



Reconciling participation and benefit-sharing: Policy implications for how Africa adapts to climate change

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Reasons behind the research

- South-South Cooperation and Learning requires understanding the South at the macro, meso and micro levels
- Opportunity to understand better (in synthesis) more about the issues facing Africa broadly
- Climate Change enables a development lens at scale, scope, spatially and temporally
- Understanding the nuances between reconciling economy, society and the environment – contradictions and paradoxes
- Define a role for SSC and SSL in the response for CC – beyond technology transfers

NASA Research Finds 2010 Tied for Warmest Year on Record

January 12, 2011

<http://www.giss.nasa.gov/research/news/20110112/>

<http://data.giss.nasa.gov/gistemp/2010november/>

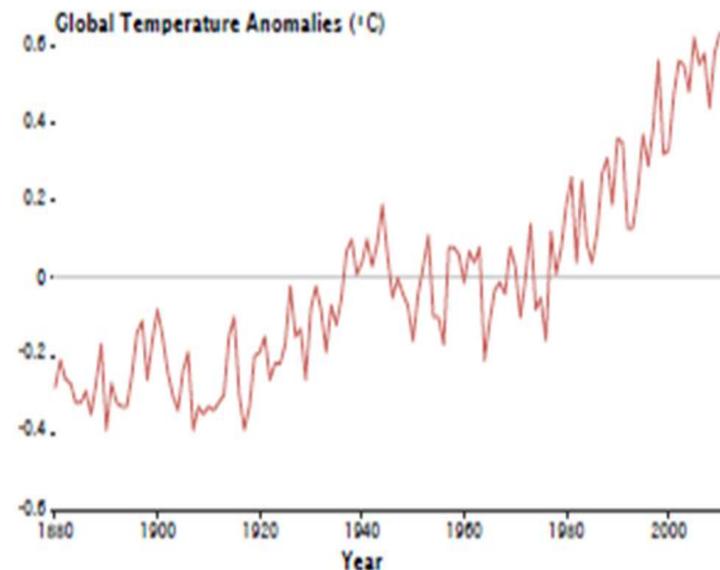


Image credit: NASA/Earth Observatory/Robert Simmon)

Key Sections of the Paper

- Resource Access and Allocation (From Global to Local): Signposts for Structural Inequalities including moving the discussion from burden-sharing  benefit sharing;
- Policy and Practice in [anticipatory] adaptation: Minding the Gap;
- Reconciling Participation  Benefits-sharing: The Potential of Social Technologies; and
- Policy Implications for How Africa Adapts: Focusing the Agenda to take account of social risks and social benefits

Africa's development.....Challenged by complexities

- (i) significant energy poverty;
- (ii) persistent droughts and or floods, intensification of rural poverty and working poverty amongst small holder farmers particular women farmers (IFAD, 2010);
- (iii) relatively low adult literacy levels, on average 60% (Ibid);
- (iv) inconsistency of access to food and quality food with high levels of under-nourishment (Ibid);
- (v) lower life-expectancy at birth than other regions
- (vi) Significant ethnic diversity, languages and culture and
- (viii) multiplied challenges in health and nutrition due to lack of access to safe water and sanitation, high maternal mortality and high prevalence of HIV and AIDS

Uneven Development + climate change = more challenges for Africa



© Asha Nsasu. ALERTNET/Felix Mwakyembe Rungwe District malaria coordinator, Gideon Ndawala, oversees a nurse attending malaria patient

According to the WB Africa Strategy document – Malaria costs Africa USD 12 billion (including lost productivity) annually (2011: 19)

- Where growth, gender, poverty and environment meet:
 - Maintaining adequate levels of food is important for household security, and for health and education gains for production and productivity.
 - Continued food production both as a source of good food, economic security and growth depends significantly on adequate and consistent access to water.
 - Given the high participation of women in agriculture, small farm production and fish processing, the failure to address structural inequalities will likely result in it being that much harder for them to sustain a livelihood and for these activities to contribute to growth.
 - The enhanced production of food and the expansion/diversification to non-farm and other productive sectors is constrained significantly by the lack of access to energy.

Structural Inequalities in Climate Change



© AFP: Thiago Sampaio

Heavy rains and resulting flood waters from the Jacuipe River impacting on the Brazilian town of Jacuipe in mid-2010

Largely politically driven:

- Unequal access to the global commons (Tragedy of the Commons)
- Balance of Private actions and public policy (consumption and production)
- Unequal burden of impact (SIDS, LDCs, coastal areas)
- Inequities of capacity to cope
- Unequal power relations in the political process (poorer countries and poor individuals)
- Equity of burden to take action

Implications for Participation and benefits-sharing

Participation

- Beyond consultation and the securing of consent; Seeking of inputs before a policy decision or strategy is formed, finding out how the various stakeholders perceive the problem.
- Not just people but their issues and development
- O'Brien and Wolf (2010: 233) - *what is considered legitimate and successful adaptation depends on what people perceive to be worth preserving and achieving, including their culture and identity*".

