



**HANDBOOK
SYSTEM FOR THE
DESIGN AND
IMPLEMENTATION
OF EbA**



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Introduction

This handbook system was created to guide the process of designing, setting up, implementing, monitoring, and up-scaling EbA interventions under the global Programme “[Scaling Up Mountain Ecosystem-Based Adaptation: building evidence, replicating success, and informing policy](#)”, supported by the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU), Germany, and jointly implemented by IUCN from 2021 to 2022 and The Mountain Institute from 2017 to 2019. This handbook is based on the earlier publications Ecosystem-based Adaptation Handbook (Hernández, 2016), Making Ecosystem-based Adaptation Effective: A Framework for Defining Qualification Criteria and Quality Standards (FEBA, 2017) and Guidebook for Monitoring and Evaluating Ecosystem-based Adaptation Interventions (GIZ, UNEP-WCMC & FEBA, 2020). The contents of this handbook were applied by country teams of the Programme to take stock, generate learnings and replicate and consolidate what was implemented in the previous Flagship Programme (from 2012 to 2016), demonstrating its use is highly valuable at the outset of projects. The utilization of the handbook system for implementation has been adapted into this publication with the aim to share these materials and methodology with the larger EbA community.

This document takes the EbA practitioner through the 7 stages of the EbA cycle, from selecting suitable sites for EbA interventions to supporting the process of mainstreaming EbA. Each stage is summarized and supported by resources and forms. The Forms help with recording information in a systematic manner, helping with decision making processes and ensuring consistency and comparability for particular aspects of EbA across interventions in different project sites. These Forms are best used at the starting point of any EbA project; however, they can be completed as the project advances. The following Box shows all stages and their corresponding forms with links for quick access.



BOX 1 Quick view of the handbook system and forms

Stage 0:

Exploring EbA viability

- ▶ [Form 0 - Site Selection Criteria](#)
- ▶ [Form 0 - Measure Status Report](#)

Stage 1

Understanding the context and defining EbA goals:

- ▶ [Form 1 – Understanding the Context and EbA goals](#)

Stage 2

Assessing climate risks

- ▶ [Form 2 – Assessing Climate Risks](#)

Stage 3

Rapid ecosystem services appraisal

- ▶ [Form 3 – Rapid Ecosystem Services Appraisal](#)

Stage 4

Developing an EbA strategy and designing adaptation measures

- ▶ [Form 4 – EbA Strategy](#)

Stage 5

Monitoring and evaluation for learning

- ▶ [Form 5 – Monitoring & Evaluation](#)

Stage 6

Implementing the EbA strategy and measures

- ▶ [Form 6 – Field Report](#)

Stage 7

Mainstreaming EbA and promoting synergies

- ▶ [Form 7 – Mainstreaming EbA](#)





Stage 0: Exploring EbA Viability

Outcome: Go or no-go decision

Before commencing any EbA project it is fundamental to determine if the site under consideration is viable for EbA interventions. The goal of Stage 0 is to verify if EbA is a suitable option. A rapid scoping to assess whether the target site, its people, and existing institutions and policies allow for the implementation of EbA can support the ‘go’ or ‘no-go’ decision.

Because EbA works to help communities build climate resilience through the delivery of ecosystem services, the focus is on securing ecosystem services that benefit communities to increase their adaptive capacity and reduce climatic risks.

Examples of ecosystem services that support climate resilience in mountains include freshwater supply, erosion and flood control, and protection against landslides. These services are at the core of any EbA intervention and should be maintained through a solid adaptation strategy that involves sound environmental governance, sustainable land use practices, and ecosystem restoration and conservation.

As previously mentioned, the outcome of this stage is a go or no-go decision regarding the viability of the site for EbA interventions. To determine this, complete Form 0 - Site Selection Criteria for each site under consideration. If all criteria in Section I are met (responses to all questions are “yes” then it is a go decision and the

practitioner can continue on to Section II. In case there were EbA measures already implemented at the site from a previous project or programme and they wished to be continued or expanded, use the Form 0 - Measures Status Report to record important information about the decision-making process done so far to help identify whether adjustments need to be made in order to continue the implementation throughout the entire EbA cycle.



If EbA is a viable option for the sites under consideration, then multi-stakeholder engagement should be planned at the onset of the project.

Ensure equitable multi-stakeholder engagement at all stages through EbA workshops programmed in a timely manner during each step of the process. Convene stakeholders from the EbA target site and its catchment area, as well as national and local experts of relevance. Activities to include during the stakeholder engagement process are ecosystem services and climate risks mapping and institutional and policy screening among other topics responding to the local needs.

REFERENCES AND RESOURCES:

- ▶ Form 0 - Site Selection Criteria  [DOWNLOAD](#)
- ▶ Form 0 - Measures Status Report  [DOWNLOAD](#)
- ▶ Ecosystem-based Adaptation Handbook (Hernández, 2016)





Stage 1: Understanding the Context and EbA Goals

Outcome: EbA Goals

Similar to other types of social or environmental intervention, the first step is to understand the local context. This is one of the objectives of Stage 1 as it involves exploring different elements of the context at the site under consideration. After retrieving all the information required, it is possible to define the EbA goals. For this stage it is key to conduct secondary research and interviews as well as participatory research involving community members and other relevant stakeholders.

Use Form 1 – Understanding the Context and EbA Goals to complete the information on the following:

A. SPATIAL AND QUALITATIVE ANALYSIS OF THE LANDSCAPE AND ITS LAND USE, INCLUDING KEY ECOSYSTEMS

This is required to understand the development processes and consider key ecosystems in the area. Through basic spatial and qualitative analyses of the landscape and its land uses it is possible to visualize the ecosystem services available.

B. OVERVIEW OF THE STAKEHOLDERS INVOLVED

To design and implement EbA appropriately, the participation of all relevant stakeholders at the target site (e.g. farmers, women, indigenous people) and in the wider region (e.g. Ministry of Agriculture) is required. Their timely and continuous engagement is essential for the success of EbA, as they are the ones who have the knowledge, experience, capacities, and resources. It is important to acknowledge that the local stakeholders can contribute to the long-term impact of the EbA measures implemented after the conclusion of any project, hence it is essential to work with them from the start.



Man harvesting plantain

C. INSTITUTIONAL AND POLICY ANALYSIS

Environmental governance is central to any EbA intervention. It is important to define which local stakeholders have power in decisions on development planning, land use, and access to resources.

At this stage, it is also fundamental to understand the scope of key development policies that influence the landscape, for instance, policies dealing with agriculture, biodiversity conservation, water resources management, health, food security, disaster risk reduction, and urban zoning.

D. PRELIMINARY THEORY OF CHANGE

By the end of Stage 1, you will have the basic elements to start designing a preliminary [Theory of Change \(ToC\)](#) for the project's EbA intervention. Having a clear view regarding the land use changes and trends, the stakeholders' roles, and the institutional and policy environment, will contribute to this process. Once this is all determined, the EbA goals of the project and the intervention plan will emerge. In Stage 4, the ToC will be finalized based on additional information regarding the climate risks and ecosystem services assessment, which will be obtained after stage 2 and 3.

REFERENCES AND RESOURCES:

- ▶ Form 1 – Understanding the Context and EbA goals [DOWNLOAD](#)
- ▶ ALivE (Adaptation, Livelihoods and Ecosystems) Planning Tool
- ▶ Jiménez Hernández, A. (2016). Ecosystem-based Adaptation Handbook. IUCN NL, Amsterdam.



Stage 2: Assessing Climate Risks

Outcome: Climate risk assessment

According to the IPCC AR6, climate-related risks result from the interaction of hazards, vulnerability, and exposure. Therefore, a climate risk assessment is essential to determine future climate hazards and their potential impacts on a particular socio-ecological system. It also helps identify climate vulnerabilities through two main elements, sensitivity to harm and lack of capacity to cope and adapt. Finally, it allows to identify the degree of exposure of the system, which can be expressed by absolute numbers, densities or proportions of the elements at risk (e.g. population density in an area affected by flood). Understanding all of these components is fundamental to prioritize climate action and investment in adaptation, and in this particular case, to identify the best EbA options to reduce risks and contribute to the climate-resilient development of the proposed site. Some examples of climate-related risks in mountain communities include:

- ▶ Damages to life and infrastructure due to floods and landslides
- ▶ Losses in crop production, due to compound heat and dry conditions, and extreme weather
- ▶ Risk to food and water security due to increased temperature extremes, rainfall variability and drought

To justify implementing EbA and to design an appropriate EbA strategy it is fundamental to understand the climate risks in each of the sites proposed for interventions. To support this process, [complete Form 2 – Assessing Climate Risks for every site](#). Use this form to collect the information needed to assess the climate risk in each location and to prepare an impact chain if decided to do so (see resources for more information). Climate change impact chains are conceptual models that describe climate

impacts as cause-effect relationships within a socio-ecological system. An impact chain is a tool to understand, order, analyse and prioritize the factors that cause risk in a proposed intervention or project.

