VCCCAR Implementing Adaptation Project

Facilitating adaptation

Lessons learnt from engaging and supporting the primary health and community services sector in climate change adaptation

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Disclaimer
The views expressed herein do not represent those of the Victorian Government, VCCCAR, or any of the organisations that participated in the study. They are the views and interpretations of the report authors.

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Executive Summary

Managing climate change risks is now imperative for community and primary health organisations supporting clients in need. Health and wellbeing are strongly related to socio-economic drivers, the inequalities of which are worsened by climate change impacts on human and natural systems. Organisations therefore need to build adaptive capacity in order to maintain the services they provide, in the face of short, medium and long-term climate impacts.

The main purpose of this report is to present a case for the design and implementation of a program to engage government-funded agencies and service providers in planning for climate change through adaptation. The report focuses on increasing the adaptive capacity or organisations in the primary health and community services sector in Victoria, but the recommendations can be applied to other sectors.

The arguments presented in this report are supported by the research findings of the *Implementing Adaptation* project; a project funded by the Victorian Centre for Climate Change Adaptation Research (VCCCAR). The research pointed to a range of factors that develop organisational adaptive capacity and make climate change adaptation planning workable for different sized organisations. The recommended program encompasses the following elements.

- A set of seven **principles** for organisations to consider and adopt in designing and implementing processes that increase adaptive capacity with stakeholders.
- A way of **categorising organisational adaptive capacity** to establish the context in which adaptation process will take place.
- A set of **activities for effective adaptation planning** that help to facilitate learning and practical action.
- Guidance for **selecting tools to support adaptation** planning and implementation, according to the different needs and context of organisations.
- Advice for **crafting a process** tailored to increasing an organisation's adaptive capacity

The report also sets out a role for government in supporting adaptation that enables organisational learning and adopts a collaborative approach. A key element of such a capacity-building program is making use of facilitators, either internal or external, who engage deeply with organisations.

The overriding goal of the program described is to increase the adaptive capacity of organisations in the face of climate change. Recognising that context varies greatly by geography, sector and organisation, the evidence from our research and the literature supports this focus on learning and facilitating to adapt.

1 Planning for a changing climate

in the primary health and community service sectors

1.1 Purpose of this report

This report presents the design of a program, based on the evidence of the *VCCCAR Implementing Adaptation* project, to engage government funded agencies and service providers in planning climate change adaptation. The report focuses on findings from engagement with funded agencies and service providers in the primary health and community services sector in Victoria, but many of the points made in this report can be applied to other sectors and geographic areas in Australia.

Climate change interacts with human and other natural systems

The report does so by describing:

- A set of seven **principles** for organisations to consider and adopt in designing and implementing processes that increase adaptive capacity with stakeholders. These principles are intended to support organisations in facilitating effective climate change adaptation.
- A way of **categorising organisational adaptive capacity** to establish the context in which adaptation process will take place. This framework is intended to support organisations gain an understanding of their adaptive capacity, and the accompanying self-assessment can be used as a baseline to help determine appropriate adaptation planning activities and tools;
- A set of **activities for effective adaptation planning** that help to facilitate learning and practical action.
- Guidance for **selecting tools to support adaptation** planning and implementation, according to the different needs and context of organisations.
- Advice for **crafting a process** tailored to increasing an organisation's adaptive capacity. This is intended to support government funded agencies and service providers in undertaking climate change adaptation planning.

1.2 Climate change adaptation: reasons to act

The *Implementing Adaptation* project produced an extensive review of relevant literature on the impacts of climate change on the primary health and community services sector[1]. The review found that the impacts of climate change for primary health care and community welfare sectors will mainly be the consequence of the interaction between human systems (including health and social support systems), the changing global climate, and other natural systems. This is because health and well-being is strongly dependent on socio-economic drivers, such as income, housing, employment, education, gender and lifestyle – elements that are themselves vulnerable to climate change. The

[1] Fünfgeld et al., 2013

literature highlights that mortality and morbidity will increase due to a range of direct and indirect effects of climate change on human populations:

- Increased food insecurity and malnutrition,
- Cardio-respiratory diseases,
- Heat stress,
- Diarrhoeal diseases,
- Changes in the distribution of infectious disease pathogens,
- Increases social and economic disadvantage and ensuing adverse health and well-being outcomes.

This understanding has led some scholars to describe climate change 'the biggest global health threat of the 21st century'[2].

At the organisational level, community and primary health organisations, responsible for delivering a significant portion of health and human services, are known to be vulnerable to extreme weather events5. Impacts are known to include damage to organisational assets, staff unable to access their workplaces, negative psycho-social impacts on staff, surges in client demand, and disruption to supply chains and services (e.g. transport, internet, email, telephone). Government funded agencies will need to engage in adaptation planning to maintain organisational capacity and ensure service delivery and client outcomes in the face of climate change.

At the social level, the economic impacts of climate change will adversely affect existing recipients of services provided by government and community service organisations and will likely increase the client pool of disadvantaged Victorians. It is likely that economic impacts will also adversely affect the social determinants of health and wellbeing, leading to decline in population health, particularly in disadvantaged groups. An increase in disadvantage, and adverse health and wellbeing outcomes, is likely to increase the overall demand for social and health services.

Climate change impacts on human health and well-being

The impacts of climate change will therefore likely see a decline in public health and wellbeing, worsen existing health inequalities, and lead to uneven distribution as well as additional health and wellbeing burdens for a growing pool of lower income groups, and certain vulnerable groups, such as children, those working outdoors, the elderly, disadvantaged women, the homeless and people with a disability and/or a pre-existing illness.

With respect to the potential implications of climate change for human health and well-being, stresses created by climatic changes add another layer of complexity to the already intricate processes affecting morbidity and mortality; including but not limited to individual behaviour, demographics and social determinants, and the effects of policy decisions.

[2] Costello et al., 2009

Adaptation is the primary means of dealing with the unavoidable impacts of climate change. It is a mechanism used to manage risks and adjust activities to reduce vulnerabilities. It is also a process by which organisations become aware of the impacts of climate change on their organisation and clients, and the need to prepare for these impacts in the short, medium and long term, through strategic and operational planning.

Adaptation means planning and building capacity for handling change

Adaptive capacity is defined here as the extent to which an organisation is able to make well-informed, short and long-term decisions to plan for and respond to the negative impacts of climate change and take advantage of the potential opportunities posed by climate change[3].

Under a changing climate, planning for and building capacity to adapt needs to be considered as part of any organisations' due diligence and duty of care processes, no matter how large or small the organisation. For the primary health and community services sector, adaptation planning means:

- Accepting that our climate will change more rapidly and become more volatile than we have been used to;
- Considering the possible business impacts of both gradual and abrupt changes to our climate, in particular the increasing frequency and intensity of extreme weather events;
- Focusing on anticipatory planning rather than reactive crisis management;
- Balancing long-term strategic planning with making all relevant preparations for climate-related events in the short term;
- Incorporating these considerations into all strategic planning and operational processes.

Organisations in the primary health and community services sector are at the forefront when it comes to caring and providing support for disadvantaged groups and people in need of health care. As an aggregate of hundreds of organisations that support people in need, the sector has a considerable ability to help reduce and avoid harm and additional burden to people as a result of climate change and therefore represents a significant social asset that itself needs improved resilience capacity in the face of climate change.

1.3 Background: The '*Implementing Adaptation*' project

This report is the final output of research project titled 'Implementing tools to increase adaptive capacity in the natural resource management[4] and community sectors' (called '*Implementing Adaptation*' throughout this report), which was funded by the Victorian Centre for Climate Change Adaptation Research (VCCCAR[5]) and the Victorian Department of Health. The project was carried out from September 2012 to November 2013, in collaboration with catchment management authorities, community service organisations, primary care partnerships and key government representatives

[3] Ballard et al., 2013; (Kuruppu et al., 2013)
[4] Note that this report does not cover research conducted with natural resource management organisations.
[5] VCCCAR, 2013

from the Department of Environment and Primary Industries, the Department of Health and the Department of Human Services in the state of Victoria, Australia.

The project used a collaborative, action-research approach to enable *social learning* by co-development of knowledge and adaptation outcomes with all project participants, including the research team. Social learning signifies both a process of social change in which people learn from each other, and an outcome where a group creates the ability to change their practices and work together to improve a situation. Creating the conditions to enable social learning requires that awareness of the complexity of social and biophysical systems is raised, different world views are accommodated, and methods for joint inquiry are fostered[6].

This report therefore provides evidence that a program based on facilitating social learning, partnership development and the co-production of knowledge is a highly effective and practical approach to adaptation planning.

Project goals & objectives

The main goal of the *Implementing Adaptation* project was to gain a better understanding of the climate change adaptation capabilities and needs of government funded agencies and service providers in the natural resource management and community sectors[7]. In addition, the project sought to test 'tools' for climate change adaptation planning in different organisational contexts. Due to timing issues and competing plan processes nationally, the natural resource management component of the project was suspended from this study. This report focuses on the findings for the primary health and community services sector, drawing on research conducted with community service organisations (CSOs) and primary care partnerships (PCPs) in Victoria.

The project's objectives were to:

- Generate knowledge about the needs and capacities of Victorian government service providers and funded agencies in implementing climate change adaptation planning;
- Identify barriers, issues, solutions and opportunities within these organisations to implement adaptation; and
- Uncover the key elements of an engagement program that supports adaptation, based on tested adaptation planning tools and associated processes, to inform future investment in policy and program development.

Project design & approach

The project design sought to put the concept of social learning into practice, where researchers and participants interact and collaborate to develop a shared understanding of a given situation (in this case,

[6] See Reed et al. 2010 for a basic attempt at defining social learning, or Ison et al. 2013 for consideration of the meanings generated by different metaphors of social learning, or or Pelling and High (2005) for the role of social learning in climate change adaptation.
[7] Further information on the process, including all published reports, can be found on the project website: http://www.vcccar.org.au/implementing-tools-to-increase-adaptive-capacity-in-community-and-natural-resource-management

climate change adaptation planning). The approach was used to enable researchers to support development of practical adaptation planning processes while also gaining a better understanding of the context (Phase 1), needs, options and limitations (Phase 2) for adaptation planning within the sector's organisations. A lack of robust evidence and in-depth understanding on how adaptation planning might occur in the sector demanded a facilitative approach, where mutual and shared learning between researchers and participants from funded agencies and service providers was considered critical. This perspective contrasts with more common research approaches where researchers enter organisations as experts to identify and acquire existing knowledge.