Benefit-sharing

- Active engagement in defining solutions and trade-offs as opposed to these being decided for them.
- Considerations of benefits as privately-derived (specific to an individual or a group) and publicly-derived (those which benefits society as whole or a cross-section of interests e.g. through public action) and speak to adaptation as an outcome and adaptive capacity as a process.

Search for Equity implies

- Inclusivity at a grand-scale (small and large nations, poor and rich, between genders, present and the future generations, private and public)
- Climate-compatible development (CDKN)
 - Adaptation and mitigation +
 - *Finding ways of minimising harm from the impacts of climate change and harnessing opportunities presented by a low carbon future whilst promoting poverty reduction and human development (CDKN, 2010).*

- That actions which linked growth, gender, poverty and environment would be stronger for development overall.
- Understand how definitions and concepts (framing) can lead to policy and practice and certain forms of participation and benefit-sharing.
- NAPAs were the main focus of the analysis (**as instruments for both participation and benefit-sharing –see UNFCCC 2002**) along with an examination of other critiques of the CDM and REDD to define a number of social risks from “neutral approaches”. 20/32 NAPAs were from Africa.
- Criteria based on key words (e.g. poverty, the poor, women and gender, ethnicity or ethnic groups, vulnerability or vulnerable groups). Based on reporting by countries.

NAPA Framework Guidelines for Preparing the NAPAs

Broadly, the guidelines recommend:

(a) A participatory process involving stakeholders, particularly local communities.

(b) A multidisciplinary approach.

(c) A complementary approach, building on existing plans and programmes, including national action plans under the United Nations Convention to Combat Desertification, national biodiversity strategies and action plans under the Convention on Biological Diversity, and national sectoral policies.

(d) Sustainable development.

(e) Gender equality: climate change will have different impacts on men and women, and in most cases the adverse effects of climate change disproportionately affect women. Women are often the main repositories of vital local and traditional knowledge, and they need to be recognised as key stakeholders in the consultations and in decision making.

(f) A country-driven approach.

(g) Sound environmental management.

(h) Cost-effectiveness.

(i) Simplicity.

(j) Flexibility of procedures based on individual country circumstances.

The guidelines note that the NAPA team should be multidisciplinary, particularly the broader team responsible for most of the tasks associated with preparing the NAPA. It should span all relevant disciplines such as agriculture, forestry, health, urban planning and women's issues, and will work under the guidance of the NAPA team. It is recommended that the team include a social scientist familiar with participatory methods.

Source: UNFCCC, 2002.

RESULTS

Resource Access – Between States (Scope)

- **Greater share of the commons by large firms and developed countries; SSA less than 4 % of emissions**
- **Average annual CO2 emissions per person – 0.2 tonnes (Mozambique); 10 tonnes (Germany)**
- **Dependency of LDCs, LLDCs and SIDS on public finance for climate change exposes them to other vulnerabilities**
- **Economic opportunism vs. structural transformation? Emissions trading or emissions reductions?**
- **Funds side – 22 funds all with various rules and guidelines**

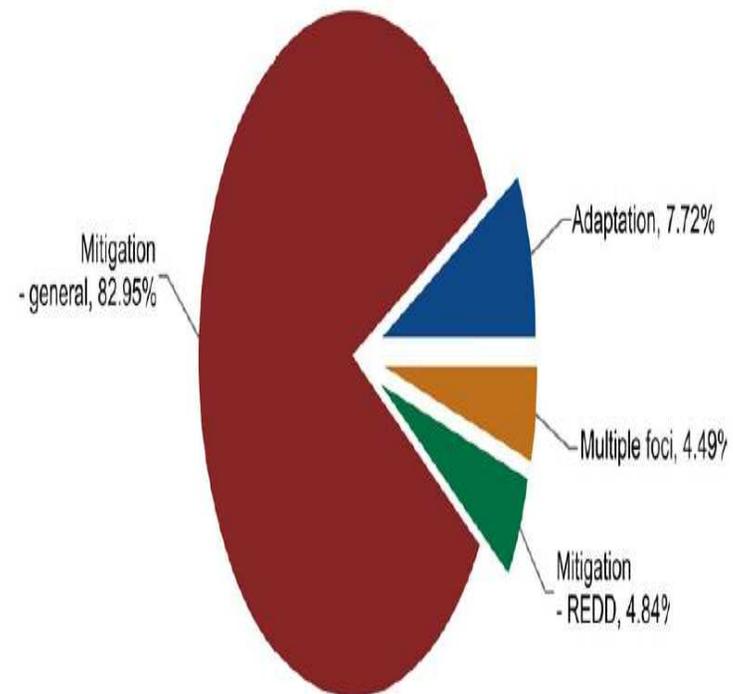
Figure 1. A Gaunt View by Lawrence Moore (Tiempo, July 2010).