REFERENCES AND RESOURCES:

- ▶ Form 2 – Assessing Climate Risks  [DOWNLOAD](#)
- ▶ GIZ, EURAC & UNU-EHS. (2018) 'Climate Risk Assessment for Ecosystem-based Adaptation – A guidebook for planners and practitioners', Bonn, Germany.
- ▶ Munroe, R., Hicks, C., Doswald, N., Bubb, P., Epple, C., Woroniecki, S., Bodin, B., Osti, M. (2015) 'Guidance on Integrating Ecosystem Considerations into Climate Change Vulnerability and Impact Assessments to Inform Ecosystem-based Adaptation', UNEP-WCMC, Cambridge, UK.
- ▶ Wicander, S., Helfgott, A., Bailey, M., Munroe, R., Ampomah, G., Diouf, A., Devisscher, T. and Corrigan, C. (2016) 'Resilience and adaptation planning for communities in protected areas. A step-by-step guide', UNEP-WCMC, Cambridge, UK.
- ▶ ALivE (Adaptation, Livelihoods and Ecosystems) Planning Tool
- ▶ IPCC. (2022) 'Summary for Policymakers' [H.-O.Pörtner, D.C.Roberts, E.S.Poloczanska, K.Mintenbeck, M.Tignor, A. Alegría, M. Craig, S. Langsdorf, S. Löschke, V. Möller, A. Okem (eds.)]. In: *Climate Change 2022: Impacts, Adaptation and Vulnerability. Contribution of Working Group II to the Sixth Assessment Report of the Intergovernmental Panel on Climate Change*. Cambridge University Press, Cambridge, UK and New York, NY, USA, pp. 3–33.
- ▶ Zebisch, M., Schneiderbauer, S., Fritzsche, K., Bubeck, P., Kienberger, S., Kahlenborn, W., Schwan, S. and Below, T. (2021) 'The vulnerability sourcebook and climate impact chains—a standardised framework for a climate vulnerability and risk assessment'. *International Journal of Climate Change Strategies and Management*.





Picture of farmer harvesting potatoes in Kwoti Sub County

Stage 3: Rapid ecosystem services appraisal

Outcome: Map of adaptation services, main drivers and actors of land use change

The objective of Stage 3 is to identify the local ecosystem services, how these services contribute to building climate resilience, and how the provisioning of these services is impacted by specific drivers.

Adaptation services are defined as the benefits to people from increased social ability to respond to change, provided by the capability of ecosystems to moderate and adapt to climate change and variability (Lavorel et al., 2015). In other words, adaptation services are ecosystem services that are useful in terms of climate resilience, for instance freshwater supply, flood control and protection against storm surge.

[Complete Form 3 – Rapid Ecosystem Services Appraisal](#) for each site. Consider the EbA target sites as well as their surrounding catchment or buffer areas. This form will help guide the [practitioner in](#) collecting standard information needed to strategize and justify implementing the proposed EbA measures. After completing this

step, the [practitioner will](#) have identified and mapped the relevant adaptation services at the selected target site along with the main drivers and actors of land use change. This will support the development of an EbA strategy.

REFERENCES AND RESOURCES:

- ▶ Form 3 – Rapid Ecosystem Services Appraisal [DOWNLOAD](#)
- ▶ Toolkit for Ecosystem Service Site-based Assessment (TESSA)
- ▶ Peh, K.S.H., Balmford, A., Bradbury, R.B., Brown, C., Butchart, S.H., Hughes, F.M., Stattersfield, A., Thomas, D.H., Walpole, M., Bayliss, J. and Gowing, D. (2013) 'TESSA: A toolkit for rapid assessment of ecosystem services at sites of biodiversity conservation importance. *Ecosystem Services*, 5, pp.51-57.
- ▶ ALivE (Adaptation, Livelihoods and Ecosystems) Planning Tool
- ▶ Lavorel, S., Colloff, M.J., McIntyre, S., Doherty, M.D., Murphy, H.T., Metcalfe, D.J., Dunlop, M., Williams, R.J., Wise, R.M. and Williams, K.J., (2015) 'Ecological mechanisms underpinning climate adaptation services'. *Global change biology*, 21(1), pp.12-31.
- ▶ Jiménez Hernández, A. (2016). *Ecosystem-based Adaptation Handbook*. IUCN NL, Amsterdam.






Stage 4: EbA Strategy and Designing EbA Measures

Outcome: EbA strategy and measures

Stage 4 focuses on building the EbA strategy, defining adaptation priorities, and designing EbA measures. Understanding the local climate-related risks (Stage 2) and key ecosystem services available (Stage 3) is essential for designing appropriate EbA measures to build [resilience for both](#) communities and ecosystems facing the impacts of climate change. An EbA measure refers to a single intervention or a suite of integrated interventions that contribute to an overall strategy to build resilience and adapt to climate change. Some examples of EbA measures are: reforestation or afforestation; grassland seeding, water channelling; livestock management; wetland, grassland, or forest restoration; biodiversity and soil conservation; water storage, aquifer or spring recovery; flood and landslide risk abatement; agroforestry; climate-smart agriculture; or sustainable livestock production.

[Complete Form 4 – EbA Strategy and EbA Measures](#) for each site. Section I guides the development of an EbA ready-to-use strategy that [considers possible](#) synergies, cost-efficiency, and trade-offs for the target site, including the selection of EbA measures and their corresponding rationales. Sections II and III are specific to each of these measures. While Section II helps plan the measures in more detail, Section III serves to review the selected measures against the five EbA Qualification Criteria and discuss how these will meet each criterion. Section IV offers a scoring sheet against the criteria and its standards as a second layer of review to ensure that the measures are well designed.

REFERENCES AND RESOURCES:

- ▶ [Form 4 – EbA Strategy and EbA Measures](#)  [DOWNLOAD](#)
- ▶ Bertram, M., Barrow, E., Blackwood, K., Rizvi, A.R., Reid, H., and von Scheliha-Dawid, S. (2017) 'Making Ecosystem-based Adaptation Effective: A Framework for Defining Qualification Criteria and Quality Standards', FEBA (Friends of Ecosystem-based Adaptation) technical paper developed for UNFCCC-SBSTA 46 by GIZ, Bonn, Germany, IIED, London, UK, and IUCN, Gland, Switzerland.



Farmers showcasing passion fruits due for harvest





Stage 5: Monitoring & Evaluation

Outcome: Indicators for EbA measures

The goal of this step is to propose a monitoring and evaluation (M&E) framework for monitoring the effectiveness of EbA measures. Setting up a M&E system is fundamental to ensure effective adaptation by supporting the long-term process of learning about “what works” and providing a tool for practitioners to manage their work in the context of the uncertainty surrounding climate change impacts.

This stage focuses on developing indicators for the EbA measures selected through the completion of [Form 5 – Monitoring and Evaluation](#). These should address as many of the five EbA Qualification Criteria as possible (refer to these in Form 4, Section III). When designing indicators for measuring EbA effectiveness, it is important to consider the following:

- ▶ Because there is much uncertainty when it comes to adaptation, there is no single set of universal or standard adaptation indicators (unlike, for example, the use of carbon dioxide emission reduction as the indicator for mitigation).
- ▶ There are two types of indicators: process-based and results-based:
 - Process-based indicators provide information on the design and implementation of an intervention by focusing on input and output.
 - On the other hand, results indicators measure the effectiveness of an intervention by focusing on outcome and impact.

When completing Form 5 try to define **at least one** indicator that addresses each of the five EbA Qualification Criteria. A good starting point is the creation of an initial list of possible indicators [and working](#) towards narrowing them down. Consider the following items when refining [this list](#):


- ▶ Identify process and results indicators, making sure that the final set includes an adequate number of robust immediate and long-term outcome indicators.
- ▶ Consider which of the outcome or impact indicators can be disaggregated by different populations of interest (e.g. marginalized groups, women, children).