This action-research based project was conducted in three phases, each of which had specific inquiries and research outputs at their centre (Figure 1 below). The first phase involved scoping the research through consultation with cross-sector stakeholders. The second phase involved conducting a literature review and a series of 72 interviews. The third and final phase of the study involved highly engaged action research with two community service organisations and three primary care partnerships. This six-month phase culminated in a final stakeholder workshop, during which project findings were shared with the wider sector and where additional feedback on research outputs was sought. Findings and insights from the action research (phase 3) as well as the interviews (phase 2) form the basis of the suggested principles, activities and tools, and the suggestions regarding the design of a program to support organisations in climate change adaptation planning.

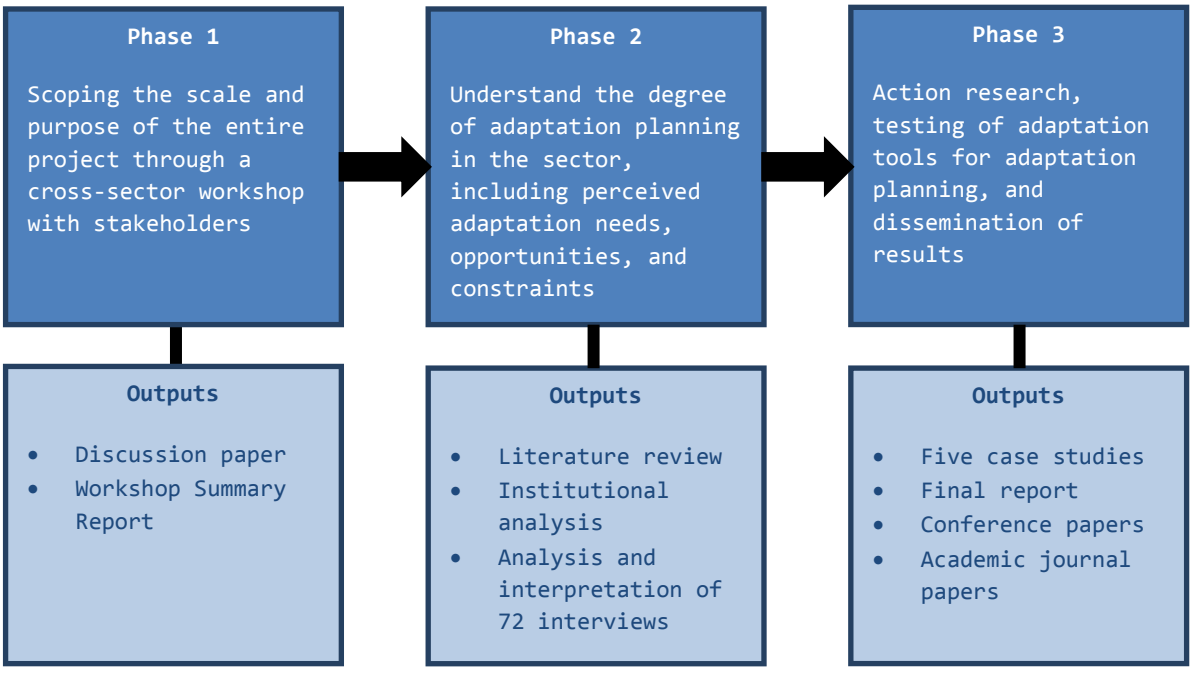

Figure 1: Phases and outputs of the *Implementing Adaptation* project

2 Process design for increasing adaptive capacity

in primary health and community service organisations

2.1 Crafting a process tailored to an organisation's adaptive capacity

The main goal of the proposed process is to move organisations from an assessment of current adaptive capacity to practical actions that will improve their adaptive capacity. In embarking on this process for the *Implementing Adaptation* project, the researchers were guided by social learning approaches, and adopted a program design that was responsive to organisational context, could motivate active participation, and ultimately improve adaptive capacity. The program design needed to accommodate a tailored and flexible process, crafted to suit each organisation, where a facilitator initiated and steered a suite of activities that, over time, amounted to a structured course for adapting to climate change. This program logic had the following four broad stages:

- Facilitators (in this case the researchers involved in the *Implementing Adaptation* project) meet with all key staff from the organisation and explore the organisation's past and present situation within the context of climate change, through a range of activities and methods;
- Staff and facilitators discuss what activities and processes might help improve this situation;
- Staff and facilitators engage in a set of concrete adaptation planning activities, such as setting goals for adaptation, raising awareness on climate change within the organisation, or developing objectives for adaptation to be included in the organisation's strategic plan;
- Staff and facilitators reflect on the process to date and record any lessons learnt, to inform future adaptation activities.

During the project, these four parts occurred over the course of six months, centred on four workshops or meetings between staff and facilitators (researchers). At the end of these structured activities, the participating organisations were on a trajectory towards higher levels of adaptive capacity.

One of the main reasons for the success of this approach was that the four-part structure anchored the entire process in a series of mutually agreed interactions, where all participants would meet face-to-face to move together through a learning and planning process. An important factor in crafting an adaptation process is flexibility, which allows for the emergence and pursuit of new ideas and activities that were not anticipated at the outset.

This four-part program logic, however, only provides a form that embodies a set of guiding principles and accommodates a range of activities, which amount to much of the practice content of the process.

2.2 Success factors for developing organisational adaptive capacity

The research pointed to a range of success factors that enabled developing organisational adaptive capacity and making climate change adaptation planning workable for different sized organisations. The following is based on a thorough analysis of those factors, and each component described below is an important dimension in developing an organisation-specific approach to adaptation planning:

- Agreeing on principles for organisations engaging in adaptation
- An evaluation of organisational adaptive capacity
- Activities to establish the context and build capacity and confidence for action
- Guidance on employing tools to support adaptation planning.

These four components should be considered when designing organisational processes to enable effective adaptation planning. A schematic of the process components is outlined in Figure 2.

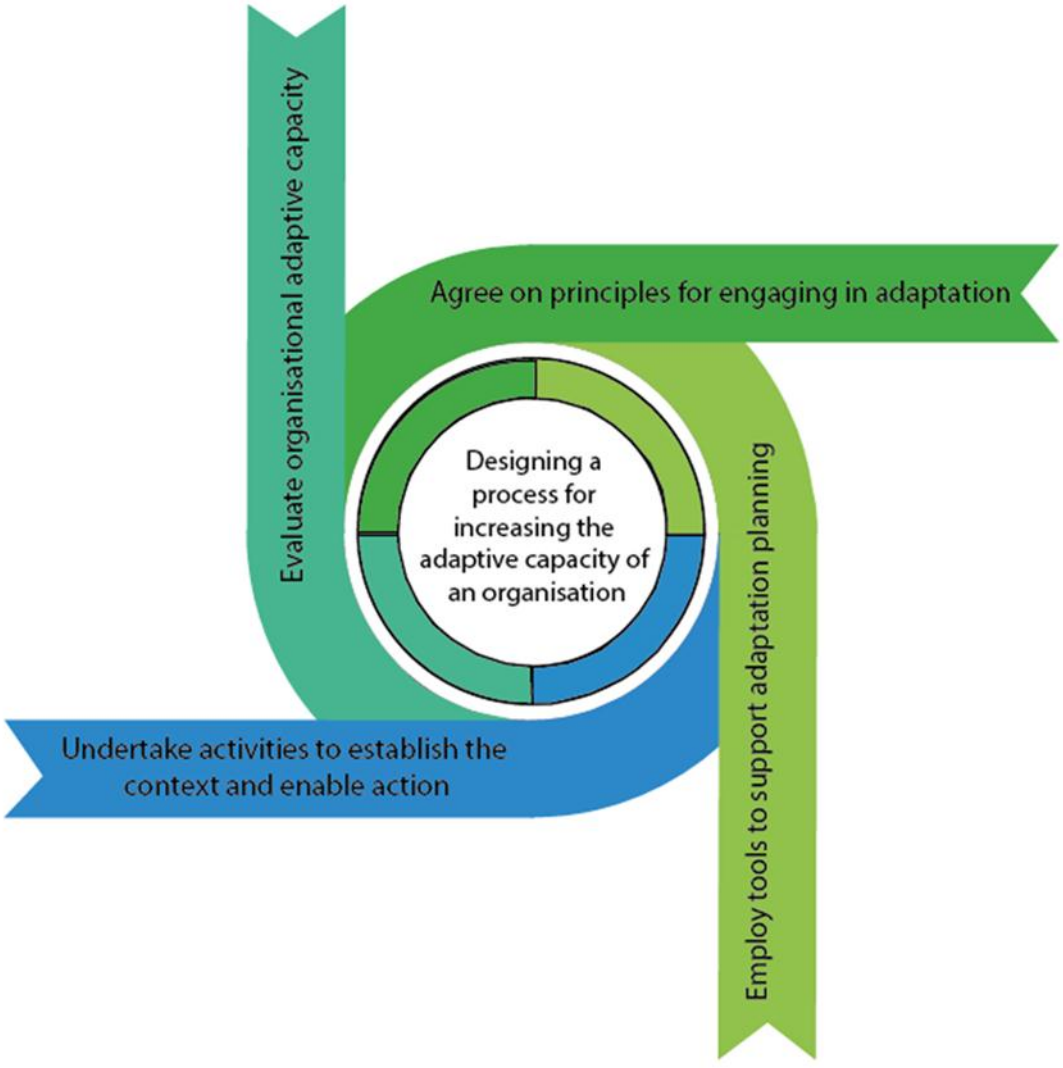

Figure 2: Components for designing a process to increase organisational adaptive capacity

Agree on principles for engaging in adaptation

The seven **principles for organisations engaging in adaptation** (section 2.1) are a guide for the sector's funded agencies and service providers, or those engaging with them, to consider prior to and throughout their adaptation planning processes. Adoption of these principles can be considered good practice when engaging in any process or conversation involving complex issues and multiple stakeholders. These principles are based on the experience of the *Implementing Adaptation* research project.

Evaluate organisational adaptive capacity

The concept of **organisational categorisation** (section 2.4) draws upon the work of Ballard et al. (2013)[8], which investigates ways to characterise the adaptive capacity of organisations in the UK. This work defined characteristics of adaptive capacity under four strata ranging from low to high. Reflecting upon Ballard's work and findings from all phases of the *Implementing Adaptation* project[9], the project developed a **self-evaluation process for organisational categorisation** (Appendix: p.0). A continuous self-evaluation over a regular reporting period is considered the best option, commencing with a baseline evaluation. Such an approach aligns with the sector's reporting requirements (PCP Program Logic 2013-2017[10]), principles of formative monitoring (*ongoing* versus summative, end-point monitoring), and evaluation of adaptation planning[11]. Self-evaluation enables awareness-raising and reflection, a critical ingredient in building organisational adaptive capacity.

Undertake planning activities & make use of adaptation tools

Section 2.5 provides guidance in exploring and selecting **activities to build momentum** for adaptation planning. Section 2.6 provides guidance in selecting **tools to increase the adaptive capacity** of organisations according to their different needs and capabilities.