Resource Allocation Between States – Issues of Scale

- Bias towards mitigation and sectoral responses
 - Copenhagen asks for balance between A and M but funds are currently allocated: mitigation (86%); 8% (adaptation); 63% of EU Fast Track funds for mitigation
 - Economies of scale make a lot of mitigation opportunities inapplicable for many (Lesotho - 1% forest).
 - Quality of resources: limited accountability or responsibility for social co-benefits.
 - Inclusive response would require multiple focus action – less than 5%
 - Sub-Saharan Africa accounts for less than 1 per cent of total private investment in clean energy

Figure 2. Analysis of focus of funding directly sourced from ClimateFundsUpdate.Org)



From Policy to Practice – Minding the Gap Within States

- Making adaptation and mitigation compatible:
 - adaptation socially defined in a limited way, constrained by concepts of vulnerability
 - Mitigation is usually **instrumentally defined with little social analysis or framing**



Source: alertnet // Geoffrey Kamadi
A Kenyan woman peels a potato at the Teret settlement scheme of the Mau Forest Complex in the Rift Valley on July 29, 2009. REUTERS/Thomas Mukoya

*Adaptation practice may make a number of assumptions about the circumstances of this Kenyan farmer as does mitigation.....

* Current governance frameworks tend to leave it very unclear how social benefits will be defined or accounted for. Leaves it to governments to mediate priorities and determine relevance for types of benefits and their prioritization

Whose vulnerability and whose opportunity - Limits of vulnerability as defined in policy framework

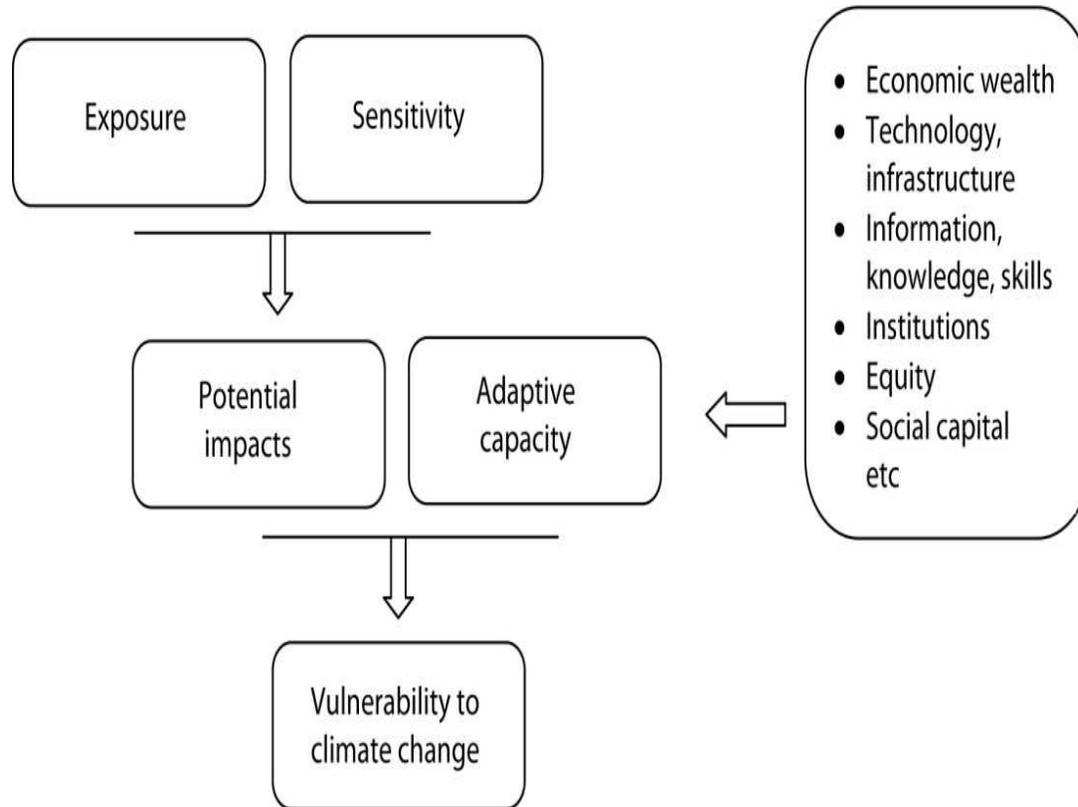


Figure 3: IPCC Framework of Vulnerability, 2001.
Source: Tincani, Murray and Perch, 2007; redrawn
from Ionescu et al. (2005).