- ▶ Take into account the feasibility of measuring the indicators. Consider time, technical capacity, and available financial resources..
- ▶ Revise the selected indicators using tools such as the **SMART** criteria (**S**pecific, **M**easurable, **A**ttainable, **R**elevant and **T**ime-bound) and the **ADAPT** principles (**A**daptive, **D**ynamic, **A**ctive, **P**articipatory, **T**horough).

Consult existing lists of indicators that have been used by other sectors (e.g. in wider climate change adaptation, development and biodiversity) to help in identifying initial indicators. See the resources below. It is important to engage in team discussions about the selected [indicators](#) to determine whether they would be suitable in the context of the specific intervention.

REFERENCES AND RESOURCES:

- ▶ Form 5 – Monitoring and Evaluation 
- ▶ GIZ, UNEP-WCMC and FEBA. (2020) ‘Guidebook for Monitoring and Evaluating Ecosystem-based Adaptation Interventions’, Bonn, Germany.
- ▶ ALivE (Adaptation, Livelihoods and Ecosystems) Planning Tool
- ▶ Reid, H., Seddon, N., Barrow, E., Hicks, C., Hou-Jones, X., Kapos, V., Rizvi, A R., Roe, D., and Wicander, S. (2017) ‘Ecosystem-based adaptation: question-based guidance for assessing effectiveness’, IIED, London.
- ▶ Bertram, M., Barrow, E., Blackwood, K., Rizvi, A.R., Reid, H., and von Scheliha-Dawid, S. (2017) ‘Making Ecosystem-based Adaptation Effective: A Framework for Defining Qualification Criteria and Quality Standards’, FEBA (Friends of Ecosystem-based Adaptation) technical paper developed for UNFCCC-SBSTA 46 by GIZ, Bonn, Germany, IIED, London, UK, and IUCN, Gland, Switzerland.





Stage 6: Implementing the EbA strategy and measures

To prepare implementation of the identified EbA measures, a planning and allocation of roles must be made. EbA measures must strengthen climate resilience on site as well as at broader levels according to previously defined goals:

- ▶ Define clear roles and responsibilities for implementing EbA measures (e.g. institutional and community roles) and allocate corresponding budgets to those involved.
- ▶ Define who does what, when, using which resources.
- ▶ Set up a team for monitoring and evaluating EbA progress at a broader watershed level (if possible).

There is no standardized program form for planning and allocating the work related directly to EbA measure implementation.

You may document these agreements and plans in the way that works best for the [implementation team](#) and site context. However, you can use [Form 6 – Field Report Form](#) to record any field trip relevant to Ecosystem-based Adaptation activities. Keeping track of the achievements during field work is important to contribute [to year](#)-end reporting. In addition, this form presents a great opportunity to capture stories for program communications, whether in photo, video, blog, audio, or other storytelling formats.

REFERENCES AND RESOURCES:

- ▶ [Form 6 – Field Report Form](#)  [DOWNLOAD](#)





Stage 7: Mainstreaming EbA in policy and promoting synergies

Outcome: Action plan to mainstream EbA into climate-sensitive sectors and policies, plans and strategies

Mainstreaming EbA involves the integration of adaptation objectives, strategies, policies, and measures so that they become part of the national and regional development policies, processes, and budgets at all levels and stages. This mainstreaming can contribute to sustainable development initiatives while reducing climate risks [by enhancing](#) the effectiveness, efficiency, and longevity of EbA interventions. It also facilitates informing policies, supporting new EbA initiatives, and promoting the approach at a larger scale.

In Stage 7, the objective is to identify what is needed in order to mainstream EbA into local, municipal and national policies relevant for increasing the resilience of people and ecosystems to changing climatic conditions. [Form 7 – Mainstreaming EbA](#) will assist you to do so. Section I is a policy influencing SWOT analysis to be completed through collaborative brainstorming within [the team](#) and appropriate stakeholders.. Section II will help [in identifying](#) Policy opportunities and plans to mainstream EbA.

In addition, it is suggested to keep a meeting log of all meetings with political actors and other relevant stakeholders to contribute with year-end reporting.


To have an enabling environment for mainstreaming EbA, look for entry points and make the case to:

- ▶ Increase awareness and knowledge of climate variability and risks through capacity building.
- ▶ Enhance stakeholders' capacities to formulate and implement in conjunction policies that take climate change adaptation into consideration.
- ▶ Find synergies between EbA interventions and other development initiatives to complement the approach.

To integrate EbA into relevant policies, strategies and plans to manage climate risks:

- ▶ Consider broader development frameworks and sectoral strategies.
- ▶ Engage with high level decision makers, strong institutions, and EbA champions to lobby and advocate.
- ▶ Use positive results from EbA interventions as evidence.

REFERENCES AND RESOURCES:

- ▶ Form 7 – Mainstreaming EbA  [DOWNLOAD](#)
- ▶ Terton, A. and Greenwalt, J. (2021) 'Building Resilience With Nature: Maximizing ecosystem-based adaptation through National Adaptation Plan processes', NAP Global Network and FEBA.
- ▶ Constructing Theories of Change for ecosystem-based adaptation projects





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FORM 0

SITE SELECTION CRITERIA

This scoping exercise presents criteria and considerations to assess whether the target site, its people, and supporting institutions and policies are suitable for the implementation of EbA interventions. The outcome of Stage 0 is a **go** or **no-go** decision regarding the suitability of the site for EbA. To determine this, complete a separate form for each site under consideration and if all criteria in Section I are met (answered “yes” to all questions), then it is a **go** decision and continue on to Section II to provide details on additional considerations for the site’s selection.

Form completed by:

Date form completed:



SITE DETAILS

SITE NAME:

GPS LOCATION:

DISTRICT/PROVINCE/
REGION:

COUNTRY:

1. Are the landscape and its uses capable of delivering sufficient adaptation services as will be detailed in Step 3 in the Scaling Up Mountain EbA Programme Handbook)?

YES NO

IF yes, which adaptation services? *Adaptation services are defined as ecosystem services that are useful in terms of climate resilience, for instance freshwater supply, flood control and protection against storm surge.*

2. Are stakeholders aware of the adaptation services delivered by ecosystems and do they value these? Are they concerned about the state of their environment?

YES NO

If YES, provide further information (which adaptation services do they value? How are they concerned?)

3. Are there any social and institutional frameworks that can be strengthened and given responsibility in relation to EbA? *Examples are institutions in charge of development planning, Disaster Risk Reduction (DRR) or water resources and ecosystem management.*

YES NO

If YES, which social groups, institutions or policies and how can they be strengthened?





4. Within this framework (refer back to question 3), is there any *experience* and *willingness* to generate policies and actions to keep the aforementioned ecosystems in good health and able to supply key adaptation services?

Experience YES NO

Willingness YES NO

If any YES, provide further evidence:

If answered **YES** to all four of the questions above, then it is a **go decision** and continue to Part II for further considerations.



SECTION II: Additional information for assessing site suitability for EbA interventions

1. Are ecosystem services provided by the site vulnerable to climate change?

YES NO

If YES, how?

2. Are ecosystem services provided by the site vulnerable to other threats (e.g. extractive activities, demographic changes)?

YES NO

If YES, how?

3. Is human wellbeing in the area highly dependent on ecosystem services and goods?

YES NO

If YES, how?

4. Was EbA ever implemented at this site?

YES NO

If YES, who was involved in that previous implementation?





5. Are there any social, environmental, and economic baseline data available? (e.g. vulnerability assessments or relevant technical studies)

YES NO

If YES, provide details on the existing data or data that is currently being collected.

6. Are there any relevant stakeholders in this site to work with? Provide details on partners, such as line agencies, NGOs, etc.

7. Are local organization and governance conditions good enough to support EbA interventions?

YES NO

Provide details.

Are local conflict levels low enough to allow EbA interventions?

YES NO

Provide details.

8. With respect to human and financial resources of the project, what operational, logistical, travel, and budget considerations apply?

9. Is the site within or nearby a protected area?

YES (within) YES (nearby) NO

If YES, provide further information (name of area, location and key ecosystems or cultural assets protected).





10. For sites within protected areas, is there a good working relationship between the local population and the protected area authority?

