supply of emission reductions developed under the Clean Development Mechanism set forth under the Kyoto Protocol. Implemented on indigenous lands, the program had to develop novel ways to share the project’s benefits with the local communities in order to be successful.

**Social development solution: Use participatory approaches to ensure benefit sharing**

In order to ensure that the intervention benefited the local population and adequately addressed their economic and cultural priorities, the project carried out a participatory diagnosis with communities. Working together, the project and communities developed a funding mechanism to support indigenous social programs in which the energy provider agreed to pay an additional premium on the value of the emission reductions that was earmarked to benefit indigenous communities directly through a variety of initiatives. The projects, which are community driven and designed in a sustainable manner, address a variety of social, cultural, and economic themes in ways that are consistent with community members’ traditions and priorities. For example, the program funded a health clinic, rehabilitated schools and provided community members with training on indigenous rights. This project is a prime example of how effectively linking global environmental issues with a concern for local development issues can generate positive development outcomes.


**Box 5. Identifying the poverty and social impacts of charcoal sector reform in Tanzania**

**Challenge:** In Tanzania, wood fuels make up nearly 95 per cent of total energy supply. With an annual charcoal consumption of around 1 million tons, wood harvesting for charcoal production causes an average loss of forest area of 100,000 to 125,000 hectares per year. With an estimated annual population growth of 2 to 3 per cent and rapid urbanization, the demand for charcoal is expected to increase in the future. This is a key driver of forest degradation and deforestation which counters efforts to mitigate climate change and runs contrary to Tanzania’s REDD objectives. Moreover, the distribution of benefits along the charcoal value chain is considered to be highly inequitable. Charcoal dealers, transporters and wholesalers in the informal sector capture a major share of profits, while charcoal producers – mainly poor households in rural and peri-urban areas – see little money for their work.

**Social development approach: Understand the political economy of reform**

The World Bank collaborated with government and local stakeholders to map out the political economy of the charcoal sector and analyze the poverty and social impacts of potential policy options. The team systematically assessed the stakeholders and institutions involved in the sector, their interests, influence, and resources; and identified ways to engage relevant stakeholders in a sector reform strategy. Based on this understanding the team identified policy options that can be realistically implemented. The results of the analysis will feed into the ongoing policy dialogue with the government on charcoal sector reform and sustainable natural resources management.
The governance of climate action at the national and local levels poses significant challenges. Effective local adaptation requires local institutions that are responsive and adaptive to the uncertainties associated with climate change. Institutions shape adaptive capacity at the local and national levels and are critical in ensuring that the results of adaptation and mitigation efforts match their intentions. In order to function effectively, they must be transparent and accountable to citizens.
Integrating the social dimensions of climate change helps: Social development can help design and implement approaches that increase transparency, accountability, and performance of climate change interventions. Social accountability tools help expose mismanagement, corruption, and poor governance by increasing communities’ awareness of what operations are supposed to do and provide them with the tools necessary to monitor progress. Moreover, interventions that enhance transparency and accountability provide stakeholders with a sense of ownership and empowerment so that they can more effectively contribute to the development of climate change related actions and policies.

Social development tools: There are a wide range of social development tools that can be applied to enhance accountability and improve governance in climate change related operations including: input tracking, community score cards, citizen report cards, participatory monitoring and evaluation, and institutional mapping. For example, citizen report cards, which involve polling citizens to get their opinion on the quality of service delivery in a given sector, can be used to assess governments’ performance on climate change interventions at the local level. Also, awareness raising and communication tools, such as community radio and participatory videos, are an effective tool in bridging the coordination and communication gap between communities, local authorities and national level policy makers on integrating climate resilience into local level planning.

BOX 6. Building bridges between coastal communities and governments in West Africa

Challenge: Coastal fishing communities in West Africa are predominantly vulnerable, poor, and rural. Unless communities are aware of government plans for coastal areas and empowered to engage with governments to develop policies and programs to deal with the impacts of climate change, their vulnerability is likely to increase in the future.