Making sense of
vulnerability and
resilience:

- **Scope:**
 - **Levels:** Susceptibility (Exposure + sensitivity) and Resilience
 - **Capacity to resile:** Resource availability, entitlement to call on these resources
- **Scale:**
 - **Location:** classifications within sensitive biophysical systems ignore varying levels of vulnerability (Adger et al., 2006 and Schneider and Lane, 2005)
 - **Countries/People or both:** Vulnerabilities of poor countries are not necessarily those of poor people (Kates, 2000). The bottom billion is in LMICs and MICs

Disconnects in application: Participation in Adaptation

Table 1. Analysis of inclusion by group or by vulnerability in NAPAs to-date

Inclusivity factor	YES - % of all NAPAs reviewed	NO - % of all NAPAS reviewed	Yes- % of all African NAPAs	No - % of African NAPAs
Mentions Gender	78	22	80	20
Prioritizes Gender	37.5	62.5	45	55
Mentions poverty	97	3	100	0
Prioritizes poverty	81	19	100	0
Mentions ethnicity	22	78	15	85
Prioritizes ethnicity	97	3	0	100
Lists vulnerable groups	65.5	34.5	75	25
Identifies Participatory actions	56	6	55	45

* 10 NAPAs did not make it clear if they were participatory

Stronger participation: Liberia and Niger; Multidimensionality: Liberia, Sierra Leone, Lesotho, Comoros
Gaps: Many NAPAs do not feature micro-level analysis, constraining the identification of specific groups (Burundi, Cape Verde, Gambia, and Mozambique do not identify any). **Mozambique: has low female literacy rates (40.1 for 2008 based on the last WDI figures (World Bank, 2010b) and over 20% female-headed households (FHH); Burundi and the vulnerability of migrants**
Policy incoherence between social development and climate change policy (MDGs, Beijing, CEDAW); also not seeing social ministries coming up with adaptation actions/proposals

Disconnect in application: Participation in Benefits-sharing

Table 2. Adaptation Strategic Entry Points

Country	Total proposed projects	Projects addressing gender, poverty reduction and sustainability	Strategy/entry points identified for co-benefits
Bangladesh	15	5	Food security Reforestation Aquaculture Enhancing adaptive capacity
Burundi	12	1	Poverty reduction
Eritrea	5	1	Most vulnerable – women and the poor – social protection program
Guinea-Bissau	14	2	Food security
Lesotho	8	2	Development and Poverty reduction program
Malawi	5	1	AIDS/HIV
Niger	14	6	Food security Promoting peri-urban markets Diversification of income-generation activities
São Tomé e Príncipe	20	4	Poverty reduction Food security
Sierra Leone	24	5	Education HIV/AIDS
Solomon Islands	7	1	Education
Sudan	5	1	Food security
Uganda	9	4	Enhancing adaptive capacity Reforestation Improvement of water supply

Source: Prepared by the author and research associate on the basis of individual NAPAs sourced from the UNFCCC website.

What stands out: Largely food security (distribution and access to food?); urban poverty dynamics not clearly defined. Interesting choices – Eritrea on social protection, Sierra Leone on education and HIV/AIDS, Malawi on HIV/AIDS. Number of opportunities for mitigation through emissions reduction as well as the mitigation of social risk.

.....both participation and benefits-sharing are affected

- Social risks will mount and multiply:
 - Likelihood that the poor will have less access to land due to their inability to compete on a financial basis;
 - Resource conflicts likely to increase
 - Mitigation actions may reduce emissions but not stimulate a transformation of industrial policy;
 - Fossil-fuel demand reduction and new forms of energy may contribute in limited ways to the reduction of energy poverty
 - Ignore gendered access to technology
 - Under-value differentiated uses and the impacts of loss of access to resources for men and women
 - Affects the level to which participation and benefits gains can be sustained.

.....with the implication that :

- More successful in responding to scope as opposed to scale:
- “Who participates and why (re the interests they represent)” was often not fully reflective of the inter-secting realities of poverty, gender and ethnicity.
- Countries, as represented by their NAPAs, were generally able to define the link between *climate change and the environment* (the largest group by a wide margin), a little less so on *climate change and poverty* (second largest) and the least on *climate change and gender* (the smallest number).
- African NAPAs seemed to do better on tackling climate change and poverty more consistently and also on vulnerability. Though they were largely consistent in recognizing women’s specific needs and gender differences, assigning this priority was only slightly better than non-African NAPAs.
- Of the 12 NAPAs which addressed (CC+Poverty+gender+environment), 11 were from African countries.
- Where NAPAs from Africa seemed to reflect a policy struggle was on the issue of ethnicity.
- There is no clear or broad-scale effort in NAPAs to-date to address “safeguards” as a risk management approach as seen in REDD more than elsewhere (lessons from mitigation to adaptation).
- A number of consistencies exist between defined actions and priorities and what the data tells us about human development in countries.