The overarching aim of these activities is to create a setting where those involved can **jointly design a process to increase adaptive capacity of the organisation** (section 2.1) with the intention that over time, many organisations will progress through to higher levels of adaptive capacity, supported by context-appropriate activities and tools[12], and ultimately develop adaptation plans

[8] Ballard et al., 2013
[9] Interviewees and participants in all phases of the project expressed interest in a self-assessment tool that would allow organisations and/or individuals within the organisation to 'take-stock' of how their organisation compared to others with regard to making progress on climate change adaptation.
[10] Victorian Government, 2013
[11] World Bank, GIZ, & Federal Republic of Germany, 2012
[12] There may be instances where it is not feasible or not deemed critical (for service provision, avoiding harm etc.) that an organisation reaches the highest level of organisational capacity.

2.3 Principles for organisations engaging in adaptation

Climate change adaptation is an emerging field of policy, research and practice. Because it is a novel concern for most primary health and community service organisations, adaptation planning efforts require the formation of solid working partnerships and establishment of trust between people with a range of skills and knowledge. Partners who trust each other can build upon their existing strengths, knowledge and experience, to develop new approaches and processes as their collective understanding of the issues, options and challenges grows. Research conducted for the *Implementing Adaptation* project confirms experiences documented in the literature, which reveal that adaptation is dependent on context and relationships, and that these relationships need to be active, positive and attended to.

By developing genuine partnerships with clients, member agencies, researchers and policy makers, participants involved in adaptation planning are better able to find practical, feasible and agreed ways to develop and implement an adaptation plan. These same factors gradually build individual and organisational adaptive capacities. Experience in the *Implementing Adaptation* project reinforces arguments in the literature that adaptation planning functions best when it is a facilitated process[13]. This facilitated process would involve facilitators helping to cross boundaries of established institutional domains, such as research, policy and practice. In this context, facilitators are not 'adaptation experts' but rather work collaboratively with the organisation or group wanting to undertake adaptation planning, in order to:

- Inquire into the current situation and understand the influence of past activities
- Identify the purpose and goals of adaptation;
- Agree on principles for adaptation;
- Assist with accessing and interpreting relevant information, including the climate change science;
- Explore activities and tools that may help the group work effectively.

Rather that considering facilitators as experts brought into a process in a once-off, ad hoc fashion, adaptation planning based on a social learning approach relies on the expertise brought to the process by all parties. It relies on everyone's willingness to learn from each other to jointly create approaches and outcomes that are meaningful and useful to all.

Drawing again on the experience of the *Implementing Adaptation* project, seven

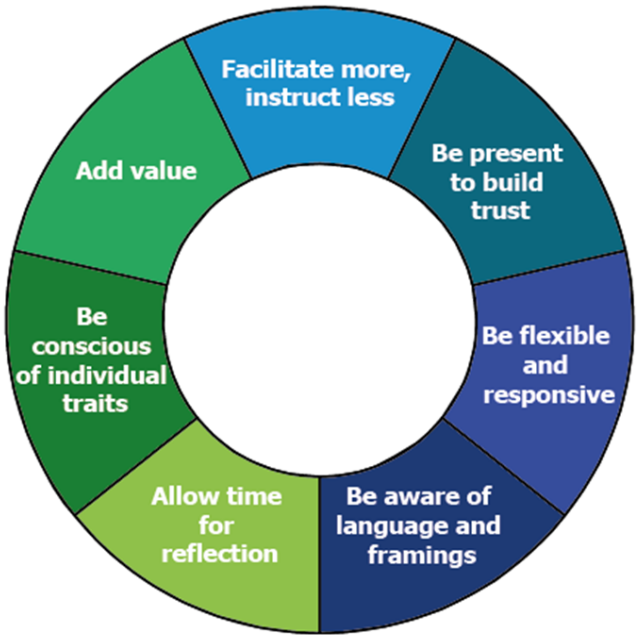

Figure 3: Seven principles for effective adaptation planning

[13] Pahl-wost et al., 2008

principles are presented as guidance for engaging organisations in climate change adaptation planning. The overarching purpose of these principles is to support the trust building among participants, which was the single most important success factor for the collaborative adaptation planning processes employed in the *Implementing Adaptation* project. Support for each principle is evidenced by data from the research, such as the quotes below, taken from interviews, to illustrate each principle's meaning and origin.

Principle 1: Facilitate more, instruct less

Facilitation is vital when engaging organisations in a complex new process such as climate change adaptation; conversely, instruction or dictating should be avoided. Good facilitation is paramount to support individuals, enable open debate, navigate adaptation as a concept, and to translate terminology and methods into a specific organisational context. The adaptation facilitator (whether someone from within the organisation or an external person) can gradually transition from a facilitative to a participant role, as the organisation develops capacity and takes ownership of the adaptation planning process.

> *"I was really impressed with Sarah's facilitation skills – excellent job on her behalf and it was impressive to see [the organisation] take the lead. …I felt that [they] could do everything themselves but it was good to have us there as a backup…"*
>
> Researcher reflections[14]

> *"Sally facilitated Step 1 and the LCLIP process brilliantly. Could not have done this better ourselves. Always carefully listening to what was being said, allowing everyone to speak and constantly reflecting and checking answers from the group."*
>
> Researcher reflections

Principle 2: Be physically present

To build trust and provide support to the organisation and its members, it is important to be present and available (via email and telephone) as consistently and frequently as possible, including travelling to the participants' place of work. We found weekly Contact between facilitators and the organisation via phone, and monthly face-to-face meetings of several hours were ideal. Regular face-to-face meetings and quick responses via email and telephone built good working relationships and trust. In particular when time is a constraining factor (e.g. when working within tight project time frames), face-to-face meetings are critical for quickly establishing good rapport.

> Researcher: *Would [the adaptation planning process] feel different if we were [facilitated by someone] from the Department of Health?*

[14] Participants names are withheld for privacy reasons.

Participant 1: *"Yes, because you don't have the opportunity to create a relationship."*

Participant 2: *"If it were a department person, it would be a different person every month. Consistency has been so important…We feel relaxed and comfortable with the research team [and have developed] a mutual trust and respect. Time is useful to build that."*

Principle 3: Be flexible and responsive to arising needs

Being responsive to the evolving needs of individuals and the organisation as a whole is a critical aspect of successfully facilitating an adaptation planning process. Flexibility of approach is vital for effective engagement because there are a variety of forms, functions and roles at play within organisations; and adaptation planning requires people from different parts of the organisation to work together on an often new and largely unknown issue. As trust develops, individuals will contribute their own history, assumptions and understanding of adaptation and context, as well as details about the organisation that will require flexibility in the adaptation planning process. Adaptation means flexible, adaptive decision-making that allows for making adjustments when new information becomes available.

"I am really enjoying working with [the researchers], their support & guidance, flexibility, manner and approachability has really enhanced this project."

Participant reflections

Principle 4: Be aware of language and framing

When engaging with an organisation, the use of terminology, associated acronyms and technical references can engage or disengage individuals. The conceptual lenses through which problems are viewed and meaning is construed by individuals and organisations are sometimes referred to as 'framing'. At the outset of adaptation planning processes, it is useful to develop a mutual understanding of adaptation among all participants, including clarifying new terminology and deciding how it will be used throughout the process. The organisation's dominant framing of key problems (including but not limited to adaptation) should be actively embraced and worked with, so that adaptation can be best linked to the organisation's current ambitions and agendas, operations and service delivery.

"Meeting 3 was a good example of how climate change can be framed in a number of different ways. [The organisation] frame climate adaptation as environmental justice and therefore perceive the issue of climate change differently. This to a large extent accounts for the fact that they will produce very different outcomes than other organisations using the same tool."

Researcher reflections

Principle 5: Allow time for reflection

Regular, systematic reflection on process and content by individuals enables continuous learning within an organisation and sets the tone and focus for a flexible and reflexive adaptation planning process. Structured reflection can be facilitated as part of a dedicated portion of a meeting, to consider questions such as: "What was new?", "what was challenging?", "what was the most important point?", "what am I taking away?", and "has my perspective/attitude changed?".

Documenting answers to these questions highlights an individual's development of understanding and changing attitudes through the adaptation planning process, and sharing reflections regularly and openly in the group facilitates organisational learning and the development of trust.

> *"Evaluating and reflecting on the process was really important and valuable. It helped me understand what we had learnt and also tested me to think why it had worked."*
>
> Participant reflections

Principle 6: Be conscious of the role of individuals

Individual personality, character and behaviour influence the development of professional relationships and building respect and trust. Effective and considerate facilitation requires the facilitator to become aware of expectations, individual preferences and personality traits, so as to engage directly, at a personal level with all participants. Individual behaviour and dominant personalities can affect the entire adaptation planning process, whether it is by individuals challenging processes and thinking, extroverts dominating over introverts, or optimists overriding the views of pessimist. It is vital that differing personalities are acknowledged and that the facilitator takes these into account accordingly.

> *"I do wonder how much of the success of the project was heavily based on the personalities of the team. [The researchers'] positive, enthusiastic and organised personality is so engaging, and [their] remarkable ability to take the disorganised words from us and make such profound sense has been amazing and enjoyable to work with the research team."*
>
> Participant reflections

Individuals are more likely to invest their time and effort if they feel that the adaptation planning process and the methods and tools utilised will contribute to their organisational responsibilities, to the effective delivery of services, or to their professional development. It is therefore vital to discuss and demonstrate the multiple benefits of being involved and engaging in an adaptation planning process, especially given the common resource constraints in the sector. Through open discussion, an organisation should be supported in articulating how adaptation planning will contribute to making progress with existing agendas and the organisation's mission. A discussion on individual expectations can help clarify how the process will add value to individuals and the organisation as a whole.

> *"[This project] has helped build our capacity in terms of confidence, tools and processes… as opposed to 'here is an [adaptation] planning answer'. You've developed our skills and capacity to be able to do the [adaptation] planning."*
>
> *"Providing the opportunity for us to articulate and document some of the processes and learnings that we have gone through over the past few years in our climate change work journey…it is reinforcing what we were thinking and experiencing and putting it into a bigger picture context."*
>
> Participant reflections

The seven principles above highlight that building organisational adaptive capacity requires a *process* of active engagement with the organisation's needs, current practices and level of capacity and knowledge. Excellent communication skills on behalf of the facilitators are paramount, as are allocating sufficient time to develop good working relationships and trust. Many of the points made in the seven principles equate to standards for good collaborative practice and learning, irrespective of whether climate change adaptation planning is the task or another issue. At an organisational level, adaptation planning is a challenging task, however, and adhering to these principles is critical to success.

