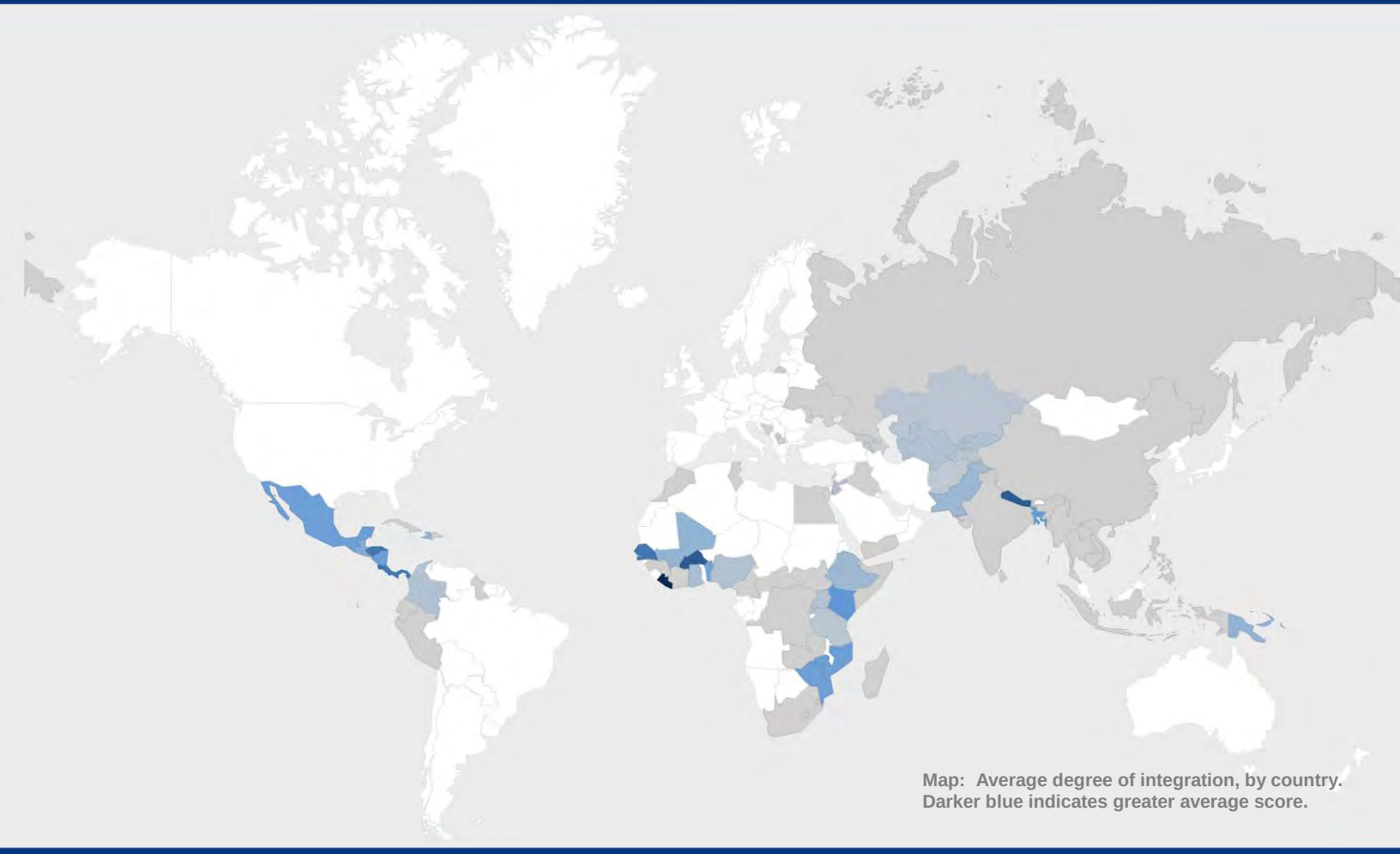
INTEGRATING CLIMATE CHANGE INTO USAID ACTIVITIES

An Analysis of Integration at the Solicitation Level



Map: Average degree of integration, by country. Darker blue indicates greater average score.

JUNE 2015

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AN ANALYSIS OF INTEGRATION AT THE SOLICITATION LEVEL

JUNE 2015

ACKNOWLEDGEMENTS: Input provided by Becky Chacko, Amy Daniels, and Becky Nicodemus. Feedback received from the broader E3/GCC office.

ON THE COVER PAGE: Map indicating average climate change integration score for activities in each country in this analysis. Countries in white were not observed in the analysis; those in dark gray received an average score of zero (no integration). Gradients of blue indicate average score, ranging from a low of 0.04 out of 3 (the Philippines) to a high of 2 out of 3 (Liberia). Darker blue indicates greater average score. Solicitations for global activities are not included in the map. Note that this analysis was performed with a representative sample of solicitations from 2009, 2012 and 2014, thus the map is not comprehensive.

DISCLAIMER: The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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EXECUTIVE SUMMARY

INTEGRATION AT THE U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

With estimates that the global community will need to invest $200 billion annually by 2030 to meet global climate change adaptation and mitigation needs, learning how to leverage traditional development assistance to deliver meaningful climate co-benefits is a critical piece of meeting the climate challenge.

The work of the U.S. Agency for International Development (USAID) is a key piece of this equation. The 2012-2016 *USAID Climate Change and Development Strategy* outlines USAID's commitment to strengthen development outcomes by "integrating climate change in Agency programming, learning, policy dialogues and operations" as one of three strategic objectives. This integration goal is further reinforced by Executive Order 13677 on Climate-Resilient International Development, which requires USAID and other government agencies with direct international development programs and investments to incorporate assessments of climate-related risks and vulnerabilities in agency strategies, planning, programs, projects, investments, overseas facilities, and related funding decisions, and simultaneously sets up a process to explore further mitigation opportunities in broader U.S. international development work.

This report contributes to these efforts by casting light on the state of climate change integration in USAID activities not funded with direct climate change funds and by identifying opportunities for further development of climate change integration efforts at USAID.

Climate change integration in this context can take a variety of forms. For instance, a Water activity might be structured to adapt to shifting rainfall patterns and sea levels, a school rehabilitation activity might consider how to integrate energy efficiency and clean energy into infrastructure design, or a Global Health activity might consider how increased frequency of flooding will alter the delivery of rural health services.

Through an analysis of the extent of climate change integration in publicly available USAID contract and grant solicitations from 2009-2014, paired with staff feedback through interviews and a survey, we identify 10 principal findings and three associated areas for intervention: **improved tools**, **intensified outreach**, and **increased leadership and strategic support**.

Our key results, presented below, explore the shape of integration during the 2009-2014 period as well as the operating environment that appears to enable climate change integration. The recommendations build on these findings, to recommend the areas of intervention that present the greatest opportunities for improving integration.

KEY FINDINGS

Overall, 16 percent of the solicitations in this assessment – 43 of 268 – integrated climate change to some extent. Each of these solicitations was given a score between 0 and 3 representing the thoroughness of the integration; ten received a score of 2.5 or 3 (Thorough), seventeen received a score of 1.5 or 2 (Moderate),

four received a score of 1 (Minimal) and twelve received a score of 0.5 (Very Minimal). The following key findings provide more information on the distribution and characteristics of this integration:

Finding 1 [click to go directly to finding in main report]. Solicitations with higher potential for integration integrate climate change more frequently, but there remains ample room for increased integration at the high and medium potential levels. **In total, 5 percent of solicitations categorized as low potential, 10 percent of medium potential, and 50 percent of high potential solicitations demonstrated climate change integration.**

Finding 2. Climate change integration **improved significantly from 2009 to 2012, but decreased slightly from 2012 to 2014**. Integration was observed in 7.9 percent of 2009 solicitations, 21.5 percent of 2012 solicitations, and 15.3 percent of 2014 solicitations.

Finding 3. Both the frequency and thoroughness of integration vary significantly across sectors. It appears that sector-specific strategies play a large role in this; **solicitations from sectors that have included climate change in their sectoral strategy are 18.8 percent more likely to be integrated** than those that fall under a non-integrated sector strategy.

Finding 4. Integration is fairly even across regions, with **slightly higher integration in Africa, Asia, and Latin America and the Caribbean – regions that USAID's Climate and Development Strategy identifies as priority – as well as in solicitations issued by Washington.**

Finding 5. Solicitations issued by operating units that have received direct Global Climate Change Initiative (GCCI) funding are 12.6 percent more likely to be integrated than solicitations issued by units that have never received direct GCCI funding.

Finding 6. A minority of the activities – two of 43 – associated with integrated solicitations have indirectly attributed to the Global Climate Change Initiative to date. This may be due in part to a lack of clarity about or willingness to undertake the reporting requirements associated with indirect attribution.

Finding 7. The majority (58 percent) of integration observed falls into the Adaptation category. Mitigation comprises 30 percent of integration observed, and non-specific climate change integration was observed in 12 percent of solicitations.

Finding 8. Within integrated solicitations, climate change is **most often integrated into the Statement of Work (81 percent) or Background (63 percent),** and appears much **less frequently in the Selection Criteria (16 percent), Reporting Requirements (21 percent) or Key Personnel (0 percent) sections**.

Finding 9. There appears to be a **relationship between integration in a Project Appraisal Document (PAD) and solicitation-level integration**, but it is not clear whether that relationship also extends to the Country Development Cooperation Strategy. These relationships merit further investigation.

Finding 10. Almost universally, **staff stressed that improved tools and guidance would help them integrate climate change into solicitations more frequently**.

Finding 11. Advocates for climate change across USAID leadership and within each operating unit are key to ensuring climate change considerations are included in relevant strategies, PADs, solicitations, and activity implementation.

RECOMMENDATIONS

Based on the above findings, we recommend **three main categories of intervention**: improving tools and resources for integration, intensifying outreach efforts, and enlisting leadership and strategy support. Further, we recommend utilizing the unique opportunity provided by the implementation of Executive Order 13677 to marshal agency-wide support for integration, and recommend targeting high-impact, high-potential sectors, beginning with Global Health and Agriculture.

Recommendation 1: Increase availability of tools and resources:

1.A. Most urgently, the Office of Global Climate Change (GCC)[1] should create a comprehensive toolkit with resources for integration at the solicitation level, including decision-making tools for those designing activities, and template language for inclusion in solicitations.

1.B. GCC and partners should also explore how to enable resource-constrained missions to undertake climate change assessments during the project design process, to improve their ability to identify opportunities as well as increase reliance on science-based decision-making for integration. This may be best achieved through the provision of a central pool of funding for commissioning assessments or the creation of guidance for conducting in-house assessments.

Recommendation 2: Increase climate change outreach across USAID:

2.A. GCC should consider intensifying *proactive* outreach, particularly to missions not receiving climate funding. This includes presenting information to non-climate staff when they come to Washington for training; increasing availability of climate change staff to travel to missions; and exploring opportunities for innovative outreach efforts.

2.B. USAID should explore formally installing climate change focal points at the bilateral mission, regional mission, and/or bureau level. These focal points would serve as advocates for climate change integration within their operating unit, provide or connect staff in their units to appropriate technical expertise, and serve as the formal conduit for communication between GCC and the unit. This recommendation is of particular salience for missions and bureaus without any GCC staff or direct funding.

Recommendation 3: Increase visible leadership and strategic support for climate change integration:

3.A. GCC should consider developing an integration strategy with a clear vision of what successful integration looks like, associated objectives, and a roadmap for implementation.

[1] While 'GCC' is used as shorthand in these recommendations, and while the GCC office coordinates and leads climate change efforts, these recommendations also extend to and can be supported by many others in Washington and in the missions.

3.B. GCC should consider working with other offices and bureaus to pursue the integration of climate change into relevant sector strategies, particularly in the high-potential, high-impacts sectors of Global Health and Agriculture. This includes integration into strategies of relevant sub-sectors.

3.C. Finally, GCC and E3 leadership should reach out to other leadership within Washington to build broad-based understanding of and support for climate change integration.

Recommendation 4: Cross cutting recommendations:

4.A. Seize the window of opportunity created by the implementation of Executive Order 13677 on Climate-Resilient Development to accelerate action on the above recommendations.

4.B. Target efforts in the high-impact, high-potential sectors of Global Health and Agriculture, and investigate additional potential for targeting activities in the Energy, Economic Growth, and Democracy, Human Rights, and Governance sectors, as well as activities across all sectors with infrastructure components.

PROPOSED TIMELINE

While some of these options may take longer than others to implement, implementation of all can *begin* in the near- to medium-term.

Immediate

1. Recommendation 1.A: Create a comprehensive toolkit

Near-Term

2. Recommendation 2.A: Expand proactive outreach efforts
3. Recommendation 3.C: Increase visible leadership support for integration

Medium-Term

1. Recommendation 1.B: Identify resources to facilitate climate change assessments at the project design level.
2. Recommendation 2.B: Explore developing a formal network of climate change champions within each mission, regional mission, or office/bureau.
3. Recommendation 3.A: Create an integration strategy
4. Recommendation 3.B: Integrate climate change into relevant sector strategies

I. INTRODUCTION

ABOUT INTEGRATION

In the coming decades, the impacts of climate change will affect almost all USAID activities in some way, while at the same time, USAID activities have the potential to alter the trajectory of global climate change. In recognition of this, United States Agency for International Development (USAID) has taken steps to strengthen its response to the threats that climate change poses to USAID's work, to spur low emission development, and to decrease the carbon footprint of USAID activities.

WHAT IS INTEGRATION?

Strategic Objective 3 of the *USAID Climate Change and Development Strategy 2012-2016* calls for "strengthen[ing] development outcomes by integrating climate change in Agency programming, learning, policy dialogues and operations.

In this report, **climate change integration** refers to the incorporation of climate change considerations or actions with benefits for climate change mitigation or adaptation into solicitations for USAID activities not receiving any direct funding from the Global Climate Change Initiative.

Global Climate Change, which has been an area of work for USAID since 1991, was elevated to a Presidential Initiative with the announcement of the Global Climate Change Initiative in 2010. In 2012, the release of the *USAID Climate Change and Development Strategy* reinforced the U.S. government's commitment to help countries accelerate their transition to climate-resilient, low emission development.

The *Climate Change and Development Strategy* outlines three Strategic Objectives (SOs) for USAID's climate change activities:

Strategic Objective 1: Accelerate the transition to low emission development through investments in clean energy and sustainable landscapes;

Strategic Objective 2: Increase resilience of people, places, and livelihoods through investments in adaptation;

Strategic Objective 3: Strengthen development outcomes by integrating climate change in Agency programming, learning, policy dialogues and operations;

USAID's work on climate change integration, as outlined in Strategic Objective 3, directly complements the mitigation and adaption objectives of SO 1 and SO2, by taking advantage of opportunities to apply the principles of low emission and climate resilient development across all areas of work.

Strategic Objective 3 further emphasizes three intermediate results that will help USAID undertake the institutional reforms that are essential to achieving the goal of supporting climate resilient, low emission development. This project specifically contributes to the first of these, Intermediate Result 3.1 (IR 3.1), to "Integrate climate change across USAID's development portfolio." This includes integrating climate-smart planning across activities that do not receive any direct funding for climate change.

Integration efforts at USAID have been rapidly scaled up over the past three years. As called for in the *Climate Change and Development Strategy*, ten climate change integration pilot projects have been launched, the learnings from which will inform future integration efforts at USAID. Since January 2012, integrating

climate change into missions' Country Development Cooperation Strategies (CDCSs) has been a mandatory activity for all missions, and most recently with the release of Executive Order 13677 on Climate-Resilient International Development, USAID is determining how to screen for climate risk in all countries of operation.

However, to date it has not been evident to what extent integration has been occurring within solicitations that do not receive any funding from the Global Climate Change Initiative (GCCI). USAID staff are encouraged to "indirectly attribute," or report on the use of indirect funding (funding from non-GCC funding sources) that is expected to result in climate change benefits for mitigation of greenhouse gases or climate change adaptation. However, that does not appear to occur on a wide scale – in this analysis, for instance, only two of the 43 integrated solicitations have also indirectly attributed to date (see additional discussion of indirect attribution in Finding 6).

ABOUT THIS ASSESSMENT

Thus, in support of Strategic Objective 3: Integration, this assessment was undertaken to better understand the state of climate change integration in activities not receiving direct GCCI funds at USAID, and to identify opportunities for further improvement.

The assessment investigates climate change integration at the level of publicly issued solicitations, both Requests for Applications (RFAs) and Requests for Proposals (RFPs). Integration at the award or implementation level is not discussed in this report, but is recommended for future investigation.

Specifically, we set out to answer the following questions:

What is the state of climate change integration across USAID, at the solicitation level?

- Has integration increased from 2009 – 2014?
- What differences exist across sectors and region?
- What shape does integration take within solicitations?

What is the enabling environment for climate change integration into solicitations?

- What factors influence integration in solicitations at USAID, and what levers might affect them?
- What are the key barriers to and opportunities for improved integration at the solicitation level?
- What actions could be taken to help increase the extent and quality of integration at USAID?

These questions were investigated in two phases. First, we undertook a quantitative assessment of climate change integration into a stratified sample of USAID RFAs and RFPs from 2009, 2012, and 2014. A full report on the methodology of this assessment is available in Methods Appendix.

Second, building on the results of the assessment, we administered semi-structured interviews and an online survey to a total of 57 USAID staff and partners (26 interviewees and 33 survey respondents). While the assessment of RFAs and RFPs helps us to understand *where* integration is and is not occurring in order to target future interventions, the interviews and survey provide insight into *why* integration is or is not occurring. A full report on the results of the survey is available in the Appendix II: Survey Results. Survey and interview responses where appropriate are also included in this main report.

REPORT STRUCTURE

In Part 2: Key Findings, we discuss 11 principal findings derived from the solicitation assessment, qualitative interviews, and survey. These findings range from ex-post observations of the shape of integration during the 2009-2014 period to normative analyses of the key challenges to and opportunities for improved integration.

In Part 3: Recommendations, we recommend actions for USAID to consider as it moves forward with its integration work. These correspond to the findings presented in Part 2, and rest principally on the need to **improve integration-specific tools** available to USAID staff; **intensify outreach** from GCC to staff not traditionally involved in climate activities; and **enlist leadership and strategic support** for integration.

We also include a Methods Appendix (Appendix I), which includes additional information on the Methodology used in this analysis, and a Survey Results Appendix (Appendix II), containing the full results of the survey.

II. KEY FINDINGS

The conclusions in this report are drawn from a retrospective assessment of integration within solicitations over the past five years, semi-structured interviews completed with USAID staff and partners, and an online survey distributed to USAID staff.

SCORING ASSESSMENT

The ex-post assessment of climate change within USAID solicitations analyzed the level of climate integration in a representative sample of 268 solicitations from the years 2009, 2012, and 2014, stratified by year and region. The sample comprised approximately 47 percent of the universe of eligible RFPs and RFAs in these years.

To provide the most accurate summary of integration *outside* of activities receiving direct GCCI funds, solicitations for activities that received any amount of GCCI funding were excluded from the analysis.

Solicitations were scored on whether and how thoroughly they integrated climate change considerations. Possible scores ranged from 0 ('No Integration') to 3 ('Thorough Integration'), with scores assigned at half-point intervals. See the Score Key to the right for a fuller explanation these score categories.

SCORE KEY

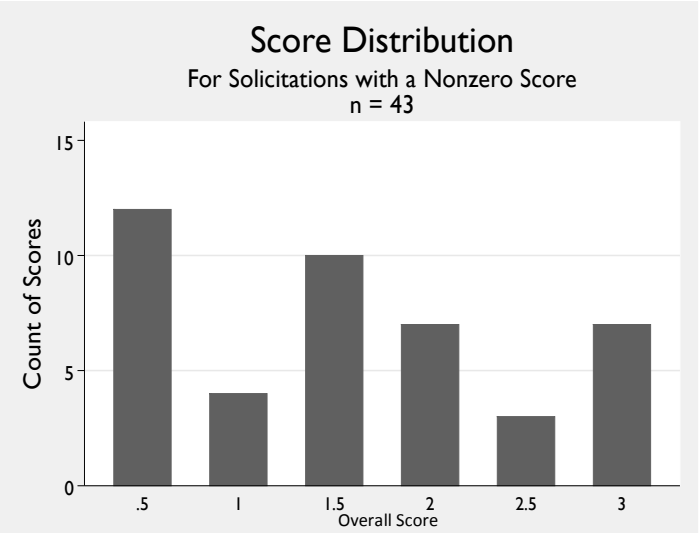
0 – None
No substantive references to climate change

1 – Minimal
Some discussion of climate, but in generic terms or only as background. Not likely to have been included in actual activity.

2 – Moderate
Climate change is fairly well integrated; some specific contextual information is included relating climate change to the project. If climate-related requirements for the offeror are included, they are weak or leave major gaps.

3 – Thorough
Climate change is substantively integrated into section, with specific guidance for and/or requirements of offerors.

FIGURE 1.1: OVERALL SCORE



Distribution of the overall solicitation score for those 43 solicitations that received a score greater than 0. An additional 225 solicitations received of score of 0, indicating no integration.

Overall, 16 percent of the solicitations in this assessment – 43 of 268 – were found to integrate climate change to some extent, with an average score of 1.57 (a 'Moderate' level of integration).

Of these 43 integrated solicitations, ten received a score of 2.5 or 3 (Thorough), seventeen received a score of 1.5 or 2 (Moderate), four received a score of 1 (Minimal) and twelve received a score of 0.5 (Very Minimal). See the full score distribution of integrated solicitations in Figure 1.1 at left.

NOTES ON SCORE MEANING

Very Minimal Scores: A score of 0.5 is representative of a solicitation which does make some mention of climate change – perhaps a brief reference to it as one of the stressors in a particular context – but which does not substantively discuss it and typically does not extend integration into proposed activities. These did receive a nonzero score in light of the fact that the authors did address climate change in some fashion – this points to the fact that authors are considering climate to some extent, and there may be potential for more thorough integration into this type of solicitation in the future. Of all solicitations, 4.5 percent received a score of 0.5. When excluding these solicitations that received a score of 0.5, 11.5 percent of all solicitations in this analysis demonstrated integration.

Intentional vs. Incidental Integration: Of the 43 total solicitations demonstrating some integration, 11 were identified as having "incidental" integration, meaning that adaptation or mitigation activities had been included in the solicitation without a clearly intentional climate focus. For example, one solicitation identified as having incidentally achieved integration was for an economic development program in Jordan that included the development of the clean technology sector as one principal focus for economic growth, but which seemed to otherwise lack climate-related considerations and did not explicitly refer to mitigation goals. Four of the solicitations identified as incidental are from FY2009, two are from FY2012, and five are from FY2014. The modal score was 0.5, with five solicitations scoring 0.5, one scoring 1.0, four scoring 1.5, and one scoring 2.0. The presence of these programs in the sample suggests that some operating units may be accomplishing climate change objectives without being familiar with the particular language or goals of USAID's Climate Change and Development Strategy.

INTERVIEWS AND SURVEY

Following the completion of the scoring assessment, a total of 20 semi-structured interviews were completed with 26 people in March and April 2015. Of these, 22 were USAID staff and 4 were external experts or partners.

Finally, a total of 33 individuals – all current USAID staff or contractors – completed an online survey during April 2015. A full report of the results from this survey is available in Appendix II: Survey Results.

KEY FINDINGS

The results of these analyses revealed the shape of integration over the past five years and the principal factors contributing to an enabling environment for climate change integration into solicitations at USAID. The below findings synthesize the most salient learnings from this assessment.

FINDING 1

Solicitations with higher potential for integration do integrate climate change more frequently, but there remains ample room for increased integration at the high and medium potential levels. In total, 5 percent of solicitations categorized as low potential, 10 percent of medium potential, and 50 percent of high potential solicitations demonstrated integration.