Weighing the balance:

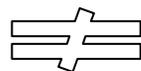


Table 3. Summary findings based on type of response

By what		Of What
Mitigation	<ul style="list-style-type: none"> ○ Substitution efforts through energy reform and new technology ○ Carbon sequestration and REDD ○ carbon markets and emissions trading 	<ul style="list-style-type: none"> ○ Fossil fuels ○ GHG emissions ○ Deforestation
	By Whom/What	For Whom
Adaptation	<ul style="list-style-type: none"> ○ Countries/states ○ Government entities ○ Sectoral actors in climate-sensitive areas (water, food production, fisheries) 	<ul style="list-style-type: none"> ○ LDCs, LLDCs, SIDS ○ The poor and the vulnerable ○ Indigenous Peoples ○ Actors in climate-sensitive areas (water, food production, fisheries)

Policy Implications for Africa

Who, when and how

- Soft-adaptation options such as education and literacy have largely not been prioritized (only 1 out of the 11 more developmental African NAPAs denoted education as a key pathway).
- Adaptation is still being relatively done for the benefit of the poor rather than the experience and successes of the poor (in coping with change and volatility) also serving as a resource in itself.
- Benefit-sharing in a multi-dimensional sense implies that risk is shared and potentially mitigated (i.e. linked to risk-sharing principles) suggesting the need for greater attention to the specialized (complex) circumstances of vulnerable groups is two-fold.

Who, when and how (2) - Glaring policy gaps



A resident of Lusaka's Misisi township wades through waterlogged streets on February 1, 2008.

REUTERS/Mackson Wasamunu. Accessed from AlertNet-
<http://www.trust.org/alertnet/news/changing-rains-poor-urban-planning-expose-zambian-capital-to-repeat-of-2010-floods/>

- Mitigation: Transfer of social technologies e.g. Barefoot College Approach or social protection methodologies: Co-benefits approach potential of social protection - South Africa's EPWP, Ethiopia's PSNP, Botswana's Labour Intensive Rural Public Works Programme and Zambia's Micro Project Unity etc.
- Adaptation: The forced exodus of the rural poor to more urban environments and cities as a scalable impact of climate change.

Social Technology Innovations – Barefoot College



Transport of solar panels in the village of Tindjambane, in the region of Timbuktu, Mali (From BC webpage)

More information:

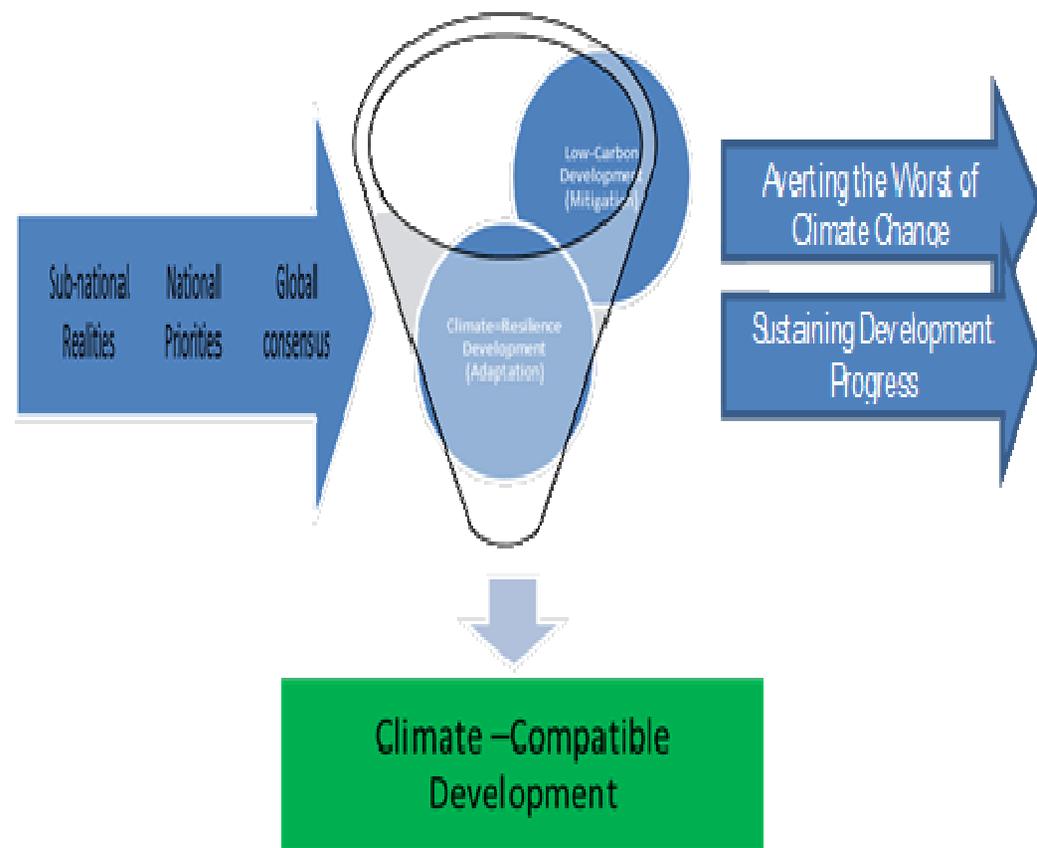
http://www.wipo.int/wipo_magazine/en/2009/03/article_0002.html