2.4 Categorising organisational adaptive capacity

All phases of the *Implementing Adaptation* project reflected an argument commonly presented in the literature that adaptation is an inherently context specific process. To determine appropriate and effective adaptation planning activities and tools for an organisation, it is necessary to first gain a better understanding of the organisation's current adaptive capacity.

As described earlier, *adaptive capacity* is defined as the extent to which an organisation is able to make well-informed, short and long-term decisions to plan for and respond to the negative impacts of climate change and take advantage of the potential opportunities posed by climate change[15].

Although not implemented throughout the Implementing Adaptation project, a method has been developed to assist organisations in gaining an initial sense of their adaptive capacity (see Appendix). Adapting the work of Ballard et al. (2013), this process can be used as a self-assessment or formative (i.e. *ex ante*) evaluation. This method is based on categorising organisations into one of four levels of adaptive capacity[16], which are graphically presented in Figure 4 and described below.

Low capacity

Organisations that have not yet begun to take action on climate change adaptation or are at the very first steps. Within the *Low* capacity level are two sub-categories:

LoLo capacity

Organisations with no plans to act on adaptation. These tend to be smaller organisations that make few long-term decisions.

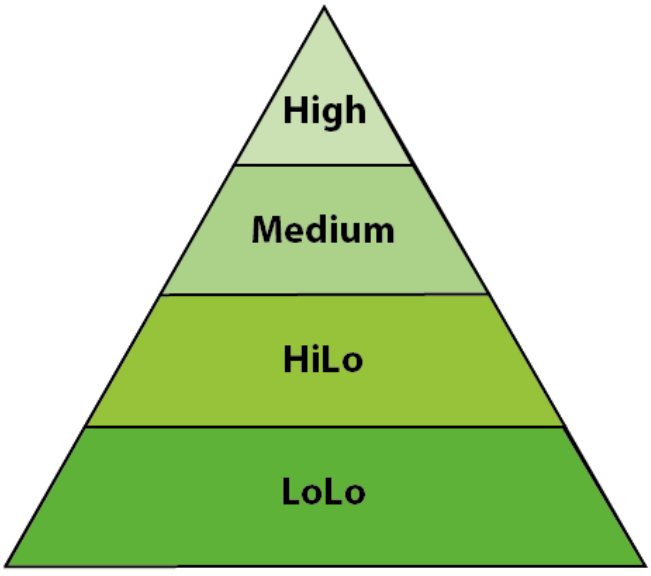

Figure 4: Four levels of organisational adaptive capacity [16]

[15] Ballard et al., 2013; Kuruppu et al., 2013
[16] Adapted from Ballard et al., 2013

HiLo capacity

Organisations that recognise they may need to act on adaptation in the future but have not commenced action or are at the very earliest stages. These organisations take longer-term decisions, recognise that there may be substantial risks associated with climate change, but they have minimal expertise in this field.

Medium capacity

Organisations that have commenced some adaptation work, often because they have recognised the increasing relevance of current extreme weather events to their operations. Adaptation action occurs in this context in response to current weather events, rather than consideration of potential new climate impacts that lie further than ten years in the future. Adaptation action is rarely integrated and is undertaken on an *ad-hoc* basis in medium capacity organisations. Typically, only a few representatives are tasked with adaptation responses and these people often feel unsupported in their work.

High capacity

These organisations have begun to take strategic action on potential future climate impacts, alongside considering current weather risks, and see adaptation work in terms of profiting from opportunities, not just avoiding danger. High capacity organisations are good at creative long-term planning, hold a good grasp on the scientific basis of climate change, and actively integrate adaptation considerations throughout their operations and with all stakeholders. These organisations may acknowledge that their expertise represents value to other organisations and stakeholders.

High capacity organisations can also be considered 'well-adapting organisations'[17] and may display many or all of the following characteristics:

- They have visible and supported climate champions who understand and promote adaptation, and their executives actively sets goals and advocates and resources initiatives on climate change adaptation;
- They clearly state climate change adaptation objectives in their corporate strategies and regularly review them as part of the broader strategic framework within the organisation;
- They have already undertaken comprehensive risk and vulnerability assessments for priority activities at early stages of the business planning cycle;
- They are able to access and disseminate scientifically based, workable guidance on adaptation and can translate this into train operational staff;
- They have flexible structures and processes in place to assist organisational learning, up-skilling and various means of mainstreaming adaptation within codes of practice;
- Their adaptation pathways are guided by the precautionary principle to delivery 'low-regret' anticipatory solutions that are robust to uncertainty about all future risks, including climate change;

[17] Adapted from Lonsdale et al., 2010; Wilby & Vaughan, 2011

- Their stakeholder networks promote sharing information, pooling resources and endorse complementary adaptation goals across stakeholder groups, with multiple benefits across systems and scales;
- Their adaptation actions are monitored and publicly reported against clearly defined targets;
- They promote and enable effective communication with internal and external audiences around raising risks and opportunities associated with climate change; they realise behaviour changes; and they promote innovation and demonstrate adaptation in action.

2.5 Activities for effective adaptation planning

Alongside the principles for effective engagement in adaptation planning (Section 2.1), the Implementing Adaptation project also identified structured and tailored activities as another important component in the adaptation planning process. These activities played a significant role in facilitating productive group workshops, building momentum for undertaking an adaptation planning process, and created focal points for conversations. These in turn led to shared learning between researchers and staff from the organisations, and provided the organisations additional skills. The activities adopted were grounded in *soft systems methodology*, a systemic approach for dealing with complex problematic situations in a real-world context, where those involved lack a common agreement on what constitutes the problem[18]. This approach included the following activities:

- Context setting and organisational historical timelines,
- Rich picturing,
- System mapping,
- Discussion-based evaluation activities during the final stage, and
- Structured individual reflections at the end of each workshop.

Each activity is summarised below to provide the reader with an understanding of the importance of structure, well-planned activities that are based on the earlier identified principles of engagement in adaptation planning.

Context setting and organisational historical timelines

An important starting point for undertaking an adaptation planning process for any organisation is to understand their context with regard to the institutional situation, geographic location and its predominant climate change impacts. This needs to be appreciated alongside the organisation's strategic and operational plans and historical trajectories. Context setting can include:

- Discussing what an organisation's main motivations are for engaging in adaptation,
- Gaining a preliminary understanding of the organisation's capacity to work through processes of change; and

[18] Checkland & Scholes, 1990; Checkland, 2000

- Understanding the history of the organisation and its relevance to the organisational climate change adaptation process.

Having an open discussion about motivations and goals prior to commencing work on an adaptation planning process can help establish this context. It allows all participants to voice their concerns, ideas and expectations for involvement, as well as a frank discussion about resource commitments and capacities, including time. For example, in working with one organisation involved in the *Implementing Adaptation* project, it became clear that some of the participants in the project were volunteers for the organisation and could only afford spending a very limited amount of time on the project.

Jointly developing an organisational historical timeline was also a useful activity for mapping the organisation's evolution, including key events (climate-related and others) and individuals that had shaped the organisation, and to assess what the organisational history could foreshadow for the adaptation process. Timelines were constructed using butchers paper and sticky notes. They revealed important points in the organisation's history allowed for discussion and reflection of the impact of various key events.

Rich Pictures

Drawing rich pictures is an exercise that can be used to deal with messy situations. The pictures aim to 'capture everything you know about a messy situation without imposing any structure or analysis'[19]. They can be used to find out more about a situation by identifying the things, people and connections within it.

Artistic talent is not required to draw a rich picture, because they are simply a sketch of rich, interconnecting visual notes. During our research, participants were given ten minutes to draw a rich picture to illustrate their organisation's current stance on climate change adaptation. The pictures formed useful starting points for exploratory interviews.

While some may find the idea of drawing daunting, the majority of participants in our project appreciated the ability to express themselves in a non-verbal way, in addition to the interview. Rich picturing can also be used as an individual activity at the beginning of group session, to give participants an opportunity to think through the task at hand and explain what they bring to the table, before launching into discussion.

[19] Armson, 2011

System mapping to identify relevant stakeholders and institutional arrangements

System maps are essentially structured lists of items, visually grouped into 'bundles' by shared boundary lines. System maps illustrate the items within a given system environment, their boundaries, and the hierarchy of subsystems. Figure 5 shows the use of system mapping within our project to identify the structure of an organisation, its associated stakeholders, and policies and legal acts relevant to the sector.

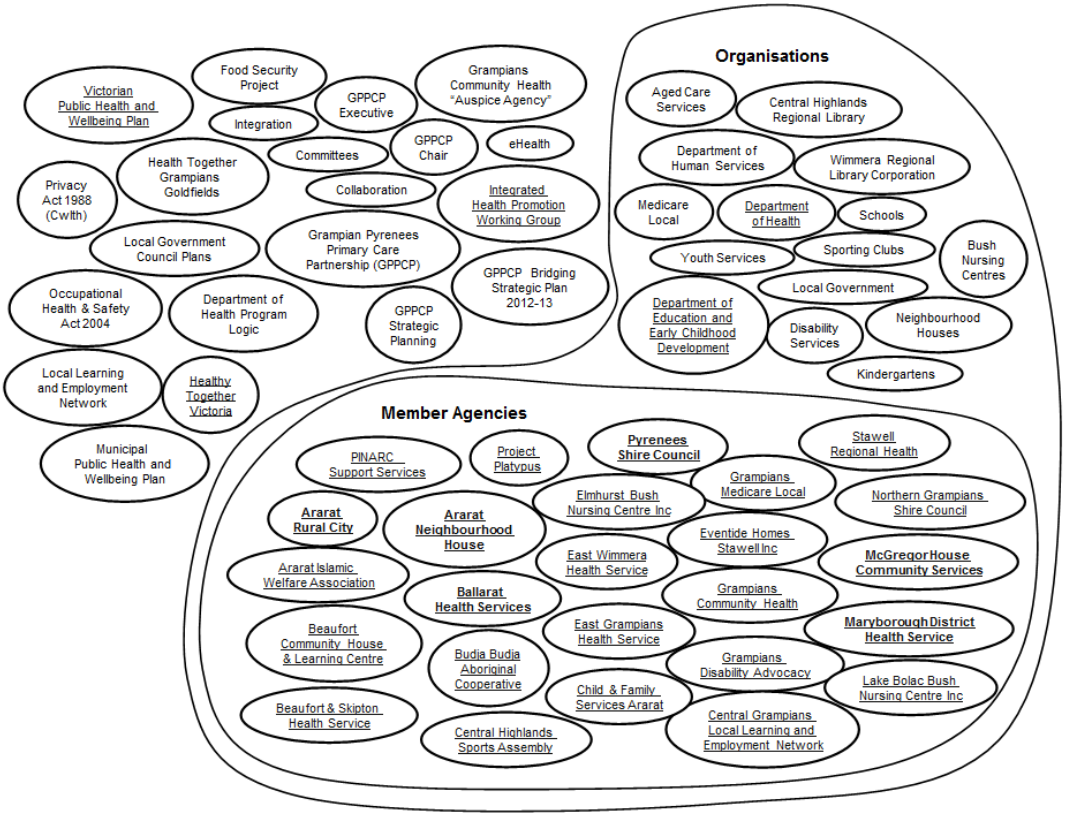

Figure 5: A systems map of a primary care partnership[21]

The ORID method

ORID, short for Objective, Reflective, Interpretive, and Decisional information, is a facilitation method used to guide and focus discussions in order to reach a point of agreement or clarify differences[21]. ORID is widely used in organisational learning and strategic planning. In the *Implementing Adaptation* project, questions based on the ORID method were used as triggers, or conversation-starters, to explore, monitor and evaluate progress with the project. ORID questions similar to those outlined in Table 1 below can be used to help structure conversations about and adaptation process or a specific adaptation initiative.