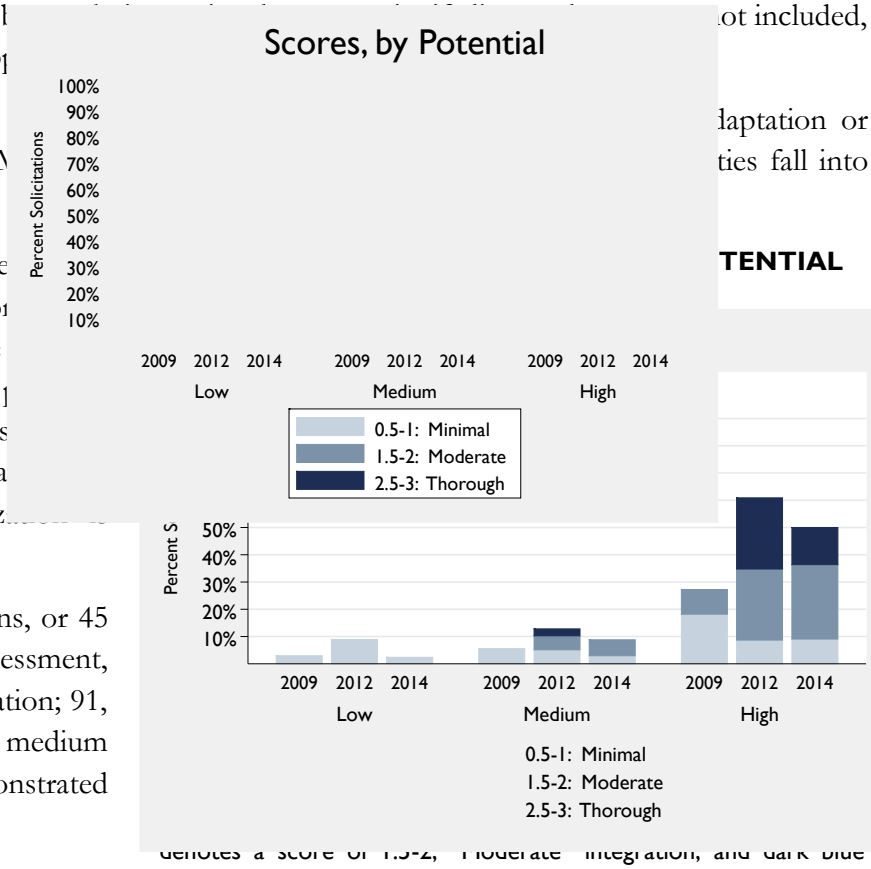
As a part of this analysis, we conducted a rapid assessment of the potential for the integration of climate change adaptation or mitigation components within the sample of solicitations, ranking solicitations as having "Low," "Medium," or "High" potential for integration.

In general, low potential activities were defined as those for which there does not seem to be an direct entry point for incorporating climate change-related activities, or, for some very small programs, where including climate factors might significantly detract from the principal objectives of the activity.

The medium potential category included both (1) Activities that had significant direct service delivery components and were in countries identified as having above-average climate change vulnerability as measured by the GAIN Vulnerability Index; and (2) Activities that appeared readily able to incorporate climate change adaptation or mitigation components due to their size or scope; as opposed to activities with higher potential, it would not seem to l ot included, but based on the brief review, there ap

Finally, a high potential activity was daptation or mitigation – seems directly relevant. M ties fall into this category.

These scores are based on a brief re TENTIAL solicitations and without the full co each planned activity, are likely to be but provide a broad overview of the of climate change integration acros different categories. Further informa the methodology for this categoriz available in the Methods Appendix.



denotes a score of 1.5-2, "Moderate" integration, and dark blue denotes a score of 2.5-3, "Thorough" integration.

In total, we found that 121 solicitations, or 45 percent of those in this assessment, demonstrated low potential for integration; 91, or 34 percent, demonstrated medium potential; and 56, or 21 percent, demonstrated high potential.

Of these, approximately 50 percent of high potential activities, 10 percent of medium potential activities, and 5 percent of low potential activities included climate change to some extent. Figure 1.2 displays the score breakdown, by year, for each of these categories.

As evident in Figure 1.2, not only did high potential activities integrate climate change more frequently, but they have also done so more thoroughly -- the level of integration for low and medium potential activities skew toward Minimal and Moderate scores, whereas high potential activities include all but one of the Thorough solicitations in this sample.

However, there remains substantial room for increased integration, particularly in medium and high potential solicitations. **If all high potential solicitations from 2012 and 2014 in this sample had integrated climate change, up to an additional $607 million in USG funds could have been leveraged to support the goals of the Global Climate Change Initiative.** As this evaluation sampled just under half of RFAs and RFPs from two years since the creation of GCCI, the full financial impact of integrating climate change into high potential activities would likely be much greater.

Presenting an even larger untapped opportunity, the 2012 and 2014 non-integrated medium potential activities in this sample represent an additional $3 billion in US government funds. However, accelerating integration into these medium potential solicitations may require a greater level of outreach and, in some cases, larger tradeoffs between climate change goals and the goals of the activity. Based on USAID goals for climate change integration and willingness and ability to invest in amplified integration efforts, GCC and relevant partners should consider to what extent this category of activities should be targeted for increased integration (see Recommendation 3.A: Develop an Integration Strategy).

Whatever the determination regarding medium potential solicitations may be, to help increase the number of solicitations fulfilling their potential to integrate climate change at any level, as further explained in the remainder of the findings, we recommend making available enhanced tools, conducting targeted outreach, and increasing visible leadership support for integration. These recommendations are outlined in full in the Recommendations section.

See Associated Recommendations: 1.A, 1.B, 2.A, 2.B, 3.A, 3.B, 3.C

FINDING 2

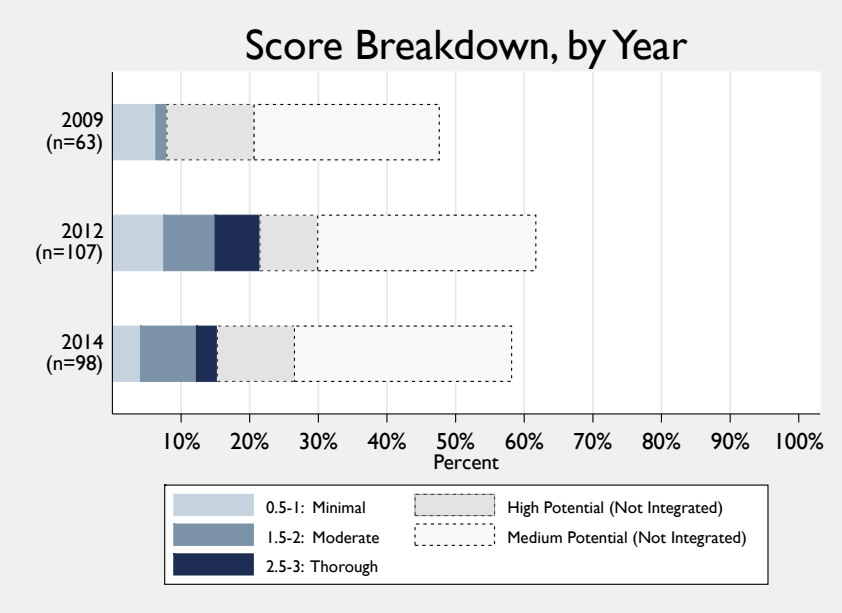
Integration improved significantly from 2009 to 2012, but decreased slightly from 2012 to 2014. Integration was observed in 7.9 percent of 2009 solicitations, 21.5 percent of 2012 solicitations, and 15.3 percent of 2014 solicitations.

There has been significant progress in the extent of integration across USAID activities over the past five years. The percent of RFAs and RFPs including integration increased from 7.9 percent in 2009 to 21.5 percent in 2012 and 15.3 percent in 2014.[2]

Figure 2 at right displays the percent of integrated solicitations in each year, broken down by score and with dotted lines outlining the remaining percent of solicitations that were found to be medium or high potential but did not integrate.

Thoroughness of integration also varies by year. Of all integrated solicitations, the average score in 2009 was 0.8, versus an average score of 1.72 in 2012 and 1.6 in 2014. Scores and frequency of integration can be seen in Table 2.

FIGURE 2: SCORES BY YEAR



Total percent of solicitations in each year that were found to integrate climate change. Light blue is used for those that scored 0.5-1, a "Minimal" level of integration, medium blue denotes a score of 1.5-2, "Moderate" integration, and dark blue denotes a score of 2.5-3, "Thorough" integration. The dotted lines outlines the remaining percent of solicitations that were found to be 'High Potential' (darker gray) or 'Medium Potential' (lighter gray) in each year, but did not integrate.

TABLE 2: SUMMARY OF RESULTS, BY YEAR

	2009	2012	2014
# Solicitations Sampled	63	107	98
Percent Demonstrating Integration	7.9% *	21.5% *	15.3%
Mean Score, Overall	0.06	0.37	0.25
Mean Score, Integrated Solicitations	0.8	1.72	1.6
Total # High Potential (# High Potential Integrated)	11 (3 integrated)	23 (14 integrated)	22 (12 integrated)
Total # Med. Potential (# Medium Potential Integrated)	18 (1 integrated)	39 (5 integrated)	34 (3 integrated)
Total # Low Potential (# Low Potential Integrated)	34 (1 integrated)	45 (4 integrated)	42 (1 integrated)

[2] The difference between frequency of integration in 2009 and 2012 is statistically significant at 95 percent confidence, and the difference from 2009 to 2014 is statistically significant at 90 percent confidence. The difference from 2012 to 2014 is significant only at 85 percent confidence.

Accounting for the 2014 Decrease in Integration

Numerically, the decrease in frequency of integration observed from 2012 to 2014 can be accounted for by the fact that two sectors with above-average integration in 2012 – Agriculture and Economic Growth – were represented by fewer solicitations in the sample in 2014 as compared to 2012, and that the frequency of integration within these sectors decreased over that time period.[3]

In 2012, 43 percent of the Economic Growth solicitations in our sample – 6 of 14 – were integrated, while in 2014, 12.5 percent – 1 of 8 – were integrated.[4] Similarly, in 2012, 69 percent of the Agriculture solicitations in the sample – 9 of 13 – were integrated, while in 2014, only 50 percent – 5 of 10 – were integrated.

Together, these two areas of work account for 100 percent of the drop in integration. If, all else being equal, these two sectors had maintained the same rate of integration *and* issued the same number of solicitations in 2014 as observed in 2012, the percent of integrated solicitations in 2014 would have been 22.4 percent, slightly higher than the 21.5 percent observed in 2012. In reality, integration was observed in 15.3 percent of solicitations in 2014.

Many, but not all, of these are also Feed the Future (FTF) activities. In 2012, 8 of the 9 integrated Agriculture solicitations and 11 of all 13 Agriculture solicitations were funded by FTF. In 2014, all 5 integrated solicitations and 8 of the 10 Agriculture solicitations fell under FTF. In addition, two of the integrated Economic Growth solicitations from 2012 were multi-sector activities utilizing Feed the Future funds, but with a strong Economic Growth focus. However, the decrease in percent integration and number of solicitations issued by Feed the Future alone only accounts for 66 percent of the decrease from 2012 to 2014.

No interviewees cited an intentional decrease in integration, and thus the reasons for this decrease in Economic Growth and Agriculture remain unclear. To combat any potential slowdown in momentum for integration post-2012, as outlined in the remainder of the findings, it will be crucial to continue to conduct outreach, provide resources, and generate leadership support for integration.

See Associated Recommendations: 2.A, 2.B, 3.B, 3.C

[3] The year-over-year decrease in Economic Growth is statistically significant, whereas the decrease in Agriculture is not and thus may be due to sampling variation rather than a true decrease.

[4] Energy has been broken out of the Economic Growth sector and thus this change is not due to energy-related activities.

FINDING 3

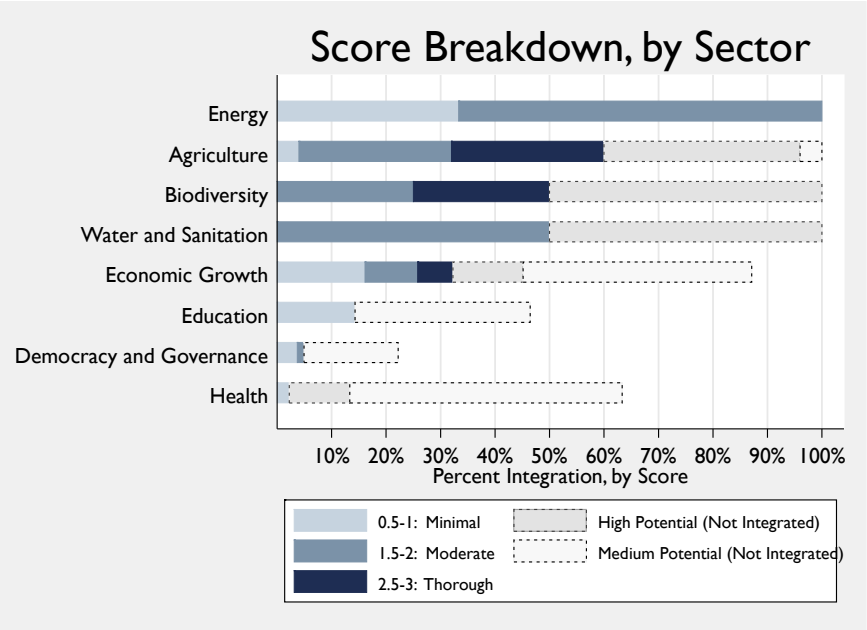
Both the frequency and thoroughness of integration vary significantly across sectors. It appears that sector-specific strategies play a large role in this; activities in sectors that have included climate change in their sectoral strategy are 18.8 percent more likely to be integrated.

Overall Scores

The solicitation scoring exercise revealed clear trends in integration across sectors.[5] See Figure 3.1 and Table 3.1 for a full view of the level of integration and potential by sector.

Of the major sector categories, Agriculture demonstrates the highest percent integration, with 60 percent of all Agriculture solicitations including some level of integration. Agriculture also, along with Biodiversity, displays the most thorough level of integration, with an average score of 2.2 among integrated solicitations (see Table 3.1 for all scores).

FIGURE 3.1: SCORES BY SECTOR



Total percent of solicitations in each category that were found to integrate climate change. Gradients of blue indicate score categories (see Key). Dotted lines outline the remaining percent of solicitations that were found to be 'High Potential' (darker gray) or 'Medium Potential' (lighter gray) in each category, but did not integrate.

The Energy sub-sector, which has been broken out of Economic Growth for this analysis, demonstrates the highest overall frequency of integration, with all three Energy solicitations including climate change to some extent. However, these display a lower level of integration, with Energy solicitations on average scoring 1.3 out of 3 (a Minimal/Moderate level of integration).

In contrast, integration is well below average levels in the Democracy, Human Rights, and Governance and the Global Health sectors. In Democracy, Human Rights, and Governance, only 4.9 percent of solicitations – 4 of 81 – include climate change, with a mean score of 0.88 among those.[6] However, as evident in the

[5] Sectors were divided into the following categories: Agriculture and Food Security; Biodiversity (including Combating Wildlife Trafficking); Democracy, Human Rights, and Governance; Economic Growth (including economic policy, financial products, private enterprise support, trade, and related activities); Education; Energy; Health (including HIV/AIDS, Malaria, Maternal and Child Health, Family Planning/Reproductive Health, Protecting Communities from Infectious Diseases, and Other Health: Orphans and Vulnerable Children, and Social Protection); and Water and Sanitation.

[6] Of the Democracy, Human Rights, and Governance solicitations demonstrating integration, three received a score of 0.5 and one received a score of 2. The solicitation that received the score of 2 was for an activity in Ethiopia called Strengthening Institutions for Peace and Development II (SIPED II). According to the author, this activity included climate components specifically to create added value with a climate change funded program operating in the same geographic space as SIPED II. Of the other three solicitations, one was a women's empowerment

potential scores in Figure 3.1 and Table 3.1, the opportunities for climate change integration into Democracy and Governance programs may be less frequent or evident than in some other sectors.

Integration is lowest within Global Health, the largest sector in the sample both in terms of funding and number of solicitations. Only two solicitations out of 90 in the sample displayed integration; both of these received a score of 0.5, the minimum score qualifying as integration.[7]

TABLE 3.1: SUMMARY OF RESULTS, BY SECTOR

	Ag	Biodiv.	DRG	Economic Growth	Ed.	Energy	Health	Water
# Solicitations Sampled	25	4	81	31	28	3	90	6
Percent Integrated	60%	50%	4.9%	32.2%	14.2%	100%	2.2%	50%
Mean Score (overall)	1.3	1.1	0.04	0.45	0.11	1.3	0.01	0.75
Mean Score (nonzero only)	2.2	2.25	0.88	1.4	0.75	1.3	0.5	1.5
Total Funds in Sample	$533 m	$60.5 m	$ 1.26 b	$1.1 b	$601 m	$64.6 m	$4.54 b	$45.6 m
Total Funds from Solicitations with a Score of 1 or greater	$300 m	$30.5 m	$18.3 m	$246 m	$38	$46.9 m	$---	$15.8 m
Total # High Potential (# High Potential Integrated)	23 (14 int.)	4 (2 int.)	1 (1 int.)	7 (3 int.)	1 (1 int.)	3 (3 int.)	11 (1 int.)	6 (3 int.)
Total # Med. Potential (# Medium Potential Integrated)	2 (1 int.)	0	15 (1 int.)	18 (5 int.)	10 (1 int.)	0	46 (1 int.)	0
Total # Low Potential (# Low Potential Integrated)	0	0	65 (2 int.)	6 (2 int.)	17 (2 int.)	0	33 (0 int.)	0

Sectoral Strategies

It appears that sector strategies may be driving a significant part of the difference in integration across sectors. As part of this assessment, we undertook a brief review of the integration of climate change considerations into global policies and sector-specific strategies.[8] Based on this review, we found that sector specific strategies played a significant role in the difference observed between sectors.

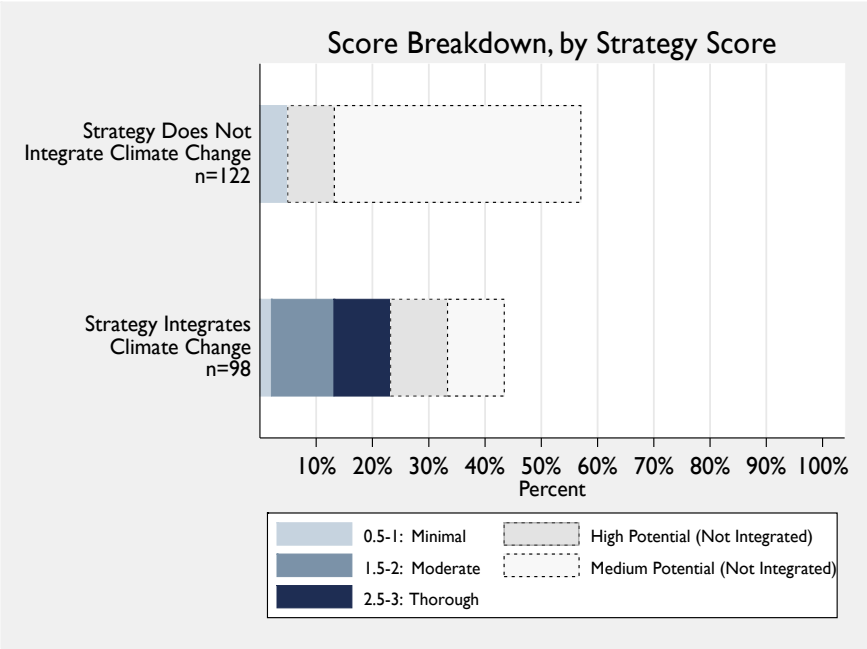
activity receiving Feed the Future funds, one was a justice sector activity which mentioned climate change in the context of the country, and one was for a program involving infrastructure components.

[7] Of the two Global Health solicitations demonstrating integration, one is the solicitation for the Emerging Pandemic Threats – 2 (EPT-2) program, which makes reference to research on climate change during a previous iteration of the program, and one an HIV/AIDS program that makes a very brief reference to climate change in the Selection Criteria.

[8] In total, eighteen strategies were reviewed, of which five were found to thoroughly incorporate climate change (this includes documents such as the Building Resilience to Recurrent Crisis: USAID Policy and Program Guidance, Biodiversity Policy, and Water and Development Strategy); four were found to include climate change to a moderate degree (including the Multi-Sectoral Nutrition Strategy 2014-2025 and the USAID Strategy on Democracy, Human Rights, and Governance), and climate change was found to be absent from nine documents (including

In our analysis, **strategies that fell under a sectoral strategy or policy that integrated climate change were approximately 18.8 percent[9] more likely to integrate climate change themselves.** This holds when controlling for the solicitation's potential, whether the releasing operating unit had previously received climate funding, and the solicitation's principal sector (strategies typically apply to subsectors).

FIGURE 3.2: SCORES, BY INTEGRATION STATUS



Total percent of solicitations in each category that were found to integrate climate change. Gradients of blue indicate score categories (see Key). Dotted lines outline the remaining percent of solicitations that were found to be 'High Potential' (darker gray) or 'Medium Potential' (lighter gray) in each category, but did not integrate.

Moreover, solicitations from sectoral strategies that integrated climate change were also more likely to demonstrate a more thorough degree of integration. As observed in Figure 3.2 at left, the majority of integrated solicitations associated with integrated strategies have a Moderate or Thorough level of integration, whereas none of the solicitations associated with a non-integrated strategy scored greater than Minimal.

Identifying Potential for Improved Integration

Lastly, when considering what sectors present the largest opportunity for increased integration, three themes emerge.

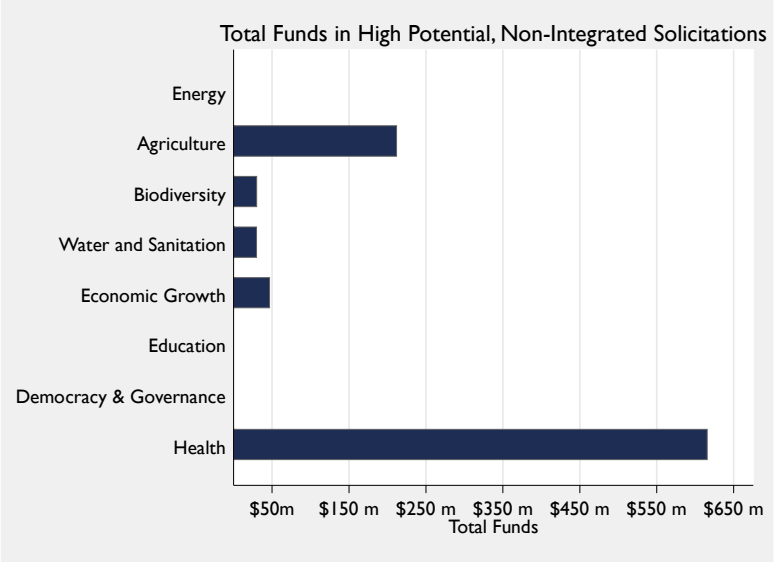
First, decreasing levels of integration in the large and relatively high potential Economic Growth and Agriculture sectors, as outlined in Finding 2, suggest that these the sectors in particular may benefit from targeted efforts to increase both the frequency and thoroughness of integration.

strategies such as the President's Malaria Initiative Strategy 2015-2020 and the Global Health Strategic Framework 2012-2016). This categorization was for purposes of this assessment alone and was not a normative assessment of whether climate change should be included in any of those strategies.