Social development approach: Enhance accountability through participatory approaches

The Community Co-Management for Disaster Risk Management of Marine Resources in West Africa project aims to empower communities to: comprehend existing policies and engage with government on issues pertaining to coastal and marine resource management; develop local-level policies and strategies which will help each community assume stronger management of their own coastal and marine resources; and, begin to develop community-specific strategies to respond to local risk factors resulting from climate change.

To accomplish these objectives, the project first conducts surveys to collect information about existing vulnerabilities, livelihoods strategies and government-community relations. The information collected is then disseminated to communities so that they can get a sense of the vulnerability profile within their community. The project then strengthens local government-community cooperation via moderated sessions for the preparation of local-level policies and strategies related to co-management of marine resources and local disaster risk management. By enhancing accountability and strengthening the links between citizens and government, the approach promoted by the project enhances communities’ ability to hold government accountable in the context of adaptation planning.

DID YOU KNOW?

Local institutions have shaped how rural residents have responded to environmental challenges in the past and are also the mechanisms that will facilitate adaptation to climate change in the future. Because adaptation to climate change is local, local institutions (including private, public and civic organizations in both their formal and informal forms) play an important role in shaping adaptation and strengthening the livelihoods of the most vulnerable social groups. Broadly speaking, local institutions shape the effects of climate risk in three important ways. First, they influence how households are affected by climate impacts. Second, they shape the ability of households to respond to climate impacts and pursue different adaptation practices. Finally, they mediate the flow of external interventions in the context of adaptation. Given that well functioning local institutions are a prerequisite for effective climate change operations, implementing interventions aimed at promoting transparency and accountability at the local level is an important step in the right direction towards climate change resilience.

The importance of local institutions in climate change adaptation:
Recommendations from Niger’s Pilot Program for Climate Resilience (PPCR)

Challenge: The impacts of climate change are local, and require locally-driven solutions if they are to be sustainable. Niger’s PPCR aims to demonstrate ways in which climate risk and resilience may be integrated into core development planning and implementation, providing incentives for scaled-up action and initiating transformational change.

Social development approach: Understand and strengthen capacity of local institutions
A report commissioned by the Social Development department examined the role of local institutions in adaptation to climate change in Niger. The report concluded that the vulnerability of communities to climate-related hazards is a local issue requiring a local approach that is managed by grassroots institutions. As such, the report made the following operational recommendations:

- Integrate the climate dimension into local council development plans: Council Development Plans will need to more effectively account for how the impacts of climate change will affect households’ livelihoods. As such, various climate scenarios and adaptation strategies should be gradually integrated into the planning process.
- Give more responsibilities to community institutions: Develop efficient mechanisms enabling grassroots community institutions to better participate in diagnosis on climate change at the local level and lend their environmental know-how and knowledge in defining appropriate adaptation measures.
- Envisage the planning/implementation of inter-communal actions to combat climate change: Large-scale initiatives to combat the effects of climate change should be launched at the level of local governments sharing the same agro-climatic constraints. Moreover, the use of informal inter-community associations could facilitate to kick-start inter-community projects.

These recommendations were included in the Strategic Program for Climate Resilience (SPCR), which has the objective to strengthen the resilience of communities and production systems to climate change, in order to increase national food security. The strategy includes a proposal for a “Community Action Project for Climate Resilience” (CAPCR), which is currently under development. It complements the second phase of the on-going ‘Community Actions Program’ (PAC2), that aims to strengthen local municipalities’ capacity to formulate and implement local development plans and annual investment plans on the basis of needs expressed by rural communities in a participatory manner.

Adapted from: Local Development, Institutions and Climate Change in Niger. Social Development Department. World Bank, 2009.
TIPS FOR TASK TEAM LEADERS:
GETTING THE MOST OUT OF YOUR SOCIAL DEVELOPMENT SPECIALIST FOR CLIMATE CHANGE OPERATIONS

The Bank has adopted a growing range of activities and instruments to support climate resilient development. Social development specialists can help task teams working on climate change activities ranging from analytical work and technical assistance to investment lending and country strategies. Involving a social development specialist from the earliest stages of preparation and ensuring continued support through the entire cycle of the project or program can improve operational effectiveness and development outcomes. Social development specialists can contribute in four main areas:

1. Analysis: providing an improved understanding of complex social responses to climate change
2. Consultations: giving voice to the poor and marginalized to inform climate action
3. Instruments: ensuring that project components support pro-poor climate action
4. Monitoring and evaluation: developing M&E indicators to monitor progress and track outcomes related to the social dimensions of climate change.

