

# The Policy Advantage

Enabling smallholders' adaptation priorities to be realized

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# Acronyms

ASAP	Adaptation for Smallholder Agriculture Programme
COP	Conference of the Parties
GEF	Global Environment Facility
GHG	greenhouse gas
UNFCCC	United Nations Framework Convention on Climate Change
WFO	World Farmers' Organisation

# Introduction

## **Why is policy engagement important for smallholders in fighting climate change?**

Lam Van Nhien lives on about half a hectare of land in Bao Thuan commune in Viet Nam's Mekong Delta, together with his wife Thai Ngoc Diem. During the rainy months, the sea level rises and water invades the narrow stretch of land that separates his homestead from the beach. If too much seawater enters the pond of Mr Lam's family, it can wipe out all of their aquaculture. Things are not much better during the dry season, when there is not enough water for household uses or to irrigate the watermelons in the fields. The government has tried to help but it is an uphill battle against the elements. IFAD is stepping up its support to the government to ensure that Vietnamese farmers are able to cope with the new and emerging risks of a changing climate. Part of this support includes looking at how lessons learned can be taken into account by policymakers to help people like Mr Lam.

We know that smallholders need practical technical interventions such as enhanced seeds, infrastructure and accurate weather forecasts in order to cope with the impacts of climate change on their already fragile livelihoods. However, this is not enough. IFAD and other international financial institutions play a key role in supporting interventions, but ultimately, it is the policies, legal framework, strategies and budgets of countries themselves that shape the opportunities for large numbers of rural people to adapt to a changing environment. It is smallholders themselves who know best the realities they face in their daily struggle for survival, and if they are not adequately involved in processes to formulate policy responses, they risk losing out and being sidelined in decisions that directly determine their ability to cope and adapt.

Today, IFAD's work at the country level includes assisting governments in building mechanisms for policy dialogue with national stakeholders, especially farmer groups, cooperatives and other rural people's organizations. At the same time, IFAD is strengthening these community-based groups to enable them to play a more effective role in policy dialogue so that policy design can draw on more relevant evidence and local experience.

## **IFAD's approach to policy engagement**

Policies affect every dimension of the institutional and legal context in which poor rural people pursue their livelihoods. They shape the world they live in and the economic opportunities open to them. This means that supportive policies can go a long way towards providing the conditions in which people can lift themselves out of poverty. Conversely, policies that do not create opportunities, or that exclusively reflect the interests of other economic players, can be an insuperable barrier or an unbridgeable gulf – roadblocks barring the way out of the poverty trap.

### Box 1: What do we mean by policies?

The term “policies” for IFAD can encompass a variety of mechanisms and arrangements – usually at the national level, but on occasions at a higher, regional level or at a lower, state or provincial level – encompassing legislation and regulations, public policy statements and documents, sector plans, strategies and programmes; budgets; the high-level rules of government agencies; as well as institutions – the vehicles to implement policies.

Source: Adapted from “IFAD’s emerging approach to country-level policy engagement”. IFAD. 2014.

For IFAD, policy engagement at the country level serves two critical purposes. First, it can help to create an enabling environment for project implementation and for achieving project impact. Second, it can contribute to achieving agricultural and human development outcomes within the context of climate change on a scale that no single project can address. IFAD-supported projects can provide a space for learning and accumulating evidence about effective approaches to climate change and rural poverty reduction, with proven successful approaches often scaled up through policy changes.

IFAD is increasingly engaged in country-level policy processes, working to influence, implement and review policy in the interests of small-scale producers and rural poor people. A key dimension of its approach is to promote awareness of the linkages between macro-level policies and programmes and the micro level: the daily and seasonal decisions made by millions of smallholders. IFAD acts directly as a partner in policy dialogue processes, and indirectly, frequently by designing investment projects that have an explicit focus on strengthening these linkages between micro-level experience and macro-level policies.

Policy dialogue is essential to moving from the level of individual interventions to scaling up impact. To move large numbers of smallholders equitably and sustainably out of poverty – including by building their resilience to climate change, it is important to connect actions to the national level, and help governments bring new ideas to national policies and programmes. For example, climate change calls for a mix of quick adaptation responses and more profound policy changes at the national level.

### **Country-level policy engagement on climate change**

IFAD recognizes that policy engagement at the national level is one way to create more lasting and systemic change. Along with developing policies and systems to deal with immediate impacts of climate change, countries need to develop longer-term policy and planning for a sustained improvement in how poor rural women and men cope with its impacts. A number of sector policies may also need to be created or adapted to address the needs arising from climate change, such as policies to promote the development of seed varieties with specific attributes, or policies to improve the

efficiency of water use. In addition to adaptation efforts, climate change mitigation also depends on national capacities to reduce greenhouse gas (GHG) emissions in sectors such as energy, transport and forestry. Many countries have initiated national-level policy processes to coordinate priority-setting around needs and commitments articulated in international climate negotiations. For example, some least developed countries have started to develop national adaptation plans (NAPs), which succeed the national adaptation programmes of action (NAPAs) under the global United Nations Framework Convention for Climate Change (UNFCCC) and are critical to identify policy and investment priorities for climate change adaptation and mitigation in key sectors of the economy.

### **A holistic approach**

A key challenge is that national and subnational policymaking on issues such as poverty reduction, food security, climate change and the environment (including biodiversity and land degradation) has often treated each issue separately. This can lead to conflicting policy aims, for example in agricultural development and sustainable management of natural resources. In countries with better integration of the different policy sectors this is changing, but it remains a significant challenge, especially in poor countries. IFAD encourages a holistic approach to environmental sustainability and climate resilience, which requires the agriculture sector to engage with multiple stakeholders in other sectors, such as environment, forestry, water and meteorological services, so that climate challenges can be addressed at the landscape level and policies can be coordinated.