YES NO

Not applicable

Provide details

11. What additional aspects specific to this area should be considered to implement EbA?





FORM 0

MEASURE STATUS REPORT

Use this form to report on the status of any existing EbA measure that wish to be expanded or continued. In Section I, provide a description and other summary information about the measure. In Section II, discuss implementation challenges and suggestions for strengthening the measure. Create a separate report for **each measure**. To reassess whether the measure meets the EbA Qualification Criteria, refer to Form 4 Sections III and IV.

Form completed by: [Click here to enter text.](#)

Date form completed: [Click or tap to enter a date.](#)



SECTION I – Measure Summary

Provide the information below for each EbA measure.

#1	Name of the measure	Click here to enter text.
#2	Measure Location(s) <i>(site name(s)/GPS coordinates)</i>	Click here to enter text.
#3	Institutional lead(s)	Click here to enter text.
#4	Implementing partner(s)	Click here to enter text.
#5	Relevant local government partners <i>(whether directly or indirectly involved)</i> and description of involvement	Click here to enter text.
#6	Additional partners <i>(community, non-government organizations, other government partners, etc.)</i>	Click here to enter text.
#7	Type of measure:	<input type="checkbox"/> on the ground <input type="checkbox"/> capacity-building <input type="checkbox"/> policy <input type="checkbox"/> awareness raising/outreach <input type="checkbox"/> other, specify: Click here to enter text.
#8	Brief description of the measure:	Click here to enter text.
#9	When was the measure first implemented?	Displayed as MM/YY.
#10	Is the measure still active/on-going? If no, when did it end?	<input type="checkbox"/> Yes <input type="checkbox"/> No End date: Displayed as MM/YY.
#11	How many people have benefitted from the measure's implementation? <i>If the information is available, disaggregate by men and women and cultural groups.</i>	# OF PEOPLE DIRECTLY BENEFITING Enter a number. people total Enter a number. women Enter a number. men Enter a number. cultural group A, specify: Enter text. Enter a number. cultural group B, specify: Enter text. Enter a number. additional groups, specify: Enter text. # OF PEOPLE INDIRECTLY BENEFITING Enter a number. people total Enter a number. women





		<p><u>Enter a number.</u> men</p> <p><u>Enter a number.</u> cultural A, specify: Enter text.</p> <p><u>Enter a number.</u> cultural B, specify: Enter text.</p> <p><u>Enter a number.</u> additional groups, specify: Enter text.</p>
#12	<p>If the measure involved an on-the-ground intervention and applicable, how many hectares were targeted for improvement? How many hectares have been improved?</p>	<p><u>Enter a number.</u> hectares targeted</p> <p><u>Enter a number.</u> hectares improved</p> <p><input type="checkbox"/> N/A</p>
#13	<p>Has any new donor, public or private, followed the measure's implementation?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, which one(s): Click here to enter text.</p>	
#14	<p>Has the measure been replicated elsewhere?</p> <p>Click here to enter text.</p> <p>Provide details Click here to enter text.</p>	
#15	<p>Will the measure be continued through a project extension or a new project?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Why or why not? Click here to enter text.</p>	
#16	<p>What is the estimated budget (USD) for continuing this measure?</p>	<p>\$Enter dollar amount.</p>



SECTION II – Challenges and suggestions for strengthening the measure

Provide short answers for the following questions.

#1	<p>What were some of the challenges with implementing this measure? Have they been resolved?</p> <p>Click here to enter text.</p>
#2	<p>Were there any negative externalities (of the measure) identified? Did the measure negatively affected communities or ecosystems outside of the target area?</p> <p>Click here to enter text.</p>
#3	<p>Has anything changed since first implementing the measure that would affect future implementation?</p> <p>Click here to enter text.</p>
#4	<p>What are your suggestions for strengthening the measure?</p> <p>Click here to enter text.</p>





FORM 1

UNDERSTANDING THE CONTEXT & EbA GOALS

Use this form to collect the information needed to understand the site context and define the EbA goals. This form helps gather information needed to justify implementing the EbA measure proposed.

Site name:	
Form completed by:	
Date form completed:	

SECTION A: Spatial and qualitative analysis of the landscape and its land use including key ecosystems

The main question to be answered here is whether the ecosystem can and will continue to provide current adaptation services if the current rate of change in land uses is maintained or increases. Through the analysis of both official and community maps (e.g. resource maps) and information that can be provided by key stakeholders, it is possible to obtain a spatial overview and understanding of the landscapes at the target site.



Key questions	Information collected
Are major land uses that are potentially providing key adaptation services mapped? (include both natural and agricultural systems)	
Are there noticeable changes affecting these major land uses? Which land uses are receding and which ones are becoming predominant?	
Will ecosystems be able to continue providing adaptation services in the future if these trends persist?	
Please provide photos or other renderings of the mapping completed.	Paste image or URL here.





SECTION B: An overview of the stakeholders involved

Fill in the following table considering the two types of stakeholders that are essential to any EbA intervention.



Type I. Stakeholders who have an influence on land use changes and risk factors at different levels, from the community to the national level		Type II. Vulnerable stakeholders who are exposed to hazards and only have limited resources and capacities	
Key questions	Information collected	Key questions	Information collected
Which stakeholders – from community to national level – are changing land uses in a way that promotes the delivery of adaptation services? e.g. they are improving the environment through sustainable land use and/or ecosystem restoration.		Which (groups of) vulnerable stakeholders would benefit from EbA? e.g. those exposed to drought, storms, landslides and floods; those with unstable livelihoods, or who depend on threatened ecosystems for their livelihoods.	
Which stakeholders – from community to national level – are causing ecosystem degradation and, as a result, undermining the delivery of adaptation services?		How are these vulnerable actors currently coping with climate variability? How are they organized and politically positioned? How do institutions, policies, and funding assist them?	
For each type of stakeholder, determine their roles and the organization, sector or community they represent or belong to.		For each type of stakeholder, determine their roles and the organization, sector or community they represent or belong to.	





SECTION C: Institutional and policy analysis

Be as specific to the site as possible. All these policies, initiatives and projects should be linked to the EbA targets in order to begin identifying either potential conflicts or likely synergies.



Key questions	Information collected
Identify institutional actors at different levels	
Which are the relevant institutional actors, their main field of work and their levels and scopes of action (community, municipal or national)?	
Which role do local organizations (e.g. cooperatives, organized women groups and risk management committees) play in the regulation of resource use, land tenure, etc.?	
Identify policies, initiatives and development projects	
Which are the relevant policies at different levels that influence the landscape and society under consideration?	
Which are the major private sector initiatives having an impact (negative or positive) on the target site? e.g. agriculture, irrigation, energy, mining, tourism, etc.	

SECTION D: Drafting a preliminary Theory of Change (ToC).

Start filling in the following table as this stage, however, there are items to discuss and address along the next stages and forms of the handbook. Come back to this table to complete it as the work progresses towards developing a ToC.



Questions to answer when formulating a Theory of Change (ToC)		
Key questions	Proposed answers	Meaning for the EbA Strategy
What are the issues to be addressed?		Natural and socio-economic context, sectors/actors, resources at risk (Stages 1 & 2) and adaptation goals.
What are the foreseeable changes in climatic and socio-economic conditions?		Current trends and future scenarios for land uses, socioeconomic and climate risk projections (Stages 1, 2 & 3).





How will the projected changes impact the area under consideration?		Land use trends, risk profile and vulnerability assessment (Stages 1, 2 & 3).
What will this mean for the delivery of ecosystem services within the context?		Assess what would happen with and without EbA measures in a changing climate.
Questions to answer when defining adaptation goals as part of the ToC		
Key questions	Proposed answers	Your EbA Strategy will include activities to
What is the problem: what should adapt to and how?		Address detrimental land use change; reduce current and future climate risk (Stages 1 & 2).
What would the preferred future look like?		Envision achievable climate resilience through adaptation including EbA.
How would one get there?		Formulate EbA measures, a M&E framework and an action plan for mainstreaming EbA (Stages 3 to 7).

Adapted from UNEP, 2012. Ecosystem-based Adaptation Guidance: Moving from Principles to Practice. Working document. UNEP Division of Environment Policy Implementation. University of Sunshine Coast, Australia.

SECTION E: Defining the EbA Goals

After discussing the different elements of the local context, use this section to define the EbA Goals of the project or intervention.