Support from social development goes beyond social safeguard policies, including:

- Upstream social and institutional analysis
- Assessing client institutional capacity to manage social risks and opportunities
- Managing structured consultations
- Developing networks of local social scientists that can act as resource people for climate change action
- Contributing to capacity development components
- Assisting with methodological issues (e.g. design of baseline survey, participatory monitoring and evaluation)

The following examples highlight some of the ways in which the World Bank is supporting its client governments to address the social dimensions of climate change.

Country Assistance Strategy (CAS)
As awareness of the potential impacts of climate change on social and economic development grows, an increasing number of countries are integrating climate change as a strategic pillar in their Country Assistance Strategies. In fiscal year 2010, 30 out of 34 Country Assistance or Country Partnership Strategies included strategies to address climate change. For example, the Philippines’ CAS integrates climate change into its social protection system by identifying how poverty is driven by the nexus between the environment and climate change, including natural disasters.

Social development specialists help identify priority areas and drivers of risk by facilitating vulnerability mapping for a particular location or social group. These guides can serve as inputs for macro level policy tools and determine appropriate responses for vulnerable groups. Diagnostic tools, such as country social analysis and country gender analysis, can also be used to assess the current and future risks related to the negative social impacts of climate change in the context of the wider development context.

Development Policy Operations (DPOs)
Development Policy Operations on climate change are a strategic opportunity to support a government’s climate change agenda, including key sectors and policy actions that also contribute to sustainable poverty reduction. For example, the Government of Mexico is undertaking a DPL to develop a pro-poor national adaptation strategy and to ensure that their efforts on disaster risk management, urban development and forestry support the adaptive capacity of the poor in vulnerable areas. The Government of Indonesia is preparing a series of DPOs focused on three main development issues: climate change mitigation, climate change adaptation and institutional/cross-sectoral issues. The interventions aim to support the Government’s efforts to develop a lower carbon, more climate-resilient growth path that will also benefit Indonesia by improving governance, forest management, efficiency, competitiveness, and energy security.

Operational Policy 8.60 requires that the Bank determine...
whether country policies supported by DPOs are likely to have significant poverty and social consequences. Poverty and Social Impact Assessment (PSIA) is a systematic approach to analyze the distributional impact of policy reforms on the welfare of different stakeholder groups, with a particular focus on the poor and vulnerable. Climate policy interventions require the analysis of distributional impacts, including the types of impacts and transmission channels, the tools and techniques most appropriate, the data sources typically required, and the range of political economy factors most likely to affect the reform process.

As part of its country dialogue, the Bank advises borrowing countries to consult with and engage key stakeholders in the process of formulating the country’s development strategy. Consultation and interviews with key informants not only provide important information about expected beneficiaries and most affected people and groups, but also contribute to country ownership of the planned reform.

**Investment Lending**

Strategic Environmental and Social Assessment (SESA) as well as social safeguards OP4.10 on Indigenous People and OP4.12 on Involuntary Resettlement play a key part in climate-change related operations (both mitigation and adaptation). Social assessments are used to identify the nature and magnitude of social impacts and risks, identify indirect social and economic impacts and identify project activities that may give rise to involuntary resettlement. Task teams can also use social development specialists to help facilitate frequent field visits for the task team so as to better understand potential impacts, community priorities, and opportunities for enhancing benefits.

**Carbon Finance**

In recent years, the World Bank has been increasing its efforts to apply market-based solutions to mitigation challenges. In this context, it is working through a number of carbon funds and facilities to support policy initiatives and specific projects. Among those, the Forest Carbon Partnership (FCPF), the BioCarbon Fund (BioCF), and the Community Development Carbon Fund (CDCF) are facing the most direct social and livelihoods issues. FCPF is the World Bank’s instrument for supporting REDD. In practice it is expected to be blended with Investment Lending.