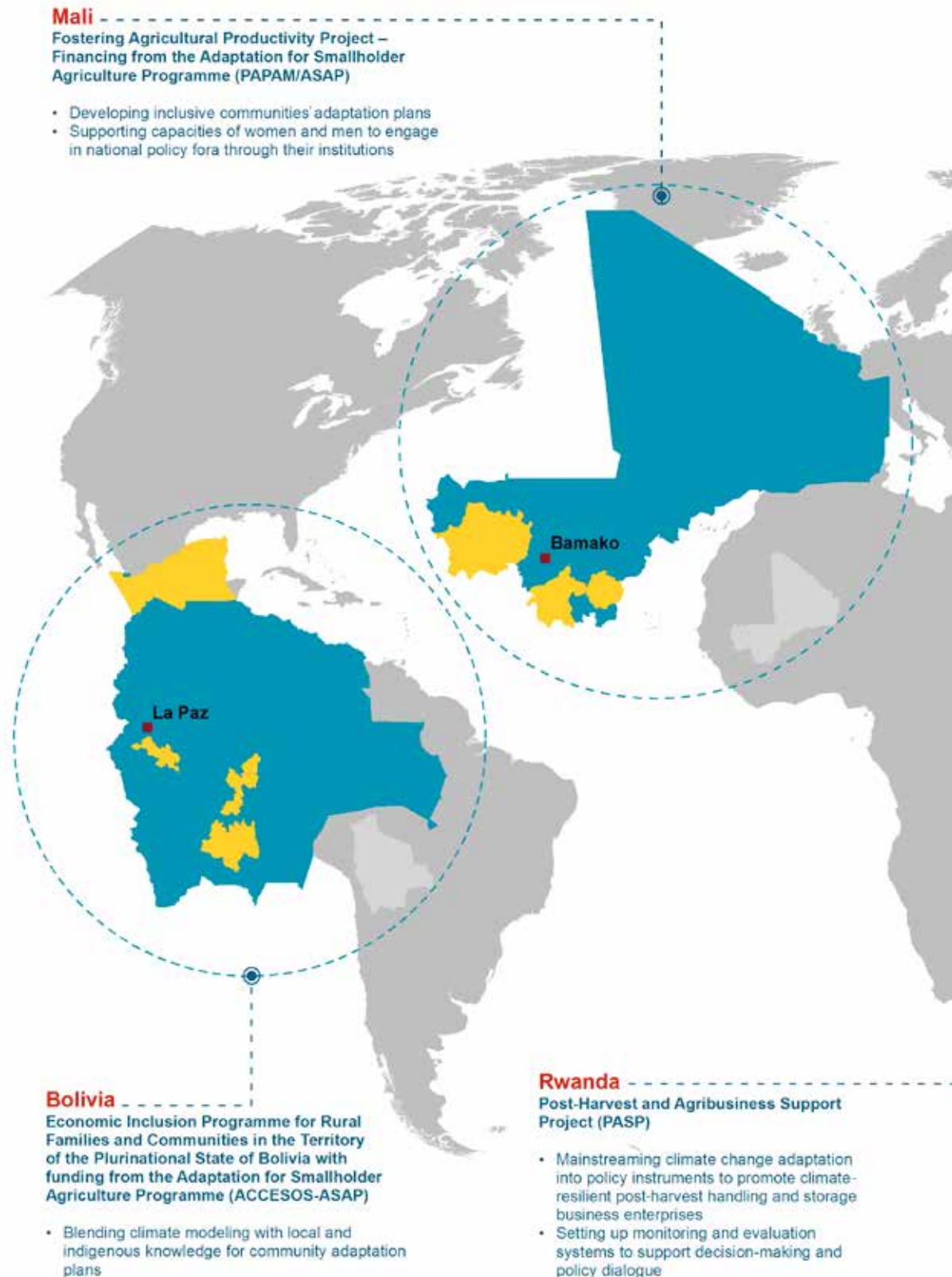
### **Introduction to case studies**

The five case studies that follow are representative examples of IFAD's work in supporting climate change adaptation for smallholder farmers through policy engagement globally. All of these projects are supported by IFAD's Adaptation for Smallholder Agriculture Programme (ASAP), which prioritizes knowledge management and policy engagement as a means to document emerging experience and leverage evidence as a sound basis for policymaking. Other cofinancers include national government partners, the private sector and the Global Environment Facility (GEF).

These case studies are just some examples of how IFAD is engaging in country-level policy processes in order to improve smallholders' lives in the face of climate change. Over the years, IFAD has given smallholder farmers a voice in policy processes in numerous ways in order to bring about lasting change in their environments. Figure 1 shows some snapshots of what IFAD is doing today around the world to bring smallholder adaptation priorities to the policy table.