[9] Based on a logistic regression, controlling for previous funding to the operating unit, sector, and the potential score of the solicitation, with robust standard errors clustered at the operating-unit level. Results indicate the Average Marginal Effect of an integrated sector strategy is 18.8 percent, (p=.037, with a 95 percent confidence interval of 7.7 percent to 29.8 percent).

Second, when considering the amount of funding that is represented by high potential but not integrated solicitations in our sample (see Figure 3.3), we can see that, by virtue of its size, Global Health contains the vast majority of unleveraged high potential funding.

FIGURE 3.3: TOTAL FUNDS ALLOCATED TO HIGH POTENTIAL AND NON-INTEGRATED SOLICITATIONS



The amount of funding associated with solicitations from the solicitations from 2009, 2012, and 2014

Third, activities containing infrastructure components contain inherent potential for the integration of both adaptation and mitigation considerations. However, infrastructure activities at USAID are frequently concealed within other sectors, making it difficult to conclusively establish the extent of integration within infrastructure activities. In this analysis, we were able to identify 13 solicitations containing infrastructure components, of which three (23 percent) were integrated (two Water infrastructure activities and one Education activity with a green building component). Targeting activities with infrastructure components across sectors may help move these activities to be more climate-smart going forward.

Finally, it appears that there is significant room to increase not only the frequency of integration, but the thoroughness of integration as well. For instance, as previously mentioned, in the Energy sector 100 percent of solicitations were found to be integrating, but none of these were integrating at the "Thorough" level (a score of 2.5 or 3). In fact, solicitations with 'Thorough' integration (a score of 2.5 or 3) made up a minority of integrated solicitations in all sectors in this analysis. While we do not believe it would be feasible or resource-effective to increase integration to the Thorough level for all solicitations, many high and medium potential solicitations in particular could be integrating to a fuller degree.

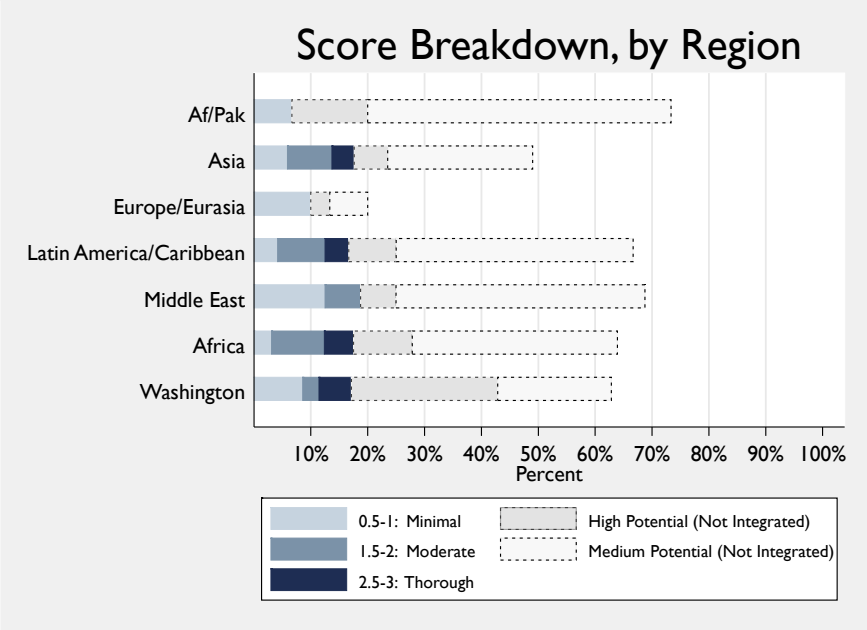
The sum of these findings suggest that targeted outreach efforts must be undertaken to encourage and enable staff across sectors, particularly those in high priority sectors, to integrate climate change more frequently and to a greater degree. Due to the observed influence of strategy on integration, resources should be directed toward increasing integration at the sector-strategy level, in particular.

See Associated Recommendations: 1.A, 3.B, 3.C, 4

FINDING 4

Integration is fairly even across regions, with higher integration in Africa, Asia, Latin America and the Caribbean – regions that USAID's Climate and Development Strategy identifies as priority – as well as in solicitations issued by Washington.

FIGURE 4: SCORES BY REGION



Total percent of solicitations in each category that were found to integrate climate change. Gradients of blue indicate score categories (see Key). Dotted lines outline the remaining percent of solicitations that were found to be 'High Potential' (darker gray) or 'Medium Potential' (lighter gray) in each category, but did not integrate.

Progress in integration appears fairly even across regions, with higher frequency and thoroughness of integration in Africa, Asia, Latin America and the Caribbean, and Washington.

In contrast, both the Afghanistan and Pakistan and Europe and Eurasia regions demonstrate slightly less integration in both total percent of integrated solicitations and in the thoroughness of the integration.

However, when considering potential, although Europe and Eurasia demonstrate a smaller percentage of integration over all of their activities, they have integrated into a greater percentage of their high potential activities than any other region.

In contrast, Washington appears to have higher unfulfilled high potential solicitations than other regions – this can be attributed in part to the large number of high potential Global Health solicitations being released by Washington. In total, 13 solicitations in our sample that came from Washington were identified as high potential. Of these, nine did not integrate climate change -- four Emerging Pandemic Threats activities, three Malaria activities, and two Agriculture activities. Table 4 on the following page provides more information on integration and potential within each region.

This variation in the degree to which regions are integrating and in particular, integrating into high potential solicitations, points to the need, echoed in Finding 5, to deepen connections with areas outside of the traditional focus countries for the Office of Global Climate Change if integration is to succeed at an agency-wide level.

See Associated Recommendations: 2.A, 2.B, 3.A, 3.C

TABLE 4: SUMMARY OF RESULTS, BY REGION

	Af/Pak	Asia	Europe and Eurasia	LAC	Middle East	Africa	Washington
# Solicitations Sampled	15	51	30	24	16	97	35
Percent Integrated	6.67%	17.6%	10%	16.7%	18.8%	17.5%	17.1 %
Mean Score (overall)	0.06	0.28	0.05	0.27	0.16	0.33	0.27
Mean Score (nonzero only)	1	1.61	0.5	1.63	0.83	1.88	1.58
Total Funds in Sample	$802 m	$779 m	$166 m	$544 m	$460 m	$2.7 b	$2.8 b
Total Funds in Solicitations with a Score of 1 or greater	$38 m	$123 m	$0	$75.6 m	$45.4 m	$348 m	$85 m
Total # High Potential (# High Potential Integrated)	2 (0 int.)	8 (5 int.)	3 (2 int.)	3 (1 int.)	2 (1 int.)	25 (15 int.)	13 (4 int.)
Total # Med. Potential (# Medium Potential Integrated)	9 (1 int.)	15 (2 int.)	2 (0 int.)	12 (2 int.)	9 (2 int.)	37 (2 int.)	7 (0 int.)
Total # Low Potential (# Low Potential Integrated)	4 (0 int.)	28 (2 int.)	25 (1 int.)	9 (1 int.)	5 (0 int.)	35 (0 int.)	15 (2 int.)

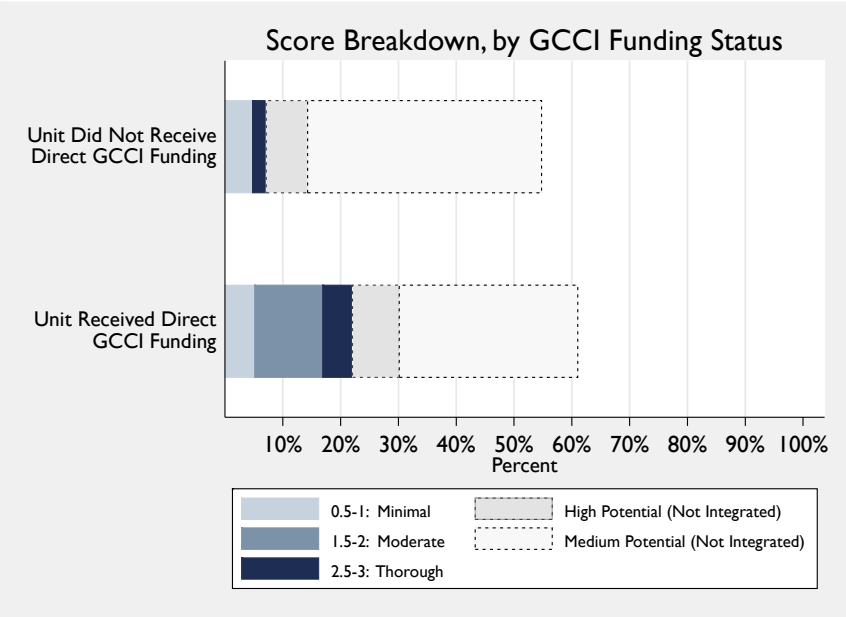
FINDING 5

Solicitations issued by operating units that have received direct GCCI funding are 12.6 percent more likely to be integrated than solicitations issued by units that have never received direct funding from the Global Climate Change Initiative.

Solicitations issued by an operating unit receiving direct GCCI funding are 12.6 percent more likely to be integrated [10] than solicitations from operating units that have not received direct GCCI funding, and have a score on average .15 points higher [11] (controlling in both cases for the potential and sector of the solicitation).

Figure 5.1 displays solicitation scores by GCCI funding status; these only include solicitations from 2012 and 2014, as in 2009 no units would have received funding from the Global Climate Change Initiative.

FIGURE 5.1: SCORES, BY GCCI FUNDING STATUS



Total percent of solicitations in each category that were found to integrate climate change. Gradients of blue indicate score categories (see Key). Dotted lines outline the remaining percent of solicitations that were found to be 'High Potential' (darker gray) or 'Medium Potential' (lighter gray) in each category, but did not integrate.

Qualitative Findings

This gap in integration in GCCI-funded and non GCCI-funded operating units manifests qualitatively in a divide in USAID staff perceptions of their connectedness to climate change at USAID, and related ability to access the resources to help them integrate.

Some staff, either due to their sector of work or operating unit, report feeling alternately disconnected from or unaware of the work of GCC, including how climate change might intersect with their activities. Even those who do personally find climate change important reported feeling as though they lacked the knowledge, tools, and relationship with climate change staff that would help them integrate more fully.

In contrast, others feel well connected to climate change at USAID – typically being in an operating unit receiving GCCI funding, or having worked on GCC activities at some point in the past. These individuals

[10] Including only solicitations from 2012 and 2014, after the inception of the Global Climate Change Initiative. Results based on logistic regression of the outcome of whether a solicitation is integrated on the dichotomous predictor of whether its operating unit has received direct funding from GCCI in the same year or any year prior to the issue date of the solicitation, controlling for potential score and sector, with robust standard errors clustered at the operating-unit level. Results indicate the Average Marginal Effect of previous funding = 12.6 percent, (p=.014, with a 95 percent confidence interval of 2.5 percent to 22.6 percent).

[11] Results based on an OLS regression of total integration score on the dichotomous predictor of whether its operating unit has received direct funding from GCCI, controlling for potential score and sector, with robust standard errors clustered at the operating-unit level. Results indicate that solicitations from units receiving direct GCCI funding have, on average, a score of .15 points higher than those in units that have not received GCCI funds.

were less often dissatisfied with their ability to access information or experts – as they often worked directly with GCC staff, or possess this knowledge from previous work in the arena – but more often felt stymied by issues such as the lack of integration funding and burden of reporting requirements. This was reflected in both the survey and the interviews.

As further evidence of this division, in the survey the lack of access to technical experts was the most important barrier identified by those who do not work on GCCI-affiliated activities, while it was one of the least important barriers for those who *do* work on GCCI-funded activities. Similarly, the most important opportunity for improved integration identified by those who do not work on GCCI-affiliated activities was improved access to technical information on climate change and development, whereas this was the ranked as the second least helpful new opportunity for those who do have experience working on climate change activities. See Figure 5.2:

FIGURE 5.2: EXCERPT OF SURVEY RESULTS

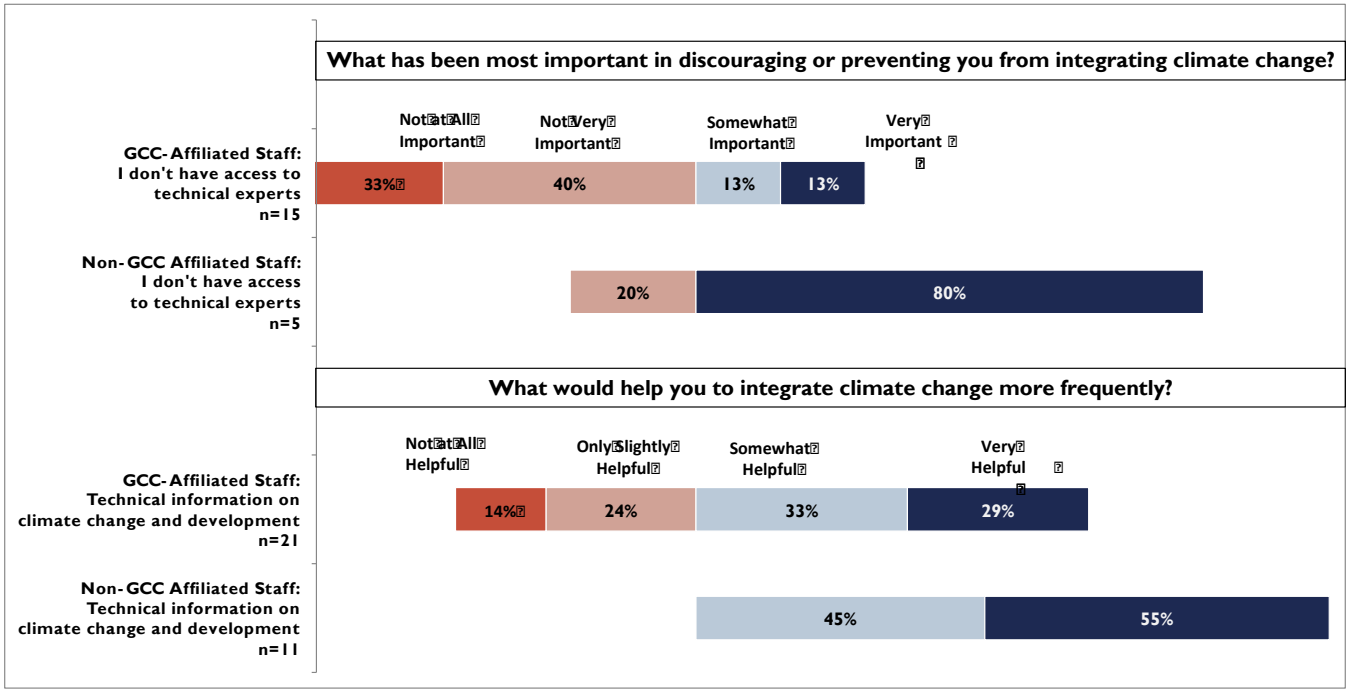


Figure displays survey results related to technical information on the two questions: "Please rate the following statements on their importance in preventing or discouraging you from including climate change considerations in solicitations with which you have been involved," and "Please rate how helpful each of the following factors would be in enabling you to integrate climate change more frequently." As evidenced in the figure above, staff with and without experience working with the Global Climate Change Initiative diverged significantly on their stated need for technical resources.

This division in the ability to access expertise and perceptions of connection to climate change work at USAID was echoed in interviews. For example, staff that do have relationships with climate change representatives express relative ease in accessing information relevant to climate change activities:

- "**Q: Did you consult anyone for help designing the activity?**
  A: Our office is comprised of WASH and NRM staff, on the NRM side there are a lot of climate folks and we consulted them."

- "We have relations with the GCC folks back in Washington because of another project, we were able to build in some of the conversations about the current project with that."
- "Climate change is a known issue, for this project in particular but also other marine projects in Indonesia – we already know based on previously conducted studies that climate change has an impact on marine management."

Whereas some staff that do not typically interact with climate change reported sentiments such as the following:

- "When I'm in the mission, I'm thinking about the people I deal with every week -- can't blame climate change for that, but they sit in E3, don't have very strong relationship with them, they don't really enter my consciousness. They didn't do anything wrong, just don't occur to me."

So, we see both that operating units receiving direct GGCI funding are integrating much more frequently and that, while staff with fewer connections to GCC are pursuing integration to some extent, they appear to face greater hurdles in gaining support and accessing the experts and information they need to design activities. Thus, we recommend increasing tools and intensifying outreach from GCC to operating units not receiving GCCI funds and sectors such as Global Health that have been less involved in climate change work to date.

See Associated Recommendations: 2.A, 2.B, 3.C

FINDING 6

A minority of the activities – two of 43 – associated with integrated solicitations have indirectly attributed to the Global Climate Change Initiative to date. This may be due in part to a lack of clarity about and willingness to undertake the reporting requirements associated with indirect attribution.

USAID staff are encouraged to "indirectly attribute," or report on the use of funding from non-GCCI sources that is expected to result in climate change benefits for mitigation of greenhouse gases or climate change adaptation. The results of our scoring assessment indicate this is not happening with great frequency.

Of all 43 solicitations found to integrate climate change in this analysis, only two[12] (4.7 percent) have indirectly attributed to date. However, as noted previously, those solicitations receiving minimal scores included very minimal attention to climate change, and the associated activities would likely not rise to the level of indirect attribution.

When considering only the 16 activities that received a score of 2 or greater and were not categorized as "incidental," **12.5 percent (2 of 16) of these integrated activities have indirectly attributed to the Global Climate Change Initiative to date.**

The low level of indirect attribution observed may be due to a weak understanding of or desire to avoid the reporting requirements associated with indirect attribution. In the survey, while those without experience with climate change at USAID did not indicate that reporting requirements were an issue for them, those with previous climate change experience identified the option "reporting requirements are too burdensome" as the second most important barrier to integration. Similarly, this came up several times in interviews and open-ended answers in the survey:

- **"Q: Did anyone or anything discourage you from including climate change?**
  A: The complications of reporting on it even when indirect. At times it seems to require a lawyer to parse out what is allowed to be reported on or not. The guidance is huge and complicated and seems to change from year to year. We are happy to include specific work that relates both to agriculture and GCC (esp. adaptation or sustainable landscapes work) but already within agriculture, FTF reporting requirements are huge and complicated. Layering GCC indirect on this when staff time is already limited is nearly impossible."
- **"Q: What other conditions might help you integrate climate change into more of your solicitations:**
  A: "Reduced and streamlined reporting requirements"
- **"Q: Consider a time when you have chosen NOT to include climate change in a solicitation. [What has been important] in preventing or discouraging you from including climate change considerations in solicitations with which you have been involved:**
  A: "Reporting requirements for indirect accomplishments."

[12] Of the two solicitations associated with indirectly attributing activities, one is a 2009 solicitation for an ecotourism activity in Rwanda that indirectly attributed to Sustainable Landscapes in Fiscal Years 2011, 2012, and 2013 and received an overall integration score of 2. The other is a 2012 solicitation for a Biodiversity activity in Liberia that indirectly attributed to Adaptation and Sustainable Landscapes in Fiscal Years 2012, 2013, and 2014, and received an overall integration score of 3.

Thus, it appears that lack of clarity about or frustration with the reporting requirements for indirect attribution may be preventing attribution of indirect funding from reaching its full potential.

While some of these concerns may be lessened with additional information, outreach, and support (see Recommendations 1 and 2), it will not be possible to completely eliminate the extra staff time and effort associated with indirect attribution.

Therefore, we recommend giving considered thought to how large a priority increasing indirect attribution versus increasing integration writ large will be in the next 1-5 years. This consideration process should be part of the creation of the recommended integration strategy (see Recommendation 3.A) and targets should be written into the strategy. If increasing indirect attribution is a non-negotiable part of increasing integration, determine how reporting can be made simpler, conduct outreach to encourage uptake, and provide regular and transparent guidance and, when necessary, technical assistance (see Recommendation (2.A, 2.B).

See Associated Recommendations: 2.A, 2.B, 3.B

FINDING 7

The majority (58 percent) of integration observed falls into the Adaptation category. Mitigation comprises 30 percent of integration observed, and non-specific climate change integration was observed in 12 percent of solicitations.

Of the 43 integrated solicitations, 25 (58.1 percent) appeared to integrate adaptation-related considerations, 13 (30.2 percent) integrated mitigation-related considerations (10 related to clean energy, 2 related to sustainable landscapes, and one energy efficiency), and 5 (11.6 percent) included contextual information or encouragement to include general climate change considerations only, without specifying what genre. Those targeting solely adaptation typically included more thorough integration than the other categories, while nonspecific integration was only observed in solicitations with 'Minimal' integration (scoring 0.5 or 1). See the frequency of scores in Table 7.1.

TABLE 7.1: TYPE OF INTEGRATION, BY SCORE

Integration Score:	0.5	1	1.5	2	2.5	3
Adaptation	4	0	6	6	3	6
Mitigation	5	2	4	1	0	1
General/Either	3	2	0	0	0	0

By sector, Adaptation is most frequently observed in Agriculture and Food Security activities, while Mitigation is most frequently observed in Economic Growth activities, followed closely by Energy. See Table 7.2 for a full explanation of the type of integration observed within each sector.

TABLE 7.2: TYPE OF INTEGRATION, BY SECTOR

	Ag	Biodiv.	DRG	Economic Growth	Education	Energy	Health	Water
Adaptation	14	1	2	4	1	0	2	1
Mitigation	1 (SL)	1 (SL)	0	4 (CE)	2 (CE & Energy Eff.)	3 (CE)	0	2 (CE)
General/Either	0	0	2	2	1	0	0	0

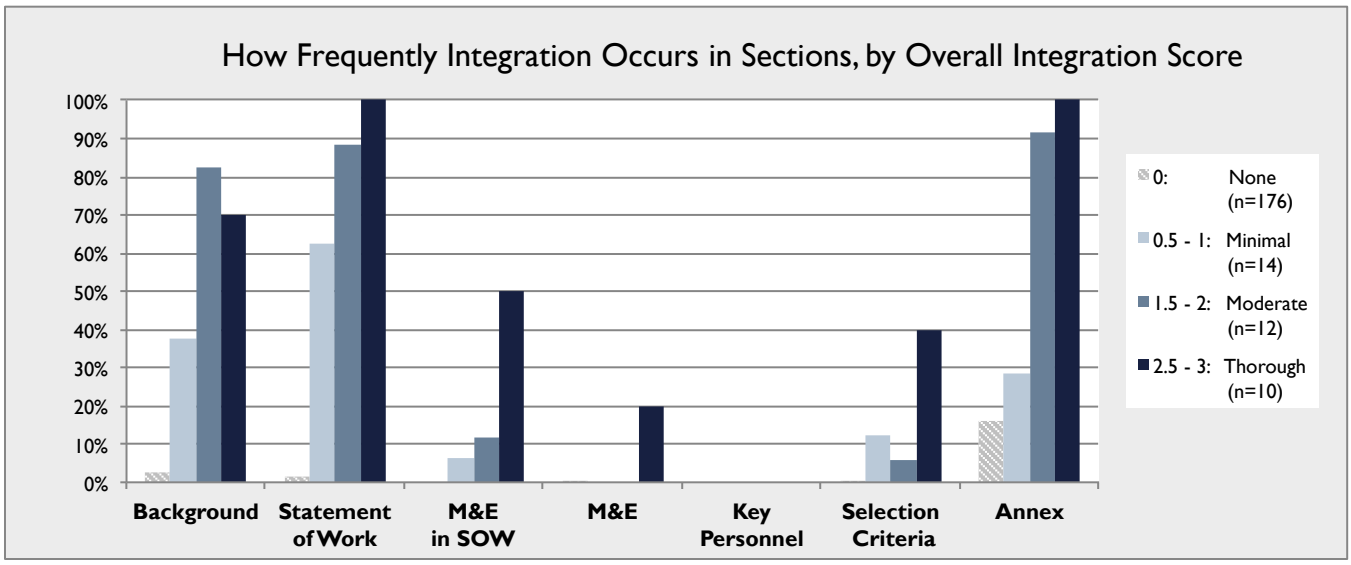
As part of the strategy development process, GCC and relevant partners should consider whether the current mix of integration types is optimal. In particular, we believe it is worth considering whether the skew toward climate change adaptation observed in this sample, especially stark in the Agriculture sector, aligns with US government and USAID goals for climate change integration.

