



**Stakeholder Workshop: Global Adaptation Fund National Implementing Entity**  
**15 October 2012; 10.00 – 16.00**

**FINAL WORKSHOP SUMMARY REPORT**

**1. Background**

In its capacity as National Implementing Entity for the Global Adaptation Fund, SANBI hosted an inaugural stakeholder workshop in Johannesburg on 15 October 2012. The purpose of the workshop was to share SANBI's understanding of the opportunity provided by the Adaptation Fund (AF), and to engage with a broad spectrum of key stakeholders to obtain comment on South Africa's proposed strategy for AF investment in South Africa, and insights and inputs on review criteria.

The workshop was attended by 78 people, recruited via an extended invitation (i.e. through relevant networks with encouragement for further dissemination), representing a broad cross-section of civil society, government and the private sector. A list of participants is included in Annexure A. The workshop was facilitated by Mr Owen Henderson of Business Presentation Group (BPG). Mr Henderson took comprehensive notes throughout the proceedings and these are captured in a transcription report, which is available on request.

**2. Agenda**

The meeting Agenda that was circulated to participants ahead of the meeting was amended slightly in initial plenary discussion and the following agenda was adopted by the workshop:

*Welcome and Introductions (Facilitator)*

*Opening Remarks (Mr. Tshepo Moremi, Chief Director Climate Change Adaptation, DEA)*

*Opening Remarks (Ms. Carmel Mbizvo, acting CEO SANBI)*

*Background and purpose of the workshop (Dr. Mandy Barnett, Acting Director NIE, SANBI)*

*South Africa's Adaptation Fund opportunity (Dr. Mandy Barnett, Acting Director NIE, SANBI)*

*Adapting to Climate Change in South Africa: What the models tell us (Prof. Guy Midgley, SANBI)*

*Ecosystem Based Adaptation: A policy relevant multi-sectoral approach (Ms. Sarshen Marais, CSA)*

*Discussion: Principles for and Outcomes of investment (Facilitator/ all)*

*Closure*

This document summarises, and gives context and appropriate emphasis to the discussion points and outcomes of the workshop, and provides a fundamental reference point for the NIE investment strategy.

### **3. Opening Remarks**

Mr. Tshepo Moremi, Chief Director Climate Change Adaptation, DEA, noted that good effort had gone towards co-ordination and stakeholder engagement, and thanked participants for their participation. After outlining some of the background to the UNFCCC, the Kyoto Protocol and the Adaptation Fund, he noted that the process for achieving NIE accreditation was a stringent one, and that SANBI's accreditation was a significant milestone for SANBI and DEA. The Adaptation Fund provides a unique opportunity to improve society's ability to adapt and cope with risk of climate change, and places South Africa at the fore front in climate change adaptation.

In her opening remarks, Ms. Carmel Mbizvo noted SANBI's long history in the area of Climate Change, and the key role that SANBI has played in climate change adaptation in research, national debates and policy development over the years. She noted that the NIE accreditation process had been a challenging one, and thanked DEA for encouraging and supporting the SANBI application. She explained that SANBI was committed to obtaining broad input from stakeholders, and to creating a collaborative space in which we can learn about adaptation. She also thanked the DEA and SANBI teams for convening the workshop.

### **4. Presentation Summaries**

The three presentations are summarised below. The PowerPoint presentations are available on request.

#### ***4.1 South Africa's Adaptation Fund opportunity (Mandy Barnett, Acting Director NIE, SANBI)***

Dr. Mandy Barnett summarised South Africa's Adaptation Fund opportunity as follows:

The Adaptation Fund (AF) is a product of the Kyoto protocol under the UNFCCC, and is financed mainly via a levy on proceeds from the Clean Development Mechanism. It was specifically initiated to assist developing countries in meeting the costs of adaptation, and to finance concrete projects and programmes that are country driven. All projects that are funded by the Adaptation Fund need to be based on sound science, and must demonstrate that they are contributing to adaptation and climate resilience. The AF makes an effort to make the project cycle simple, and this process is clearly explained on the AF website and in supporting materials.