**Figure 1**  
**Examples of national and subnational policy engagement in IFAD-supported projects**



## Kyrgyzstan

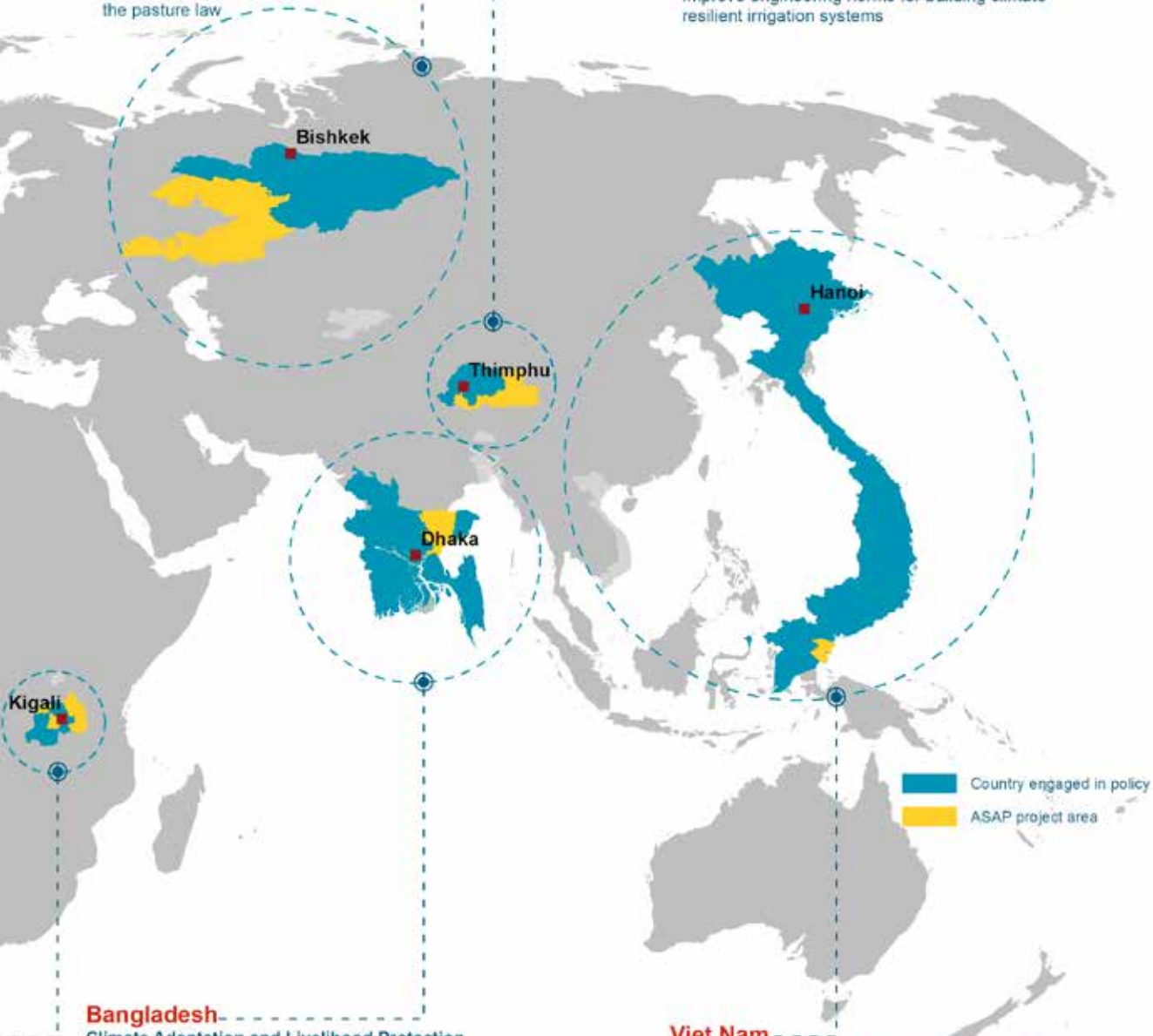
### Livestock and Market Development Programme II (LMDP II)

- Developing sectoral adaptation plan on pastures and livestock
- Revision of veterinary law
- Making evidence-based contributions to policy dialogue on implementation of the pasture law

## Bhutan

### Commercial Agriculture and Resilient Livelihood Enhancement Project (CARLEP)

- Mainstreaming climate resilience and value chain development lessons in agricultural policies
- Improve engineering norms for building climate-resilient irrigation systems



## Bangladesh

### Climate Adaptation and Livelihood Protection (CALIP) Scaling Up Best Practice and Testing New Adaptation Interventions in the Haor Infrastructure and Livelihood Improvement Project (HILIP)

- Strengthening local access and control of natural resources through climate-sensitive and pro-poor policy dialogue
- Field visits by decision makers to project sites
- International symposium on climate change impacts in the Haor region.

## Viet Nam

### Project for Adaptation to Climate Change in the Mekong Delta (AMD) in Ben Tre and Tra Vinh Provinces

- Developing participatory community adaptation and disaster risk management plans
- Integrating climate aspects into provincial-level socio-economic development plans
- Capacity-building of communities and institutions on community-based adaptation
- Providing climate information to inform commune- and district-level plans



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## Case Study 1: Cambodia Mainstreaming climate change into national and local policies

**Figure 2**  
**Map of ASPIRE project area**



## Quick facts

Project name	Agriculture Services Programme for Innovation, Resilience and Extension (ASPIRE)
Project duration	2015-2029

### The problem

Cambodia is vulnerable to climate variability and change, and has experienced an increasing number of natural hazards over the last several decades. Over the period 1980–2010, more than 16 million people were affected by floods and drought, with estimated economic costs of US\$538 million. Current climate variability includes late onset of monsoon rains, mid-monsoon drought accompanied by temperature spikes, and late-season floods followed by cold spells. Climate change projections suggest an increase in temperature of between 0.7°C and 2.7°C by 2060 and an increase in average annual rainfall of about 30 per cent. Paradoxically, water availability for agriculture may be reduced as rainfall is expected to come in fewer incidences, but of high intensity, leading to large-scale runoff. This would be exacerbated by a shorter rainy season and longer dry spells. Climatic variations are expected to increase the severity and frequency of flood and drought events.

The impacts on agriculture and fisheries are likely to be dramatic. The most vulnerable farmers need to make major changes to their traditional cropping patterns and diversify away from rice to increase resilience.

The public sector, represented by the Ministry of Agriculture, Forestry and Fisheries and other state and local government agencies, will continue to play an important role in finding solutions for adapting to the changing environmental context.

### Project response

#### Mainstreaming climate change into national agriculture services policy

ASPIRE's development objective is to establish an effective Cambodian model of agriculture services by 2021, which will assist smallholder farmers to effectively contribute to broad-based economic growth. Agricultural services will need to contend with the anticipated climate change impacts to ensure that smallholders are able not only to meet subsistence needs, but also to generate commodity surpluses for the market.