See Associated Recommendations: 3.A, 4.B.

FINDING 8

Within integrated solicitations, climate change is most often integrated into the Statement of Work (81 percent) or Background (63 percent), and appears much less frequently in the more binding Selection Criteria (16 percent), Reporting Requirements (21 percent) or Key Personnel (0 percent) sections.

FIGURE 8: INTEGRATION FREQUENCY IN DOCUMENT SECTION



Percent of solicitations that included integration in each of seven different document sections. Percentages are provided separately for each score category, from 0-3.

Across all solicitations demonstrating integration, climate change appears most often in the Statement of Work (81 percent), Background (63 percent), and Annex (63 percent). Climate change was less frequently included in the Monitoring and Evaluation/Reporting Requirements (21 percent of all integrated solicitations), or Evaluation Criteria (16 percent), and did not appear as a requirement of Key Personnel in any solicitation within this assessment.

Selection Criteria

Throughout this assessment, staff interviewed stressed the importance of including integration requirements in the Selection Criteria section if integration is to be carried through to implementation of the activity. This binding section appears critical to climate change integration for three principal reasons: (1) It makes mandatory the consideration of climate change factors by the technical evaluation committee (TEC); (2) It sends a strong signal to offerors that they need to give climate change real attention in their applications; and (3) Unlike other sections which require more effort on the part of authors to create context-specific and appropriate language, a note on climate change can be inserted into the Selection Criteria with relative ease.

For instance, several authors of integrated solicitations that we interviewed reported that the integration had not translated into partner selection:

- "**Q: Did treatment of issues related to climate change in the proposals influence your selection of the winning proposal?**

A: No, because it wasn't in the selection criteria, and it is not necessarily a CLIN [contract line item number] or sub-activity, but it can affect how we look at partners."

A: It was an important choice in site selection, but in terms of the partner selection it did not really factor in."

A: No, actually if you look at the [selection] criteria, the criteria specify what are used to select successful applicants. There is one I believe that talks about how it relates to USAID priorities, but would have to take those number of points and divide it by the 173 priorities. The selection criteria are the only way in which you can make a judgment about the application – if it is not explicitly included there, we cannot consider it."

Additionally, an implementing partner that we interviewed agreed that including climate change in the selection criteria would send a strong message to implanting partners.

- **"Q: When deciding how to respond to a proposal, how important to you would having climate change specifically called out in the Selection Criteria be?**

  A: When they highlight something a little bit unusual like that, then you know you better listen. So, if they were to include something like that, you know, 'give climate change issues real attention,' then we really would. It charts a course that you can follow. So yeah, we'd listen very closely."

This is not to say integration in other sections of the document is not important as well - inclusion in the Background or Statement of Work (see below) provides important information about local context and the desired treatment of climate change in the activity itself, and inclusion in the Key Personnel may be a method for ensuring that the activity is equipped with the staff capacity to appropriately executive climate change components. However, in targeting areas for intervention, the Selection Criteria appear to be the section with the largest potential return on effort invested.

Cross Cutting Issues

Beyond the Selection Criteria, a second area for intervention is through the inclusion of climate change within the "Cross Cutting Issues" or "Guiding Principles" section often found at the end of the Program Description or Statement of Work. This section typically outlines both the mandatory cross cutting issues of gender and environment, as well as any additional issues identified as important to the solicitation. This section might include issues such as sustainability, stakeholder participation, and in some instances climate change. This analysis found that inclusion in the cross cutting issues section made for stronger integration, particularly when followed with specific reference to climate in the Selection Criteria.

In the following example from a 2012 resilience program in Kenya, the text stresses USAID's commitment to addressing climate change, then outlines climate-related threats and potential responses, and concludes with specific instructions to the applicant to address climate change in their proposal:

"VII. CROSS-CUTTING ACTIVITIES

Climate Change

USAID sees climate change and development in the arid lands as inextricably linked. Climate change is not just an environmental problem, but also a human problem with direct implications for food security, poverty, water scarcity, conflict infrastructure integrity, sanitation, disease, and survival.

> Climate change creates vulnerabilities for all countries and is likely to pose an additional challenge to sustainable development, especially in regions already at risk from food insecurity, ecosystem degradation, water scarcity, weak institutional capacity, and other social and economic stresses. USAID investments are working to spur reductions in global greenhouse gas emissions, increase carbon sequestration and to promote climate change adaptation in vulnerable countries and communities.
>
> Given the challenging environment of Northern Kenya and increasing rainfall variability and intensity and frequency of severe weather events, adaptation approaches should be mainstreamed into development planning to safeguard investments from drought, floods and other shocks.
>
> Strategies may include measures to increase livelihood resilience by strengthening stakeholder understanding of, and ability to respond to climate stressors and developing strategies to safeguard livestock, food production, water provision and infrastructure from negative impacts. By integrating climate change as a cross-cutting issue with other programming, USAID requests Applicants to address the potential impact of climate stressors on the interventions being proposed."
>
> - SOL-623-12-000008: Resilience and Economic Growth in the Aid Lands-Improving Resilience Project in Kenya, p. 33

Of particular interest, the inclusion of climate as a cross cutting issue appears to be a way for solicitation authors to ensure that the offeror address climate change in their proposal, without creating significant additional work for the solicitation author. Rather than making references to climate change throughout the solicitation and leaving it not entirely clear what the requirements of the offeror are, including a semi-customized paragraph on how and why climate is being included as a crosscutting issue within the program can provide a small amount of contextual information while also making it clear to the offeror that climate change is a priority area for inclusion in their proposal.

One disadvantage of this method is that the cross cutting issues section can easily become a catchall for any issue that does not fit neatly within the program description – if climate is simply added to an already long list of boilerplate requirements, integration could be less meaningful. For this reason, inclusion in measurable requirements, such as the Selection Criteria section, remains critical.

Based on this finding, we recommend that example language for these sections in particular be thoughtfully created and disseminated to both technical and acquisition and assistance specialists to engender its inclusion in solicitations (see Recommendation 1.A). We also stress the need for additional proactive outreach to ensure awareness and proper utilization of this resource (see Recommendations 2.A and 2.B).

See Associated Recommendations: 1.A, 2.A, 2.B

FINDING 9

There appears to be a relationship between integration in a Project Appraisal Document (PAD) and solicitation-level integration, but it is not clear whether that relationship also extends to the Country Development Cooperation Strategy (CDCS). These relationships merit further investigation.

Project Appraisal Document

From the evidence available, it seems that the analyses and integration directives contained in the Project Appraisal Document (PAD) have a direct influence on integration at the solicitation level.

This likely occurs both through the climate change vulnerability assessments and related climate change analyses that, if conducted, take place at the PAD level, as well as through the discussions on strategic agenda setting that are undertaken when developing the PAD.

As one interviewee stated:

- "I think if you want to make sure people are considering it [climate change] at the solicitation level, if it is relevant it is important to have it integrated into the PAD. For instance, where people might not be thinking about it is in relation to infrastructure elements. Making sure those elements are included in the PAD with appropriate assessments will translate into the solicitation."

Inclusion in the PAD appears to be an enabling, but not sufficient, factor to lead to meaningful integration. As opposed to bringing up sectoral strategies and policies unprompted, interviewees never cited the PAD as a reason for integration unless specifically prompted to discuss its influence on integration. When directly asked, staff often did say there was some relationship with the PAD. However, for less thoroughly integrated solicitations in which climate change is only a minor part of the design, the ways in which climate is included may not surface until the actual creation of the solicitation.

Country Development Cooperation Strategy

In both the interviews and data analysis, we also searched for a relationship between the Country Development Cooperation Strategy (CDCS) and integration in a specific solicitation. When asked, staff generally did not cite the CDCS as a factor in their integration decisions. It appears that, although inclusion in the CDCS is important, because it is at such a high level, the information there may not be detailed enough to outline the types of integration that appear in activities not directly funded by the Global Climate Change Initiative.

For example, one person interviewed reported the following in response to the question, "What do you think the most appropriate entry point for climate change into activity or project design is?"

- "I think at all levels [considering climate change] is important, as far as bringing it down to the activity design level where things are materializing, that is very important…as far as the CDCS, there are some statements in there -- we tried to include some statements in the CDCS -- but that is not going to be very detailed or include the required level of detail that we need."

Moreover, when analyzing the data, we were unable to identify any significant relationship between the level of incorporation of climate change into a CDCS and whether a solicitation associated with that particular CDCS was integrated. However, the power for this analysis was relatively small (only 15 integrated solicitations in this sample were released in the same year as or any year after the associated CDCS), and with more data points, some relationship might be revealed.

Therefore, we suggest further analysis to help more conclusively identify the relationship between CDCS-, PAD-, and solicitation-level integration; specifically, a scoring exercise similar to the one contained in this analysis, conducted at the PAD level, may enable a more clear understanding of this integration pathway. In the interim, we also recommend focusing some but not extensive efforts on increasing integration at the PAD level. The most significant of these actions, and one that would provide important information for integration at the solicitation level as well, may be making it easier for operating units not receiving direct GCCI funds to undertake climate change or other analyses during PAD development. This could potentially occur through the provision of guidance to help operating units undertake in-house assessments, or by freeing some GCC funding for this purpose (also see Finding 10 on tool development).

See Associated Recommendation: 1.B

FINDING 10

Almost universally, staff stressed that improved tools and guidance would help them integrate climate change into solicitations more frequently.

Almost universally, staff interviewed noted that additional resources and increased guidance on climate change integration would be valuable to them in pursuing integration in the future.

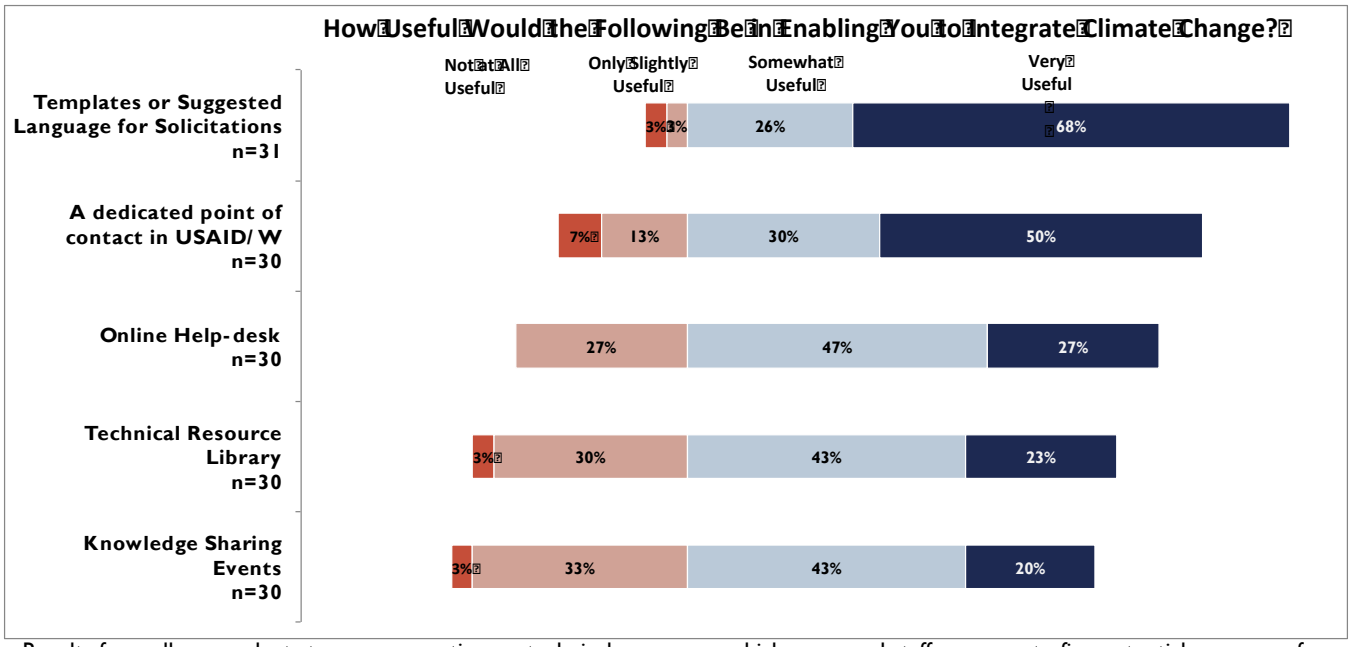
In particular, staff stressed their desire for four genres of resource:

- Increased information on how climate change could be integrated into their sectors
- Tools in the form of example language for solicitations and case studies of what integration might look like
- For those staff outside of climate focus countries, information on what the expected impacts of climate variability and change will be in the geographies in which they operate.
- Greater access to technical experts, especially for those who are not currently connected to GCC.

In addition to these specific resources, many staff also cited a desire for the GCC office in Washington to act as USAID's central resource for disseminating information and lessons learned between integrated projects in different operating units.

This desire for increased tools and guidance for integration came through both in the interviews and the survey. In both of these, the most pressing need was for suggested language for solicitations. This came up repeatedly in interviews when staff were asked "What resources would help you to integrate climate change more frequently," and was ranked as the most important in a list of technical resources by the majority of respondents in the survey. See Figure 10:

FIGURE 10: RATING OF POTENTIAL TECHNICAL RESOURCES, ALL SURVEY RESPONDENTS



Results from all respondents to survey question on technical resources, which measured staff response to five potential resources for climate change integration.

Quotes from staff interviewees and survey respondents reinforce this need for sector-specific guidance, example language, information for decision-making, and a desire for GCC to act as a central resource for lessons learned on integration:

Sector-Specific Guidance

- "Finding meaningful connections can be difficult. We know that climate change is generally affecting all of our work - but how to specifically address? Guiding implementers or designing concrete interventions that tackle climate change while achieving the principle goal of the activity in a non-traditional sector is a challenge."
- "What would help: Training, and specific examples of integrating climate change into 5-year health projects would be helpful."
- "Could have examples of how climate change should be considered and can be leveraged in more 'normal' development scenarios, whether it be smart drip irrigation, or replacing exhaust systems on dilapidated trucks, or reducing transit times. Helping those of us who do work in [non-climate related] development be more aware."

Suggested Language or Templates

- "What would help us? I think it is very very important for us to have some general language that can go into each RFA or scope of work, you know in terms of general language that will allow us to bring that thinking throughout the project, like the environmental compliance general language"
- "Having draft language would be helpful – for instance, how do you instruct a partner to include climate change in the overall activity."

Scientific Information and Decision-Making Tools

- "When we are preparing our project activities or our program documents, if we had GIS-type tools where we could look at particular areas and see what is going to occur, that would help the decision making process."
- "We need statistics to understand climate change."
- "Why not make it an Agency requirement to have an "environmental potential" assessment for every new project? That would force folks to frame the issue in a new, positive direction. Is environment integrated in your activity? No. Why not? Here's a menu of possibilities to draw from."

Lessons Learned

- "Since it has been 3-4 years since we started integrating GCC activities within the mission's interventions, it would be helpful to do an impact assessment to see how successful the integration was and learn for future similar initiatives."
- **"What role do you see GCC playing [in increasing integration]?**
  Acting as an advisor for missions – being able to bring experience from other missions around the world, as well as opportunities. GCC needs to be a resource."

Given the strength and universality of this call for additional information and actionable resources, our principal recommendation is for the immediate development of some of these resources, and identification

of improved delivery channels for those that currently exist. More information on these is in the Recommendations section.

See Associated Recommendation: 1.A, 2

FINDING 11

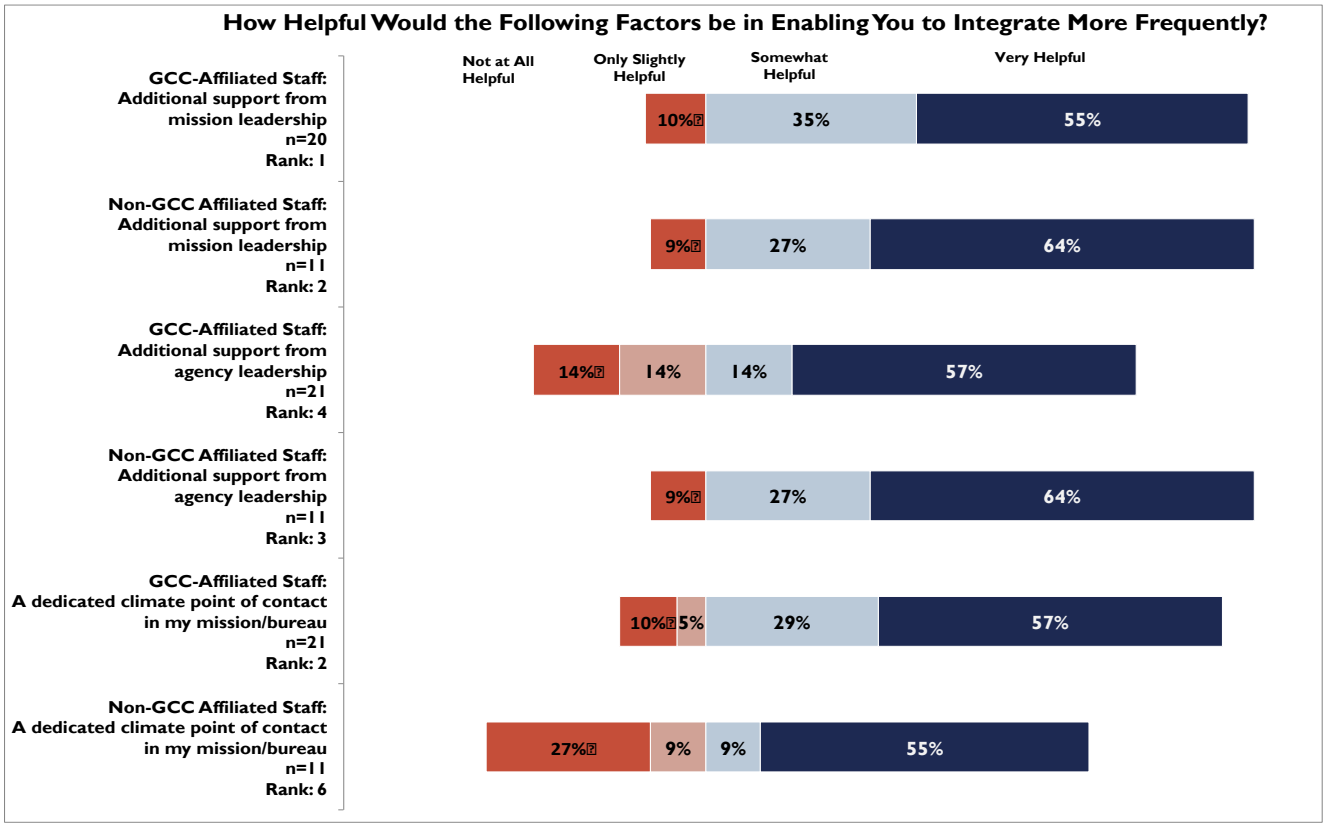
Advocates for climate change across USAID leadership and within each operating unit are key to ensuring climate change considerations are included in relevant strategies, PADs, solicitations, and activity implementation.

At the Leadership Level

While high-level leaders including President Obama and Secretary Kerry have been clear about their support for integrating climate change across development activities, active encouragement of integration by leadership inside the agency has been less consistent.

In the survey, respondents with experience pursuing climate change integration identified the need for increased support from mission leadership as the single most important opportunity for improved integration, while those without a known affiliation to GCC identified it as the second most important opportunity, behind only improved technical information on climate change and development (see also Finding 10):

FIGURE 11: IMPORTANCE OF LEADERSHIP AND POINTS OF CONTACT, GROUPED BY STAFF EXPERIENCE WITH GCC



Survey responses to the options "Additional support from agency leadership," "Additional support from mission leadership," "A dedicated climate change point of contact in my mission or region" in response to the question "Consider what conditions might help you integrate climate change into more of your solicitations. Please rate how helpful each of the following factors would be in enabling you to integrate climate change more frequently," divided according to staff experience with the Global Climate Change Initiative. Rank also indicated, from 1 being the option with the greatest average score to 7 being the option with the lowest average score.

Quotes from staff reinforced this finding:

- "Support from leadership would be EXTREMELY helpful! It is sad how little attention and support climate change seems to get at the higher levels. Even when there is talk about integration, no one really encourages us to go out of our way to make it happen."
- "Having management (particularly Mission Directors, Office Chiefs) that is convinced of the importance of GCC integration is vital, otherwise there will be lost opportunities. When the management is convinced, [they] will offer required guidance to technical staff to make sure GCC issues are well considered and reflected in the guiding and design documents - CDCS, PADs, RFA/Ps,"
- "The agency needs some champions on the issue and support from leadership"

Further, as identified in Finding 3, sectoral strategies have a large role in the propensity for individual activities to be integrated. Office and bureau leadership in Washington has a key role to play in pursuing this high-level strategic integration.

Thus, it is clear that, if climate change integration is to continue to improve, leadership at all levels, both in the missions and within each bureau in Washington, need to be actively working to support climate change activities and the active pursuit of integration by staff.

At the Operational Level

In addition to leadership, having staff champions for climate change integration is integral to ensuring that climate is substantively and not simply superficially included – or not included at all – in activities at the design, procurement, and implementation level.

Because climate change is, by definition, not the principal goal of an activity in an integrated solicitation, if there is not a champion at the staff level pushing to make sure it is included at every level, it can easily slip out when activities are being translated from the CDCS, to the PAD, to the solicitation itself, or, later in the process, when selecting an implementing partner, designing a workplan, and in the implementation of the activity. Thus, it is crucial to have a cadre of individuals who are not only passionate about advocating for climate change integration at many levels, but are enabled with the mandate, support, and resources to do so.

For instance, various interviewees reported the following:

- "Most effective way [to increase integration] is to somehow identify someone in each mission who is going to carry that message and deliver it through to the mission."
- "Putting someone in the bureau would be helpful – having a person to loop in, or someone to proactively reach back to GCC, proactively reach out to see if we need help"
- "**Q: Did anything in particular encourage you to include climate, in terms of people, USAID messaging or guidance, or other factors?**
- A: I think that first and foremost, it is the people in the mission. If you have folks that are engaged, if you have more Environmental Officers out in the mission, for example."

- "There are so many initiatives that there can sometimes be initiative fatigue --- those that are most successfully incorporated into project design are those that have champions in the mission – someone who is asking at every meeting 'Hey, is this in the CDCS, is this in the PAD?' – then it is more likely to be included."

Given the importance of vocal support and encouragement for climate change at these two levels, we recommend pursuing two related courses of action. First, we recommend enrolling the support of leadership throughout the agency, through proactive outreach and engagement during strategy development processes (see Recommendations 3.A, 3.B, 3.C). Second, we recommend exploring the creation of a formal network of climate change champions, with points of contact at the operating unit level that have a mandate to advocate for integration and can serve as a resource to other staff (see Recommendation 2.B).

See Associated Recommendation: 2.B, 3.A. 3.B. 3.C.