[20] Developed by researchers with a primary care partnership throughout the research project
[21] Stanfield, 2008

Observations	Reflections	Insights	Decisions
"What is your most significant observation about the project?"	"What was exciting or surprising?"	"Why did this aspect work or not work?"	"What changes are needed?"
"What did you hear or see?"	"What did you like or not?"	"What are the implications?"	"What would you say about the project to someone who was not there?"
	"What frustrated or encouraged you?"	"What are the options?"	"Having experienced and reflected on this project, what are your next steps?

Table 1: ORID framework and examples of trigger questions

Individual reflections

An important element for everyone involved in adaptation planning processes is to record, share and discuss individual reflections at different stages of the process. In the *Implementing Adaptation* project, individual reflections provided each person, including those less comfortable or keen to speak out in a group discussion, with an opportunity for contemplation, to consider how the adaptation planning process was evolving, including documenting and reflecting on their own emotions, ideas, worries and thoughts. These 'quiet' reflections can then be shared in conversation, either directly after writing them down or at the beginning of a subsequent meeting, where they act as a link to past activities and as a warm-up activity, to get the discussion going.

2.6 Selecting tools to support adaptation planning and implementation

Part of the Implementing Adaptation project aimed at gaining a better understanding of how identified climate change adaptation needs can best be met using existing adaptation decision-support and planning tools. The research team worked with five CSOs and PCPs to identify their adaptation needs and organisational context, before searching through a database of approximately 300 adaptation support products and tools. The researchers then compiled a shortlist of tools that were considered most suitable for the identified organisational needs and presented them to the organisations, highlighting why they would be useful, what would be required and the outputs that could be produced from using them. Subsequently, the organisations worked through an adaptation planning process with the support of the researchers, structured activities, and their chosen adaptation tool.

Once the tailored process and activities are established, a wide range of climate change adaptation 'tools', i.e. guides, support processes and online resources, are available to support adaptation planning and implementation. Identifying and selecting an appropriate tool can be a challenging process for facilitators and participants, noting the plethora of tools available and the different organisational contexts and motivations for wanting to undertake an adaptation planning process.

Webb and Beh (2013) put forward a typology that differentiates tools into three categories:

- Process support products,
- Data and information products, and

- Knowledge portal products.

The Implementing Adaptation project identified numerous process-based tools including:

- The Australian Greenhouse Office's Climate Change Impacts and Risk Management Guide for Business and Government (AGO, 2006)
- ICLEI's Local Government Climate Change Adaptation Toolkit,
- Net Balance, RMIT and the City of Greater Geelong's Climate Change Adaptation Toolkit, and
- UKCIP's Adaptation Wizard.

The *Implementing Adaptation* research showed that practical, process-based tools are most widely suitable for application among primary health and community service organisations. This is because these tools typically guide the user through a series of stages to help work through an adaptation planning process. Many are based on risk management frameworks (e.g. moving from context setting, through risk/vulnerability assessment, identifying adaptation options and implementation to monitoring, evaluation and review).

A limitation with some process-based tools is that, in an attempt to succinctly convey a large amount of information for a whole adaptation process, they do not provide enough guidance for each of the various suggested stages. It is therefore necessary to draw upon additional tools or resources to supplement each stage of the process.

How to select appropriate tools

As discussed above, a useful starting point for any organisation is to gain a better understanding of their level of organisational adaptive capacity, and thereby, their adaptation planning needs and capacities. Using the self-evaluation process described above (or an alternative way of determining organisational adaptive capacity), an organisation can gain greater insight into the sorts of adaptation activities and tools that might best suit the organisation.

For example, if an organisation categorises itself, using the framework presented in section 2.4, as *LoLo* in terms of their adaptive capacity, it can be assumed that among the most appropriate activities for effective adaptation planning are:

1. To raise awareness of the need for adaptation within the organisation,
2. To get executive level approval and support to undertake adaptation planning, and
3. To identify the aims and scope of their adaptation planning process.

Some tools enable and support these three activities more than others. Having an understanding of the organisation's level of adaptive capacity will significantly reduce the number of tools that an organisation may need to consider when commencing adaptation planning.

As part of the organisational adaptive capacity assessment, it can be useful to consider the various stages of a typical adaptation planning process and identify a suitable starting point. This will depend

on any existing adaptation planning and related work that an organisation has undertaken. The *Implementing Adaptation* project showed that high-level adaptation planning tools, guides and frameworks, such as the *Climate Change Adaptation Navigator* map[22], are particularly useful for having a discussion about identifying an organisation's current stage within an adaptation planning process, and narrow down areas for further development. Where organisations have not engaged in any form of formalised adaptation planning, it may still be useful to have a discussion about typical adaptation planning processes for organisations of a similar kind, using a high-level adaptation planning guide or framework.

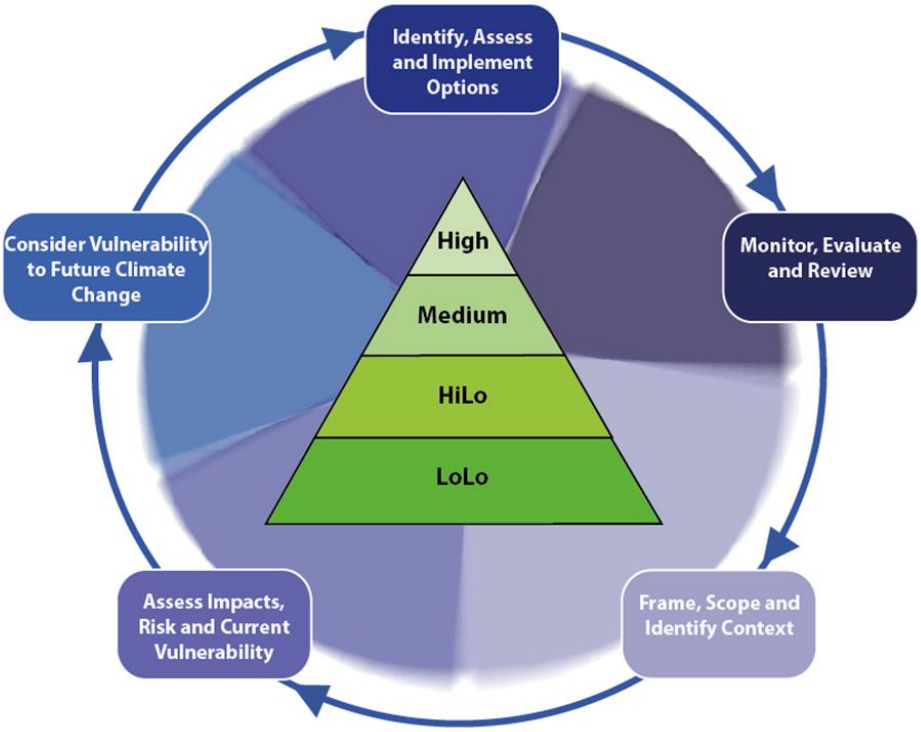

Figure 6: Correlations between levels of adaptive capacity and stages of an adaptation process

Although there is no direct link between the stages of an adaptation process and the perceived level of adaptive capacity in an organisation, some parallels can be drawn between the process stages and certain characteristics of each level of adaptive capacity. For example, it is likely that organisations that categorise themselves with *Lo-Lo* or *Hi-Lo* levels of adaptive capacity are at the very beginning of an adaptation process and have not yet reached a stage where they are able to fully understand their future vulnerability to climate change and identify options. An organisation that considers itself as moving into the *High* level of adaptive capacity, however, may be ready to develop its own, sophisticated system for monitoring and evaluating adaptation success. Figure 6: Correlations between levels of adaptive capacity and stages of an adaptation process suggests this relationship, loosely mapping the different levels of organisational adaptive capacity on a typical

[22] See www.adaptation-navigator.org.au

five-stage process of organisational adaptation planning. While many organisations involved in ongoing adaptation planning and implementation would commonly pass through these stages, the five-stage planning cycle depicted here is only one of many different ways of conceptualising adaptation planning as a process. Individual organisations will need to identify planning stages appropriate to their organisational context and their adaptation goals and objectives.

Figure 7 provides examples of adaptation tools used in the *Implementing Adaptation* project, referenced against the five common stages of adaptation planning. These tools were selected from Webb and Beh's (2013) database of over 300 products and tools and are presented in no priority order. Each adaptation planning stage and the associated tools are explained in more detail below.

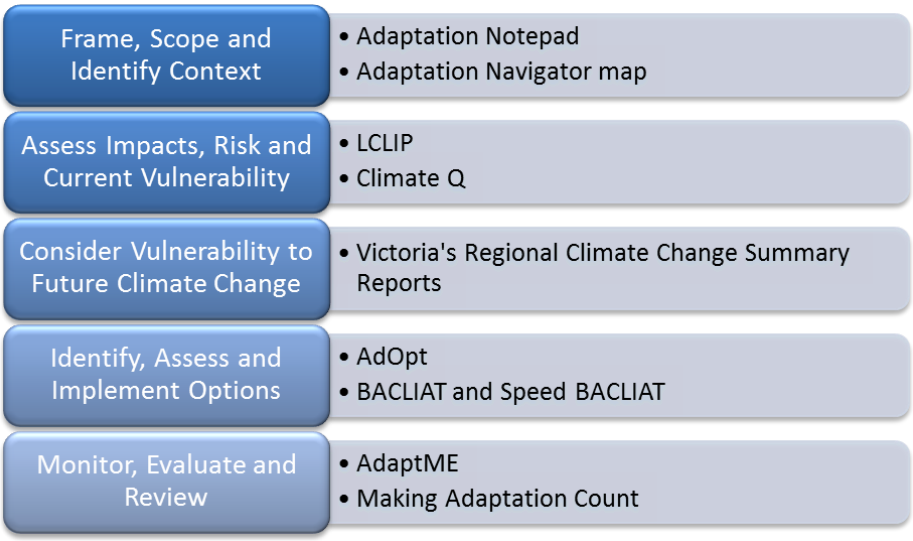

Figure 7: Stages of adaptation and recommended tools

Tools for framing, scoping and identifying context

Identifying the organisational and broader institutional context, scoping the adaptation process, and exploring how adaptation is framed in an organisation are steps that are under-emphasised in many existing process-based adaptation planning tools. As the Implementing Adaptation project has shown, focusing on these aspects of organisational adaptation is critical for identifying current organisational awareness and assumptions of climate change adaptation, including revealing differences among stakeholders in the level of understanding around key terminology. Suitable tools for this phase are those that enable and facilitate conversations around the adaptation process. Examples of such tools are described below.