#### Embedding climate issues in local planning

The ASPIRE project adopts a bottom-up approach to informing policy formulation. At the district level, vulnerability and risk analysis form the basis of local-level plans to ensure that public funds and IFAD resources target climate change adaptation needs of smallholder farmers. At least 10 provincial departments of agriculture are expected to pilot a "provincial scorecard" to improve provincial-level subprogramme planning. In addition, an approach called vulnerability reduction analysis (VRA), a participatory scenario development that builds on what farmers say, and livelihood impact analysis methodology that is already in use in Cambodia, will be integrated into the preparation of provincial agriculture strategic plans.

**District climate-resilience strategies to prioritize innovations vetted by farmers**

At the district level, another subcomponent (Innovations for Climate-Resilient Agriculture) will support the demonstration and testing of promising innovations for smallholders. Technologies may include improved on-farm water management, adjustments to the cropping calendar to include the introduction of early wet season rice or other crops, and the introduction of climate-resilient seed varieties. Successes and lessons from these innovations in terms of what works for farmers will form an evidence base for local policies. Each participating district will develop a district climate-resilience strategy integrated into their district development plans and the participatory community VRA will feed into it. Vulnerable locations and communities will be identified, together with suitable adaptation actions and criteria for prioritizing concrete investments.

**Research for policymakers**

Finally, the project will seek to mainstream climate considerations into national-level institutions. This will be undertaken through a policy component, which aims to support the government in updating the national extension strategy through a range of activities, including policy-oriented research led by the International Food Policy Research Institute. The long time frame of the project is also designed to support climate-sensitive and evidence-based policy for national extension services.



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## Case Study 2: El Salvador Inclusive climate change policies

**Figure 3**  
Map of Rural Adelante project area



## Quick facts

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Project name	National Programme to Transform the Rural Economy for Wellbeing (Rural Adelante) <sup>1</sup>
Project duration	2015-2029

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### The problem

Climate variability and the degradation of natural resources and the environment, especially in the Eastern region of El Salvador, are already damaging smallholders' productive activities and undermining their livelihoods. Extreme weather events are taking their toll on public budgets, as are the costs of associated health problems. Climate models for El Salvador show bleak prospects in the future -- there are projections of less rainfall and higher temperatures that could translate into as much as 40 per cent lower agricultural productivity and, in the Eastern region, up to 40 per cent less water.

### Project response

The project approach includes mainstreaming climate and environmental dimensions into business plans for smallholders, as well as potential financing for adaptation initiatives. A collaboration between the Ministry for Environment and Natural Resources and the Ministry of Agriculture will help to generate and communicate climate-related information (such as weather forecasts), including through mobile telephones and the internet. The project will support the National Centre for Agriculture and Forest Technology (CENTRA)<sup>2</sup> to strengthen climate-related information to share with smallholders.

### Policy dialogue between value chain actors

Another project component aims to strengthen the institutional and public policy framework for rural development and climate change. It will focus on selected value chains and promote dialogue between actors along the same value chain through "value chain coordination platforms". These working groups of key actors, including government actors, will look at policy, regulatory or technical barriers in the operating environment, and inform the analysis, formulation and implementation of strategies to alleviate these barriers.

### Developing robust environmental and climate change policies for rural poor people

The Ministry for Agriculture and the National Youth Institute (INJUVE<sup>3</sup>) will be receiving technical support to better implement and review existing strategies and public policies related to climate change. In addition, annual meetings of women,

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1 *Programa Nacional de Transformación Económica Rural para el Buen Vivir – Rural Adelante*

2 *Centro Nacional de Tecnología Agropecuaria y Forestal*

3 *Instituto Nacional de la Juventud*

youth and indigenous peoples will be organized to promote policy debates and support policy implementation. The project provides for affirmative action for the empowerment of smallholders (e.g. training in public speaking and negotiation skills) in order to give them a stronger voice in negotiating with policymakers.

#### **Capacity development**

Organizations of women, rural youth and indigenous peoples will receive training and build greater awareness on policy issues. This will enable them to effectively participate in national policy processes related to rural development and climate change and ensure that their adaptation priorities are addressed. Another key measure will be the use of quotas to ensure the participation of women and youth in project-supported value chains, including in their leadership structures. This measure will contribute to ensuring that the policies produced and updated during the project period are responsive to their priorities.





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## Case Study 3: The Gambia Amplifying smallholders' voices in national policy processes

**Figure 4**  
Map of *Chosso* project area



## Quick facts

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Project name	Strengthening Climate Resilience of the National Agricultural Land and Water Management Development Project – <i>Chosso</i>
Project duration	2016-2019

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### The problem

The main agricultural activities on both sides of the River Gambia are the growing of rainfed field crops (rice, other cereals, groundnuts) supplemented by minimal irrigation, semi-intensive vegetable production and some livestock tending. Most households also depend on fruit trees, forest and non-forest products as well as fishing for their livelihoods. However, the recurrence of unusual climate events is increasing communities' vulnerability to food insecurity and poverty. In particular, salinity is encroaching on cropland and soil is being washed away from denuded slopes. Women and youth continue to remain most vulnerable to climate change impacts given their limited livelihood diversification options.

### Project response

Following extensive consultations with local stakeholders and the government, IFAD's ASAP will provide additional grant financing for the ongoing IFAD-initiated National Agricultural Land and Water Management Development Project (*Nema*<sup>4</sup>). This additional financing is critical to addressing the climate-related risks identified during the formulation of *Nema*. This extra investment, which is called *Chosso* (a local word meaning "change"), recognizes the importance of the wider enabling context for climate-resilient agricultural development. One of the subcomponents of *Chosso* focuses specifically on evidence-based policy dialogue ("Resilience research and climate policy dialogue"). Key indicators of this subcomponent include the number of international and national dialogues where *Chosso* makes an active contribution, and support to the drafting and operationalization of a Climate Services Framework to supply smallholders with the information they need to deal with climate-related challenges. This information could include weather forecasts to make better and more timely planting decisions and prepare for changing and unpredictable weather events. The project will also strengthen the capacities of the National Climate Committee secretariat of The Gambia to better coordinate climate change issues.