Adaptation Fund resources are accessed via implementing entities who are responsible for vetting and endorsing project and programme proposals, and who disburse resulting funding released from the AF in the event a proposal is successful. They also have full responsibility for overall management of projects and programmes including financial, monitoring and reporting responsibility. Implementing entities can be MIEs (Multilateral Implementing Entities) or NIEs (National Implementing Entities). As part of its intention to promote direct access, the AF strongly promotes direct country access via NIEs. Adaptation projects and programmes are developed by executing entities, under the oversight of implementing entities, either MIEs or NIEs.

SANBI was accredited as SA's NIE in late 2011. The executing entities of projects and programmes are yet to be determined. A nominal country cap of \$10 million has been set for developing country parties by the AF – subject to funds remaining in the fund. Projects can be 3 – 5 years long. This level of funding may not be extensive, but provides key opportunities to learn how to develop, resource and implement adaptation projects and gear for scaled up implementation.

The Adaptation Fund Board meets four times a year to consider project applications, and concepts must be submitted 6 weeks ahead of board meetings. The next board meeting is in March 2013, and to be considered, concepts need to be submitted by the end of January 2013.

It was suggested to the workshop, based on extensive initial background work by SANBI and partners, that in this first phase, South Africa could focus on Ecosystem Based Approaches to Adaptation (EbA). This suggestion was based on the fact that EbA is policy relevant, offers a wide range of practical projects for implementation, links across several sectors, can provide additional socioeconomic co-benefits and has a strong and improving science foundation.

#### ***4.2 Adapting to Climate Change in South Africa: What the models tell us (Guy Midgley, SANBI)***

Prof. Guy Midgley provided an overview of the climate models for South Africa, and the implications of these for adaptation planning.

He explained that projections of future climatic conditions and projected impacts form the basis of planning adaptation responses. Credible models of climate change and resulting impacts are required to provide unbiased projections for adaptation planning and strategy development that take into account an appropriate range of uncertainty. Modelled projections are particularly valuable because future climatic conditions are very likely to lie outside of that experienced by human systems at local, national, regional and even global levels.

Climate models for South Africa require downscaling from General Circulation Model outputs to account for local conditions. South Africa has well-developed expertise in this area, and is continuing to improve its capacity. Downscaling suggests that significant warming of up to 7 degrees C may occur in the

interior of South Africa by 2100 if international emissions pathways remain on their current trajectories. Observed trends show interior southern Africa has already warmed by 3 to 4 times the global mean rate. Rainfall trends are not yet statistically discernible in South Africa, but models project a trend towards greater likelihood of dry spell duration and intensity of rainfall events, especially in summer rainfall regions, commencing in the next few decades. Winter rainfall zone may see reductions in winter rainfall inputs of up to several tens of per cent under worst-case scenario projections.

Impacts ramify across multiple sectors, and implications are significant for the sectors identified in the White Paper on National Climate Change Response. Cross-sectoral impacts are also likely, but are much less well understood and quantified than sectoral impacts. There are some potential beneficial outcomes projected, such as an increasing rate of aquifer recharge under more intense rainfall conditions, but the risks to many sectors are significant and need to be more coherently calculated, especially in economic terms, and especially in relation to the potential costs and benefits of adaptation responses. Adaptation planning currently needs to account for a wide range of uncertainty, and thus requires flexibility and iterative assessment.

#### ***4.3 Ecosystem Based Adaptation: A policy relevant multi-sectoral approach (Sarshen Marais, CSA)***

Ms. Sarshen Marais then presented on the concept of ecosystem based adaptation (EbA). She introduced how the concept of EbA evolved building on aspects of work and understanding such as community based natural resource management conservation agriculture, climate change integrated conservation strategies, disaster risk reduction and management and ecological resilience, poverty reduction and job creation linked with the environment and also incorporating principles of the ecosystem approach. These principles of the ecosystem approach include thresholds and limits of change in an ecosystem, appropriate time and spatial scales at which to consider ecosystems and participatory and decentralised decision-making and planning for ecosystem based approaches, all of which together with an understanding of climate change predictions, impacts models, and vulnerability assessments, have emerged into a new field of ecosystem based adaptation.