OTHER FINDINGS OF NOTE

Additional Statistical Relationships Investigated

In addition to the statistical relationships identified with sector strategy (Finding 2) and GCCI funding status (Finding 5) we also tested for a number of potential determinants of the likelihood of integration, including whether solicitations released as RFPs versus RFAs were more likely to demonstrate integration, whether a relationship exists between planned award size for a particular activity and integration, and whether a country's per capita emissions or vulnerability to climate change as measured by the GAIN index affected integration. No significant effects were found, quite possibly due to the low power of the analysis.

III. RECOMMENDATIONS

The 2012-2016 *USAID Climate Change and Development Strategy* notes:

> "USAID expects all operating units, regardless of whether they program direct climate change activities, to integrate climate resilient, low emission development into their portfolios**. The Agency will make climate change funding, training, and/or technical assistance available for this effort**, since lessons learned from past integrated programming efforts demonstrates **the need for additional resources, staff time, incentives, and training**."[13]

The following recommendations build on this commitment to identify ways in which USAID can make available the resources needed to accomplish climate change integration.

Overall, staff expressed a desire to integrate climate change into their activities where it seems appropriate, but need more tools, knowledge, and support from both technical experts in climate change and leadership throughout the agency to be able to do this well.

Therefore, three categories of action are recommended, organized along **improved tools**, **intensified outreach**, and **increased leadership and strategic support**. We recommend targeting this outreach in particular to high impact sectors, most pressingly Global Health and Agriculture, to ensure they meet their full integration potential.

1. IMPROVE AVAILABILE TOOLS AND RESOURCES

As outlined in Finding 10, staff have repeatedly expressed the need for improved tools for climate change integration. Therefore, we recommend the following:

1. A. Create a Comprehensive Toolkit

Most urgently, the Office of Global Climate Change should create a comprehensive toolkit to provide willing staff with the necessary resources to integrate. Above all, this toolkit should be practical and actionable. Some of tools recommended below already exist or are in development – this toolkit should build on existing resources, bringing these and new resources together in a user-friendly, easy to understand and operationalize way, to enable sector-specific climate change actions.

It is strongly recommended that the following items be included in the toolkit:

- **Suggested Language:** In particular, strong and widely applicable language should be developed for the Selection Criteria, Key Personnel, and the Statement of Work (the latter outlining the importance of climate change as a 'cross-cutting issue'). For most effective application, separate sets of template language should be developed for Adaptation and Mitigation. To the extent possible, language should be sector-specific, though language for the Selection Criteria in particular may be general enough that one well-designed example will be applicable across sectors.

[13] USAID. (2012). Climate Change & Development Strategy 2012-2016. Washington, DC, USA. p.p. 17

- **Case Studies:** Staff, particularly those in sectors or countries without a history of integration, need examples of how integration has been accomplished in contexts similar to theirs. To begin, we recommend prioritizing the development and dissemination of case studies and lessons learned from the integration pilot projects. These case studies will be most useful if sector-specific and used to demonstrate (1) how relevant climate change concerns and actions were identified, (2) how they were specifically included in solicitations and winning proposal selection, and (3) how integration was carried out within the activity.

- **Sector-Specific Guidance:** Specific guidance on how climate change can be integrated into each sector or relevant sub-sector must be developed, with priority given to the high potential sectors of, and subsectors within, Global Health and Agriculture. This guidance should contain information such as how climate change will impact or be impacted by the type of activities carried out in each sector, recommended pathways for integration, information on how climate change can be integrated given the limited time horizon of USAID project planning, and example sector-specific indicators. To increase utilization, these guides should be as concise as possible.

- **Rapid Assessment Framework/Decision Tool:** Building on the sector-specific guidance, we recommend the creation of a user-friendly, easy to understand decision tool that staff without extensive knowledge of climate change can use to get an initial sense of whether climate change integration makes sense in their context, and how it might benefit their activity. This decision tool could also include a simple screening matrix, with USAID-suggested thresholds for known activity emissions or climate vulnerability indicators. The tool could take the form of a sector-specific checklist, well-designed decision tree, or considerations matrix. It would be the most concise version of the sector-specific guidance: it should not contain all of the information necessary to accomplish quality integration, but acts as a front-line tool to encourage willing staff to think about integration.

The creation of this guidance should be prioritized and its existence broadly publicized, given the level of enthusiasm that staff displayed for this resource. It should be disseminated to both technical specialists and to acquisition and assistance specialists to most effectively reach all those involved in solicitation creation. Box 1 explores some features that have made similar toolkits successful and provides links to example resources.

BOX 1: EXAMPLE TOOLKITS

Online Sourcebook for Integrating Gender in Climate Change Adaptation Proposals
USAID Adapt Asia-Pacific has created an online toolkit to provide information on mainstream gender into climate change adaptation proposals: *the Online Sourcebook for Integrating Gender in Climate Change Adaptation Proposals*. While it is a toolkit for proposals rather than RFAs and RFPs, many elements that have contributed to the success of the toolkit could be echoed in a similar document for climate change integration.

KEY FEATURES

- **Sufficiently Narrow in Scope**. Both regionally and sectorally specific to climate change adaptation and gender in the Asia-Pacific.
- **Sufficiently Detailed.** While it is limited to a narrow set of topics, it uses sectoral modules to separately identify the ways in which gender and climate change interact with Agriculture; Forestry; Biodiversity; Coastal Water Resources; WASH; Health; Energy; Transport; and Urbanization. For each of these sectors, the sourcebook identifies key issues to consider, sector-specific entry points for integration, sector-specific indicators, and a list of external resources.
- **Includes Actionable Resources.** The document includes resources that simplify the process of thinking about climate change and gender, such as this checklist that identifies specific ways to address gender integration within a proposal.
- **Adds Value by Collating Information.** Many of these pieces of information may have existed separately prior to the creation of the sourcebook, but were dispersed or difficult to access. A key value add of this sourcebook is bringing all of this information together in an easy to use and understand way.
- **Hosted Online.** Hosting this resource online allows it to be interactive, makes it easy to include links to external resources for users, and means that it can be a living and regularly updated document.
- **Built by Experts.** The toolkit's success has been attributed to the recruitment of an author who held expertise in both gender and climate change adaptation. In addition, valuable oversight was provided a Technical Advisory Group, including individuals from diverse agencies including the Asian Development Bank, UNDP, UN Women and the World Bank.

OTHER ILLUSTRATIVE TOOLKITS
Integrating Mobiles into Development Projects: **Link**
Toolkit for Integrating GBV Protection and Response Into Economic Growth Projects: **Link**

1.B. Facilitate the Completion of Climate Change Assessments

Staff in missions without high-quality information on climate change threats and opportunities in their areas cited the need for improved localized assessments on these topics. A previous external assessment of climate change integration at USAID echoed this need,[14] while a global analysis of factors enabling climate mainstreaming identified information services, alongside political will, as one of the two critical pieces for an enabling environment for mainstreaming.[15] However, particularly if mission leadership do not consider integration important, there may not be funding available for undertaking climate change assessments at the mission level.

Therefore, to better enable staff designing PADs and, in turn, solicitations, to accomplish integration, GCC should explore options for increasing the ability of operating units to undertake climate change assessments.

[14] Moglegaard, K. (2013). "The Integration Imperative: A Snapshot of USAID's Progress in Mainstreaming Adaptation to Climate Finance." Oxfam America, Washington. p.p. 17
[15] Pervin, M., S. Sultana, A. P. I. F. Camara, V. M. Nzau, V. Phonnasane, N. Kaur, and S. Anderson. (2013). "A Framework for Mainstreaming Climate Resilience into Development Planning." IIED Working Paper. IIED. pp 14.

To accomplish this, it may be necessary to provide a small pool of funding to enable missions not otherwise receiving climate funding to undertake climate change assessments during the project design phase. This may be particularly appropriate given the ongoing implementation of Executive Order 13677.

If funding for external vulnerability assessments is not possible, we recommend including guidance for conducting in-house climate assessments in the toolkit, to enable mission staff to undertake a scaled down climate assessments and better understand the best course of action on integration.

2. INTENSIFY OUTREACH ACROSS USAID

Although there are some robust outreach efforts underway, to scale to the amount needed to instill integration in the operating culture across the agency, these efforts need to be increased and made systematic.

To address the need voiced by staff for increased outreach from and connection to climate change at USAID, it is recommended that the following actions be considered:

2.A. Increase Proactive Outreach, Particularly to Missions Not Receiving Climate Funding

If integration efforts are to continue to grow, the Office of Global Climate Change and relevant partners throughout the Agency should expand its proactive outreach to other operating units to simultaneously promote the importance of integration and spread awareness of the tools available to accomplish it. Some options for increasing this outreach include:

- Present at technical backstops' annual meetings, including for non-environment staff. Where this has already been occurring, the presentation should be reviewed to ensure it is clear that integration is a central goal, and that it can present benefits to their work. It is recommended that these efforts be accelerated *after* a toolkit including actionable resources and sector-specific guidance is available, and that meeting attendees be provided with and briefly introduced to these resources during the session.
- Increase the availability of climate change staff for TDY to bilateral and regional missions, particularly to missions without robust climate change activities, to help review and provide technical support for integration in strategies, PADs, solicitations, and activities. This amplified investment of staff time may require a build-out of staff or creation of outreach-specific positions.
- Explore more innovative outreach ideas, such as:
  - Have a staff member in Washington regularly review the Business Forecast for upcoming high-potential activities and reach out as appropriate to the technical authors to offer GCC support in determining how to integrate climate change or, when appropriate, to have a GCC representative on the Technical Evaluation Committee.
  - Gauge interest for a series of sector-specific conference calls or webinars on integration, to provide a forum for cross-unit information exchange. Use the first of these calls as opportunities to disseminate lessons learned from the integration pilot programs.
- Across the board, use these outreach opportunities to increase awareness of win-win measures in particular – explain how and why activities should incorporate climate change, and why integration will benefit their beneficiaries and the activity.

2.B. Explore Formally Installing Climate Change Focal Points at the Bilateral Mission, Regional Mission, and/or Bureau level

Though the Office of Global Climate Change currently has a robust points of contact (POC) arrangement, these POCs operate more as contacts for GCC activities and GCC-affiliated individuals than as resources for unaffiliated staff. Further, as revealed through the survey, some of these points of contact also feel frustrated by the obstacles they face when trying to champion climate change within their operating units.

Therefore, to (1) increase the accessibility of staff with technical knowledge of climate change, (2) to ensure that there is at least one staff member advocating for climate change in each operating unit, and (3) to increase the diffusion of accountability for climate change integration throughout the missions, we recommend exploring the creation of a formal network of climate change points of contact, with an explicit mandate to advocate for climate change integration. USAID should explore at what level this is most appropriate, though for the most robust support of integration we recommend considering this at the individual operating unit level.

The FY15 Agency Climate Change Adaptation Plan recommends "Explore requiring that at least one staff person in each regional and/or bilateral mission become a climate change integration expert." We echo this recommendation, but note that increasing expertise is not the only issue in question. Installing staff that are willing and able to serve as advocates for climate change integration, have enough knowledge of climate change to identify potential opportunities for integration, and know how to connect staff to relevant technical experts when necessary may prove to be more efficient than simply increasing technical expertise.

Creating this formal network would provide important organizational support to those already taking on this role in an informal way, and create a framework through which others have a clear path to follow and organizationally-approved mandate to help accomplish integration objectives.

Proposed Structure

The increasing recognition of the importance of integrating climate change into development work in recent years has spurred some development of these networks in other organizations. The United Kingdom's Department for International Development (DFID), for instance, has notably advanced efforts to create a two-tiered network of climate change advocates, one comprised of senior management that meet regularly as well as regionally connected networks of champions within their country offices.[16] However, as these efforts are relatively new, the majority of available evidence on the efficacy of points of contact for mainstreaming come from the significant work done on this topic in gender (also see Box 2: Lessons Learned from Gender Mainstreaming):

- Ideally, these points of contact would be <u>dedicated part- or full-time positions or at minimum, have the role defined within their job description</u>.[17,18]

[16] Environmental Audit Committee, Fifth Report Session of 2010-12 (2011). The Impact of UK Overseas Aid on Environmental Protection and Climate Change Adaptation and Mitigation. Ev 125.
[17] Norwegian Agency for International Development. (2011). Lessons Learned from Gender Reviews of Norwegian Embassies, Norad Report 24/2011 Discussion, Norad, Oslo.
[18] Tanner, T. and Mitchell, T. (2009). Towards 'Climate Smart' Organizations. IDS In Focus Policy Briefing 2.8

- When focal point duties are layered on top of a regular position, they are often assigned to very junior staff, but this role can be much more effective if assigned to more permanent or more senior staff with greater intra-office influence, and when bureaucratic structure is such that the focal point has clear, sanctioned entry points into decision making processes.[19]

- Points of contact should be the focal point for advocacy and a starting point for helping staff identify appropriate technical resources,[20] but ultimate accountability for integration should not fall solely on them. If accountability mechanisms are created, final responsibility must lie with senior management.[21]

- Finally, to enable a functional network, rather than a system of isolated advocates, focal points must be given time and the appropriate budgetary resources to establish regular meetings, exchange lessons learned, and develop the network of support that will help them to develop the skill and persistence that are required of an effective focal point.[22] A UNEP review of gender focal points suggests scheduling annual meetings of all focal points and the overseeing office.[23]

Achieving all of the above would undoubtedly be both politically and financially difficult. The most direct route to creating this network may be to present this as a voluntary professional development opportunity layered onto existing duties, with incentives in the form of additional training and career development, but this presents inevitable trade-offs with the effectiveness of the network, per the points above.

These lessons learned from other organizations do not mean that USAID must follow the same path. UNEP's review of gender mainstreaming notes, "Experience has shown that few organizations have found an institutional model which they are satisfied to call as best practice for [gender] mainstreaming. In all appearance, there is no one best solution for all organizations. The model employed may change over time as organizations evolve and develop greater capacity."[24]

Thus, if this recommendation is to be pursued, we further recommend utilizing the occasion of creating an integration strategy (Recommendation 3.A) to convene a working group in order to identify the most appropriate focal point structure for USAID at the current juncture. The working group should include institutional stakeholders in climate change integration, USAID staff with previous experience in implementing or considering formal focal points, external mainstreaming experts, and to the greatest extent possible, should be inclusive of operating units not receiving climate change funding.

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[19] United Nations. (2001). "UN System-wide Gender Focal Point Study." Presented by Task Manager UNFPA, at the Sixth Meeting of the IACWGE: February 27-March 2, 2001.
[20] Derbyshire, H. (2012). Gender mainstreaming: Recognising and building on progress. Views from the UK Gender and Development Network. Gender and Development, 20 (3), pp. 405-422.
[21] United Nations. (2001).
[22] Derbyshire, 2012.
[23] Mantilla, F. (2012: 51).
[24] Ibid, p. 20-21.

BOX 2: LESSONS LEARNED FROM GENDER MAINSTREAMING

As gender has been a focal point of various mainstreaming efforts for decades, we can also look to lessons learned from the experience of gender to inform climate change integration. Below is a matrix of lessons learned from several decades of what has and has not worked in previous integration efforts:

LEVEL OF INTERVENTION	FACTORS LEADING TO SUCCESS	FACTORS LEADING TO FAILURE
Organization: Issue-Positive and Sensitive Change	▪ Need well-defined and resourced mandate, with support from very top ▪ Carrot approach: incentives and motivation for champions ▪ Stick approach: punitive measures around discrimination, equity issues, etc.	▪ Expert in the "corner" and lack of ownership, input and design ▪ Weak mandate from the top of organization and buy-in from program leaders ▪ Focus on mainstreaming in projects without institutional strengthening is "dust in the wind"
Research/ Knowledge: Issue Focus and Integration	▪ Quality of one-to-one engagement and trans-disciplinary dialogue ▪ Engage in both mainstreaming AND issue-focused work ▪ Accept some will be open to change, and others will not (don't underestimate resistance)	▪ Issue officer as a "service provider" to help "tick off the box" and "technical fix" ▪ Focus only on "mainstreaming" (while lack of support for transformative potential) ▪ Lone mainstreaming officer in a hostile organization (professional suicide)
Policy and Partners: Issue- Responsive Change	▪ Plan cannot be implemented alone: importance of networking and collective action ▪ Learn from others' experiences and bring in solid strategic expertise ▪ Link to regional and international processes, researchers and networks	▪ Policies on "paper only" without implementation, monitoring, resources and incentives ▪ Lack of partnerships with issue platforms, networks and champions ▪ Learning from failures equally important as learning from successes
Capacity: Issue Analysis and Leadership Skills	▪ Experienced issue experts with strong analytical and networking skills ▪ Mandatory Issue Awareness Trainings (facilitated and "fun") for all staff	▪ Inexperienced/junior officers without analytical, leadership and management skills ▪ Failed "add women and stir" approaches of the 1970s and 1980s

Adapted from *Lessons Learned from Gender "Mainstreaming": What Has Worked and Not Worked in Integrating Women through Gender Analysis, Capacity/Institutional Strengthening and Policy Making*, presentation by Dr. Ritu Verma

3. ENLIST VISIBLE LEADERSHIP AND STRATEGIC SUPPORT FOR CLIMATE CHANGE INTEGRATION

Third, this assessment has revealed the urgency of increasing the support of leadership, both in the missions and in Washington, for climate change integration. This can take place along several axes:

3.A. Develop an Integration Strategy

There is currently no comprehensive strategy on climate change integration. We recommend the creation of an integration strategy with a clear vision of what successful integration of climate change looks like at USAID. This development of this strategy should lead to the creation of clear targets, objectives, and a roadmap for implementation, as well as clarification about when and where integration should be pursued and in what cases it is of lower priority.

At minimum, those creating the strategy should consider the following points brought up in this analysis that will help define USAID's strategic direction on integration. The status of integration at the solicitation level, as revealed through this assessment, can help inform these discussions:

- What are USAID's targets for percent and thoroughness of climate change integration in the next 1-5 years? What are USAID's targets for growth of integration over time?
- Are these targets different by sector or by region?
- What resources are USAID and the Global Climate Change Initiative willing and able to commit to increase climate change integration?
- How important is increasing the percent of integrated activities undertaking indirect attribution, considering potential tradeoffs with willingness to integrate?
- Based on USAID and GCCI goals, to what extent should medium potential activities[25] be encouraged to integrate?
- Does the observed mix of Adaptation, Clean Energy, and Sustainable Landscapes activities being integrated correspond to USAID and GCCI goals for integration of these three pillars? Should future tools and outreach focus on one over the other?

The process of creating this strategy should be used to generate consensus among key leadership, and marshal support for a shared vision of success in climate change integration at USAID.

3.B Integrate Climate Change into Relevant Sector Strategies

The Office of Global Climate Change should also take immediate steps to lay the foundation for integrating climate change into future iterations of sectoral strategies issued in Washington. As identified in Finding 3, sector strategies can have a very large impact on climate change integration. While ensuring that climate change is integrated into these strategies will be a longer-term prospect, it is of central importance and should be pursued beginning in the near future.

[25] Medium potential activities, in short, are those without evident relationship with climate change, but seem as though they could be harnessed to deliver climate change mitigation or adaptation benefits without outsized tradeoffs. Many Economic Growth activities, for instance, fall into this category.

In particular, efforts should be made to work with relevant leadership to identify ways to integrate climate change into future Global Health strategies, including the next iteration of the Global Health Strategic Framework (the current strategic framework extends through 2016); the President's Malaria Initiative Strategy (issued in 2015, extends through 2020); and any future strategies for Global Health's Emerging Pandemic Threats program. Given the precipitous drop in integration in Economic Growth and Agriculture from 2012 to 2014, as well as the potential for integration into infrastructure work and Energy activities, the Office of Global Climate Change should also conduct outreach to ensure the inclusion of climate change in any future strategies in these areas (see also Recommendation 4B).

3.C. Utilize GCC and E3 Leadership to Engage Others in Washington

Finally, to most effectively build staff engagement and buy-in, as well as to build agency-wide consensus for climate change integration, it is incumbent on leadership from the Office of Global Climate Change and the Bureau for Economic Growth, Education, and the Environment to reach out to other offices and bureaus to build support for climate change integration across the agency.

4. CROSS CUTTING RECOMMENDATIONS

For all of the above recommendations, the following cross cutting recommendations hold:

4.A. Seize the Opportunity Created by the Implementation of Executive Order 13677

The implementation of Executive Order 13677 on Climate-Resilient International Development provides a unique opportunity. The Office of Global Climate Change should harness the window of political and operational momentum opened by this Executive Order to accelerate action on the above recommendations. Specifically, we recommend taking immediate action on the toolkit development and proactive outreach opportunities, followed quickly by exploration of the establishment of climate change focal points in units not receiving climate change funding.

4.B. Target Efforts in High Impact Sectors

The recommended interventions should target the sectors with greatest potential for impact (see Finding 3):

Highly Recommend Targeting:

- **Global Health:** As measured in this analysis, Global Health has the largest amount of unfulfilled potential, in both number of non-integrated medium and high potential solicitations and the monetary value of the associated activities. Moreover, based on our interviews and survey, health staff are particularly in doubt in terms of how to integrate climate change into their activities. Therefore, we recommend that efforts be targeted toward Global Health activities, particularly those within especially climate-relevant sub-sectors.

- **Agriculture and Food Security**: Though Agriculture has displayed relatively high levels of integration, the decrease in integration observed from 69 percent in 2012 to 50 percent in 2014 is concerning. Moreover, the bias toward adaptation, with 87.5 percent of integration observed in Agriculture solicitations related to adaptation rather than mitigation, raises questions about missed opportunities to capitalize on mitigative potential in Agriculture activities.
  - Given the high overall integration potential of many activities in this sector, outreach should be targeted to ensure that historic frequency of integration is maintained, that thoroughness increases over time, and that the types of climate change activities being pursued are optimal given the type of activity and USAID goals for climate change integration.

Provisionally Recommend Targeting:

- **Economic Growth:** The drop in integration observed in Economic Growth, from 43 percent in 2012 to 12.5 percent in 2014, is reason for concern. However, the diversity of solicitations released in this sector, and the fact that two of the integrated solicitations in 2012 were from Feed the Future, make it more difficult to understand the reasons underlying this drop. If it is reflective of a true decrease in integration across the spectrum of work in Economic Growth, this merits targeted outreach to staff in the sector.
- **Energy**: We observed a low level of thoroughness in integration in the Energy sector in this analysis. However, the number of Energy solicitations observed in this analysis was very small (3 of 268), and we

understand that many Energy activities are procured through central mechanisms rather than the RFPs and RFAs analyzed here. For this reason, this analysis may not reflect the true degree of integration within the Energy sector. While the low degree of integration, paired with a high potential for integration among many Energy activities, suggests that it may be prudent to conduct outreach to staff working in Energy, the first step should be further exploratory conversations with staff in this sector to further understand where integration is and is not occurring.

- **Infrastructure**: As noted in Finding 4, many infrastructure activities have inherent potential for integration of both adaptation and mitigation considerations. Due to the dispersed nature of infrastructure across sectors at USAID, no sector-level target is recommended, but GCC and partners should consider how to integrate climate change into future guidelines on infrastructure, and give space to infrastructure within integration toolkits and outreach activities.
- **Democracy, Human Rights, and Governance**: Given the categorization of potential in this analysis, Democracy, Human Rights, and Governance did not display any unfulfilled high potential solicitations. However, the sector is quite large, eclipsed only by Global Health -- 30 percent of all solicitations in the sample were from this sector, representing $1.26 billion -- and there may be hidden or incorrectly categorized potential. Therefore, we believe additional consideration should be given to when and whether integration in Democracy, Human Rights, and Governance activities might be appropriate.