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4 *Nema* is a local word in The Gambia meaning "prosperity" or "better livelihoods".

### Box 2: Examples of how climate services help smallholders

- Climate predictions can be used by farmers to help them decide, for example, which crops to plant or whether to reduce livestock numbers if a drought is forecast. Farmers making such decisions are likely to use climate outlooks for rainfall and temperature, and take into account the uncertainty estimates provided with these products.
- Statistical assessments of the future frequency of extreme weather and climate events can be used by engineers to help them make decisions, including where to invest in disaster mitigation measures such as dams, where to locate buildings, which construction methods to use, and how much heating and cooling is needed for critical infrastructure for smallholders and others.
- Seasonal climate forecasts and monitoring of actual temperature and rainfall can be used to provide forecasts of when and where disease outbreaks are likely to occur. The impacts of predicted outbreaks can then be minimized by public awareness campaigns, stocking and shipping medical supplies, and vector control programmes such as spraying.
- Climate change projections, which can estimate precipitation patterns in the 30- to 50-year time frame, can be used to guide major investment decisions relating to long-term water management such as whether and where to build new reservoirs.

Source: Adapted from "Climate Services: A Global Framework for Climate Services." (WMO, 2011).

### Applying the Global Framework for Climate Services

The project will support national processes under the Global Framework for Climate Services (GFCS),<sup>5</sup> which involves the transport sector along with the priority sectors of agriculture and food security, water, energy, health and disaster risk management, in line with guidelines developed by the World Meteorological Organization. The GFCS is aimed at reducing people's vulnerability to climate-related hazards and advancing development for the rural poor through better provision of climate information services, so that smallholders can better plan and manage their farming activities. See Box 2 for examples of how farmers benefit from climate services.

In line with the GFCS and with financing from *Chosso*, smallholder users will contribute to the design of packages of climate services, ensuring that capacity development responds to their direct needs. For example, smallholders need to have timely access to information in an appropriate way. One approach will be to anchor the dissemination of this information in farmer field schools and functional literacy classes supported by *Nema*.

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<sup>5</sup> The World Climate Conference at Geneva in 2009 decided to establish a Global Framework for Climate Services (GFCS), a UN-led initiative spearheaded by the WMO to guide the development and application of science-based climate information and services in support of decision-making in climate-sensitive sectors.

### **Bringing smallholders' voices to the policy table**

*Chosso* will contribute to other ongoing national policy processes – for example, it will support the government in drafting a national adaptation plan and implementation framework. An important input will be the participation of smallholder farmers through their organizations, so as to ensure that their specific priorities are fully captured in this plan. *Chosso* will also contribute both technical expertise and financial resources to help finalize these plans with a specific smallholder adaptation lens. It is hoped that this will result in more inclusive policymaking, leading eventually to more secure livelihoods for smallholder farmers in The Gambia.

*Chosso* will support the Directorate of Development Planning of the Ministry of Finance and Economic Affairs in effective planning and budgeting for climate change adaptation across government services and the wider economy. This is of great strategic importance as the government plans to develop a national development strategy from 2016. The *Chosso* project support unit will work closely with the National Climate Committee and other key platforms to ensure that smallholders' resilience issues are adequately reflected in these national policies.

### **Evidence for policymaking**

Policy-relevant evidence will be generated through a supplementary baseline survey, as well as dedicated impact surveys and research, which will help to assess the most effective adaptation responses in view of actual and projected climate impacts.

Some of the knowledge products to be developed include sectoral climate change adaptation strategies, materials pertaining to the climate-proofing of rural infrastructure, community-based adaptation techniques, reconciling the restoration of mangroves with water salinity encroachment, and dyke construction. Research findings, surveys and knowledge products will be fed into policy processes to expand and diversify resilient livelihood options for Gambian smallholders.

### **Additional measures**

Other policy-level interventions and dialogue opportunities will be identified during project implementation. These are expected to include a number of inclusive national events on climate change responses, as well as regional networking opportunities with other countries and projects to enable Gambian policymakers to learn from the experience of countries facing similar challenges.

Another key capacity development measure will be *Chosso's* support to the effective operation of the National Climate Committee through establishing a functional secretariat and streamlining the core membership, as well as clarifying the responsibilities of the National Climate Committee under the umbrella of the Agriculture and Natural Resources Working Group.



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## Case Study 4: Mozambique Climate-sensitive policy for resilient value chains

**Figure 5**  
**Map of PROSUL project area**



## Quick facts

Project name	Pro-poor Value Chain Development Project in the Maputo and Limpopo Corridors (PROSUL)
Project duration	2012-2019

### The problem

Despite the impressive growth rate of the Mozambique economy, over half the country's population lives in poverty. The three southern provinces of Gaza, Inhambane and Maputo have especially high poverty rates, mainly due to their agroecological conditions. A study by the National Institute for Disaster Management (INGC) of Mozambique suggests that within ten years the impact of climate change will be increasingly felt within the Limpopo Corridor. The soil moisture content before the onset of the rains is likely to decrease, and higher temperatures and droughts are expected to increase in the southern region. Additional adaptation measures and longer-term policy measures are needed to build smallholder resilience to climate variability and change. Without these, farmers will not be able to manage the new and increasing risks that threaten their livelihoods and discourage them from investing in modern inputs and technologies.

### Project response

The project's objective is to achieve improved and climate-smart livelihoods of smallholders in the Maputo and Limpopo corridors.