FORM 2

ASSESSING CLIMATE RISKS

Use this form to collect the information needed to assess the climate risk at each site and to prepare an impact chain (if you choose to do so). This form is to collect standard information needed to strategize and justify implementing the EbA measures proposed.

Site name:	
Form completed by:	
Date form completed:	

SECTION I: Description of the site's local climate and climate hazards

To fill in the following section use secondary and participatory research (community observations). If available include historical timelines and hazard maps.



Key questions	Information collected
Describe the seasons in the study area, including high and low temperatures and average precipitation.	
Describe the projected trends in rainfall, temperature and climate hazards. What do the most recent IPCC Assessment Reports state on predicted climate change in the region of the target site?	
Which extreme weather events have occurred in the past 25 years?	
Are there maps identifying climate-related hazard zones? Is there data on the frequency and intensity of hazards and their impacts?	
Are there local climate change models available?	
Are there any basic risk profiles of vulnerable actors, assets and land uses of interest for the EbA intervention?	

SECTION II: Climate risk assessment



Key questions	Information collected
<p>Identify climate impacts and risks</p> <p><i>The first and most crucial step in developing an impact chain is identifying major climate impacts and risks (e.g. 'water scarcity' or 'risk of water scarcity for smallholder farmers') to your socio-ecological system. If your risk assessment covers more than one topic (addressing the sectors agriculture and health, for instance) you will need to develop discrete impact chains for each topic, which can later be combined and interlinked. Identifying major climate impacts and risks starts with a broad view, including a review and brainstorming process of climate impacts and risks. Subsequently you can cluster them and narrow your choice down to one or more risks according to the focus of your assessment.</i></p>	





Which major climate impacts and risks affect the system of concern?

How have climate variability and extreme climate events impacted the system of concern in the past?

What are the socio-economic implications of the climate impacts (e.g. loss in yields, increase in disease, etc.)?

DETERMINE HAZARDS AND INTERMEDIATE IMPACTS

Hazard refers to the potential occurrence of a natural or human-induced physical event or trend or physical impact that may cause loss of life, injury, or other health impacts, as well as damage and loss to property, infrastructure, livelihoods, service provision, ecosystems, and environmental resources. In the IPCC report, the term hazard usually refers to climate-related physical events or trends or their physical impacts.

A hazard may be an event (e.g. a heavy rain event), but it can also be a direct physical impact. A hazard is not necessarily an extreme weather event (e.g. tropical storm, flooding), but can also be a slow onset trend (e.g. less water from snow melt, increase in average temperature, sea-level rise, salinity intrusion, etc.). If possible, the probability of a specific hazardous event or trend should be estimated. This can be done by defining hazards as critical events or critical physical impacts (e.g. 'heavy rain events' instead of 'rain' or 'heat days' instead of 'temperature').

In the context of a climate risk assessment, it is assumed that a hazard represents an external climate signal, which does not depend on exposure or vulnerability and can per se not be influenced by adaptation or other measures seeking to deal with climate-related loss and damage.

Which climate-related hazards pose a risk to the socio-ecological system of concern?

Which intermediate impacts link the hazard and the risk?

DETERMINE VULNERABILITY

Vulnerability refers to the propensity or predisposition to be adversely affected. Vulnerability encompasses a variety of concepts and elements including sensitivity or susceptibility to harm and lack of capacity to cope and adapt. Vulnerability has two relevant elements:

1. **Sensitivity** is determined by those factors that directly affect the consequences of a hazard. Sensitivity may include physical attributes of a system (e.g. building material of houses, type of soil on agriculture fields), social, economic and cultural attributes (e.g. age structure, income structure). Thus, the understanding of sensitivity largely remains unchanged from the AR4 concept.
2. **Capacity** in the context of climate risk assessments refers to the ability of societies and communities to prepare for and respond to current and future climate impacts. It comprises:
 - a. **Coping capacity:** The ability of people, institutions, organizations, and systems, using available skills, values, beliefs, resources, and opportunities, to address, manage, and overcome adverse conditions in the short to medium term (e.g. early warning systems in place).
 - b. **Adaptive capacity:** The ability of systems, institutions, humans and other organisms to adjust to potential damage, to take advantage of opportunities, or to respond to consequences (e.g. knowledge to introduce new farming methods). This type of capacity has already been applied in the AR4 concept and is thus described in the Vulnerability Sourcebook.





Vulnerability:	
What are the main societal and ecological drivers of vulnerability of the system?	
Sensitivity:	
Which attributes make the system vulnerable to potential negative impacts of the hazard(s) under consideration?	
Capacity:	
Which abilities of the societal system are in place or missing to reduce the risk of concern now and in the future?	
Consider among others:	
Is there knowledge or expertise available or missing which might aid adaptation?	
Are there technical options available or missing which could enhance capacity?	
How does the institutional environment contribute to capacity?	
Which economic and financial resources are available or missing for enhancing capacity or implementing adaptation measures?	
<p>DETERMINE EXPOSURE</p> <p><i>Exposure is the presence of people, livelihoods, species or ecosystems, environmental functions, services, and resources, infrastructure, or economic, social, or cultural assets in places and settings that could be adversely affected. Exposure is related to specific exposed elements (or elements at risk), e.g. people, infrastructure, ecosystems. The degree of exposure can be expressed by absolute numbers, densities or proportions of the elements at risk (e.g. population density in an area affected by drought). A change in exposure over time (e.g. change of number of people living in drought-prone areas) can significantly increase or decrease risk.</i></p>	
Which factors determine exposure?	
Include any photos or other visual renderings of the climate risk assessment which have been produced.	<i>Insert photo or URL here.</i>





SECTION III: Impacts of climate change and other stressors on ecosystems and implications for livelihoods

To fill in the following section use secondary research and participatory research.



Key questions	Information Collected
What are the non-climatic stressors that affect ecosystems? And how can they affect livelihoods?	
How climate-related hazards may affect resource availability, sectors and livelihoods?	
Which social groups are particularly vulnerable to the impacts? Why?	





FORM 3

RAPID ECOSYSTEM SERVICES APPRAISAL

Use this form to collect the information needed to perform a rapid ecosystem services appraisal at the site. This form will help collecting standard information needed to strategize and justify implementing the EbA measures proposed.

Site name:	
Form completed by:	
Date form completed:	

SECTION I: Map of adaptation services, main drivers and actors of land use change.

The aim is to have a spatial understanding of the relationships between land uses, people, assets at risk and ecosystems delivering services, making use of all information and maps available in the previous stages, particularly in Stage 1 (the landscape analysis). The suggested methodology to collect information appears in italics.



Key questions	Information collected
Livelihood strategies and associated activities <i>Participatory research (seasonal calendar, well-being and livelihoods discussion)</i>	
What are the key livelihood strategies?	
What are the activities associated with these strategies?	
Natural resources needed for livelihood activities <i>Participatory research (household system diagram)</i>	
What are the natural resources that are needed for the different livelihood activities?	
Major ecosystems in the study area <i>Secondary and participatory research (community resource mapping)</i>	
What are the major ecosystems in the study area?	
Describe them: approximate size, important wildlife and plants, location in relation to communities, etc.	
Why is the ecosystem important?	





Who are the main users?	
List all adaptation services provided by the key ecosystems, e.g. freshwater supply, flood control, erosion control, etc.	
Which ecosystems provide services that are vital for coping with extreme climate events and variability, and for recovering after a potential disaster? Why?	
Trends in ecosystem functionality <i>Secondary and participatory research (ecosystem service trend analysis)</i>	
Are the trends in functionality for each of the major ecosystems improving, stable or declining? (include timeframe e.g. what is expected in two, five, ten years)	
What are the main drivers of these trends affecting adaptation services?	
What are the main drivers and actors of land use change?	
Which ecosystems are the most important when considering the current and future dependence of livelihoods and sectors on their services? Consider food security, disaster risk reduction, adaptation capacity and cultural reasons.	
Locate key ecosystems, adaptation services and main drivers and actors of land use change on a map of the area.	<i>Insert photo, image or URL here.</i>





NEXT STEPS:

Task Description, including anticipated start/finish dates	Task Leader
1.	
2.	
3.	
4. <i>(Add more rows, if needed.)</i>	

TESTIMONIES/STORIES FROM THE FIELD *(To assist with project communications)*

-

ANNEXES

Save any related documentation or photos together with this form or indicate where the annexes can be found.