PROPOSED TIMELINE

While some of these options may take longer than other to implement, they can all be initiated in the short- to medium-term.

Immediate

1. Recommendation 1.A: Create a comprehensive toolkit

Near-Term

2. Recommendation 2.A: Expand proactive outreach efforts
3. Recommendation 3.C: Increase visible leadership support for integration

Medium-Term

5. Recommendation 1.B: Identify resources to facilitate climate change assessments at the project design level.
6. Recommendation 2.B: Explore developing a formal network of climate change champions within each mission, regional mission, or office/bureau.
7. Recommendation 3.A: Create an integration strategy
8. Recommendation 3.B: Integrate climate change into relevant sector strategies

FUTURE ANALYSES

The results from this solicitation-level analysis of publicly competed RFAs and RFPs suggest ripe ground for future analyses of both broader and deeper scope:

First, our document analysis focused only on RFAs and RFPs. We understand that significant integration may be hidden central mechanisms managed by USAID-Washington. Due to the centralized nature of these mechanisms, they may be ripe ground for increasing integration in the future, and we recommend that future analyses be undertaken on these mechanisms.

Second, our analysis focused on the extent rather than quality of integration. Future analyses should address the following questions:

- Is the integration that is occurring appropriate for the context?
- What are the costs and benefits of the integration being undertaken?
- Are the adaptive or mitigative measures based on valid information?

Third, the analysis focused exclusively on the upstream factors leading to the presence of climate change integration within solicitation documents and to some extent how integration affects award-making decisions. We did not explore what then occurs with integration after the award has been made. To understand the full lifecycle of climate change integration and the most critical junctures for ensuring the final activity includes climate change, we recommend that future work interrogate what happens in the workplanning and implementation stage of the activity.

Fourth, we suggest additional, more quantitative analyses to help more conclusively identify the relationship between CDCS-, PAD-, and solicitation-level integration. Specifically, a scoring exercise similar to the one contained in this analysis, conducted at the PAD level, may enable a more clear understanding of this integration pathway.

Lastly, the number of people we were able to reach with the survey was small. If the initial findings prove interesting, we recommend a second, more widely distributed iteration of the survey.

IV. CONCLUSION

Climate change integration at USAID is clearly progressing. From 2009 to 2014, integration has increased markedly in both the proportion of solicitations including climate change and in the thoroughness of integration occurring within those solicitations. One in six solicitations in this sample, and one in two high potential solicitations, have integrated climate change to some extent. Some sectors are integrating into the full extent of their high potential solicitations, and many staff voiced their enthusiasm for opportunities to expand integration in their work.

However, there remains ample opportunity for growth going forward. Low integration in high potential sectors such as Global Health; the dip in integration observed from 2012 to 2014; weaker integration in solicitations coming from operating units not receiving GCCI funding; low levels of indirect attribution; and the testimony of staff in need of increased resources to accomplish integration all reveal the need for continued work across the organization to improve climate change integration.

To accomplish this, GCC and partners must redouble efforts to promote the integration of climate change across USAID's development portfolio. Given the current window of political and operational momentum, the Office of Global Climate Change and partners have a unique opportunity to broadly scale integration. Now, to fully realize this opportunity, it will be essential to improve tools and resources, intensify outreach throughout the agency, and enlist high-level strategic support.

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APPENDIX I: METHODS

SCORING ASSESSMENT

Sampling Methods and Eligibility Criteria

A list of USAID solicitations issued 2008-2014, including solicitation number, title, fiscal year, and location of work, was retrieved from both FBO.gov and Grants.gov in January 2015. The list was manually scrubbed for duplicates and ineligible solicitations, and the location of work was upscaled to region, according to USAID region conventions.

Eligible solicitations include RFPs and RFAs issued by USAID operating units for the specified fiscal years. Ineligible solicitations are those issued as RFIs or drafts for comment only; annual program statements; indefinite delivery and indefinite quantity contracts and task orders; amendments or extensions to existing contracts; procurements for personal services, technical support to USAID operating units, and commodity purchases, and other non-programmatic activities; solicitations which do not have searchable text; and solicitations funded with direct climate funding.

A total of 314 solicitations, or roughly 55 percent of the universe of eligible solicitations, was drawn, with stratification by year and region. Those that were discovered to be ineligible post-sampling were excluded from the analysis at that point: a total of 46 solicitations were deemed ineligible post-sampling, most commonly because the sampled opportunity number was for a pre-solicitation notice or draft for comment only. The final list of 268 eligible samples – approximately 47 percent of the universe of eligible solicitations – is as follows:

TABLE A.1: CHARACTERISTICS OF SOLICITATIONS INCLUDED IN ASSESSMENT

	2009	2012	2014	TOTAL BY REGION
Afghanistan/ Pakistan	5	3	7	15
Asia	13	25	13	51
Europe and Eurasia	9	10	11	31
Latin America & the Caribbean	5	13	6	24
Middle East North Africa	1	8	7	16
Sub-Saharan Africa	24	36	37	97
Washington	6	12	17	36
Total By Year	63	107	98	268

ADDITIONAL DATA COLLECTION

For selected samples, the solicitation and all accompanying materials were downloaded from FBO.gov or Grants.gov. In addition to the information originally retrieved, the below information was also collected for

each solicitation prior to the onset of scoring. With the exception of "Sector" and "Potential," all information was taken directly from the document or FBO.gov or Grants.gov landing page from which the document was downloaded. Solicitations were labeled with a sector according to their evident focus, according to USAID conventions, and were rated on their potential for climate change inclusion by the reviewer.

List of Additional Variables Recorded

Country of Work
Issuing Office or Unit
Number of Awards
Type of Solicitation [RFP/RFA]
Total Award Amount (Planned or Awarded)
Per-Award Ceiling, if Different
Award Floor
Description
Sector:

Using the following primary sector tags:
Agriculture and Food Security
Democracy, Human Rights, and Governance
Economic Growth and Trade
Education
Energy
Biodiversity (including Combating Wildlife Trafficking)
Health, with subsets for:
HIV/AIDS
Malaria
Maternal and Child Health
Other Health: Family Planning/Reproductive Health, Orphans and Vulnerable Children, Social Protection, Protecting Communities from Infectious Diseases
Water and Sanitation
Working in Crises and Conflict (a small number of solicitations; collapsed into Democracy, Human Rights, and Governance in analysis).

Operating Unit-Level Characteristics

CDCS Score: A measure of how well an operating unit's associated CDCS incorporated climate change
CDCS Approval Year
Years of Climate Funding: Information on in what years, and through what funding streams, a particular operating unit received GCCI funds

Information was also collected on **Potential** and the level of integration of the associated **Sector Specific Strategy**. These were determined as outlined on page 55 (Potential) and 57 (Sector Specific Strategies).

POTENTIAL SCORES

Potential scores are based on a brief review of solicitations' activity descriptions and, in some more complex cases, the statement of work. This is a cursory and admittedly superficial review of the potential for activities to include climate change components; a more thorough review will likely reveal nuances that are not included here, particularly in terms of solicitations that may include hidden infrastructure elements or similarly hidden climate-sensitive activities.

Currently, solicitations are rated on a 1-4 scale, collapsed into the following:

1 – "Low Potential"
2, 3 – "Medium Potential"
4 – "High Potential"

Low Potential: 1 (n=119):
A score of "1" indicates there does not appear to be an direct entry point for incorporating climate change elements into the activity, or, for some very small programs, that including climate components might significantly detract from the principal objectives.

This includes many Democracy, Human Rights, and Governance activities, Education activities, and activities targeted specifically at capacity building with host country governments that do *not* otherwise fall into higher potential categories. It also includes direct service provision activities in countries not identified as especially vulnerable to climate change.[26]

Example:
Election or justice sector reform activities
Literacy or scholarship programs without a major direct service provision component
Health behavior change communications activities
Capacity building directly with governments (in sectors other than Biodiversity, WASH, Energy, or Agriculture).
Service delivery activities in countries not identified as especially vulnerable to climate change.[1]

Medium Potential: 2 (n=59):
A score of "2" was given to projects that may not necessarily have a direct climate change link, but are direct service provision programs in climate-vulnerable countries[1] that might be able to benefit from thinking about the ways in which climate change may impact operations.

This includes a majority of Health activities and some Democracy, Human Rights, and Governance activities with a direct service provision component

Example:
HIV/AIDS support services
Family Planning and Maternal and Child Health outreach and service provision
Municipal service delivery
Youth workforce development

Medium Potential: 3 (n=32):

[26] Climate-vulnerable defined as having a score above the median (0.382 or more) on the GAIN vulnerability index.

A score of "3" was given to a range of activities that may be more able to readily incorporate climate change adaptation or mitigation components, either due to their focus or size. As opposed to activities with higher potential, it does not seem to be an obvious missed opportunity if climate change was not included, but based on this brief review, there appears to be ample reason to and room for including it.

Many Economic Growth and Trade activities fall in this category.

Example:
Small-scale infrastructure and rehabilitation activities
Large scale financial services and investment encouragement activities
Large scale STEM workforce development
Trade-related activities

High Potential: 4 (n=58):
A score of "4" was given to activities for which climate change - either adaptation or mitigation – seems directly relevant.

Example:
Large-scale infrastructure activities
All Biodiversity, WASH, and Energy activities that surfaced in this review received a "4"
Most Agriculture activities received a "4", with two trade-focused agriculture activities receiving a "3"
Ecotourism
Health – research on emerging diseases, malaria

SECTOR SPECIFIC STRATEGIES AND POLICIES

A brief review of the integration of climate change considerations into global policies and sector-specific strategies was undertaken in April 2015.

The review was conducted on those documents listed on USAID's "Policy" page, as well as evidently relevant strategies and policies found on sectoral landing pages on the USAID website.

The following chart is not a commentary on whether climate change *should* be considered in any of these documents. For many of these strategies, particularly those categorized in red, there may not be any compelling reason to include climate change considerations. This scoring is for purposes of this assessment alone.

Strategies and policies in green displayed thorough consideration in climate change while those in red lacked any reference to it. Strategies and policies in yellow had some but not substantive integration – notes are included for these documents in the middle category.

Climate Thoroughly Integrated into Strategic Approach

- Biodiversity Policy (2014)
- Building Resilience to Recurrent Crisis: USAID Policy and Program Guidance (2012)
- Feed the Future Guide (2010)
- Sustainable Urban Services Policy: Sustainable Service Delivery in an Increasingly Urbanized World (2013)
- Water & Development Strategy 2013-2015 (2012)

Climate Change Given Some Consideration within Document

- Strategy on Democracy, Human Rights, and Governance (2013)
  - Several short mentions of the impact that climate change may have on DHR programming
- Multi-Sectoral Nutrition Strategy 2014-2025 (2014)
  - Several short mentions of the impact that climate change may have on nutrition programming

Climate Change Discussed only in Context of How To Integrate These Sectors into GCC Programming:

- USAID 2011-2015 Global Education Strategy (2011)
  - Discussion of how education can be integrated into GCC programming.
- Youth in Development: Realizing the Demographic Opportunity, USAID Policy (October 2012)
  - Discussion of how youth can be integrated into GCC programming.

Climate Absent from Document

- Lantos Hyde United States Government Malaria Strategy 2009-2014 (2010)
- President's Malaria Initiative Strategy 2015-2020 (2015)
- USAID's Global Health Strategic Framework 2012-2016 (2012)
- Ending Preventable Maternal Mortality: USAID Maternal Health Vision for Action (2014)
- Gender Equality and Female Empowerment Policy (2012)
- The Development Response to Violent Extremism & Insurgency: Putting Principles Into Practice Policy (2011)
- Counter-Trafficking in Persons Policy (2012)
- Ending Child Marriage & Meeting the Needs of Married Children: The USAID Vision for Action (2012)
- LGBT Vision for Action: Promoting & Supporting the Inclusion of Lesbian, Gay, Bisexual & Transgender Individuals (2014)

SCORING METHODS AND CRITERIA

Scoring Method:

Prior to scoring, all materials were converted to PDF format and converted to searchable text using Adobe Acrobat's Optical Character Recognition (OCR) tool. Solicitations and accompanying materials were then all individually searched for the following terms. When a term appeared, the reviewer read and scored the corresponding section:

Key Words:
Climate, Climactic
Resilient, resilience, resiliency
Adapt, adaptive, adaptation
Mitigate, mitigative, mitigation
Greenhouse, GHG
Flood, floods, flooding
Drought
Disaster
Emission, emissions
Deforest, deforestation, deforested
Desertify, desertification, desertifying, desertified
Vulnerable, vulnerability
Energy
Landscape, landscapes
Warming
Carbon
GCC, GCCI
Ecologic, ecological
Wind
Solar
Hydropower
Weather
Rainfall
Temperature, temperatures

Safeguarding against Biased Scoring

Due to the unstandardized nature of climate change within USAID solicitations, scoring was necessarily subjective; with this in mind precautions were taken to ensure consistent and unbiased scores. The reviewer recorded year, region, sector, high potential solicitations, and other identifying information at a different stage in the process than scoring, to ensure these considerations were as minimized as possible during the scoring process. Solicitations were also shuffled to ensure that solicitations of different regions, sectors, and years would be scored in a single sitting. Finally, all solicitations that received a non-zero score were revisited after all initial scoring had been completed to ensure scores were consistent across the different variations of integration observed during the scoring process.

Scoring Criteria

Each solicitation is scored on a scale of 0-3, in 0.5 increments, overall and for each section as identified in the evaluation grid. Samples are scored from 0 ("No Integration) to 3 ("Thorough Integration") at 0.5-point intervals. Scores based on the following criteria:

TABLE A.2: SCORING CRITERIA

SCORE	CRITERIA*
0	**None:** No or only passing references to climate change
1	**Minimal:** Includes some specific information on climate change, but in generic terms or only as background.
2	**Moderate:** Climate change is fairly well integrated; some specific contextual information is included, with country/project specific concerns articulated and related to project. However, if climate-related requirements for the offeror are included, they are weak.
3	**Thorough:** Climate change is substantively integrated into section, with specific guidance for and requirements of offerors. Example areas for strong integration include a climate vulnerability assessment or information on expected climate impacts requested of offeror; mitigation or adaptation-specific requirements included in the statement of work; a climate change expert included as key personnel; and climate included in evaluation criteria.

***** In this assessment, we analyze how *thoroughly* climate change integration is included in solicitations, but due to time and capacity constraints, do not examine how contextually *appropriate* or *well-designed* this integration is.

All solicitations that receive a non-zero score to be revisited after initial scoring completed to ensure consistent scoring techniques.

Evaluation Grid

All scores, including Overall Score, are evaluated independently. As the treatment of climate change is not uniform across solicitations, the overall score is a separate assessment rather than a weighted sum.

TABLE A.3: SOLICITATION EVALUATION GRID

SECTION	SCORE (0-3)
Overall Score	
Background/Description of Problem	
Program Description/Statement of Work/Description of Goals and Objectives	
M&E Indicators or Performance Monitoring Plan [*within Program Description]*	
M&E and Reporting Requirements [*in own document section]*	
Key Personnel	
Evaluation or Selection Criteria	
Annex	

Document Section Overview

Due to the different structure of requests for proposals (RFPs) and requests for assistance (RFAs), a generalized scoring structure was used which scored solicitations on their inclusion of climate change considerations within the (1) Background, (2) Program Description or Statement of Work, (3) Monitoring and Evaluation or Reporting Requirements, (4) Key Personnel, (5) Evaluation/Selection Criteria, and (6) Annexes. The M&E/Reporting Requirements section was further broken down into two categories: climate change in the indicators or Performance Monitoring Plan *within* the Program Description, and separately, climate change in the document section specifically allocated to M&E or Reporting Requirements.

TABLE A.4: DOCUMENT SECTION GUIDE

	CORRESPONDING RFA SECTION	CORRESPONDING RFP SECTION	DEFINITIONAL NOTES
Background	**Section I:** Funding Opportunity Description: Background	**Section C:** Background	Typically contains contextual information on how climate change affects the country and perhaps the particular program.
Program Description or Statement of Work	**Section I:** Funding Opportunity Description	**Section C:** Statement of Work	Includes statements of program work, goals, and objectives as related to climate change.
M&E Requirements in the Program Description	**Section I:** Funding Opportunity Description **Section I:** Performance Monitoring Plan	**Section C:** Statement of Work	Performance monitoring plans and illustrative indicators, when included in these sections instead of as part of the reporting requirements section
Reporting or M&E Requirements	**Section VI**: Award Administration Information: Reporting Requirements	**Section F.5:** Reports and Deliverables or Outputs	The specific requirements for monitoring and evaluation, performance monitoring, or reporting when included in these specific sections.
Key Personnel	**Section IV:** Application and Submission Information *Occasionally found in:* **Section V:** Application Review Information	**Section F.6:** Key Personnel **Section L.7:** Instructions regarding Key Personnel *Occasionally found in:* **Section M:** Evaluation Factors for Award	No solicitations were found to name climate change expertise within their key personnel.

Evaluation or Selection Criteria	**Section V:** Application Review Information	**Section M:** Evaluation Factors for Award	The technical evaluation criteria by which USAID will make funding decisions.
Annexes	**Section VIII:** Other Or as Attachments	**Section J:** List of Attachments	Annexes and attachments: If annexes contain climate change information but this is not included or referred to in any way in the actual solicitation, the annex will receive a non-zero score while the overall integration score remains zero.

INTERVIEWS

A total of 26 individuals – 22 USAID staff and 4 partners or external experts – were interviewed during this assessment, in 20 separate interviews.

USAID staff targeted for interviews were primarily identified via their role in authoring a solicitation of interest that was identified during this analysis. Solicitations of interest included those that had demonstrated integration, as well as those identified as high potential but had not integrated. USAID/GCC staff conducted initial email outreach, with follow up by the consultant.

In all, five staff members associated with a solicitation scoring 0, five staff members associated with a solicitation scoring 0.5 or 1, eight staff members associated with a solicitation scoring 1.5 or 2, and two staff members associated with a solicitation scoring 3 were interviewed. Two additional staff not directly associated with a solicitation in this analysis were interviewed (one Environmental Officer and one with knowledge of USAID toolkit development). The geographic and sector breakdown of the USAID staff interviewees is as follows:

TABLE A.5: INTERVIEWEE CHARACTERISTICS

GEOGRAPHIC DISTRIBUTION OF USAID INTERVIEWEES		SECTORAL DISTRIBUTION OF USAID INTERVIEWEES (SOME NOT ASSOCIATED WITH A SECTOR)	
Central Asia	1 interview	Agriculture and Food Security	3 interviews
Southeast Asia	3 interviews (4 individuals)	Biodiversity	3 interviews (4 individuals)
East Africa	4 interviews	Democracy, Human Rights, and Governance	1 interview
Great Lakes	2 interviews (4 individuals)	Economic Growth	3 interviews
West Africa	3 interviews (4 individuals)	Energy	1 interview
Europe and Eurasia	1 interview (2 individuals)	Health (Malaria)	1 interview (3 individuals)
Washington	3 interviews	Water and Sanitation	2 interviews (4 individuals)

Characteristics of the external partners and experts are being kept anonymous upon request.

The interviews were semi-structured and conducted according to the following protocol:

Semi-Structured Interview Protocol: Suggested Questions

Introductory

To confirm, what were your roles in authoring this proposal?

Did the project receive any direct funding from the Global Climate Change Initiative?

Solicitation-specific
Regarding X, do you remember how the decision was made [whether] to include components related to climate change in that solicitation?

Did anything in particular encourage you to include climate change?

Did anything in particular discourage you from including climate change?

How did the inclusion/absence of climate change in the PAD or CDCS factor into your integration decisions?

We've observed X patterns in integration within solicitations themselves – why do you think climate change is[/isn't] showing up in these particular sections?

Award and activity implementation
During the proposal evaluation process, did treatment of climate change influence your selection of the winning application?

How did including climate change in the RFP/RFA influence the work that is being done under the contract/award?

Do you think the inclusion of climate issues has helped or hurt the activity in any specific ways?

In retrospect, is there anything you would have done differently?

GCC Involvement
How familiar are you with USAID's climate change goals?

Have you received any technical assistance or training from GCC on this or other projects?
- Has that affected how you think about climate change in your programs?

In relation to the numerous other things you work on, how important are USAID's climate goals to you and your work?

Do you feel like you have the appropriate resources to include climate programming in your projects?

General Integration
In general, what are the main barriers you see to climate change integration?

What would help make the process easier for you?

In your opinion, what is the most appropriate entry point for climate change into program or project design?

SURVEY METHODS

In April 2015, members of the Office of Global Climate Change distributed a survey on climate change integration to several groups of USAID staff.

A total of 33 people completed the survey. The groups targeted, and their approximate response rate, is as follows:[27]

- All those on the USAID Global Climate Change mailing lists (approximately 500 emailed, 23 respondents).
- Those who applied for but did not receive funding for integration pilot projects (24 emailed, at least 1 respondent.)
- Those whose email addresses appeared in sampled solicitations and were not contacted separately for a phone interview (124 emailed, between 1-10 respondents).
- The survey was also provided to several individuals that had been targeted for a phone interview but were nonresponsive. The continuing lack of response suggests that those individuals did not complete the survey.

Respondents could also voluntarily provide information on their region and sector of work. Of those, we had respondents from the following sectors and regions:[28]

TABLE A.6: SURVEY RESPONDENT REGION OF WORK

REGION	NUMBER OF RESPONDENTS
Africa	11
Asia	3
Europe and Eurasia	2
LAC	9
Middle East	2
Global	1
No response provided	5
Total	33

TABLE A.7: SURVEY RESPONDENT SECTOR OF WORK

SECTOR*	NUMBER OF RESPONDENTS
Agriculture	7
Biodiversity	2
Democracy & Governance	2

[27] Due to the limits of the distribution method and data collection software, we were unable to track the precise number of participants from all groups.
[28] Regional information includes both missions and regional bureaus.

Economic Growth	1
Energy	1
Environment, general	11
GCC	7
Health	5
Water	2
Other	1
No response provided	8
Total Respondents	33*

*A number of respondents provided more than one sector; all responses and total count of occurrences listed here.

SURVEY STRUCTURE

Respondents took a voluntary online survey consisting of 46 questions designed to assess respondents' experience with Global Climate Change integration into solicitations at USAID. The full questionnaire is included below. The survey was administered and responses were recorded using Google Forms, with all data password-protected. For the lists of barriers, opportunities, and technical resources, the order of questions was randomly shuffled to avoid biased response patterns based on question order. After the survey was closed, responses were collected and analyzed using Microsoft Excel and STATA software packages.

PAGE 1: Introduction

About this survey:

This survey is part of an evaluation of climate change integration into solicitations at USAID. It is administered by Hannah Roeyer, a consultant working through the Office of Global Climate Change (E3/GCC) Environmental Communications & Outreach contract. She may be contacted with questions at HRoeyer@gmail.com.

With the recognition that climate change has the potential to affect all areas of development, USAID's Climate Change and Development Strategy calls for "strengthening development outcomes by integrating climate change in Agency programming, learning, policy dialogues and operations." This applies to both climate change adaptation and mitigation as they intersect with USAID development activities.

One aspect of integrating climate change mitigation and adaptation into projects is the mainstreaming of climate change considerations into solicitations not funded by the Global Climate Change Initiative (GCCI).

The following survey assesses factors that affect the integration of climate change into solicitations across all sectors. Results will be used to prioritize support for future climate change integration efforts.

We appreciate your assistance. The survey takes approximately 10-15 minutes, and will be anonymous unless you choose to provide identifying information.

By checking this box, you agree to take this survey and understand that your responses will be used to inform an analysis of climate change integration at USAID.

I understand that my responses to this survey will be used to inform an analysis of climate change integration at USAID. I understand that my responses will be kept anonymous unless I choose to provide identifying information after completing the survey.