#### Capacity development for government and smallholders in climate-related policy

Policy engagement under PROSUL is supporting the change process that needs to accompany climate-sensitive, pro-poor and commercially led value chain development in Mozambique. The project is working with the Centre for the Promotion of Agriculture (CEPAGRI) to support the mainstreaming of gender and climate change adaptation into national policy support for three value chains (horticulture, cassava and red meat).

CEPAGRI is being supported to mainstream gender and climate change adaptation into policies impacting on the three selected value chains. This process is driven by regional value chain platforms, which serve as forums for smallholders, the private sector and government to take stock of experiences in climate-sensitive value chain development. Given the importance of their role, strengthening farmers' organizations so that they can engage actively in policy processes and represent the priorities of women as well as men is a key element. In addition, CEPAGRI staff are receiving support to strengthen their contributions to the broader national and regional climate change agenda, as well as to develop strong linkages with the national climate change platform.

CEPAGRI staff seconded to PROSUL are expected to provide technical support to the participation of the Ministry of Agriculture in climate-related policy formulation and programming.

### **Getting the climate adaptation priorities of smallholder farmers into policies**

Apart from developing the capacities of government institutions, PROSUL is supporting the inclusion of climate-resilience priorities in national policies and policy platforms, such as regional value chain platforms and value chain development action plans. At the local level, the project is supporting the participatory and science-based formulation and implementation of community-based natural resource management plans.

With regard to the cassava value chain in particular, PROSUL is working in collaboration with the National Institute for Standardisation and Quality to promote a conducive policy and legislative environment that includes clear quality standards to promote high-quality cassava flour in bread production.



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## Case Study 5: Sudan

### Integrating climate change in sector policies

**Figure 4**  
**Map of project area (Sudan)**





## Quick facts

Project name	Livestock and Rangeland Resilience Programme
Project duration	2015-2021

### The problem

National policy processes in Sudan, such as the National Adaptation Plan (2013), the Second National Communication to the UNFCCC (2013) and the Interim Poverty Reduction Strategy Paper (2012), have highlighted a need to pilot innovative response systems in order to reduce the vulnerability of poor herders and farmers to the increasing economic and social threat posed by climate change and environmental degradation. These processes also highlighted a need for better policy dialogue between smallholders and other stakeholders from the public and private sectors, as well as civil society, and the involvement of communities in planning for better understanding of climate-related risks and reducing vulnerabilities.

### Mainstreaming climate change into sector policies

The national adaptation plan recommends developing sectoral adaptation strategies for vulnerable sectors of the Sudanese economy. IFAD has received a specific request from the Rangeland and Pasture Administration to support the mainstreaming of climate change issues in the livestock sector in order to reduce the vulnerability of smallholders depending on animals for their livelihoods. Good pastures are important for livestock, yet these are being severely degraded due to a combination of less water availability and erosion caused by, for example, strong winds, sandstorms and heavy rain. Higher temperature increases could also contribute to the spread of vector-borne diseases that affect livestock and can in some cases also contaminate humans.

### Scarce natural resources

Livestock owners depend on agriculture and animal-related activities for their livelihood. Equitable and secure access to land is a critical factor in increasing their resilience to climate change impacts and other shocks. Access to land contributes to more equitable relations among sedentary groups (farmers) and nomadic and semi-nomadic communities (livestock owners and pastoralists). However, questions regarding access to and control of resources are generating disputes over user and access rights to water, land and grazing. The shrinking natural resource base – a consequence of land degradation and climate change – is further exacerbating these disputes.

### Project response

The Livestock Marketing and Resilience Programme is supported by IFAD, the Least Developed Countries Fund of the Global Environment Facility, and IFAD's Adaptation for Smallholder Agriculture Programme (ASAP). One project component focuses on climate change preparedness and policy facilitation to respond to policy gaps. Specific project responses to issues identified during formulation are set out below.

### **Drought Monitoring and Early Response System**

The project will support the Ministry of Livestock, Fisheries and Rangelands to develop a drought monitoring and early response system. This system will identify climate-related factors that have a critical impact on the sustainability of the livestock sector, produce timely and accurate information relating to droughts, and disseminate climate information to smallholders and extension workers using the most appropriate and available tools. The system will enable the calculation of seasonal and yearly carrying capacity of rangelands and support the development of seasonal maps to inform decision-making by local authorities on how best to distribute herds in a given territorial unit. Monitoring of local and regional water and fodder availability, for example, will help smallholders plan the migration of their livestock. Better planning will in turn help to reduce disputes over scarce natural resources.

This information will be conveyed to the users by way of radio, community organizations and mobile systems. The drought monitoring and early response system will build on the vulnerability assessments that have informed Sudan's national adaptation plan, as well as remote sensing technology, mapping and lessons learned from other projects in Sudan, the Horn of Africa and the Sahel region.

### **National Adaptation Strategy for the Livestock Sector**

A key output is the development of a national sectoral adaptation strategy for the livestock sector (NSAS/LS). The Ministry of Livestock, Fisheries and Rangelands will mobilize international and national technical expertise to facilitate a consultation process and organize a series of national workshops leading to the formulation of this strategy.

The NSAS/LS will include a portfolio of priority innovations to be disseminated in Arabic and English. These will then be discussed at a series of workshops in the target states, organized by the Ministry of Livestock, Fisheries and Rangelands, with the aim of identifying opportunities to adopt relevant interventions at the state level.

A natural resource and adaptation coordinator, supported by technical experts, will support the Ministry in developing the NSAS/LS, including ensuring coordination with the relevant government agencies and partners, at both central and state levels.

### **Dialogue to reduce land disputes between nomadic and settled communities**

At project startup, the natural resource and adaptation coordinator and natural resource and adaptation specialists will identify, jointly with the relevant state authorities, land dispute-related issues that the project can help to resolve, as well as the key stakeholders that need to be involved.