- Started in India but now worldwide including Africa:
 - simple and focused largely on women
 - Finalist for the Buckminster Fuller Challenge in 2010, awarded the Alcan Prize for Sustainability in 2006
 - In Africa, started in Ethiopia in 2004 and extended to other countries.
 - Engaged middle aged and older women including grandmothers making them actors in the response to climate change
 - Saved 30,000 litres of kerosene per month from polluting the atmosphere

Additionality of a development-oriented approach

The linking of **sustainable livelihoods approach**, the **social responsibility risk reduction model/ social risk management mechanisms**, writ large, can potentially close the gap by facilitating the recognition of the links, the necessary mediation between **short and long-term and direct (micro) and in-direct benefits (macro)** and by ensuring that **benefit-sharing is complemented by risk-sharing**.

Figure 4. Proposed conceptual framework for linking adaptation, mitigation and climate-compatible development



Social Responsibility Risk Reduction Model

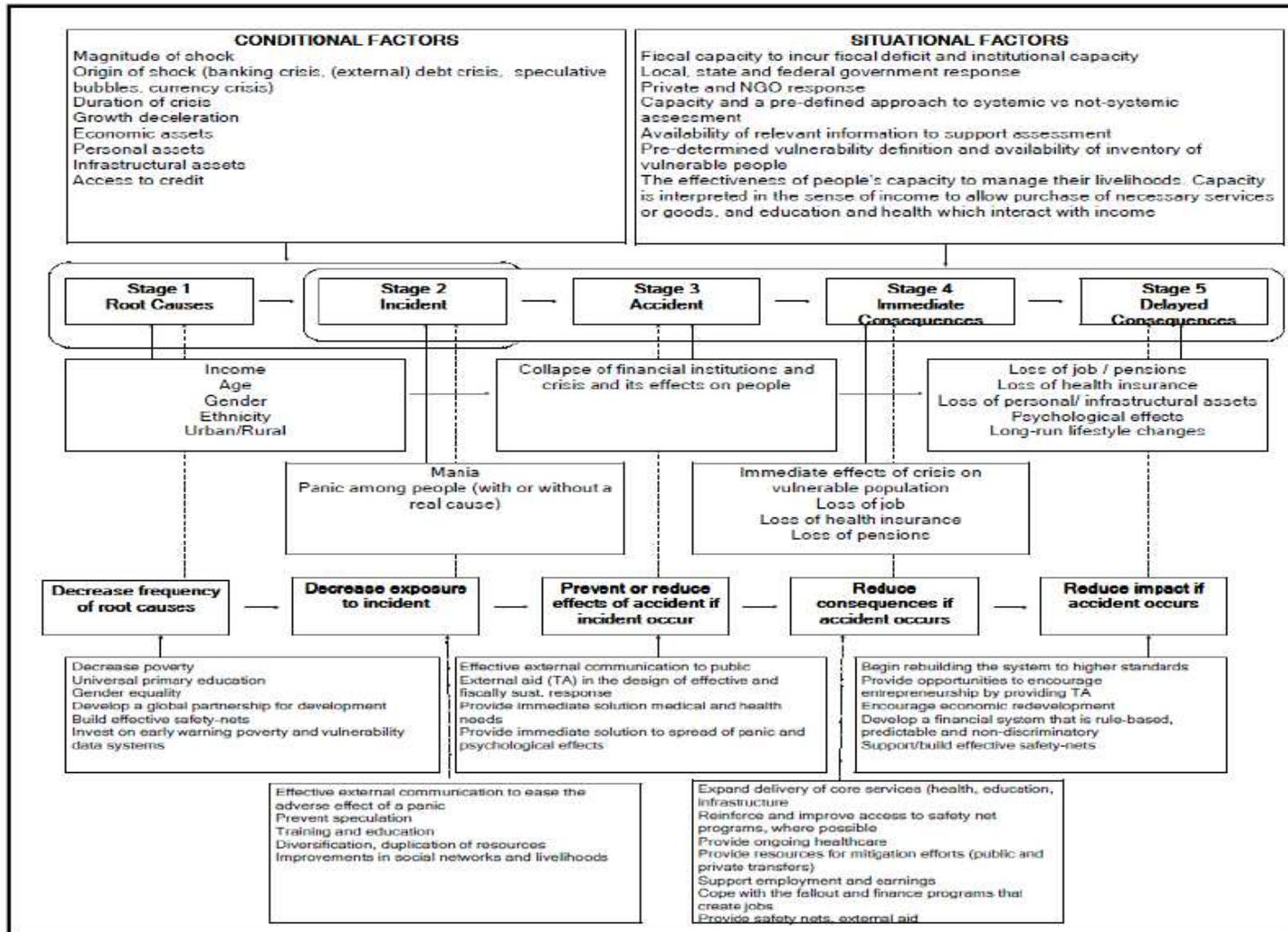


Figure 5:
Social Responsibility Risk Reduction Model by Sener, 2009

Source: Munich Re Foundation and United Nations University.

Process shifts – Addressing multi-dimensionality

- Conceptual flaws/challenges in policy approach:
 - of which climate change is the latest example, has been the inability to effectively treat the economic, environmental and social dimensions as equally important and mutually supportive preconditions for development (economy or society for the environment)
 - assume that benefits for the poor are automatically derived in public policy (ignoring structural inequalities)
 - assume that poverty reduction and conservation are natural bedfellows (macro level PR has often tended to be resource-intensive)
 - Limited or no consideration of the political economy – colonial history & structure of the economy, high dependence on fuel imports, global terms of trade

Process shifts – learning across disciplines and sectors

- Juxtaposed to the gaps between policy and practice in adaptation:
 - existing multi-dimensional policies such as public works programmes/SP and food security programmes such as Purchase for Progress (P4P, coordinated by WFP) offer important policy contributions to adaptation and mitigation efforts by **mitigating social risk through reduced sensitivity to shocks, by enhancing income security, reducing poverty, lower inequality = helping to increase adaptive capacity and reducing dependency on raw natural resources.**
- Moving from compensation and redistribution to productive inclusion (agriculture is Africa's largest private sector – World Bank, 2011) i.e. transformation