May we quote your responses in our final evaluation reports?

No, please do not use any direct quotes.
Yes, you may use direct quotes from the written feedback I provide in this survey.
Please email me to ask whether you may use a specific quote

Email address [Optional]
Please provide if you've chosen to be emailed regarding potential quotes

PAGE 2: Your Experience with Climate Change Work at USAID

How familiar are you with USAID's 2012-2016 Climate Change and Development Strategy?

[5-point scale: Not at all familiar to Very familiar]

Are you aware that climate change integration is one of the three objectives of the USAID Climate Change Strategy (alongside adaptation and mitigation)?

Yes
No

How relevant is climate change to your work?

[5-point scale: Not at all important to Very important]

Do you feel as though you have the appropriate resources (financial, technical, or otherwise) to integrate climate change into solicitations not receiving direct Global Climate Change Initiative (GCCI) funds?
The GCCI funding pillars are climate change adaptation, clean energy, and sustainable landscapes.

[5-point scale: Not at all to Very much so]

If you had the appropriate resources, would you actively pursue the integration of climate change?

[5-point scale: Not at all to Very much so]

PAGE 3: Your Experience with the Global Climate Change Initiative at USAID

Have you participated in an in person, USAID-sponsored climate change training?

Yes
No

Please indicate name and location of training

[Text box]

Please indicate year of training

[Text box]

Have you participated in a USAID-sponsored online climate change training or webinar?

Yes
No

Please indicate name and approximate date of training

[Text box]

Have you ever been involved with the creation of a solicitation for an activity that uses direct Global Climate Change Initiative (GCCI) funding?

Yes
No

Have you ever included climate change considerations in a solicitation for an activity NOT receiving direct GCCI funding?

Yes
No

*****^If answer to the previous question is YES, survey moves to Page 4. If the answer is NO, survey moves to Page 5 and skips the questions on Page 4**

PAGE 4: Integration Experience

Please answer the following questions related to your experience including climate change in a solicitation or program NOT receiving GCCI funding.

When you have integrated climate change into non-climate change funded programs, did anyone encourage you to include climate change? Please indicate their position/title.

[Open-ended]

Did anyone provide you with technical support on climate change? Please indicate which USAID office/bureau or external party provided support

[Open-ended]

Optional: Please expand on the above - what additional factors encouraged you to integrate climate change considerations into your work?

[Open-ended]

Did anyone/anything discourage you from including climate change? Please describe. How did you overcome that barrier?

[Open-ended]

PAGE 5: Barriers

On this page, we ask you to consider times when you have chosen NOT to include climate change in a solicitation -- what were the major factors leading to that decision?

Please rate the following technical and procedural factors on their importance in preventing or discouraging you from including climate change considerations in solicitations with which you have been involved.

TECHNICAL

Consider a time when you have chosen NOT to include climate change in a solicitation. Please rate the following statements on their importance in preventing or discouraging you from including climate change considerations in solicitations with which you have been involved:

Rate on a scale from 4 - 'Very Important Factor' to 1 - 'Not at All Important Factor'

- Climate change typically doesn't fit into the solicitations I design
- I don't know enough about how climate change intersects with my sector to effectively include it
- Including climate change considerations would detract from the principal objectives of the activity
- I do not have access to experts that can help me design integrated programs

PROCEDURAL

Consider a time when you have chosen NOT to include climate change in a solicitation. Please rate the following statements on their importance in preventing or discouraging you from including climate change considerations in solicitations with which you have been involved:

Rate on a scale from 4 - 'Very Important Factor' to 1 - 'Not at All Important Factor'

- Climate change is not part of my work area
- I don't have enough time
- I do not feel supported by Washington in pursuing climate change integration
- I do not feel supported by my mission/bureau in pursuing climate change integration
- Climate change considerations are not part of my mission's Country Development Cooperation Strategy

- Climate change considerations are not included in the project design, as evidenced by the Project Appraisal Document

- Climate change reporting requirements are too burdensome

Other: *[Open Ended]*

Optional: Please expand on the above - what are the principal barriers to climate change integration in your work?

[Open Ended]

PAGE 6: Opportunities

Now consider what conditions might help you integrate climate change into more of your solicitations. Please rate how helpful each of the following factors would be in enabling you to integrate climate change more frequently:
Rate each from 4 - Very Helpful to 1 - Not at All Helpful:

- Additional support from agency leadership
- Additional support from mission leadership
- Additional time
- A dedicated climate change point of contact in my mission or region
- A dedicated climate change point of contact in my mission or region
- Improved access to technical information on climate change and development
- Additional general climate change training
- Specific training on how to integrate climate change into projects in my sector

Other: *[Open Ended]*

Optional: Please expand on the above - what would help you to integrate climate change into more of your programs?

[Open Ended]

TECHNICAL INFORMATION:
If improved technical information would be useful to you, please indicate how useful each of the following would be in enabling you to include climate change in your projects:
Rate each from 4 - "Very Useful" to 1 -"Not at all Useful"

- A technical resource library
- Knowledge Sharing Events
- Online Help-desk
- A dedicated point of contact in USAID/W

- The provision of templates or suggested language to use in solicitations

PAGE 7: Respondent Information

Thank you for completing this survey!

Below you can provide more information about your position within USAID.

All responses are optional, but the information you give us will help build a better understanding of how resources to integrate climate change vary by sector and mission.

Anonymity Check
Please keep my responses completely anonymous
You may use any of the information I provide below to identify my sector, region, mission, or position in the final report

Your principal sector (or sectors) of work:
Your region:
Your mission/bureau:
Title/Position and Name:
How long have you been with USAID?

[Optional] Any additional comments or thoughts on how to improve climate change mainstreaming?

[Open Ended]

Thank you for your assistance.

APPENDIX II: SURVEY RESULTS

I. INTRODUCTION

In April 2015, members of the Office of Global Climate Change distributed a survey on climate change integration to several groups of USAID staff.

A total of 33 people completed the survey. The groups targeted, and their approximate response rate, is as follows (due to the limits of the distribution method and data collection software, we were unable to track the precise number of participants from all groups):

- All those on the USAID Global Climate Change mailing lists (approximately 500 emailed, 23 respondents).[29]
- Those who applied for but did not receive funding for integration pilot projects (24 emailed, at least 1 respondent.)
- Those whose email addresses appeared in sampled solicitations and were not contacted separately for a phone interview (124 emailed, between 1-10 respondents).
- The survey was also provided to several individuals that had been targeted for a phone interview but were nonresponsive. The continuing lack of response suggests that those individuals did not complete the survey.

Respondents could also voluntarily provide information on their region and sector of work. Of those, we had respondents from the following sectors and regions:[30]

TABLE 1.1: SURVEY RESPONDENT BACKGROUND: REGION

REGION	NUMBER OF RESPONDENTS
Africa	11
Asia	3
Europe and Eurasia	2
LAC	9
Middle East	2
Global	1
No response provided	5
Total	33

[29] These 23 do not correspond directly to the 22 that indicated prior experience planning or implementing GCCI activities. Of the 23 respondents recruited through the GCC mailing listservs, 6 did not indicate that they have any direct experience planning or implementing GCC-funded activities.

[30] Regional information includes both missions and regional bureaus.

TABLE 1.2: SURVEY RESPONDENT BACKGROUND: SECTOR

SECTOR*	NUMBER OF RESPONDENTS
Agriculture	7
Biodiversity	2
Democracy & Governance	2
Economic Growth	1
Energy	1
Environment, general	11
GCC	7
Health	5
Water	2
Other	1
No response provided	8
Total Respondents	33*

*A number of respondents provided more than one sector; all responses and total count of occurrences listed here.

Results

In the following pages, we report results by survey section: experience with climate change in general at USAID, specific experience with training and direct funding from the Global Climate Change initiative; experience with climate change integration at USAID; key barriers; potential opportunities; and technical resources.

II. EXPERIENCE WITH CLIMATE CHANGE WORK AT USAID

In this section, we collected information on the general awareness of climate change activities, previous training, and buy-in or desire to integrate. In general, we found that both awareness and the desire to integrate climate change if given the appropriate resources is high, while staff are more neutral on whether they currently have the appropriate resources.

While encouraging, this could potentially be a result of self-selection by those who were willing to take the survey and should be further explored in future analyses.

Awareness:

100 percent of respondents indicated that they were aware that integration was one of the three objectives of the USAID Climate Change and Development Strategy. In the remainder of the questions on awareness and willingness to integrate, staff were asked to respond on a scale of 1-5. The mean scores for these answers, divided by respondents' previous experience with GCC, are presented in Table 2.

As expected, those with GCC experience report more familiarity with the Climate Change and Development Strategy, feel climate change is more relevant to their work, and are more likely to integrate if provided the appropriate resources. However, interestingly these staff also report slightly lower scores for feeling as though they currently have the appropriate resources.

TABLE 2: AWARENESS OF AND WILLINGNESS TO UNDERTAKE CLIMATE CHANGE INTEGRATION

QUESTION (Responses: Scale from 1-5)	**ANSWER** *(Has GCC Experience)*	**ANSWER** *(Does Not Have GCC Experience)*
How familiar are you with USAID's 2012-2016 Climate Change and Development Strategy?	4.3	3***
How relevant is climate change to your work?	4.7	3.8***
Do you feel as though you have the appropriate resources (financial, technical, or otherwise) to integrate climate change into solicitations not receiving direct Global Climate Change Initiative (GCCI) funds?	2.7	2.7
If you had the appropriate resources, would you actively pursue the integration of climate change?	4.4	3.9

*** = Difference between groups significant at 99 percent

III. EXPERIENCE WITH THE GLOBAL CLIMATE CHANGE INITIATIVE

This section principally addressed previous training associated with and interaction with the Global Climate Change Initiative at USAID.

Previous Integration Experience

A total of 16 respondents – 10 with previous GCCI experience and 6 without previous GCCI experience – reported having written integrated solicitations in the past.

Training

In total, 22 respondents had attended an in person, USAID-sponsored climate change training. Of these, 12 – 54.5 percent of those who had received in person training – reported having integrated climate change into a solicitation and 10 – 45.5 percent – reported never having integrated. As those with experience integrating may have been more likely to take a survey on integration, these numbers are not likely to be universally representative of the effect of training on future integration.

In addition, 16 respondents – 48.5 percent - had taken an online, USAID-sponsored training. Of these, 50 percent (8 respondents) had integrated and 50 percent (8 respondents) had not.

TABLE 3.1: PREVIOUS TRAINING, BY GCC EXPERIENCE

TRAINING TYPE	TOTAL RESPONDENTS INDICATING PARTICIPATION	NEVER INTEGRATED			HAVE INTEGRATED		
		Total	GCCI	Non-GCCI	Total	GCCI	Non-GCCI
In-Person Training	*22*	*10*	*7*	*3*	*12*	*8*	*4*
Online Training	*16*	*8*	*5*	*3*	*8*	*6*	*2*

Of the 22 individuals who indicated they had received an in-person training, the following frequency of training was observed (6 individuals reported training in multiple years). 2012 was the most frequently reported year of training, with trainings declining among this small sample in the years since.

TABLE 3.2: YEAR OF IN-PERSON TRAINING

YEAR OF TRAINING	NUMBER OF RESPONDENTS INDICATING TRAINING
2009	1
2010	5
2011	7
2012	10
2013	6
2014	6
2015	1

IV. INTEGRATION EXPERIENCE

In this section, we ask staff about their specific experience in pursuing climate change integration at USAID. The questions here were all open-ended. The questions exactly as worded in the survey and all responses that the authors have authorized us to share publicly are below.[31]

1. When you have integrated climate change into non-climate change funded programs, did anyone encourage you to include climate change? Please indicate their position/title.

Potentially due to self-selection into this survey, or potentially indicative of a larger issue with encouragement of integration across USAID, the majority of responses to this question followed a similar pattern of not feeling external support for integration.

- "Nobody did, I thought it was the logical thing to do"
- "No, I am usually the person encouraging others to include climate change (I am an environment officer)."
- "As our environment team leader, I'm the one encouraging others!"
- "NO."
- "Not really, but I viewed it as essential to agriculture activities."
- "Not really"

Several responses, however, did indicate some help received:

- "Agriculture office interested in climate sensitive ag. activities."
- "Yes, I received a great deal of encouragement from both USAID/Washington and other members of our team when we submitted for Climate Change funding under the "contest" for climate change funding (Zambia, 2011, Saving Mothers/Saving Lives)"

2. Optional: Please expand on the above - what additional factors encouraged you to integrate climate change considerations into your work?

- "Personal interest. Relevant trainings."
- "Understanding the importance"
- "I was motivated by the opportunity to get "add on" funding for the Zambian Saving Mothers, Saving Lives initiative."
- "GCC was discussed in our El Salvador CDCS although we were not receiving funds. We feel strongly at our mission that the success of agrotradables depends on incorporation and integration of climate change considerations to reduce vulnerability to climate impacts."

3. Did anyone provide you with technical support on climate change? Please indicate which USAID office/bureau or external party provided support

[31] Some survey respondents indicated they either wanted responses kept confidential or wanted to approve any responses shared in the final documents. For that reason, this category of quotes are not included here but have been considered in the overarching analysis of comments.

- "Yes, EGAT (now E3), USGS, USDA. But technical support was variable in quality no matter USAID or other agencies. Problem when it became political priority in that folks more political minded with limited expertise started getting involved."
- "Still in design phase, but will be getting field support to conduct research to inform the activity."
- "On adaptation, Nora Ferm from the GCC Office provided frequent support. I am now in the Energy Division and I provide support to other missions on climate change."
- "E3"
- "The Africa Bureau, particularly Tegan Blaine"
- "Yes. AFR."

4. Did anyone/anything discourage you from including climate change? Please describe. How did you overcome that barrier?

This question received a number of thorough responses, identifying factors ranging from time, to reporting requirements, to leadership support. However, some also indicated that nothing had discouraged them. This question was optional: of the 13 responses received, 9 outlined issues as quoted below, and 4 noted they had not been discouraged by any particular issue.

A. Staff and Leadership Support

- "Time and personnel who championed it left. Still working to overcome that barrier. Having champions for specific programs in Washington DC help."
- "Ironically, the document almost missed meeting the deadline owing to the USAID bureaucracy. It had to pass through the Mission Director and things slow down at the top. I submitted the document for final reviews over a week before it was due, and only got it out the door hours before the deadline. There were no substantive changes made or suggested by senior management, in fact folks at that level were rather blasé about it."
- "I will say that I haven't received strong encouragement. It seems like BFS, AFR, and E3 are becoming more supportive of including climate change in FTF activities, whereas in the past I could barely even talk to the GCC folks (especially in AFR) about FTF and climate change integration without them becoming very defensive, even if I wasn't asking for GCC resources. This was very frustrating.

  Since I joined USAID in 2011, I have noticed a LOT of defensiveness between GCC and FTF folks. GCC folks seem to assume that all aggies don't believe in and/or care about climate change. Which is of course ridiculous and puts a bad taste in our mouths. FTF folks often don't even talk to ENV/GCC counterparts, often because of the awkward relationship and lack of guidance and how best to engage.

  For the past year or more, missions have been waiting for joint BFS-E3 guidance on climate-smart agriculture. I can honestly say that we would be doing more on climate-smart agriculture in my mission by now if we could ever get that guidance! It is frustrating that this seems to be held up in the bureaucracy."

B. Additional Workload

- "In some missions, inclusion of climate change is difficult because of the additional analytical burden that is perceived to increase the design phase--or complicate implementation. For example, in a priority mission implementing large-scale construction, I was not able to convince the mission to incorporate climate change when considering drinking water availability, despite it being a serious threat to long term

(or even short term) success of the project. It needed to be a requirement of the environmental compliance process (I think) to make it happen."

- "Time and money are the biggest barriers."
- "The complications of reporting on it even when indirect. At times seems to require a lawyer to parse out what is allowed to be reported on or not. The guidance is huge and complicated and seems to change from year to year. We are happy to include specific work that relates both to agriculture and GCC (esp adaptation or sustainable landscapes work) but already within agriculture, FTF reporting requirements are huge and complicated. Layering GCC indirect on this when staff time is already limited is nearly impossible.

  If we could do a success story outlining the dual impact or some other clear and uncomplicated way, you might see more from agriculture teams on integration. Everyone is always excited about the possibilities but the reality of the complicated (and expensively so in personnel and data collection costs) ends up discouraging people from doing it. INTEGRATION SHOULD NOT BE A STAND ALONE PILLAR---it is something that should be done wherever and whenever it makes sense and that kind of planning and decision-making should be left to technical experts---not to politicians. Barrier not overcome -- just do what we can when we can but triage this kind of indirect reporting out when there are insufficient numbers of experienced technical staff to accomplish the work."

V. BARRIERS

We next asked respondents to rank the key barriers preventing integration, using the below language. The results of this are displayed in Figures 5.1 and 5.2.

> "Consider a time when you have chosen NOT to include climate change in a solicitation.
>
> Please rate the following statements on their importance in preventing or discouraging you from including climate change considerations in solicitations with which you have been involved:
>
> *Rate each from 4 - 'Very Important Factor' to 1 - 'Not at All Important Factor"*

FIGURE 5.1. BARRIERS AS REPORTED BY STAFF *WITHOUT* GLOBAL CLIMATE CHANGE EXPERIENCE AT USAID

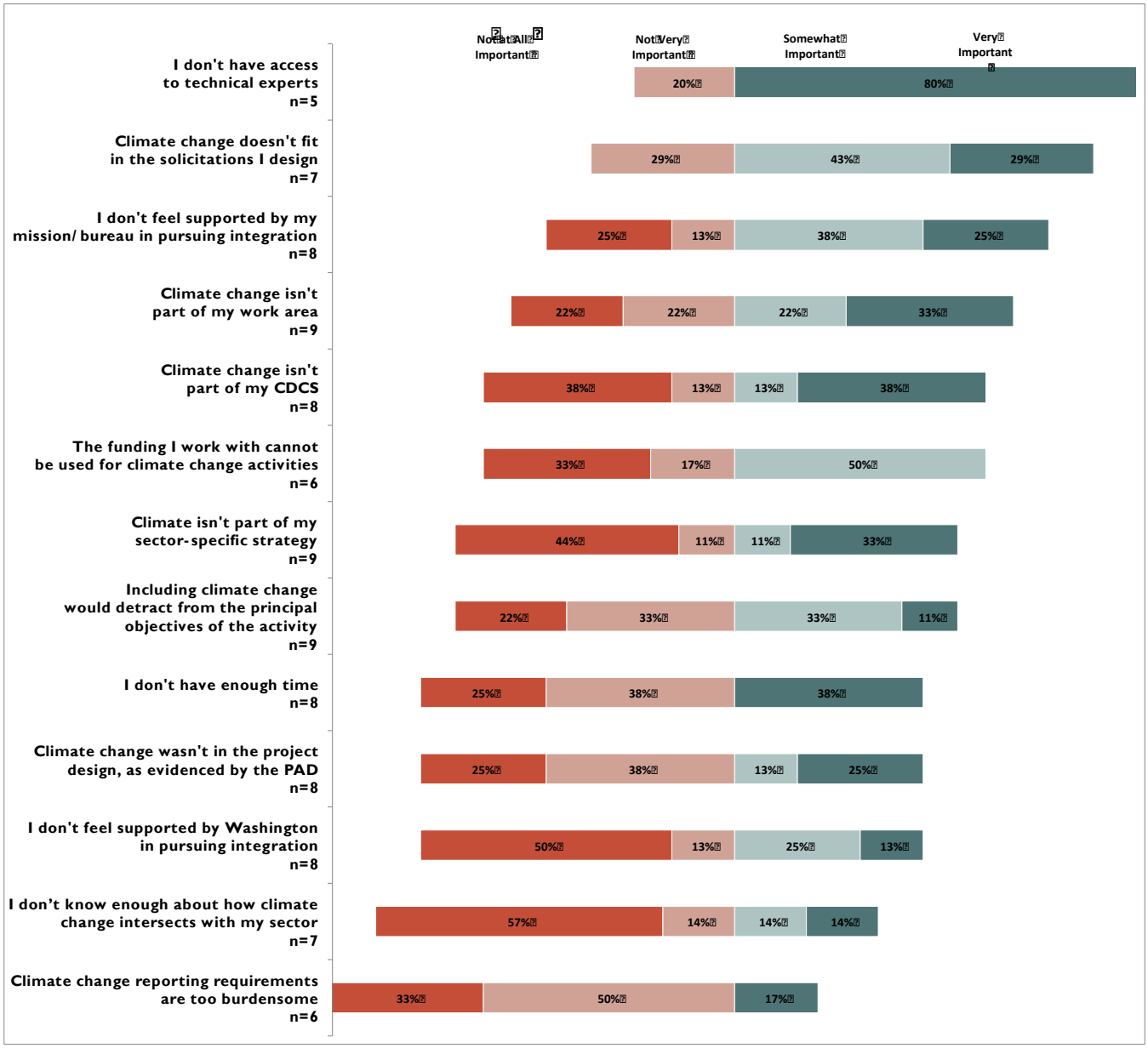
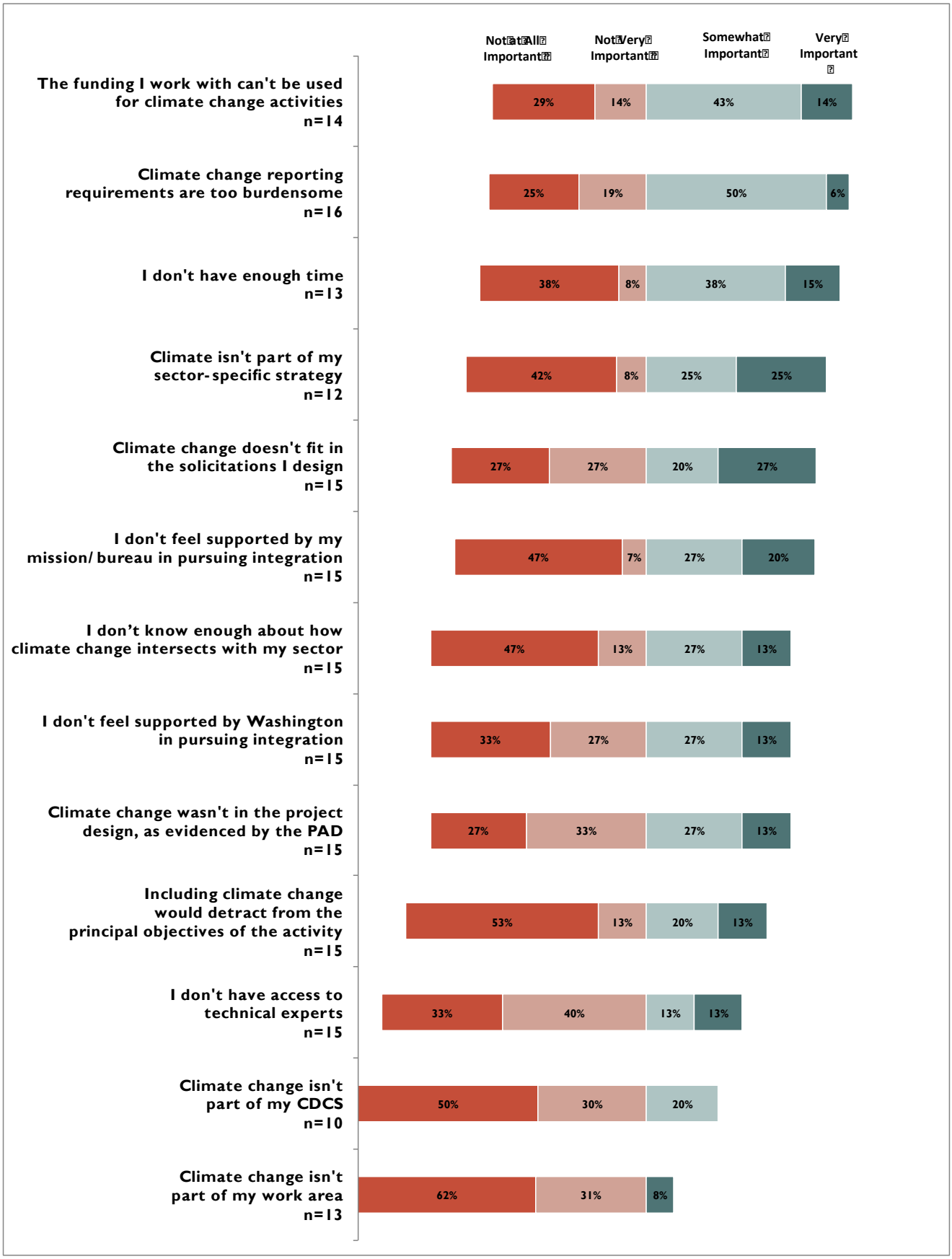


FIGURE 5.2. BARRIERS AS REPORTED BY STAFF *WITH* GLOBAL CLIMATE CHANGE EXPERIENCE AT USAID



In the "Other" text box, respondents also provided the following answers:

- "Old school thinking"
- "Reporting requirements for indirect accomplishments regardless of whether in solicitation or not."
- "Another barrier, not mentioned above may be the time horizon -- most projects are designed for five years, most individuals think of climate change impacts and adaptation measures as long-term, not short term."