The project aims to reduce disputes between nomadic and settled communities over natural resources by at least 50 per cent in the five target areas. It will facilitate the organization of state-level facilitation workshops aimed at settling land disputes, and identify new arrangements and satisfactory agreements regarding user and access rights.

**Capacity development and participatory planning**

The project will support the development of 300 community adaptation plans that incorporate the needs and priorities of poor women and men and build on participatory vulnerability assessments. The project will also support members of 300 village development committees and over 100 governmental technical staff at the local and state levels to strengthen their organizational and management skills, as well as their understanding of climate change adaptation and natural resource management.



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## Conclusions

### Key ingredients

The incorporation of smallholder priorities into national and local policy frameworks is a key ingredient of IFAD's approach to climate change adaptation. While there are different approaches to climate-smart policy engagement in different countries, depending on their socio-economic context, a typology of interlinked interventions is emerging as IFAD's approach: generating and communicating evidence to inform policy; strengthening institutions; brokering dialogue; and acting at multiple levels of local, national and global policy.

### Evidence

A sound evidence base is widely recognized as critical to effective policy and planning. IFAD promotes the generation, understanding and uptake of evidence through its projects, for example by carrying out vulnerability and capacity assessments based on both scientific research and consultations with local stakeholders. These can include downscaled climate projections to capture the level of detail that is needed for robust planning at the subnational level. Early warning systems also provide critical evidence for preventative policy measures to avert disasters and slow down land degradation (as in Sudan). In 2011, the International Development Law Association (IDLO) and IFAD began an assessment of Mexico's climate regulations at the federal and state level in order to stimulate climate-sensitive reform. The result – the world's first Legal Preparedness for Climate Change Assessment Report (L-PAR) – contains an analysis of both existing and potential laws and regulations on climate change, as well as identifies gaps and innovations.

IFAD makes special efforts to ensure that policy-relevant studies are disseminated as widely as possible to a wide range of stakeholders. For example, a recent study funded by IFAD found that rural development projects that fund adaptation to climate change can increase smallholder farmers' household incomes by up to 50 per cent. The study, soon to be published in the *Journal of Policy Modelling* and titled "Analysis of local economic impacts using a Village Social Accounting Matrix: the case of Oaxaca", revealed that climate-smart investments such as agroforestry, water resources management and crop diversification, were more conducive to raising incomes than other types of investments that do not take future climate trends into account. More of this type of research is needed to determine which policies and interventions are best suited to making farming more sustainable and resilient to rising temperatures.

### **Institutions**

Policies are made by people working for, through and within institutions. IFAD channels a significant proportion of its financing to strengthening institutional capacities at various levels, from the level of community-based groups and extension services (e.g. in Cambodia) to civil servants and specialists based in various government institutions (e.g. in Sudan). Farmers, women and indigenous people bring important perspectives to the policy table. IFAD invests in their organizations in order to empower them to make the best possible use of opportunities to engage with policymakers (e.g. El Salvador).

### **Dialogue**

Policy is also connected with aspects of political economy, power and the authority for decision-making. Giving indigenous peoples, women and young farmers a voice in local and national policy processes helps to ensure that their priorities are visible in policy development (e.g. El Salvador and The Gambia). IFAD has a track record of listening to farmers' perspectives on climate change – at the last Farmers' Forum hosted by IFAD in 2014, one of the themes was "the role of farmers organizations in climate change adaptation and disaster management". A special session resulted in concrete recommendations for IFAD-supported projects, as well as for national governments (see Annex).

### **Local, national and global policies**

One approach that has proved successful in a number of countries is to assist local governments (at state, provincial or district levels) to develop and operationalize their own policies and plans. This encourages local ownership and allows geographical and site-specific issues to be addressed more effectively. It also ensures that policies are applied at the local level, instead of simply being created and ratified nationally without any hope of tangible results in rural communities. Participatory and science-based community adaptation and disaster risk management plans, together with climate-sensitive local development plans, are common to many IFAD projects aiming to boost smallholder resilience. These not only give smallholders more voice in local policy but also provide them with experience in climate risk appraisal, which enables them to have a more effective voice in national policy processes. At the national level, IFAD's work ranges from strengthening climate-related policies and the mainstreaming

of climate change into agriculture sector strategies, to providing targeted support to countries developing national adaptation plans.

The nature of climate change as a defining challenge of the twenty-first century has stimulated policies and conventions at the global international level. IFAD is committed to advocating for agriculture to feature more prominently in these global policy forums, given the vital importance of agriculture for the world's smallholders. IFAD's climate change strategy (2010) confirms the organizations' commitment to "continue to raise the profile of smallholder agriculture in international policy discussions on climate change, and vice versa, to increase the attention of agriculture discussions to climate change".

IFAD has advocated for agriculture and for smallholders at UNFCCC events, sharing its experience and drawing attention to the importance of smallholder adaptation to climate change. At the Conference of the Parties (COP) in Bonn in June 2015, for example, IFAD demonstrated how investing in climate change adaptation for smallholder farmers can also bring dividends in terms of significant greenhouse gas reductions and climate mitigation benefits.<sup>6</sup>

Global climate policy needs to be informed by the needs of smallholders, who are still underrepresented in international negotiations on the issue. To counter this trend, IFAD is supporting the participation of smallholder farmers at UNFCCC COPs, enabling smallholder farmers to talk about the realities of their struggle against climate change, and making the case that smallholder farmers are excellent clients and partners for climate finance investments (see Box 3).