Working with communities and indigenous groups on mitigation efforts by reducing emissions from deforestation and forest degradation (REDD) can present risks of negative outcomes for the rural poor and their livelihoods in terms of limited access to markets and information, weak legal regulatory frameworks, restricted access to forests, and corruption.

Social development specialists can help in assessing and addressing the social impacts of REDD through Strategic Environmental and Social Assessment (SESA) that includes consultation, analysis and planning. Facilitating participation of vulnerable stakeholders and building the capacity of different stakeholders ensures that financial flows benefit local communities. They can also help in mainstreaming REDD in land-use plans and poverty strategies, as well as incorporating local formal and informal institutions (including women’s groups) in the analysis and decision making.

**Climate Investment Funds (CIF)**

Social development approaches can help mitigate the reputational risks associated with implementing CIFs by including socially adequate indicators and monitoring and evaluation frameworks at all levels, from global programs to sub-funds and investment plans. Indicators that take into account socio-economic and cultural differences can guarantee that the financing instruments designed to support low-carbon and climate-resilient development are socially inclusive and benefit different target groups in the pilot countries.

Especially relevant are the Forest Investment Program (FIP) and Pilot Program for Climate Resilience (PPCR) that aim for transformational change through investments in institutional capacity and local level interventions. Social development specialists can help with broad consultations to ensure voice and participation of local populations, with upfront social analysis to make sure that vulnerable and marginalized groups such as women, the elderly and youth are properly considered, as well as with project design to assist in determining appropriate instruments (e.g., social protection) to target the different determinants of vulnerability.
# Social Development Tools for Climate Resilience

<table>
<thead>
<tr>
<th><strong>Tool</strong></th>
<th><strong>Key Resource</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>An instrument for including poor people’s views in the analysis of poverty and the formulation of strategies to reduce it through public policy.</td>
<td></td>
</tr>
</tbody>
</table>
• PSIA for Climate Change DPOs: A Guidance Note. World Bank, 2011. |
| Analyzes the distributional impact of policy reforms on the well-being or welfare of different stakeholder groups, with particular focus on the poor and vulnerable. | |
| Social Analysis of Investment Lending examines the social opportunities, constraints and likely impacts of Bank-supported operations | |
| Country Social Analysis is a macro-level analytical approach, developed to improve the World Bank’s understanding of a country’s political and social context. | • Understanding Socio-economic and Political Factors to Impact Policy Change. World Bank, 2006. |
| Analyzes key factors influencing conflict, focusing on six areas: social and ethnic relations; governance and political institutions; human rights and security; economic structure and performance; environment and natural resources; and external factors. | |
• Indonesia Gender Assessment. World Bank, 2006. |
| An approach used to improve understanding of the role gender issues play in a country’s development context in order to improve opportunities for women. | |

Resources available online at worldbank.org/social resilience, except where otherwise indicated.
<table>
<thead>
<tr>
<th>TOOL</th>
<th>KEY RESOURCE</th>
</tr>
</thead>
</table>
| Tools to understand the specific gender impacts of climate change. | • Resource Guide on Gender and Climate Change. UNDP, 2009.  
• Training Manual on Gender and Climate Change. IUCN, UNDP and the Global Gender and Climate Alliance, 2009. |

**Social Capital Assessment:**

A toolkit for understanding and measuring social capital and its role in development


**Livelihoods Analysis:**

Sustainable Livelihoods Guidance Sheets: Short notes aimed at senior policymakers, managers and practitioners interested in studying livelihood change. They provide a distillation of lessons learned on the “how” of studying livelihood diversification and change.


A Guide to Learning About Livelihood Impacts of REDD+ Projects: Provides guidance on understanding the livelihood impacts of first-generation REDD+ projects.


**Participatory Monitoring and Evaluation:**

Facilitates stakeholder engagement in monitoring or evaluating a particular project, program or policy. Stakeholders share control over the content, the process and the results of the M&E activity and engage in identifying and implementing corrective actions.