Climate Change Adaptation Navigator

An example of this is the Climate Change Adaptation Navigator map (a separate, hard-copy product of the *Climate Change Adaptation Navigator* website). The tool allows an organisation to draw and brainstorm on the laminated map of an adaptation process, establishing what they have already done and what they hope to achieve next. Through these conversations, terminologies can be discussed, assumptions questioned and the organisation can build their level of understanding around the elements of an adaptation process.

A second task within this stage is to define the aims, objectives and scope of the project, identify who will be involved and the motivations for undertaking an adaptation process. The Climate Change Adaptation Navigator map can be used to define the project scope but it is also necessary to document this step to make sure it can be articulated clearly and that everyone is on the same page.

The Adaptation Wizard Notepad

The Adaptation Wizard Notepad[23] contains a set of questions which can be used to capture the project details as an organisation works through the stages of an adaptation process. This document becomes particularly important where the process involves more than one individual, whether on the same team or at a higher level to ensure everyone's views are included and the team are all on the same page. Documenting the motivations can also be useful for writing a business case for undertaking an adaptation process.

Tools to understand current climate change impacts and risks

Understanding an organisation's current exposure to climate change, including previous impacts experienced and risks it currently faces, is a process that resonates well with many organisations due to the parallels with business continuity and risk management. Many of the available adaptation tools focus on this aspect of adaptation planning. They range from simple awareness raising tools to more complex climate change impact and risk assessment tools. Our research found that this stage of the process and the results of assessments acted as important stimuli for further action. Examples of tools that fall into this category are outlined below.

[23] UKCIP, n.d.

Climate Q

One example of a tool for assessing climate change impacts and risk is the Queensland government's *Climate Q*[24] tool which is based on the Australian climate change impacts and risk management guide for business and government[25]. This 14 step workbook aims to take users through a climate risk and vulnerability assessment process using a risk matrix. The workbook has an agricultural focus but the tool can readily applied in other sectors. A weakness of the tool and many other risk assessment approaches is its subjectivity because answers are provided by the user, such as having to determine the likelihood of a climate change event occurring by using words such as 'almost certain', 'likely' and 'possible'. However, these challenges can be overcome by good process design that allows for critical examination and open communication.

LCLIP

Another useful tool for this stage of the process is UKCIP's LCLIP or *Local Climate Impact Profile*[26] tool. Its principal focus is to identify the consequences of extreme weather events for organisations. A spreadsheet template is provided to identify specific weather events that have occurred in the last 5-10 years (ie excessive rainfall), the impacts these have had (ie flooding), and the consequences these have had on the organisation (ie staff unable to get to work due to road closures). This process is vital in providing an organisation with a better understanding of their exposure to weather and climate. In doing so, it also identifies particular climate variables that an organisation is vulnerable to, which is necessary background information for assessing future vulnerability to climate change.

Tools to assess future climate change impacts and risks

An important aspect of adaptation planning is to take into account potential future changes to the climate and their effects on the organisation and the communities they serve. This stage of an adaptation planning process is often more technical and more complex than others. Organisations can be under the impression that they need advice from a climate science 'expert', they need to understand global climate models or access to climate data, downscaled to the regional or local level. However, the Implementing Adaptation project showed that, for community sector organisations, this step can be completed with some user friendly and accessible information, without needing to involve climate scientists.

There is much debate in the literature surrounding appropriate tools for assessing the future impacts and risks of climate change on an organisation. Complex tools such as the *South Australian Vulnerability Assessment*[27] or standard tools from the disaster risk management sector and corporate risk management processes that include climate change considerations may be useful to organisations with advanced levels of adaptive capacity.

[24] Queensland Government, 2009
[25] Australian Government, 2006
[26] UKCIP, n.d.-b
[27] South Australian Government, 2013

UKCIP's *Adaptation Wizard*[28] provides a table that can provide a very simple entrée into a 'vulnerability' assessment. The *Implementing Adaptation* project modified this table with one of the participating organisations. The modified version of the table is reproduced below (Table 2).

a) Climate variable	b) Specific event (if applicable)	c) Timescale and emission level being considered	d) Projected change in event in future	e) Receptor (ie. the 'thing' being affected)	f) Consequence	g) Threats (negative impacts)	h) Opportunities (positive impacts)
Heatwaves	4-6 days over 35C in first 2 weeks of January 2013	By 2030, under a medium emissions scenario	From 14 days over 35 to 19 days	People: Staff and clients, particularly those already vulnerable or disadvantaged, elderly, very young and pregnant	Impact of thermal comfort on staff and clients. They suffer from heatstroke, are dehydrated, fatigued and do not get enough sleep fatigued.	Extreme discomfort in summertime, perhaps leading to higher mortality, heat related conditions and increased admissions to hospital	Greater comfort, increased efficiency in operations and service delivery, and lower fuel bills in winter.

Table 2: A documented example of an organisation's vulnerability to future climate change

Tools to identify, assess and implement adaptation options

Once the current and future climate change impacts and risks to the organisation and to communities have been understood and analysed, it is possible to explore a range of adaptation options. These options can then be assessed for their feasibility, costs and expected benefits. A range of tools exist to assist organisations with moving from adaptation planning to implementation.

One tool that can support this stage is UKCIP's guidance note entitled *Identifying Adaptation Options* or *AdOpt*. *AdOpt* provides information on the range of adaptation options available and guiding principles to inform effective adaptation. The appendix tables at the back of the *AdOpt* document are particularly helpful in identifying different adaptation examples and which adaptation type and category option these fall under.

Tools for monitoring, evaluation and review

Monitoring, evaluating and reviewing adaptation processes are essential steps that need to be considered at the outset of an adaptation process, during the scoping and design stages. As previously mentioned, none of the organisations that participated in

[28] UKCIP, n.d.-c

our project had progressed to this stage of adaptation planning. This was mainly due to a sense that the organisations either had a low initial level of adaptive capacity or were in the process of still raising awareness and identifying adaptation options. Another reason is that this in an area that still attracts considerable debate, where much of the practical approaches for monitoring, evaluating and reviewing are still in their infancy or difficult to implement.

AdaptME

This stage can be supported by a toolkit called *AdaptME*[29], which provides guiding questions to ensure 'close monitoring and regular review'[30] of adaptation processes. The toolkit is designed to be practical, flexible and context specific. There is limited discussion on adaptation generally, however the toolkit explains the importance of the role of monitoring and evaluation within the adaptation process.

Making Adaptation Count

Another tool that is useful for this stage is a framework entitled *Making Adaptation Count*[31]. This manual acts as a roadmap for adaptation and development practitioners on how to design and implement project level monitoring and evaluating systems[32].

[29] UKCIP, n.d.-d
[30] UKCIP, n.d.-e
[31] The World Resource Institute & GIZ, 2011
[32] Bours et al. 2013

3 Conclusion: Facilitating climate change adaptation planning in primary health and community service organisations

Addressing the risks of climate change impacts for community and primary health organisations and their service recipients is vital if service disruptions and ensuing harm and hardship to people in need are to be avoided. Health and wellbeing are strongly related to socio-economic drivers that are worsened by climate change impacts on both human and natural systems. 'Front-line' organisations put in charge of dealing with the socio-economic impacts on human health and well-being require support to simply maintain the services they already provide in the context of climate change, let alone in building their adaptive capacity to manage in the face of medium and long-term climatic changes.

Drawing on extensive empirical research evidence, this report has laid out the components of a program that, if appropriately resourced and implemented well, could immediately start to address this imperative across a range of community service and health organisations. Those components are:

- Seven design and implementation **principles**
- An approach to gaining insight into an **organisation's existing adaptive capacity**
- **Activities for adaptation planning** that help facilitate learning and practical action
- Guidance for **selecting tools to support** adaptation planning and implementation, according to the different needs and context of organisations
- Advice on **crafting an engagement process** tailored to increasing an organisation's adaptive capacity.

To realise the potential inherent in such a program, government will need to provide active and direct support to organisations involved to increase their internal adaptive capacity. Findings from the *Implementing Adaptation* project suggest that, without government support, the sector's capacity to adapt and support the resilience of its stakeholders will remain limited. While a few large and better-resourced organisations will be able to plan strategically for the future, smaller and medium sized organisations will likely remain unable to consider climate change in their planning and operations. They are unlikely and often unable – whether through a lack of internal resources, limited access to information and tools, or a lack of focus and inclination towards climate change – to embark on such a process unguided and unsupported.

Without an overarching supporting and guiding program, government-funded services provide by these organisations may become increasingly *ad hoc* in response to climate change impacts. This situation risks inequitable, inefficient and increasingly ineffective delivery of services. Therefore, to enable primary health and community service organisations in Victoria to plan for and adapt under climate change, a structured government supported program is needed.

Drawing on findings from the *Implementing Adaptation* project, in particular the perspectives of the community services and health workers, the following summary suggestions are made regarding the main components of such a program.

3.1 Suggested program approach and design

Our research strongly suggests that it is difficult, if not impossible, to 'deliver' effective adaptation planning for the primary health and community sector with the exclusive use of top-down policies and methods. A program that engages organisations in climate change adaptation and builds their organisational adaptive capacity needs to feature a genuinely collaborative and facilitated approach. Such an approach would support agencies and service providers in the choice and development of their own adaptation process and would enable and empower them to embed this process in their organisational structures and decision-making. Internal or external facilitators embedded within an organisation are pivotal to the success of a capacity building approach to adaptation planning in the sector.

In instituting a program, firstly in pilot form and latterly for the whole sector, the facilitated planning process, its principles, social learning activities and tool use, act as *foundational activities* nested within a broader program structure, as illustrated in Figure 8 below. Once the program is accessible and implemented across the sector, there is scope for social learning practice across organisations, e.g. organisations with similar goals and clients or other similarities. Organisations' progression from lower to higher levels of adaptive capacity should be celebrated as significant achievements, while ensuring that adaptation outputs are verifiable and sustainably structured and that adaptation benefits are shared across the most vulnerable groups serviced by each organisation. Online processes and tools as well as social media can be used to develop a community of practice and raising the profile of climate change adaptation across the primary health and community services sector.