Policy shifts – Enhance the micro in Policy

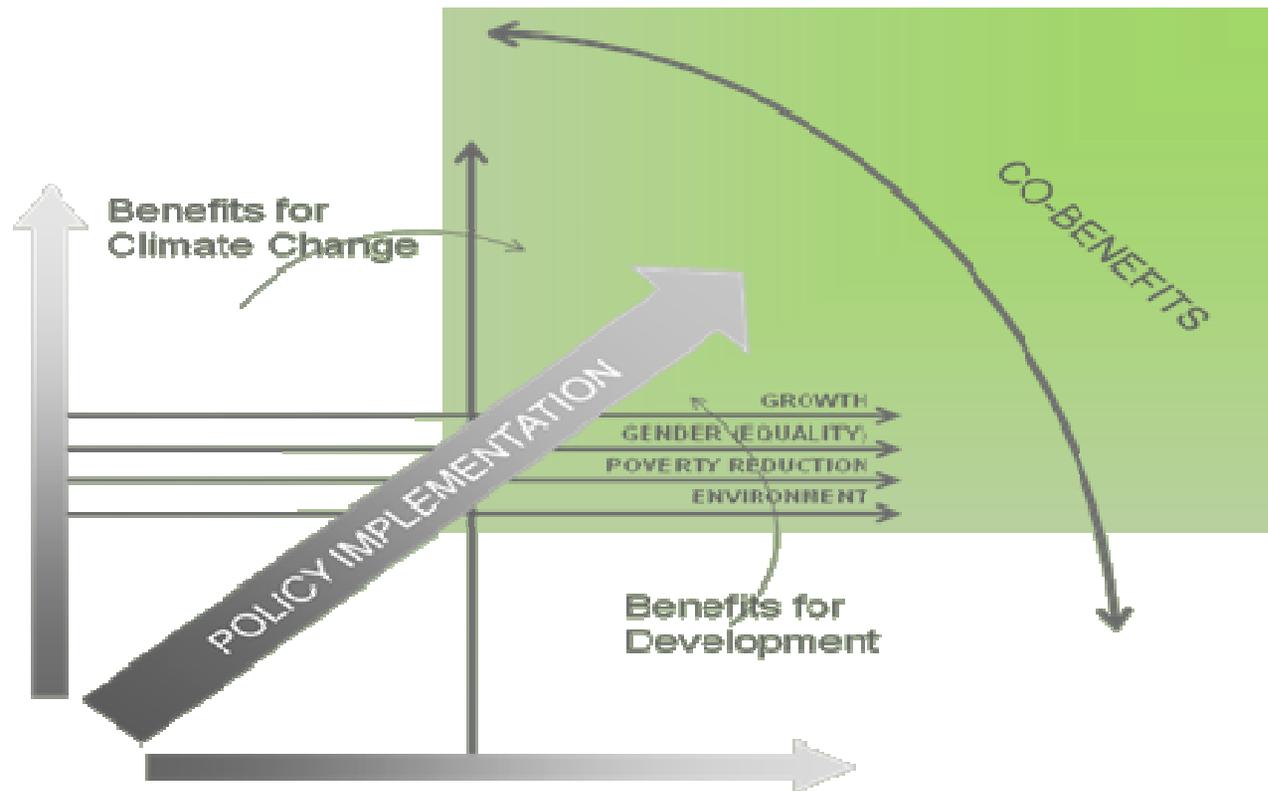


Figure 5:
Adjusted Co-Benefits
Framework Based on
GGPE Considerations

Source: Prepared by the
author on the basis of World
Bank framework (Perch,
2010).

- Four significant areas of policy action for Africa:
 - (i) **Programme Convergence (based on the co-benefits approach);**
 - (ii) **Policy Coherence (co-benefits concept: reconciling economic, social and environmental policy/ between biodiversity and CC);**
 - (iii) **Participation through public instruments for Resource Allocation (energy); and**
 - (iv) **Benefits-sharing via Public Actions (SLF/SP).**

Policy shifts – Enhance the micro in Policy (2)

Recognizing the need for policy interventions to respond to both scope and scale:

In some cases, projects have touched on scope but have neither requested the scale of funds needed nor demonstrated such considerations of scale in the strategies proposed to confront adaptation.

- The incidence of extreme rural poverty in 2008, according to IFAD's Rural Poverty Report (2010) is highest in Sub-Saharan Africa at 61.6% as compared to 45.2% for S. East Asia (the next highest) but the actual numbers of people in extreme rural poverty are less in SSA than in East Asia (second highest) or Asia and the Pacific (highest).
- The fact that the numbers of rural people in poverty and extreme poverty has increased between 1998-2008 and that incidence in both categories has remained steady is also note-worthy.

Recognizing depth, therefore, remains a critical step in balancing both short-term practical needs and long-term strategic ones, particularly when negotiating at the international level.

Policy shifts – South-South Cooperation and Learning

- *Social technologies for both adaptation and mitigation practice*
- *Maximizing IBSA, the China-Africa and India-Africa partnerships to upscale the transfer of social technologies:*
 - *Bring agriculture, health and nutrition together*
 - **Securing LCD and green economy benefits** from the recent pledge by the Government of India for another \$500 million in aid for a host of projects in Least Developed Countries (LDCs)