The definition of EbA therefore encompasses the use of biodiversity and ecosystem services as part of an overall adaptation strategy (which would include community based adaptation) to help people and ecosystems cope with the impacts of climate change.

A diagram was presented as extracted from a science-based booklet funded by DEA and the World Bank on the links between biodiversity and climate change and sustainable development, and which shows the inter-linkages between social and economic benefits biodiversity and ecosystems and climate adaptation.

The presenter then also introduced where EbA is mainstreamed already in international, national and local policy in SA. The international linkages includes reference to EbA within conventions of climate

change (UNFCCC), CBD and UNCCD with links around national adaptation plans, work programmes on loss and damage, disaster risk reduction, ecological corridors and biodiversity targets to name a few.

Nationally SA has developed a cabinet-approved National CC response white paper which has explicit adaptation flagship programmes. The programme most aligned to EbA is being that led by SANBI, namely the Long Term Adaptation Scenarios research flagship, which is being implemented using the most recently available climate models, used to assess climate change risks to future development and developing appropriate adaptation responses. Many of these responses could usefully be based on EbA. EbA can also be linked to many local plans and policies at provincial, district and local municipal levels, such as IDP, DRR plans, SDF, EMF and there should be a large focus within SA of mainstreaming EbA into these processes.

Some key principles of EbA were presented, including integrated and participatory approaches, focused on gender and vulnerable groups, and focused on assessing vulnerability and impacts at multiple time and spatial scales.

Some key examples in the rural landscape were presented to showcase the potential of EbA, including expanded public works, working for wetlands, work by Ethekeweni local Municipality on restoration in KZN, work with farmers in the Succulent Karoo and catchment restoration approaches, and the recently launched vulnerability assessment for the Namakwa District Municipality.

In summary, EbA as a concept was introduced as a way to show some of the key principles of approach to adaptation that we would like incorporated into their future funded projects under the adaptation fund.

#### **4.4 Discussion points**

Main points from the initial facilitated plenary discussion that followed the presentations are summarised below:

- Investments in adaptation should be strategic and integrated, and result in benefits to vulnerable groups. EbA may indeed be a good approach for achieving this, but is context sensitive and therefore should not be the only approach that could be considered in phase 1. For example, where vulnerabilities are not mediated by ecosystem processes directly, other approaches may be more relevant.
- A set of criteria and principles should guide investments. Projects should deliver multiple, real and tangible benefits and, in line with the principles of the AF, should focus on vulnerable communities.
- The opportunity that is provided by the AF is financially limited, and the fund cannot be expected to do everything. This opportunity should be used strategically, and especially to demonstrate how effective investments in adaptation can be.
- Projects that are funded should be interconnected. Rather than having a set of separate projects, a set of integrated interventions should be designed that provide coherence. Projects that are funded

should also be integrated with other strategic interventions, and should take advantage of other domestic funding opportunities, such as the Green Fund. Adaptation linkages with South Africa's major infrastructure programmes should also be explored. We should think about building on existing initiatives so that projects have a head start.

- While recognising that the AF wishes to deliver impacts at scale, attention should also be given to supporting smaller projects – a mechanism should be developed within the fund that can allow communities to access funding.
- If institutions and communities are to become meaningfully engaged in adaptation, there is a need to support capacity building at all levels. There is also a need to involve all stakeholders in the project initiation process, including individuals within communities, chiefs and local authorities.

## 5. Principles and outcomes

In order to develop stakeholder views more effectively, participants split into 5 break away groups to debate the key principles and key outcomes for the NIE in SA. Each group was asked to respond to the following questions:

“What are the key principles this fund should deliver on? ...  
At the end of 5 years what will we see? What are key outcomes?”