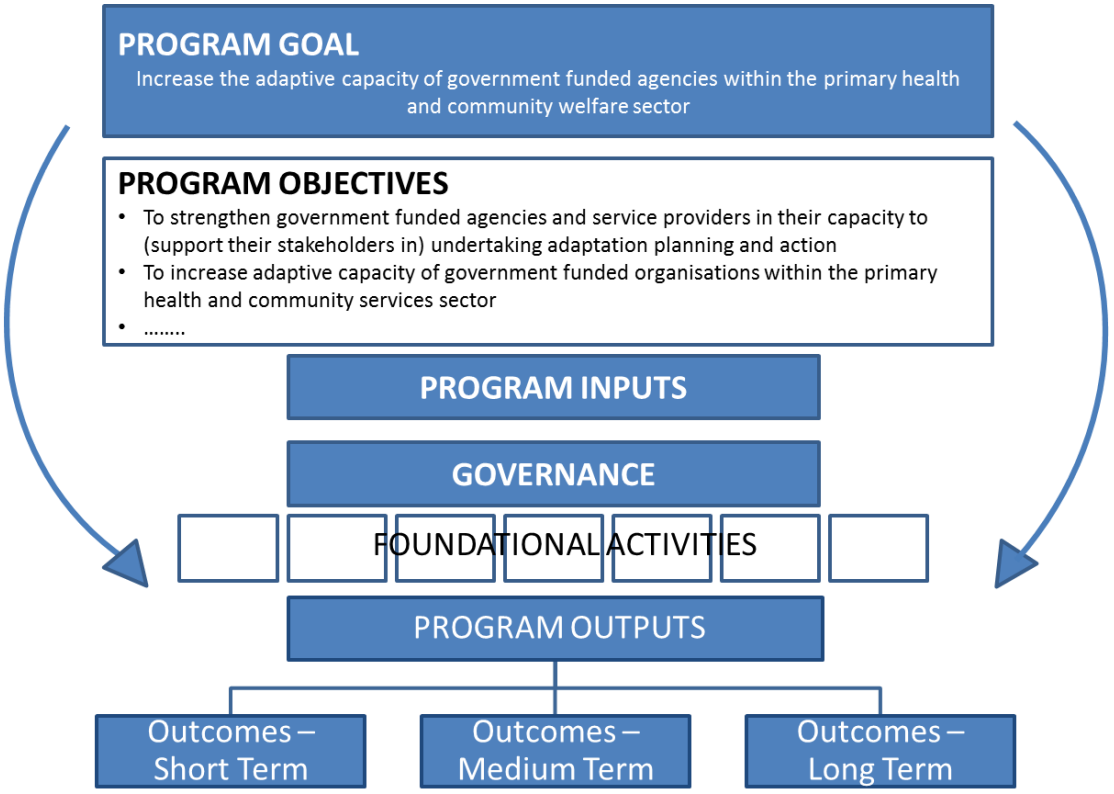

Figure 8: Example of program logic structure for the recommended program design to increase the adaptive capacity of government funded organisations within the primary health and community services sector

3.2 Facilitative support for organisations

A vital element of a capacity-building program will be facilitators, either internal or external, who actively collaborate with these organisations throughout their adaptation learning, planning, implementation and monitoring journey. The *Implementing Adaptation* project demonstrated that the ability of facilitators to build strong relationships with a range of CSOs and PCPs is crucial for success. Therefore, a government program should consider supporting a group of people well-versed in facilitation and organisational capacity building activities in the context of climate change.

The *Implementing Adaptation* project proved that spending time 'getting to know' an organisation not only facilitates an understanding of an organisation's baseline adaptation context, capacity and needs; it provided CSOs and PCPs a type of 'reflective space' for strategic thinking and planning about climate change not normally afforded organisations in the sector. Moreover, by gaining an insight into their organisational capacities and needs, organisations are better able to select appropriate planning tools most relevant or useful for them, resulting in greater success of the adaptation process overall (see section 2.6).

3.3 Allowing organisations to establish their own context and capacity

The research also found that an important aspect of adaptation planning for these organisations was the ability to self-direct their inquiries and planning. Alongside this insight and recognition that an initial assessment of all CSOs and PCPs by government could represent a significant impost, the

Implementing Adaptation team has developed a self-evaluation tool to categorise an organisation's current adaptive capacity and help benchmark them against expected standards. Explained in the Appendix of this report, it consists of a Microsoft Excel workbook that can be obtained from the report authors. It is important to note however, that the tool has not been tested. It is recommended that it be tested for efficacy prior to wider deployment, in particular with regard to the benchmarks for adaptation planning and adaptive capacity introduced as part of the tool.

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Appendix

A process for self-evaluation of organisational adaptive capacity

Organisations can use the following method to explore their current level of adaptive capacity. This method also promotes 'goal-setting', whereby organisations can aim to transition from one level to the next. Categorisation also allows organisations to determine where they see strengths and weaknesses in their current adaptive capacity. The process can be used iteratively at regular intervals, and it may also be useful during revision of strategic plans. A regular and iterative self-evaluation would allow for progress tracking, and provide a basis for reporting and improvement planning.

It is important to remember that this assessment has yet to be tested and fully validated. It is included here as inspiration and a guide for organisations wanting to gain a greater understanding of the level of current adaptive capacity. If applied by a range of organisations, such categorisation may also be used a comparative tool for the sector, although its self-reflexive and therefore subjective character needs to be acknowledged when trying to compare organisations.

The multiple-step self-evaluation method allocates 'points' according to criteria related to four levels of organisational adaptive capacity, based on work by Ballard et al. (2013): lo-lo, hi-lo, medium, and high. Steps 1 and 2 are designed to help an organisation identify its perceived adaptive capacity, and provide a baseline from which to measure change. It is recommended that Step 3 be used for ongoing monitoring of adaptation implementation, once organisations are at a 'medium' level of adaptive-capacity or above.

Step 1: Determine baseline understanding and awareness of adaptation

Steps 1 and 2 of the self-evaluation methodology are proposed for all organisations to determine a baseline, and step 3 is recommended as an addition for ongoing evaluation once organisations consider themselves to be at a 'medium' level of adaptive capacity. Step 1 comprises of a series of questions to determine the baseline awareness and assumptions of the organisation around climate change adaptation. Each question has a set of optional answers, where organisations select the most appropriate and attribute themselves with the allocated points. A screenshot portion of the Step 1 workbook can be seen at Figure 9: Example portion of Step 1 workbook within the self-evaluation below.

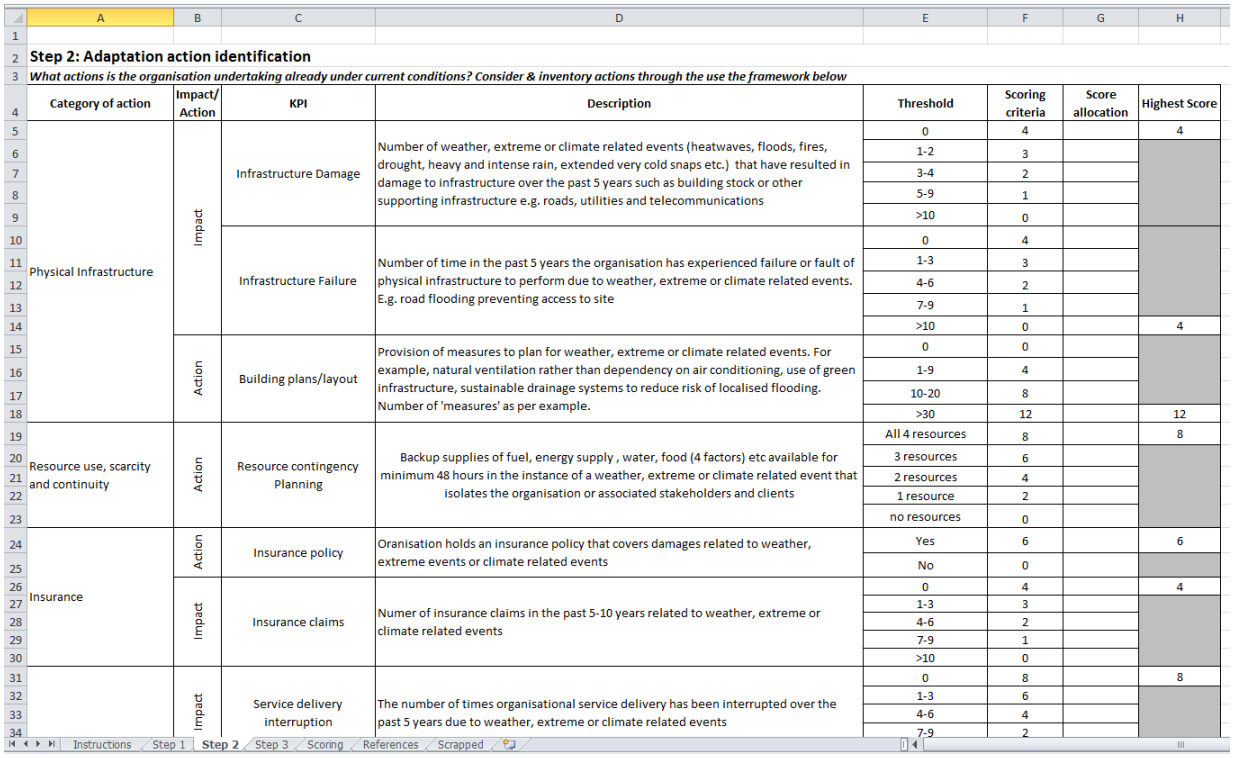
	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1														
2	**Step 1: Consider the following questions, note point allocation according to your answer and follow the prompts**													
3	***Questions to determine baseline awareness and assumptions around climate change adaptation***													
4	**Question #**	**Question description**										**Scoring Criteria**	**Point Allocation**	**Highest possible score**
5	1	**Do you perceive that your organisation operates or delivers a service that could be impacted by climate variability or change?**												
6	a	Yes										2		2
7	b	No										0		
8	c	I'm unsure										0		
9	**2**	**Has your organisation ever been affected by an extreme weather event?**												
10	a	Yes										2		2
11	b	No										0		
12	c	I'm unsure										0		
13	**3**	**Do you feel that your organisation has an influence on how member agencies or clients may be impacted by climate variability or change?**												
14	a	Yes - high level of influence - my organisation has a role to support and provide service to member agencies or clients who will be adversely affected by climate variability and change										8		8
15	b	Yes - moderate level of influence - my organisation has a role to deliver service to member agencies or clients who may be adversely affected by climate variability and change										4		
16	c	Yes - low level of influence - my organisation can continue to operate and deliver service to member agencies or clients regardless of a changing climate										2		
17	d	No - no influence at all - my organisation does not have any obligation or role to support how member agencies or clients may be affected by a changing climate										0		
18	**4**	**Do you feel that your organisation has an influence on how the services you provide may be impacted by climate variability or change?**												
19	a	Yes - high level of influence - my organisation will alter our services to ensure they can be delivered under climate variability and change										8		8
20	b	Yes - moderate level of influence -my organisation may be able to alter our services to ensure they can be delivered under climate variability and change										4		
21	c	Yes - low level of influence - my organisation can continue to deliver services regardless of a changing climate										2		
22	d	No - no influence at all - my organisation does not have any obligation to consider a changing climate in our service delivery										0		
23	**5**	**To what extent do you feel your organisation considers risks or opportunities associated with climate**												
24	a	Haven't thought about climate change at all and don't plan to, it's not relevant										0		
25	b	Haven't thought about it, but plan to in the future										2		

Instructions | Step 1 | Step 2 | Step 3 | Scoring | References | Scrapped

Figure 9: Example portion of Step 1 workbook within the self-evaluation

Step 2: Self-assess current adaptation efforts

Step 2 involves a structured consideration of the organisation's current activities and an inventory of: physical infrastructure, resources use, scarcity and continuity, insurance, workforce and service delivery, strategic planning, network strength and information management. Each category contains defined key performance indicators (KPIs) and associated thresholds. Organisations consider their level of action relative to the description and thresholds described, and attribute themselves relevant points. A screenshot portion of the Step 2 workbook can be seen at Figure 10 below.