FORM 4

EbA STRATEGY AND **DESIGNING EbA MEASURES**

*Use this form to collect the information needed to develop an EbA strategy and design adaptation measures for the site (complete a form for each site). Complete Section I to develop the EbA strategy and design the EbA measures for **this site**. Complete Sections II, III and IV for the **EbA measure selected for this site**. In case there is more than one EbA measure for this site, copy the template for these three sections to continue adding information within the same form. Suggested methodologies to collect information appear in italics.*

Site name:	
Form completed by:	
Date form completed:	

SECTION I EbA Strategy

(Taking into account possible synergies, cost-efficiency and trade-offs)

Key questions

Proposed answers/Information collected

Together with stakeholders, define the adaptation priorities for your site considering the analysis of the context, climate risk assessment, and ecosystem services appraisal from the previous stages.

Which landscape and ecosystem components are at the base of key livelihoods and sectors, and are essential to increasing their adaptive capacity in the face of change (e.g. forest, wetland, grazing lands, and assets such as water supply facility, health center, road, etc.)?





<p>Which ones are the most vulnerable to current and future climate impacts?</p>	
<p>Which ones would clearly benefit from enhanced ecosystem services?</p>	
<p>List and map ecosystems that would deliver these enhanced services.</p>	
<p><i>Using the climate and socio-economic context and the future scenarios at hand (from Stages 1 & 2), revise the main trends potentially increasing climate risk and propose EbA measures:</i></p>	
<p>Determine which ecosystems (and services) are to be managed in order to (i) reduce current climate risks and (ii) increase future adaptive capacity according to trends under different scenarios.</p>	
<p>Based on these, propose a feasible set of EbA measures in line with the EbA goals defined when formulating your Theory of Change (Stage 1).</p>	





If necessary, perform a cost-benefit analysis aimed at selecting those EbA measures that are affordable and which best fit the socio-economic context.

Adaptation priorities identified in existing plans/policies

Secondary research

What plans or policies have already been developed for adaptation?

Consider local adaptation plans, as well as any sectoral or national-level plans or policies that identify priorities that are relevant for the study area.

Adaptation options identified by communities

Participatory research (discussion on adaptation options)

What adaptation options were identified by communities through the participatory research?

List the EbA measures proposed to implement at this site. Include the rationale for every EbA measure proposed.





<p>Does the EbA strategy have any cross-sectoral trade-offs at the watershed scale?</p>	
<p>How will the EbA strategy avoid maladaptation and negative externalities, especially at neighboring sites and within the same catchment?</p>	
<p>Summarize the EbA strategy for this site in under 200 words. (Individual EbA strategies could address more than one sector, allowing for greater synergy and cost-efficiency; these synergies should be the main target of EbA measures.)</p>	

Note: Complete the following SECTIONS II, III and IV for each measure (copy and add the sections as required).

SECTION II – Measure summary	
<i>Provide the information below for the measure that will be implemented.</i>	
#1 Name of the measure	Click here to enter text.
#2 Proposed measure Location(s) (site name(s)/GPS coordinates)	Click here to enter text.
#3 Institutional lead(s)	Click here to enter text.
#4 Implementing partner(s)	Click here to enter text.





Relevant local government partners (<i>whether directly or indirectly involved</i>) and description of involvement	Click here to enter text.
#5 Additional partners (<i>community, non-government organizations, other government partners, etc.</i>)	Click here to enter text.
#6 Brief description of the measure, including how it fits into the EbA strategy for the site:	
Click here to enter text.	
#7 What other projects are ongoing in the area that will complement the replicated measure? (include implementing organizations)	
Click here to enter text.	
#8 Describe any baselines, vulnerability assessments, or technical studies that are already available?	
Click here to enter text.	
#9 When will the implementation be started?	Displayed as MM/YY.
Type of measure:	<input type="checkbox"/> on the ground <input type="checkbox"/> capacity-building <input type="checkbox"/> policy <input type="checkbox"/> awareness raising/outreach <input type="checkbox"/> other, specify: Click here to enter text.





<p>#10 How many total (and new) people will benefit from the measure's implementation? (Disaggregate by 1) men and women and 2) by cultural group.)</p>	<p># OF PEOPLE DIRECTLY BENEFITING Enter a number. people total Enter a number. women Enter a number. men Enter a number. cultural group A, specify: Enter text. Enter a number. cultural group B, specify: Enter text. Enter a number. Additional groups, specify: Enter text.</p> <p># OF PEOPLE INDIRECTLY BENEFITING Enter a number. People total Enter a number. women Enter a number. men Enter a number. cultural group A, specify: Enter text. Enter a number. cultural group B, specify: Enter text. Enter a number. additional groups, specify: Enter text.</p>
<p>#11 If the measure involved will have an on-the-ground intervention and applicable, how many hectares are targeted for improvement?</p> <p>What is the estimated budget (USD) for implementing this measure?</p>	<p>Enter a number. hectares targeted <input type="checkbox"/> N/A</p> <p>\$Enter dollar amount.</p>
<p>#12 What is the likelihood that measure will be continued/sustained beyond the project cycle?</p>	
<p><input type="checkbox"/> Not likely <input type="checkbox"/> Somewhat likely <input type="checkbox"/> Very likely <input type="checkbox"/> Not sure</p>	
<p>#13 Briefly explain how the measure would be sustained into the future?</p>	
<p>Click here to enter text.</p>	

SECTION III – EbA Qualification Criteria





To determine if the measure is EbA, review the five EbA qualification criteria below and for each provide a short answer for how well the measure will meet that criterion.

ELEMENT A – EBA HELPS PEOPLE ADAPT TO CLIMATE CHANGE

Criterion 1. Reduces social and environmental vulnerabilities.

EbA must explicitly address current and future climate change and climate variability. It is based on assessments of climatic vulnerability, hazards and risks to people, as well as the adaptation benefits derived from ecosystem services. A combination of climate information (based on the best available scientific data and models and local knowledge) and vulnerability assessments should form the basis for implementation. EbA measures need to reduce climate vulnerability for people at an appropriate scale (e.g. at least local scale but ideally ecosystem or landscape/seascape scale).

#14

How will the measure reduce social and environmental vulnerabilities?

[Click here to enter text.](#)

Criterion 2. Generates societal benefits in the context of climate change adaptation.

EbA reduces vulnerabilities of people through the use of biodiversity and ecosystem services and by producing societal benefits in a fair and equitable manner. It addresses the needs of people, especially those who directly depend on or use natural resources and who are particularly vulnerable to climate change impacts. EbA delivers direct or indirect benefits that increase peoples' resilience to climate change, including enhanced food security, shelter, risk reduction, provision of fresh water and medicine, and local climate regulation. It also often generates additional benefits essential for sustainable development including carbon sequestration, habitat provision or medicinal resource provision. In order for EbA to support adaptive capacities it needs to distribute short-, medium- and long-term benefits. Comparative analyses on the extent and scale of adaptive capacity and resilience benefits should clarify whether EbA measures are economically feasible and can complement or substitute other adaptation options. Benefits should be distributed fairly among a representative percentage of the target group.

#15

How will the measure generate societal benefits in the context of climate change adaptation?

[Click here to enter text.](#)

ELEMENT B – EBA MAKES ACTIVE USE OF BIODIVERSITY AND ECOSYSTEM SERVICES





Criterion 3. Restores, maintains or improves ecosystem health. EbA restores, maintains and improves ecosystems, land- and seascapes, and is in line with the Ecosystem Approach. It is applied at a scale that addresses the challenge of, and integrates the trade-offs resulting from climate change, meaning it supports the stability, resilience, connectivity, and multiple roles of ecosystems as part of larger land- and seascapes. EbA encompasses measures such as ecosystem management, reinforcement and restoration of natural infrastructure, as well as the management of threats associated with the effects of climate change or anthropogenic activities. Because climate change can force changes in ecosystem composition and structure, it is important that the health and stability of ecosystem services are maintained, improved, and monitored. EbA fosters appropriate land and water management practices that support climate change adaptation, prioritize the management of key ecosystem services, and foster the sustainable use of land and coastal and marine resources (e.g. by conservation and climate-smart agriculture, soil conservation, use of water retention areas, low impact fishing). It supports the diversification of land and marine use and livelihood options such as multi-cropping, agroforestry, and the use of appropriate species and varieties. For example, this can include the introduction of species that are better adapted to climate change, as long as they do not endanger the existence of native species or become invasive. Co-management approaches that involve stakeholders from communities, government and private sector should be supported.