Detailed Group report-backs are captured in the Facilitators Report. The outcomes of the session are summarised below:

### 5.1 Principles

#### **The NIE process must be transparent, accessible and accountable**

The NIE process should be governed transparently. The project application process should be simple and accessible, assessment criteria should be clear and applicants should be respectfully informed of outcomes. Broad participation should be promoted and the process should be inclusive.

#### **Partnerships should be promoted**

AF investments should support sustainable partnerships between government, communities and individuals that continue once projects are completed. Vertical and horizontal integration should be promoted. Relevant stakeholders should be involved and engaged at all stages of the project identification, planning and implementation processes. Climate change champions and ambassadors, including leaders from rural areas, could be identified to support the process.

#### **Investments should be coordinated and programmatic**

Projects should form part of a coherent investment programme. Where possible, AF investments should align with and complement related climate and other initiatives, as a mechanism of leveraging additional

funding and as part of a process of achieving improved coordination and integration. Though not seen as a direct outcome of the work of the NIE or the AF, SA should aspire to a more integrated investment programme for climate change adaptation.

**Communities should be supported to access funds directly**

South Africa should investigate creating/ a mechanism, like a small grants facility, whereby grassroots communities can directly access project funds. Such a facility should provide long term project support.

**Projects should link with national and sub-national enabling frameworks**

Projects must align with and be guided by national and local policies, plans and priorities concerning climate change, sustainable development and the green economy. Alignment with South Africa's Infrastructure Plan should also be explored.

**The process should lay a foundation for future investments in climate change adaptation**

AF investments should be catalytic, and should demonstrate the value of investments in adaptation to climate change so that successful project outcomes provide a foundation for future investments in climate change adaptation. Interventions should contribute to long term outcomes and should be sustainable beyond the AF investment period and projects should be replicable and scale-able. A robust monitoring and evaluation system should be developed to document project outcomes and build the case for investments in CC adaptation and capture experiences and learning

## **5.2 Outcomes**

**Projects must aim to deliver concrete and tangible results**

Projects should demonstrate multi-disciplinary approaches and cross sectoral linkages, and adaptation responses should not be limited to those that are biodiversity based. Project should deliver co-benefits, and must be environmentally and socially sound.

Projects should increase the resilience of communities to climate change and decrease climate related vulnerability, at present and into the future. They should focus on high impact and vulnerable areas. Supported by the best-available science, all projects must be able to demonstrate additionally – i.e. that their interventions are responses to climate change and not business-as-usual.

The NIE investment strategy should recognise systemic inequalities and the links between poverty, climate change and socio-economic vulnerability. Investments should benefit communities in geographic areas that are most vulnerable to climate change at the local level, and in lasting ways. Gender considerations should be mainstreamed in all stages of the project cycle.

**Learning networks and communities of practice**

Investments should seek to build local capacity and awareness, empowering citizens and decision makers. Implementation approaches should promote learning-by-doing and adaptive management, and

a community of practice/ learning platform should be supported to ensure that knowledge and experiences are shared. Opportunities for sharing experiences with NIE and implementers in other countries should be explored.

## **6. Next steps**

Dr. Barnett summarised the next steps as follows:

Given the time frame for project proposal submission to the AFB in January 2013, the NIE would aim to issue a call for expression of interest by the end of October 2012, drawing on the information gathered at this workshop. Following this time frame, concepts would be finalised in November 2012, and feedback would be provided to all participants. Concepts would be developed further with support of the NIE in December and January, for submission to the AFB by end of January 2013.

It was noted that the communication strategy was still in development, and it was agreed that good communication with all stakeholders was essential.