Step 2: Adaptation action identification

What actions is the organisation undertaking already under current conditions? Consider & inventory actions through the use the framework below

Category of action	Impact/ Action	KPI	Description	Threshold	Scoring criteria	Score allocation	Highest Score
Physical Infrastructure	Impact	Infrastructure Damage	Number of weather, extreme or climate related events (heatwaves, floods, fires, drought, heavy and intense rain, extended very cold snaps etc.) that have resulted in damage to infrastructure over the past 5 years such as building stock or other supporting infrastructure e.g. roads, utilities and telecommunications	0	4		4
				1-2	3		
				3-4	2		
				5-9	1		
				>10	0		
		Infrastructure Failure	Number of time in the past 5 years the organisation has experienced failure or fault of physical infrastructure to perform due to weather, extreme or climate related events. E.g. road flooding preventing access to site	0	4		
				1-3	3		
				4-6	2		
				7-9	1		
				>10	0		4
	Action	Building plans/layout	Provision of measures to plan for weather, extreme or climate related events. For example, natural ventilation rather than dependency on air conditioning, use of green infrastructure, sustainable drainage systems to reduce risk of localised flooding. Number of 'measures' as per example.	0	0		
				1-9	4		
				10-20	8		
				>30	12		12
Resource use, scarcity and continuity	Action	Resource contingency Planning	Backup supplies of fuel, energy supply , water, food (4 factors) etc available for minimum 48 hours in the instance of a weather, extreme or climate related event that isolates the organisation or associated stakeholders and clients	All 4 resources	8		8
				3 resources	6		
				2 resources	4		
				1 resource	2		
				no resources	0		
Insurance	Action	Insurance policy	Oranisation holds an insurance policy that covers damages related to weather, extreme events or climate related events	Yes	6		6
				No	0		
	Impact	Insurance claims	Numer of insurance claims in the past 5-10 years related to weather, extreme or climate related events	0	4		4
				1-3	3		
				4-6	2		
				7-9	1		
				>10	0		
	Impact	Service delivery interruption	The number of times organisational service delivery has been interrupted over the past 5 years due to weather, extreme or climate related events	0	8		8
				1-3	6		
				4-6	4		
				7-9	2		

Instructions | Step 1 | Step 2 | Step 3 | Scoring | References | Scrapped

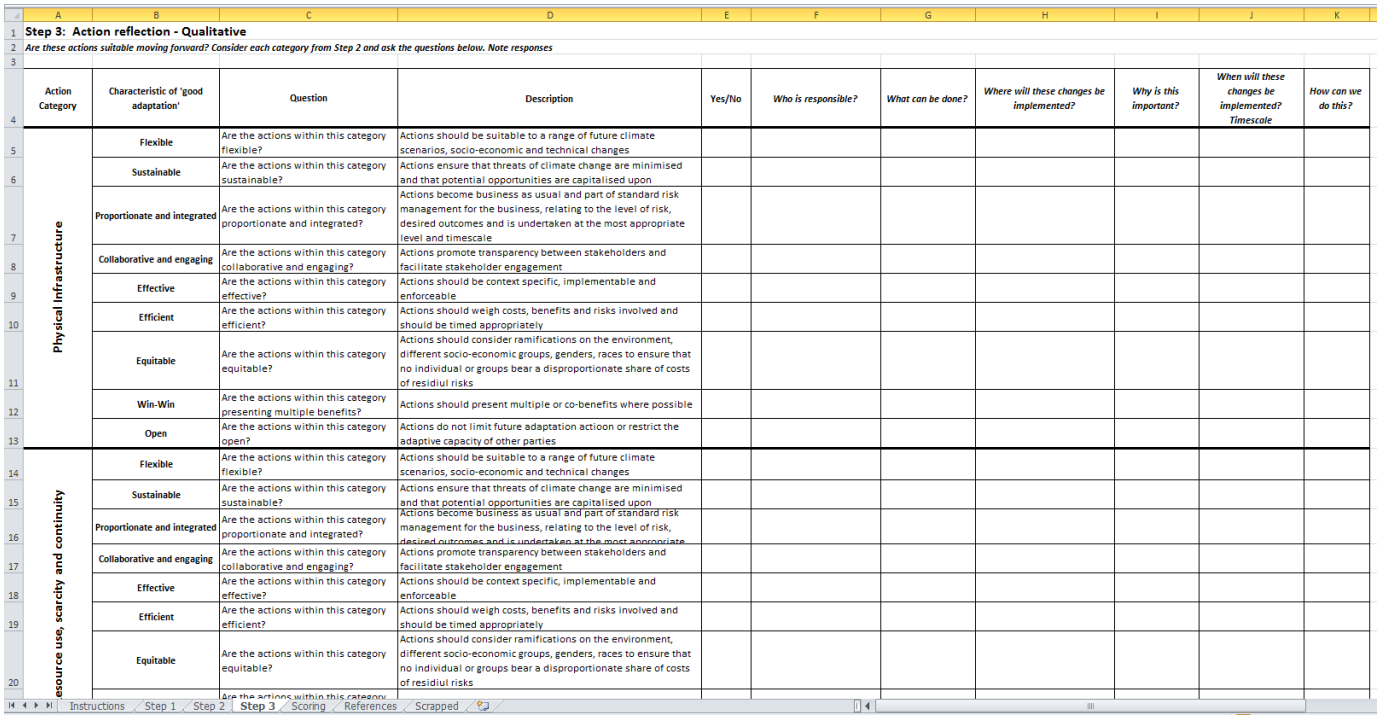
Figure 10: Example portion of Step 2 workbook within the self-evaluation

Step 3: Evaluating and exploring adaptation actions

Step 3 is recommended as the basis for a continuous self-evaluation. It is most useful once an organisation considers itself to have reached a 'medium' level of adaptive capacity. This step encourages organisations to question the suitability of their current actions for the projected climate, and to consider the adaptation principles for each category investigated in Step 2. Step 3 encourages the organisation to start thinking about improving their current actions by reflecting on a 'who, what, where, why, and how process' and noting relevant responses. This step does not have a scoring component and is entirely qualitative.

Once an organisation has explored and estimated its level of adaptive capacity, it will become easier to identify suitable adaptation planning activities and tools to support these efforts, and design a feasible and effective adaptation planning process tailored to the organisation's needs. A screenshot portion of the Step 3 workbook can be seen at Figure 11 below.

The self-evaluation process and associated workbooks are available as a Microsoft Excel document.



Step 3: Action reflection - Qualitative

Are these actions suitable moving forward? Consider each category from Step 2 and ask the questions below. Note responses

Action Category	Characteristic of 'good adaptation'	Question	Description	Yes/No	*Who is responsible?*	*What can be done?*	*Where will these changes be implemented?*	*Why is this important?*	*When will these changes be implemented? Timescale*	*How can we do this?*
Physical Infrastructure	Flexible	Are the actions within this category flexible?	Actions should be suitable to a range of future climate scenarios, socio-economic and technical changes							
	Sustainable	Are the actions within this category sustainable?	Actions ensure that threats of climate change are minimised and that potential opportunities are capitalised upon							
	Proportionate and integrated	Are the actions within this category proportionate and integrated?	Actions become business as usual and part of standard risk management for the business, relating to the level of risk, desired outcomes and is undertaken at the most appropriate level and timescale							
	Collaborative and engaging	Are the actions within this category collaborative and engaging?	Actions promote transparency between stakeholders and facilitate stakeholder engagement							
	Effective	Are the actions within this category effective?	Actions should be context specific, implementable and enforceable							
	Efficient	Are the actions within this category efficient?	Actions should weigh costs, benefits and risks involved and should be timed appropriately							
	Equitable	Are the actions within this category equitable?	Actions should consider ramifications on the environment, different socio-economic groups, genders, races to ensure that no individual or groups bear a disproportionate share of costs of residiul risks							
	Win-Win	Are the actions within this category presenting multiple benefits?	Actions should present multiple or co-benefits where possible							
	Open	Are the actions within this category open?	Actions do not limit future adaptation actioon or restrict the adaptive capacity of other parties							
esource use, scarcity and continuity	Flexible	Are the actions within this category flexible?	Actions should be suitable to a range of future climate scenarios, socio-economic and technical changes							
	Sustainable	Are the actions within this category sustainable?	Actions ensure that threats of climate change are minimised and that potential opportunities are capitalised upon							
	Proportionate and integrated	Are the actions within this category proportionate and integrated?	Actions become business as usual and part of standard risk management for the business, relating to the level of risk, desired outcomes and is undertaken at the most appropriate							
	Collaborative and engaging	Are the actions within this category collaborative and engaging?	Actions promote transparency between stakeholders and facilitate stakeholder engagement							
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	Efficient	Are the actions within this category efficient?	Actions should weigh costs, benefits and risks involved and should be timed appropriately							
	Equitable	Are the actions within this category equitable?	Actions should consider ramifications on the environment, different socio-economic groups, genders, races to ensure that no individual or groups bear a disproportionate share of costs of residiul risks							
		Are the actions within this category								

Instructions | Step 1 | Step 2 | Step 3 | Scoring | References | Scrapped

Figure 11: Example portion of Step 3 workbook within the self-evaluation