#16 How will the measure restore, maintain, or improve ecosystem health?

[Click here to enter text.](#)

#17 What species of local or global conservation importance will benefit from the measure?

[Click here to enter text.](#)

ELEMENT C – EBA IS PART OF AN OVERALL ADAPTATION STRATEGY

Criterion 4. Is supported by policies at multiple levels.

As part of a larger adaptation strategy, EbA operates at one or more levels (e.g. local, national, regional, landscape, and sectoral levels), and can involve supporting sectoral adaptation and multi-sectoral approaches at multiple geographic scales. It is, or becomes, an integral part of key policies and implementation frameworks targeted towards sustainable development, agriculture, land use, poverty reduction, natural resource management, climate change adaptation, and disaster risk reduction. EbA should be integrated into existing policy frameworks so that interventions can be sustainable and scalable, rather than short-term and stand-alone.

#18 How will the measure support policies at multiple levels?

[Click here to enter text.](#)





Criterion 5. Supports equitable governance and enhances capacities.

EbA enhances governance of natural resources with respect to the use of biodiversity and ecosystem services, by following a community-centered, participatory and gender-sensitive approach; it embraces transparency, empowerment, accountability, non-discrimination and active, meaningful and free participation at the local level. It should support fair and equitable sharing of user access, rights and responsibilities. The ability to adapt to climate change hinges on the ability of local people (comprising different groups, genders, customary bodies, etc.) to take on their rights and responsibilities and to be represented by officials who are accountable to them. Ownership by the people responsible for ecosystem management and by people who are using and benefiting from biodiversity can ensure that benefits emerge and are sustainable. Strong local governance needs to be embedded in higher level governance structures, which can facilitate and stimulate local action through the right policies and enabling environment.

#19

How will the measure support equitable governance and enhance capacities?

[Click here to enter text.](#)





SECTION IV Assessing EbA using quality standards

Review the quality standards for each of the qualification criteria and check the box along the continuum that best characterizes how the measure will meet these standards.

Qualification Criteria	Quality Standards	Continuum of EbA quality				Example indicators
		VERY STRONG	STRONG	WEAK	VERY WEAK	
#1. Reduces social and environmental vulnerabilities	1.1 Use of climate information	Yes, short-, medium-, and long-term <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Very limited or not at all <input type="checkbox"/>	<ul style="list-style-type: none"> Extent of information about future climate change used Quality of climate data sources
	1.2 Use of local and traditional knowledge	Yes <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Very limited or not at all <input type="checkbox"/>	<ul style="list-style-type: none"> Extent and relevance of local resources consulted (individuals, communities, NGOs) Participation of affected natural resource users during planning process Quality of consultation process
	1.3 Taking into account findings of vulnerability assessment	Yes, clearly integrating findings of climate change vulnerability assessments <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Yes, but only marginally <input type="checkbox"/>	<ul style="list-style-type: none"> Extent to which information from VA is being considered Consideration of climate risk reduction potential Extent to which ecosystem services are assessed by the VA
	1.4 Vulnerability reduction at the appropriate scale	Land/seascape scale or larger <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Local scale <input type="checkbox"/>	<ul style="list-style-type: none"> n or % of population with reduced vulnerability Effects from different scales of ecosystems are considered





#2. Generates societal benefits in the context of climate change adaptation	2.1 Quantity & quality of societal benefits compared to other adaptation options	Very high			Comparable	<ul style="list-style-type: none"> • Quantity of monetary & non-monetary benefits provided (e.g. income, resource access, reduced risks) • Quantity & quality of provisioning ecosystem services (e.g. water, food, fiber), regulating ES (e.g. erosion prevention, extreme event buffering, climate regulation) as well as supporting and cultural ES • Extent of physical asset damage or destruction avoided (e.g. <i>Saved Wealth</i> index) • Extent of avoided deaths and injuries (e.g. <i>Saved Health</i> index)
	2.2 Timescale of societal benefits demonstrated	Short-, medium, and long-term			Short- and/or medium-term	<ul style="list-style-type: none"> • Sustainability of provided benefits • Estimated or projected benefits
	2.3 Economic feasibility & advantages compared to other adaptation options	Very high			Low	<ul style="list-style-type: none"> • Positive economic & non-economic assessments (taking into account a quantification of ecosystem services benefits)
	2.4 Number of beneficiaries	High			Low	<ul style="list-style-type: none"> • n or % of benefitting people
	2.5 Distribution of benefits	Fair and transparent			Distribution questionable	<ul style="list-style-type: none"> • Distribution of benefits within and between different groups
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	





Qualification Criteria	Quality Standards	Continuum of EbA quality				Example indicators
		Very strong	Strong	Weak	Very weak	
#3. Restores, maintains or improves ecosystem health	3.1 Appropriate scale of management	Land/seascape scale or larger <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Small scale <input type="checkbox"/>	<ul style="list-style-type: none"> Size of the area (e.g. in ha) under management
	3.2 Prioritization of key ecosystem services within management	Yes, clear <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Very low <input type="checkbox"/>	<ul style="list-style-type: none"> n of indicator species (e.g. IUCN Red list) showing the quality of ecosystem and its services Valuation of n ecosystem services (esp. supporting, regulating & cultural) over time
	3.3 Monitoring of ecosystem services health & stability	Yes <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No <input type="checkbox"/>	<ul style="list-style-type: none"> Results of IUCN Red List of Ecosystems categories and criteria Results of ecosystem risk assessments
	3.4 Protection and management area coverage / diversification of land use	High coverage <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Very little coverage <input type="checkbox"/>	<ul style="list-style-type: none"> Size or % of protected area Size or % of restored area Size or % of sustainably management area Size or % of different land use systems
	3.5 Level of co-management (government, communities, private sector)	Very high <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Limited <input type="checkbox"/>	<ul style="list-style-type: none"> n of (community) management plans n of stakeholders engaged in management Level of cooperation between government, local stakeholders and private sector





Qualification Criteria	Quality Standards	Continuum of EbA quality				Example indicators
		Very strong	Strong	Weak	Very weak	
#4. Is supported by policies at multiple levels	4.1 Compatibility with policy and legal frameworks & policy support	Very high ←			Limited →	<ul style="list-style-type: none"> n of direct links between EbA measure with policies and legal frameworks Quality and type of policies that support the implementation of the EbA measure as well as its replication and upscaling n of political decision makers engaged in the process
	4.2 Multi-actor & multi-sector engagement (communities, civil society, private sector)	Very high, with different actors / sectors ←			Limited →	<ul style="list-style-type: none"> Level or % of civil society engagement in policy discussions Level or % of private sector engagement in policy discussions n of sectors involved n or % of people participating in activities
#5. Supports equitable governance and enhances capacities	5.1 Accountability & group representation	Clearly demonstrated (up and down) at the relevant scale ←			Very little demonstrated, with decisions made externally →	<ul style="list-style-type: none"> Level of accountability & transparency Level or % of civil society engagement in governance Level or % of private sector engagement in governance n or % of people participating in awareness raising or training sessions
	5.2 Consideration of gender balance and empowerment	Explicit part of the proposal ←			None →	<ul style="list-style-type: none"> Gender balance within each benefiting group
	5.3 Status of indigenous and local knowledge and institutions	Respected and incorporated ←			Not respected or incorporated →	<ul style="list-style-type: none"> n or % of indigenous or local people represented in the governance structure
	5.4 Long-term capacity to ensure sustainable governance	Very strong ←			Little or none →	<ul style="list-style-type: none"> n or % of individuals in a group of beneficiaries directly involved in governance framework





FORM 5

MONITORING AND EVALUATION (M&E)

Use this form to propose a M&E framework for the EbA measures. In Sections I and II, propose indicators for measuring the quality of the applied measure, detail a plan for establishing baselines and evaluating measure effectiveness, and record the values of baseline and subsequent assessments. Create a separate form for each measure.