- *Sharing best practice from Africa to the rest of the South – the protection of environmental rights as enshrined in the Banjul Charter is a good example*

Conclusions

- Triple challenge for sustained and sustainable development: (i) anticipate and mitigate the worst; (ii) safeguard progress achieved; and (iii) ensure the compatibility of development actions at various levels.
- Sustained and socially-sustainable (participation and benefit-sharing) require strong public policy - a delicate balance of effective **steering** by government and **rowing** by the private sector and civil society.
- Both **process** and **outcomes** are important and lessons from poverty reduction and gender equality efforts are critical and informative to CC4Devt.

CCD = Inclusive and Sustainable Development

- IPC-IG working definition of inclusive growth is a good place to start or useful to keep in mind:

*Inclusive growth is both an **outcome** and a **process**. On the one hand, it ensures that everyone can participate in the growth process, both in terms of decision-making for organising the growth progression as well as in participating in the growth itself. On the other hand, it makes sure that everyone shares equitably the benefits of growth. Inclusive growth implies **participation** and **benefit-sharing**. Participation without benefit sharing will make growth unjust and sharing benefits without participation will make it a welfare outcome.*

Links to key papers:

1) Inclusive and Sustainable Development: For Whom? -

<http://www.ipc-undp.org/pub/IPCOnePager126.pdf>

2) Mitigation of What and By What? Adaptation by Whom and for Whom? Dilemmas in Delivering for the Poor and the Vulnerable in International Climate Policy:

<http://www.ipc-undp.org/pub/IPCWorkingPaper79.pdf>

3) Benefits Sharing: Blending Climate Change and Development in National Policy Efforts:

<http://www.ipc-undp.org/pub/IPCOnePager121.pdf>

4) Maximizing Co-benefits: Exploring Opportunities to Strengthen Equality and Poverty Reduction through

Adaptation to Climate Change: <http://www.ipc-undp.org/pub/IPCWorkingPaper75.pdf>

Thank You!!!!