*Please note: On further reflection, the NIE believes that these time frames are not realistic, and could compromise our ability to support a transparent, inclusive and fair concept development process. New time frames will be communicated as soon as they are finalised.*

## Annexure A: List of participants

Name	Organisation
Almari de Lange	Dept. Economic Dev, Environment & Tourism
Andrew Venter	Wildlands
Angelika Laub	Eco Hope
Asivhanzi Makhale	Rural Development & Land Reform
Avhapfani Tshifularo	SAPIA
Bettina Koelle	Indigo development & change
Bev Geach	Eastern Cape Parks & Tourism Agency
Bob scholes	CSIR
Bopang Khutsoane	DOT
Buyisiwe Zuma	Rural Development and Land Reform
Carmel Mbizvo	SANBI
Carolyn Ah Shene-Verdoorn	Birdlife SA
David Madurai	Dept: Cooperative Governance & Traditional Affairs
Debra Roberts	Ethekwini Municipality: Env planning & climate protection dept.
Dianne Mc Alpine	Greenpeace
Dorah Marema	Gender cc
Duduzile A Sibiya	Dept of Economic Dev, Environment & Tourism
Edward Nesamvuni	Centre for Rural Community Empowerment
Eleanor McGregor	Gauteng Dept of Agric & Rural development
Emma Archer	CSIR
Faslona Martin	SANBI - Climate Change
Francis Steyn	Landcare
Gabriel Lekalakala	LDA
Gavin Benjamin	Rural Development & Land Reform
Gavin Cowden	Mpumalanga DEDET
Gigi Laidler	SANBI Climate Change
Guy Midgley	SANBI - Climate change
Happy Mathebula	DOT
Intelligent (Telly) Chauke	SALGA
Jonathan Denga	Biodiversity regulations
Justice Chauke	Rural Development and Land Reform
Karen Steenkamp	Dept of Economic Dev, Environment & Tourism (Limpopo)
Katinka Waagsaether	Indigo
Kguata Mokoena	Department of Mineral Resources
Kulthoum Omari	Heinrich Boll Stiftung SA
Lorna Fuller	Johannesburg Zoo
Magezi Mhlanga	Rural Development & Land Reform

Malusi Vatsha	Indaloyethu
Mandy Barnett	SANBI Fynbos Programme
Maria Mbengashe	UNDP
Mohlago Flora Mokgotlwa	Presidency DPME
Mzukisi ka-Gwata	Climate Change Adaptation City of Joburg
Nick Saunders	ITTCC
Nomalizo Xhoma	Women Energy and Climate Change Forum
Nonceba nkutha	Women Energy and Climate Change Forum
Owen Henderson	BPG
Penny Price	DEA & DP
Percy Matlapeng	
Phindie Ngcobo (Ms)	Office of the Premier: KZN Climate Change Council
Pierre Venter	Banking Association South Africa
Ramavhona Nkoniseni	DEA
Rashmi Mistry	OXFAM
Rob Short	Promethium carbon
Roland Schulze	UKZN
Ruth Mhlanga	Greenpeace - Youth & solutions campaigner
Samukelisiwe mkatshwa	Outcomes manager:10, The Presidency
Sarshen Marais	Conservation SA
Seneo Madikiza	DAFF
Sharlin Hemraj	Treasury
Sonto Mayise (Ms)	Office of the Premier: KZN Climate Change Council
Stephen Holness	NMMU
Stephen Law	EMG - Environmental Monitoring Group
Steve Nicholls	National Business Initiative
Sylvester Mpandeli	DEA
Tabby Resane	Anglo Gold Ashanti
Tammy Smith	SANBI Biodiversity Planning and mainstreaming
Tessa Oliver	Working on Fire
Tharina Boshoff	NW - DEDECT ?
Tigere Chagutah	Heinrich Boll stiftung SA
Timothy Fasheun	KZN Dept of Agriculture & Environmental Affairs
Tsepang Makholela	DEA
Tshepo Moremi	DEA
Val Charlton	Working on Fire
Wadzi Mandivenyi	DEA
Wendy Tsotetsi	Women Energy & Climate Change Forum
Zane Abdul	GIZ
Zingisa Mavuso	Tongaat Hulett