### **Looking forward – what about results?**

It is too early to draw conclusions on whether IFAD's current efforts to support the mainstreaming of climate change into national policy processes are successful or not. Although IFAD's Policy team is working with leading experts to understand how best to measure policy impact, as experienced development practitioners know, there is rarely a straight line between policy "inputs" like evidence and research, dialogue and working papers – and a policy "output", such as an updated policy that takes account of all this. Still less is any guarantee that any policies updated to take account of climate change and smallholder needs will actually be successfully implemented – policy and practice gaps are well-known challenges. Nonetheless, it is possible to say that IFAD's work on policy contributes to evidence building, more consultative processes for policy formulation, and improved policy implementation. These metrics find increasing resonance in how IFAD is measuring its success in policy engagement and dialogue.

The stakes are too high to focus solely on short-term, reactive solutions. By engaging in longer-term national and policy processes, IFAD is doing its part to ensure that smallholder farmers like Lam Van Nhien from Viet Nam and millions like him have a say in the decisions affecting their ability to cope with the impacts of climate change in the years that lie ahead.

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6 IFAD. 2015. The Mitigation Advantage.

### Box 3: World Farmers' Organisation (WFO) at COP20 in Lima

*"Agriculture must be at the heart of the global climate change agenda".*

Speaking at COP20 in Lima in 2014, Mildred Crawford, a farmer from Jamaica, gave voice to smallholder needs. She was one of 20 smallholders from 10 countries attending the COP as part of a WFO delegation, supported by IFAD. The delegation gained access to policymakers, journalists and non-governmental organizations, networking and advocating for smallholder adaptation.



In front of negotiators from over 195 countries, Crawford made a statement during the high-level opening session on behalf of farmers.

A side event co-organized by the WFO, Caritas International, IFAD and the International Foundation for Organic Agriculture on "Building Resilience to Climate Change and Managing Disaster Risks through Sustainable Agriculture" showcased initiatives to build farm and community resilience. Farmers pointed to solutions that already exist to increase their resilience, such as advisory services, but stated that the lack of public policies and access to land hamper their fight against climate change. The side event highlighted the role of sustainable agriculture in building resilience to climate change and managing disasters.

At another session in Lima on "Minding the research-practitioner gap – the implementation of integrated landscape approaches", Daniel Gad from Ethiopia called for a more integrated approach to get farmers involved in climate negotiations, and for easier access of farming communities to climate finance. The session highlighted the importance of more applied research and a legal framework to enable a landscape approach.

Source: WFO. 2014. Report to IFAD on IFAD Small Grant "Support to farmers' participation in Climate Change Conference of the Parties (COP20)," Lima, 1-12 December 2014

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# Annex: Policy recommendations from the climate change session at the Farmers' Forum 2014

The working group on the “role of farmers’ organizations and partners in building farmers’ resilience to climate change” met as part of the IFAD-supported Farmer’s Forum in 2014 in Rome.

Discussions were structured around:

- (i) The key threats to smallholders
- (ii) How to strengthen resilience to climate change through policies and innovative solutions
- (iii) Recommendations for IFAD, governments and farmers’ organizations

Depending on the region where smallholder farmers grow their crops, breed their cattle and fish, threats such as droughts, floods, typhoons and, more generally, weather unpredictability can result from climate change and affect smallholder families’ businesses. Other factors that can reduce smallholders’ resilience to climate change include: large-scale mining (land and water pollution, land grabbing, migration, etc.), industrial agriculture and fishing, and price volatility at the international and national level.

The proposed alternatives and models to strengthen resilience to climate change were:

- Alternative production systems that are sustainable, such as agroecology and organic farming focusing on local seed preservation and breeding, water saving, harvesting and management, and soil conservation
- Access to timely information for decision-making such as early warning devices, weather information, and price and volume information on supply and demand
- Updated information on cropping calendars, seeds and best practices according to climate variability
- Food stocks creation through cereal and seed banks, and strategic and low-cost warehouses
- Access to sustainable production and value-addition technologies
- Alternative sources of energy for agriculture

Further, IFAD’s involvement in climate change adaptation was presented, including its Adaptation for Smallholder Agriculture Programme (ASAP). ASAP is a financial instrument launched in 2012 to channel climate and environmental finance to small-scale farmers so that they can increase their resilience.

#### Recommendations for farmers' organizations

- Strengthen advocacy and organize work among farmers to get climate change adaptation into government policies
- Forge partnerships on strengthening resilience
- Increase transparency and accountability in projects through good monitoring and financial transparency
- Hold regional and national forums to develop strategies on how to increase investment in agroecology and climate change adaptation

#### Recommendations for governments

- Create contingency funds to protect farmers against large-scale disasters
- Strengthen public security programmes and include farmers' organizations in contingency planning
- Allocate sufficient budget funding to enable farmers' organizations to strengthen resilience through capacity-building, sharing and organizing
- Ensure consistency in policies and programmes, which should all promote food sovereignty (e.g. by market regulation)

#### Recommendations for IFAD

- Support exchanges of experiences among farmers' organizations on smallholders' resilience
- Promote best practices and sustainable and environmentally friendly technologies
- Support farmers' organizations directly in capacity-building on strengthening resilience through sustainable agroecology, renewable sources of energy, food stocks and farmer-driven agricultural research
- Ensure that project design considers climate issues
- Facilitate consistency across government policies and programmes
- Inform farmers' organizations about IFAD programmes with the government so farmers' organizations can be proactive

Source: Adapted from "Report of the Fifth Global Meeting of the Farmers' Forum" (IFAD, 2014).

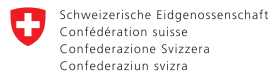
## ASAP Donors and Partners

IFAD's Adaptation for Smallholder Agriculture Programme (ASAP) is a multi-donor programme that helps smallholder farmers cope with the impacts of climate change so they can increase their resilience.

As of 1 October 2015, the total commitments from nine donor countries (Belgium, Canada, Finland, Netherlands, Norway, Republic of Korea, Sweden, Switzerland and United Kingdom) amounts to US\$366,498,858.



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