• Participatory Monitoring and Evaluation: Learning From Change (IDS Issue Brief), 1998


• Participatory Impact Monitoring. Dorsi Germann, Eberhard Gohl, and Burkhard Schwarz, GTZ, 1996.

Resources available online at worldbank.org/social_resilience, except where otherwise indicated.
### TOOL

| A participatory survey that solicits client feedback on the performance of public services |
| A monitoring tool that draws on techniques of social audit, community monitoring and citizen report cards. Facilitates opportunities for service providers and stakeholders to exchange ideas and provide feedback |
| Contributes to M&E at community level by detailing what a resilient community might consist of |

### KEY RESOURCE

- Community Score Cards in Bank Operations
- Community Score Card Process in Gambia: SD Note 100 (World Bank), 2005.

### Participatory Processes:

- Engages stakeholders to influence and share control over development efforts and the decisions and resources that affect them

### Institutional Analysis:

- An approach that unpacks “the black box” of decision-making and implementation processes.

### Participatory Public Expenditure Tracking Survey:

- A participatory technique used to survey service providers to assess the efficiency of public spending and the quality and quantity of service

### Resources available online at worldbank.org/social resilience, except where otherwise indicated.
<table>
<thead>
<tr>
<th>TOOL</th>
<th>KEY RESOURCE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Vulnerability Analysis and Adaptation Planning:</strong></td>
<td></td>
</tr>
<tr>
<td>Social Vulnerability Profiles for Climate Change: Participatory technique to identify common areas and determinants of vulnerability of a particular location or social group</td>
<td>• Climate change and vulnerability profiles : a decision centric approach (SDV) 2009</td>
</tr>
<tr>
<td>Participatory Scenario Development for Climate Change: An instrument for including communities’ views in the analysis of climate vulnerability and the formulation of mitigation and adaptation strategies to reduce it.</td>
<td>• Economics of Adaptation to Climate Change: Social Synthesis Report, Social Development Department, The World Bank, 2010.</td>
</tr>
<tr>
<td>Adaptation Coalition Toolkit: Prepares local communities to adapt under uncertain climate scenarios by building their internal organization and capacity to identify external partners and resources, such as World Bank projects seeking greater levels of local participation, in order to adapt over the long-term to the unpredictable and diverse impacts of climate change</td>
<td>• Adaptation Coalition Toolkit (World Bank, 2011)</td>
</tr>
</tbody>
</table>
| Community-based Risk Screening Tool-Adaptation and Livelihoods (CRiSTAL): Provide an understanding of the links between people’s livelihoods, climate-related risks, and project activities. | • Community-based Risk Screening Tool-Adaptation and Livelihoods (CRiSTAL)  
• ProVention Consortium Guidance Notes (available on www.proventionconsortium.org) |
| Climate Vulnerability and Capacity Analysis Handbook: Helps to understand the implications of climate change for the lives and livelihoods of the poor. By combining local knowledge with scientific data, the process builds people’s understanding about climate risks and adaptation strategies. | • Climate Vulnerability and Capacity Analysis Handbook  
• CARE, May 2009. |

Resources available online at worldbank.org/social resilience, except where otherwise indicated.
<table>
<thead>
<tr>
<th>TOOL</th>
<th>KEY RESOURCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Carbon Finance:</td>
<td>• Community Development Carbon Fund, World Bank, 2009</td>
</tr>
<tr>
<td>The Carbon Finance Toolkit: Ensuring Benefits for Communities Contains carbon finance guides for communities, local governments, and task team leaders</td>
<td></td>
</tr>
</tbody>
</table>
| Climate Change E-learning tools: | • SDCC E-Learning Module  
• E-learning Community Based Adaptation to Climate Change. Available at: [www.fao.org/climatechange/learning](http://www.fao.org/climatechange/learning)  
• [www.weADAPT.org](http://www.weADAPT.org) |

Resources available online at [worldbank.org/social resilience](http://worldbank.org/social resilience), except where otherwise indicated.
For more information about social resilience and climate change, scan this code.

INSTRUCTIONS:
1. Download a “QR code” reader for your mobile phone.
2. Open the application on your phone and scan the code using your phone’s camera.