As is evident in Figures 5.1 and 5.2, staff who do and do not have experience with GCCI at USAID rate barriers differently. Of the five top rated barriers, the only one that is shared between the two is "Climate change doesn't fit in the solicitations I design." Looking at the differences in ranking of these activities, we can see that those who regularly interact with climate change activities at USAID and those who do not face a somewhat distinct set of challenges.

For example, the most important barrier for those who do not work on GCCI-affiliated activities is "I do not have access to experts that can help me design integrated programs," while that is the third least important barrier for those who *do* work on GCCI-funded activities. Similarly, the least important barrier for those who do not work on GCCI-affiliated activities is "Climate change reporting requirements are too burdensome," whereas this is reported as the second most important barrier for those who do have experience working on climate change activities.

Barriers: Open-Ended Answers

Respondents also provided the following answers to the open-ended question **"Optional: Please expand on the above - what are the principal barriers to climate change integration in your work?"**

The responses provided broke down into two general categories:

A. Identifying Activities' Connections to Climate Change

- **"**Finding meaningful connections can be difficult. We know that climate change is generally affecting all of our work - but how to specifically address? Guiding implementers or designing concrete interventions that tackle climate change while achieving the principle goal of the activity in a non-traditional sector is a challenge."
- "Although climate change has and will continue to have a tremendous impact on many aspects of USAID's Global Health work, it does not have strong link to the specific activities that I focus on."
- **"**In many programs climate change considerations are not the most important factor in a politically and economically fragile environment. Yes, it would always be better to be sensitive to CC, but with scarce resources it is not always the best use of time and money."
- "In Assistance agreements, awardees may not have the expertise to comply with this and would not see the overall benefit. It would be an extra task that would usually require them to procure outside or additional expertise only to comply with a USAID task and not for their long term benefit, nor is it perceived to be for the benefit of country. Organizations would much prefer utilizing the funds in areas more relevant to their original objectives and mandates."

B. Visible Leadership and Guidance

- "Clear guidance on how to integrate GCC."

- "Lack of support from BFS and GCC folks in Washington to date. It seems like this is changing, and now we are just waiting for the guidance and more support!"
- "There is no real consideration of GCC in the mission"
- "Varied level of awareness on climate change integration tools within the AORs and partners as well. When you have a GCC conversant supervisor at the mission as well as partners the agenda moves forward."

VI. OPPORTUNITIES

We next requested that respondents rank what factors might help them integrate climate change more frequently:

> **"Now consider what conditions might help you integrate climate change into more of your solicitations. Please rate how helpful each of the following factors would be in enabling you to integrate climate change more frequently:**
>
> *Rate each from 4 - Very Helpful to 1 - Not at All Helpful"*

FIGURE 6.1. OPPORTUNITIES AS RANKED BY STAFF *WITHOUT* GLOBAL CLIMATE CHANGE EXPERIENCE AT USAID

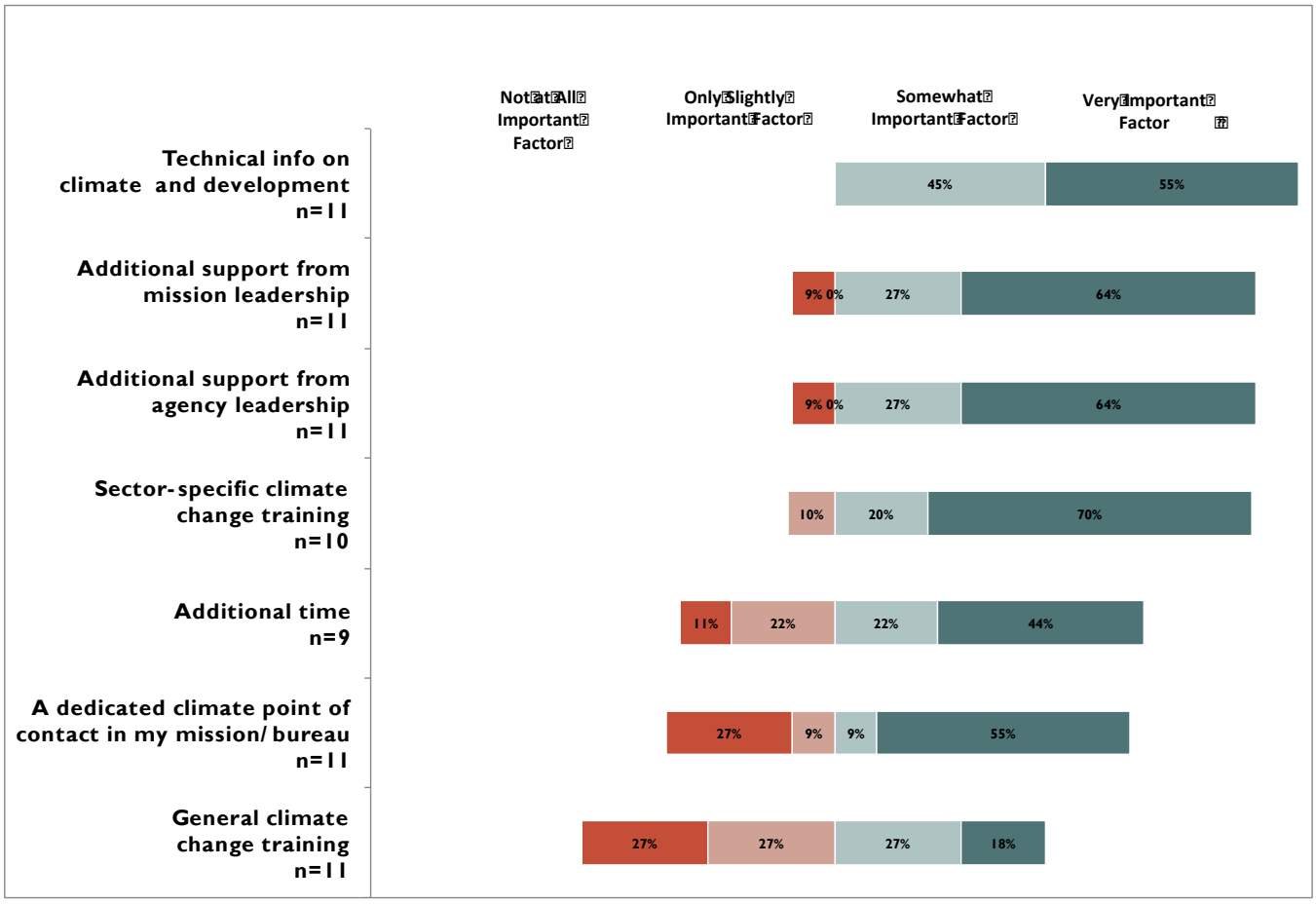
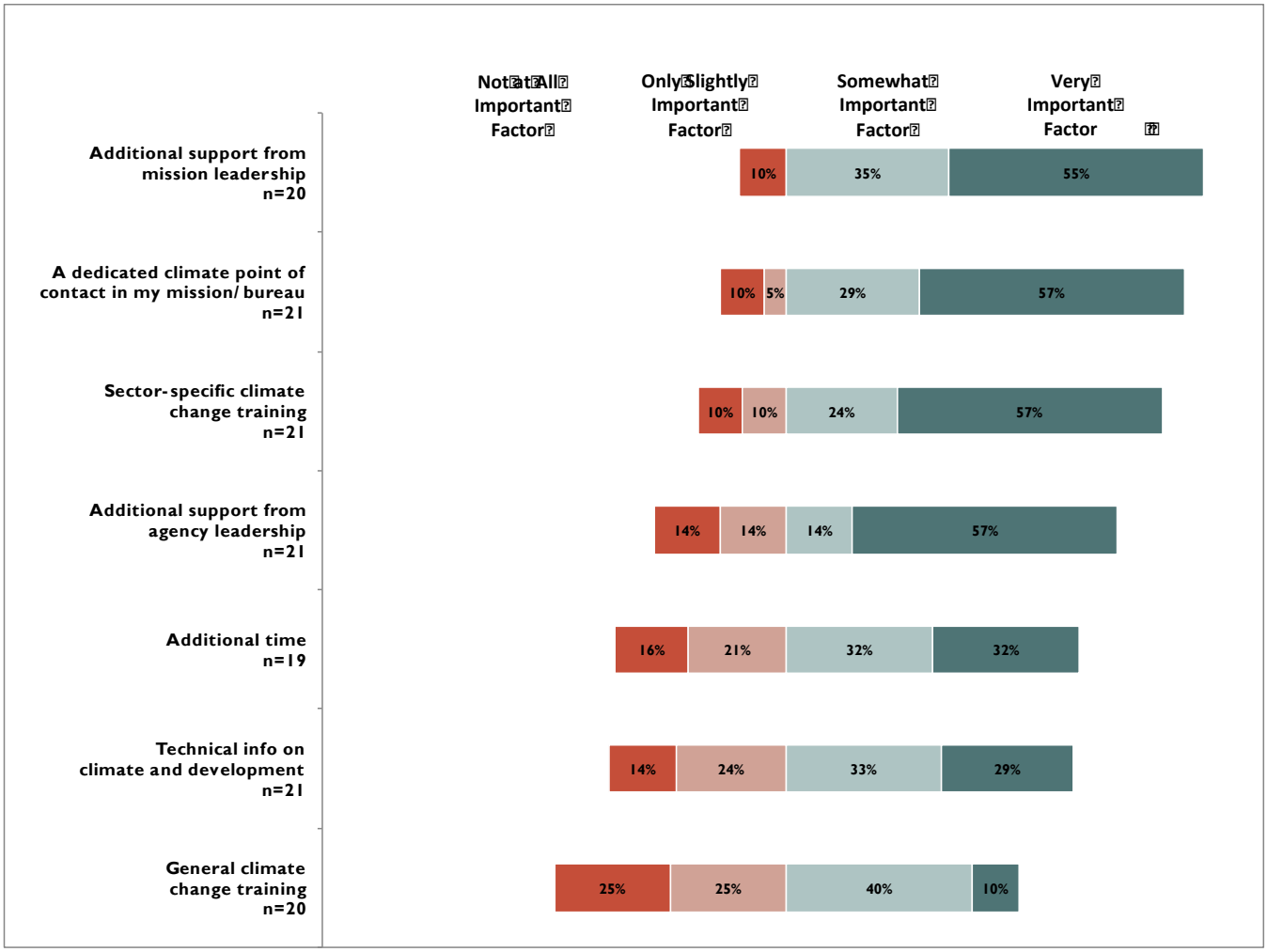


FIGURE 6.2. OPPORTUNITIES AS RANKED BY STAFF ***WITH*** **GLOBAL CLIMATE CHANGE EXPERIENCE AT USAID**



In the "Other" text box, respondents also provided the following answers:

- "Force the issue"
- "Reduced and streamlined reporting requirements"

Across the board, respondents were relatively positive about all options presented, with the exception of additional general training on climate change, which received positive responses from less than half of respondents.

As with the Barriers section, additional support from mission leadership appeared very important for both groups of respondents. The other factors, while they vary slightly in their order of perceived importance, do not vary greatly between the two groups, with the exception of "Technical information on climate and development." Those *without* GCCI experience identified this as universally helpful, while for those *with* GCC experience, only 62 percent identified it as "Somewhat Helpful" or "Very Helpful," whereas 38 percent thought this would be "Not at All Helpful" or "Only Slightly Helpful."

Opportunities: Open-Ended Answers

Respondents also provided the following answers to the open ended question: **"Optional: Please expand on the above - what would help you to integrate climate change more frequently?"**

The responses provided broke down into two general categories:

A. Increased Information

- "GIS and available data sets; private sector partners interested in GCC integration"
- "Training, and specific examples of integrating climate change into 5-year health projects would be helpful."
- "Having standard and CLEAR language to be inserted to explain the value of including the GCC tasks to potential bidders or implementer (especially if grantees or cooperative agreements where USAID partners with organizations already involved in different sectors)."

B. Culture Change and Leadership Support

- "Support from Mission leadership and leadership within BFS would be EXTREMELY helpful! It is sad how little attention and support climate change seems to get at the higher levels. Even when there is talk about integration, no one really encourages us to go out of our way to make it happen."
- "Everyone looks askance at environment because we are forced to do environmental assessments for projects, and those are more of a punishment than an incentive. Say the word "environment" in a USAID health office and eyes roll and folks start to mutter. Why not make it an Agency requirement to have an "environmental potential" assessment for every new project? That would force folks to frame the issue in a new, positive direction. Is environment integrated in your activity? No. Why not? Here's a menu of possibilities to draw from..."
- "The management (particularly Mission Directors, Office chiefs) need to be convinced on the importance of GCC integration, lost opportunities if neglected, so that they will give priority and attention to make sure GCC issues are well considered and reflected in the guiding and design docs- CDCS, PADs, RFA/Ps,"

VI. TECHNICAL RESOURCES

Finally, we asked survey respondents to rate how useful specific technical resources would be to them in pursuing integration in the future.

> **"If improved technical information would be helpful to you, please indicate how useful each of the following would be in enabling you to integrate climate change:**
>
> *Please rank each of the following from 4 - "Very Useful" to 1 -"Not at all Useful"*

FIGURE 7.1. RESOURCES AS RANKED BY STAFF ***WITHOUT*** **GLOBAL CLIMATE CHANGE EXPERIENCE AT USAID**

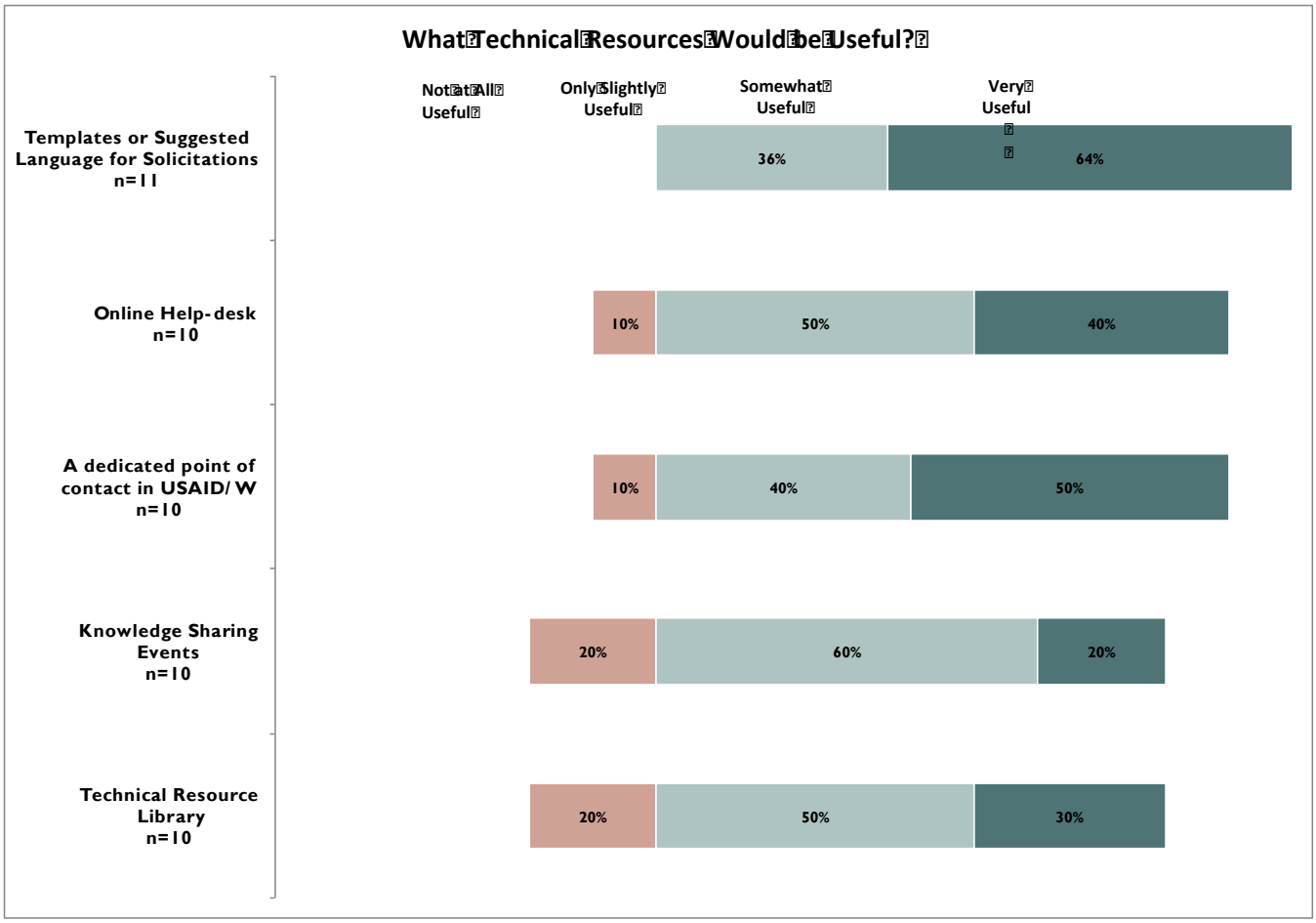
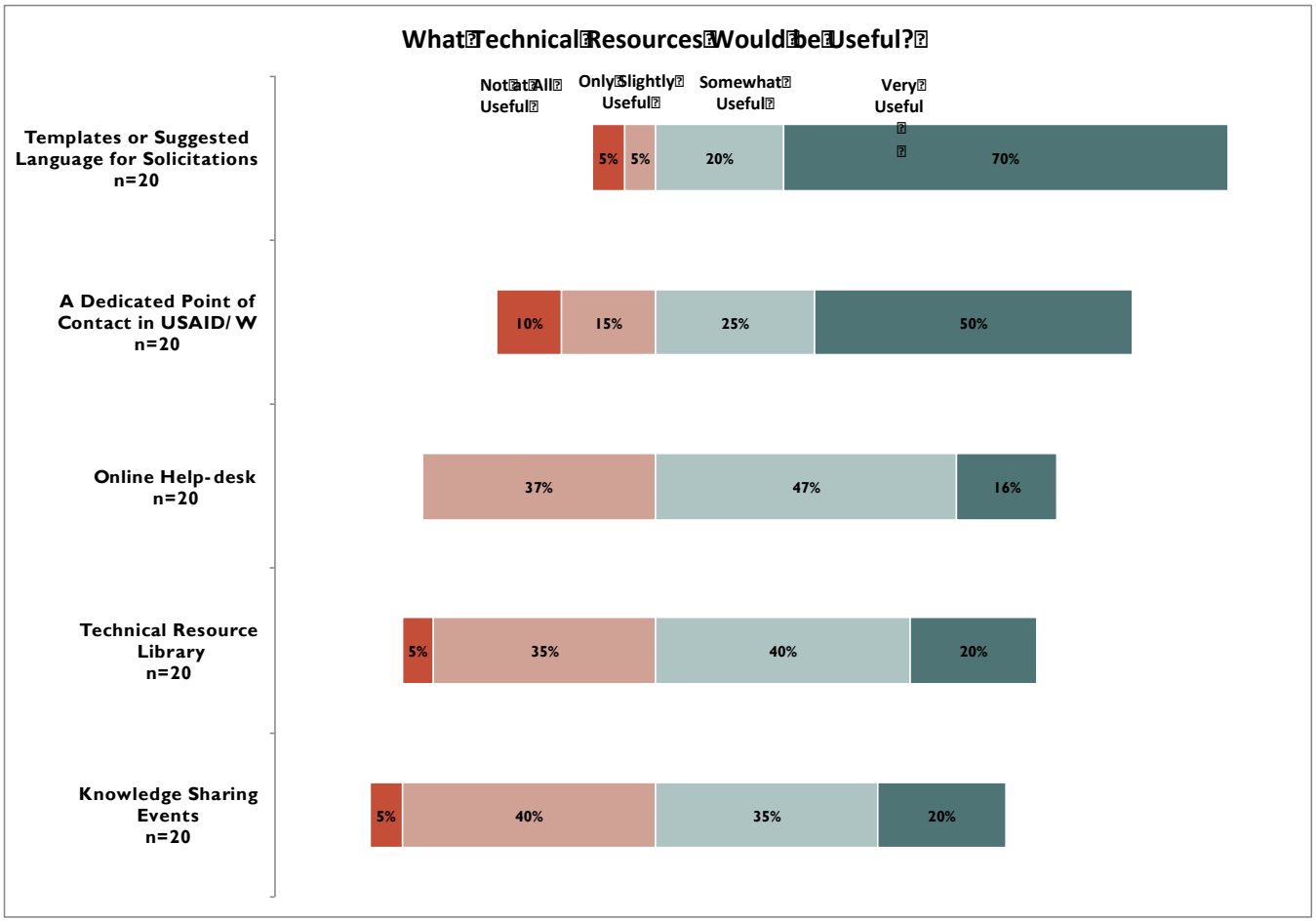


FIGURE 7.2. RESOURCES AS RANKED BY STAFF ***WITH*** **GLOBAL CLIMATE CHANGE EXPERIENCE AT USAID**



While all resources for both groups scored more 3's and 4's – Somewhat or Very Useful – than 1's and 2' s – Not at All or Only Slightly Useful, the lowest scoring resources overall were Knowledge Sharing Events and a Technical Resource Library. Those with experience working in climate change at USAID were particularly less enthusiastic about these two resources. For both groups, the option 'Templates or Suggested Language for Solicitations' was the most highly ranked.

Other:

- "Someone to work with in the Mission"
- "Help desk or contact points helpful only if consistent and really knowledgeable"

VIII. ADDITIONAL COMMENTS

Respondents also had one final opportunity to provide commentary, in the form of a response to the open-ended question **"Any additional comments or thoughts on how to improve climate change mainstreaming?"**

- "The agency needs some champions on the issue and support from leadership**"**
- "- Offer incentives
  - De-negatize the "environment" word
  - Educate the old school and support the new school"

- "Make it a requirement and make it easy for us."
- "We need statistics to understand climate change"
- "Since it is almost 3-4 years since we started integrating GCC activities within the mission interventions, it would be good to do impact assessment to see how successful was the integration and learn for future similar initiatives"