Form completed by: [Click here to enter text.](#)

Date form completed: [Click or tap to enter a date.](#)



SECTION I: Defining indicators for EbA measures

Propose an M&E framework for monitoring the effectiveness of the EbA measure. If feasible, try to define **at least one** indicator that addresses each of the five EbA Qualification Criteria. For every indicator proposed below, provide:

1. **Indicator name**
2. **Indicator units**
3. **Plan for determining the baseline value, including timeline and resources required**
4. **Plan for evaluating the indicator (e.g. how often?)**

EbA Qualification Criteria	Proposed M&E framework	Example indicators
CRITERION 1. Reduces social and environmental vulnerabilities.		
1.1 Use of climate information	Click here to enter text.	<ul style="list-style-type: none"> • Extent of information about future climate change used • Quality of climate data sources
1.2 Use of local and traditional knowledge	Click here to enter text.	<ul style="list-style-type: none"> • Extent and relevance of local resources consulted (individuals, communities, NGOs) • Participation of affected natural resource users during planning process • Quality of consultation process





1.3 Taking into account findings of vulnerability assessment	Click here to enter text.	<ul style="list-style-type: none"> • Extent to which information from VA is being considered • Consideration of climate risk reduction potential • Extent to which ecosystem services are assessed by the VA
1.4 Vulnerability reduction at the appropriate scale	Click here to enter text.	<ul style="list-style-type: none"> • n or % of population with reduced vulnerability • Effects from different scales of ecosystems are considered
CRITERION 2. Generates societal benefits in the context of climate change adaptation.		
2.1 Quantity and quality of societal benefits compared to other adaptation options	Click here to enter text.	<ul style="list-style-type: none"> • Quantity of monetary & non-monetary benefits provided (e.g. income, resource access, reduced risks) • Quantity & quality of provisioning ecosystem services (e.g. water, food, fiber), regulating ES (e.g. erosion prevention, extreme event buffering, climate regulation) as well as supporting and cultural ES • Extent of physical assessment damage or destruction avoided (e.g. Saved Wealth index) • Extent of avoided deaths and injuries (e.g. Saved Health index)
2.2 Timescale of societal benefits demonstrated	Click here to enter text.	<ul style="list-style-type: none"> • Sustainability of provided benefits • Estimated or projected benefits
2.3 Economic feasibility and advantages compared to other adaptation options	Click here to enter text.	<ul style="list-style-type: none"> • Positive economic & non-economic assessments (taking into account a quantification of ecosystem services benefits)
2.4 Number of beneficiaries	Click here to enter text.	<ul style="list-style-type: none"> • n or % of benefitting people
2.5 Distribution of benefits	Click here to enter text.	<ul style="list-style-type: none"> • Distribution of benefits within and between different groups
CRITERION 3. Restores, maintains or improves ecosystem health.		
3.1 Appropriate scale of management	Click here to enter text.	<ul style="list-style-type: none"> • Size of the area (e.g. in ha) under management
3.2 Prioritization of key ecosystem services within management	Click here to enter text.	<ul style="list-style-type: none"> • n of indicator species (e.g. IUCN Red list) showing the quality of ecosystem and its services • Valuation of n ecosystem services (esp. supporting, regulating & cultural) over time





3.3 Monitoring of ecosystem services, health, and stability	Click here to enter text.	<ul style="list-style-type: none"> • Results of IUCN Red List of Ecosystems categories and criteria • Results of ecosystem risk assessments
3.4 Protection and management area coverage/diversification of land use	Click here to enter text.	<ul style="list-style-type: none"> • Size or % of protected area • Size or % of restored area • Size or % of sustainably managed area • Size or % of different land use systems
3.5 Level of co-management (government, communities, private sector)	Click here to enter text.	<ul style="list-style-type: none"> • n of (community) management plans • n of stakeholders engaged in management • Level of cooperation between government, local stakeholders and private sector
CRITERION 4. Is supported by policies at multiple levels.		
4.1 Compatibility with policy and legal frameworks & policy support	Click here to enter text.	<ul style="list-style-type: none"> • n of direct links between EbA measure with policies and legal frameworks • Quality and type of policies that support the implementation of the EbA measure as well as its replication and upscaling • n of political decision makers engaged in the process
4.2 Multi-actor and multi-sector engagement (communities, civil society, private sector)	Click here to enter text.	<ul style="list-style-type: none"> • Level or % of civil society engagement in policy discussions • Level or % of private sector engagement in policy discussions • n of sectors involved • n or % of people participating in activities
CRITERION 5. Supports equitable governance and enhances capacities.		
5.1 Accountability & group representation	Click here to enter text.	<ul style="list-style-type: none"> • Level of accountability & transparency • Level or % of civil society engagement in governance • Level or % of private sector engagement in governance • n or % of people participating in awareness raising or training sessions
5.2 Consideration of gender balance & empowerment	Click here to enter text.	<ul style="list-style-type: none"> • Gender balance within each benefiting group





5.3 Status of indigenous and local knowledge and institutions	Click here to enter text.	<ul style="list-style-type: none"> n or % of indigenous or local people represented in the governance structure
5.4 Long-term capacity to ensure sustainable governance	Click here to enter text.	<ul style="list-style-type: none"> n or % of individuals in a group of beneficiaries directly involved in governance framework

SECTION II- MONITORING DATASHEET

Use this sheet to input baseline data and subsequent data collected on indicators.

	Relevant EbA Qualification Criterion (from Section I)	Indicator name	Indicator units	Baseline value	Date of baseline assessment		Value at first assessment	Date of first assessment		Value at second assessment	Date of second assessment	
					Planned	Actual		Planned	Actual		Planned	Actual
Ex.	3.3 Monitoring of ecosystem services, health, and stability	Area of pasture with high moisture content	# ha	25 ha	25 May 2018	30 May 2018		30 April 2019			30 April 2020	
1												
2												
3												
4												

Add new rows if needed.

NOTES:





FORM 6

FIELD REPORT FORM

Complete the following report form after any trip related or relevant to ecosystem-based adaptation activities.



TRIP DETAILS	
COMPLETED BY:	
DESTINATION(S):	
TRIP DATES:	
OBJECTIVES:	

TEAM MEMBERS PRESENT:		
Name	Institutional Affiliation	Role in relation to the Project
1.		
2.		
3.		
4. <i>(Add more rows, if needed.)</i>		

OTHER PARTICIPANTS:	Save a copy of the attendance sheet together with this form. Attendance sheets should include name, institution, and gender to contribute to end-of-year reporting.
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MAIN ACTIVITIES AND ACHIEVEMENTS <i>(e.g. meters of fencing installed, number of seedlings planted, etc.):</i>
<ul style="list-style-type: none">

NOTABLE OBSERVATIONS <i>(about weather/climate, natural resources, stakeholder comments, political/social areas of interest, etc.):</i>
<ul style="list-style-type: none">

POTENTIAL OR ACTUAL CHALLENGES AND OPPORTUNITIES:
<ul style="list-style-type: none">





NEXT STEPS:

Task Description, including anticipated start/finish dates	Task Leader
1.	
2.	
3.	
4. <i>(Add more rows, if needed.)</i>	

TESTIMONIES/STORIES FROM THE FIELD *(To assist with project communications)*

-

ANNEXES

Save any related documentation or photos together with this form or indicate where the annexes can be found.





FORM 7

MAINSTREAMING EbA

Use this form to identify what is needed in order to mainstream EbA into local, municipal and national policies relevant for increasing the resilience of people and ecosystems to changing climatic conditions. Only complete this form once per country (in case working in more than one) and update as new opportunities are identified throughout the life of the project.

Form completed by: Click here to enter text.

Date form completed: Click or tap to enter a date.



SECTION I Policy influencing SWOT analysis

Complete this section brainstorming with the team and appropriate stakeholders if available.

Strengths	Weaknesses
Opportunities	Threats





SECTION II Policy opportunities and plans

	Policy opportunity	Responsible department	Responsible person	What to do?	How?	By when?	Team member in lead
<i>Ex.</i>	<i>NDC Revisions</i>		<i>/</i>	<ul style="list-style-type: none"> <i>i. Part of NDC Roundtable/Committee on adaptation</i> <i>ii. Influencing TORs for NDC revision should have EbA component</i> 	<ul style="list-style-type: none"> <i>i. Network with MoEF focal person on NDC</i> <i>ii. Policy Brief on NDC and EbA</i> <i>iii. Organize Stakeholders Consultation on NDC revision</i> <i>iv. Engage with the consultant for NDC revision</i> 	<ul style="list-style-type: none"> <i>i. June 20xx</i> <i>ii. Sept 20xx</i> <i>iii. Jan 20xx</i> <i>iv. As and when required</i> 	<i>A.Perez</i>
1							
2							
3							
4							
5							

Add new rows as needed.

