



# TRACTION

Advancing climate adaptation action

# Using the Traction framework to understand enablers of adaptation action at the locality level

Malawi

April 2022



Scottish Government  
Riaghaltas na h-Alba  
gov.scot



**Dissemination status**

FINAL

**Project funders**

Scottish Government

**Project manager**

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**Traction is a three year project funded by the Scottish Government and delivered by Sniffer and IIED**

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## 1. Purpose of this report

Traction offers a lens through which to view enablers and inhibitors of adaptation action at a range of levels, nationally, regionally and locally. Throughout 2021 Traction analysis has been implemented with stakeholders and communities in districts and regions in Malawi and Scotland and at the national level in Mozambique.

This report offers readers a starting point for discussion on enablers of climate adaptation based on learning from using the Traction framework at the locality level – in districts in Malawi, especially:

- (i) For those interested in applying the Traction framework to understand how it can be used at a locality scale to explore progress with adaptation – as part of a stock take and setting of future intention
- (ii) For the various stakeholders in Malawi who formed part of the study in 2021, to consolidate the learning from applying the Traction framework

## 2. Introduction to Traction

Traction is a project to understand what enables climate adaptation action. The Traction framework offers a lens through which to view enablers of adaptation action at a range of levels, nationally, regionally and locally.

The framework is intended as a means of sharing knowledge across locations and nations including sharing across the Global North and Global South. It has been funded by the Scottish Government and developed by sustainability charity Sniffer and the International Institute for Environment and Development (IIED).

The Traction framework consider enablers of adaptation action from a number of perspectives. The first is the power to legislate and implement policy – essentially, the power to take decisions, and especially the scale/level at which this is held. The second, is the broader idea of a linked set of knowledges, skills and attitudes which enable organisations and the individuals within them to address challenges and opportunities relating to ‘real-world’ environmental issues. These may be held at the level of national, regional or local government departments, units within these departments, or even individuals working within units. They may also be held within community groups, businesses and the third sector. However, given the importance of long-term strategic action in response to climate change, assessment of the ability of these enablers to sustain themselves at a level above and beyond that of individual ‘champions’ is crucial.

Enablers of adaptation action are defined here as the technical capacity, legislative authority and inter-institutional systems that help to bring about change. Five broad enablers have been identified:

1. Visioning goals, targets and outcomes, through policy and leadership.
2. Defining and developing pathways from the present towards envisioned outcomes – governance processes and capacity to respond including financing.
3. Synthesis and utilisation of knowledge
4. Facilitation of cross-sector and cross-organisational collaboration via stakeholder and public engagement.
5. Consideration of ethics and justice

The Traction framework offers a way of systemizing empirical findings from experience and analysis through social learning.

## 3. Applying the Traction framework in practice

The Traction framework has been applied in different countries and at different levels, at national level in Scotland and Malawi in 2018 and 2019, at a more local level in the Outer Hebrides in Scotland in 2021 where the “local context” of the different islands and communities together illustrate a regional picture; in four districts in Malawi in 2021; and in Mozambique at national level in cooperation with IIED in 2021.

This application has enabled us to explore ***“How can the Traction framework help to explore enablers and inhibitors of adaptation action at different scales in both the Global North and the Global South?”***

The intentions are for the framework to support the following:

- **National Government:** To support understanding of **what is helping /inhibiting progress at a national level** – to inform progress or as part of the evidence base for scrutiny processes, whilst or - as part of making the case (and identifying what is important to prioritize) for global funding for climate action
- **Regional Government:** Understanding what is **helping / inhibiting progress at regional level** as a part of a stock take and strategy building process
- **Place based partners at a locality level:** Understanding what is **helping / inhibiting progress at locality level** as a part of a stock take and strategy building process
- **Community groups involved in climate action:** Offers a means to explore what is important as a basis of analysis, planning, stock taking, strategy building or action planning depending on the process already undertaken – creates space to talk about governance, coherence, locally important concerns and justice

During 2021 we focused on the applicability of the Traction Framework at a sub-national level in Scotland and Malawi. The approach and learning from localities in Malawi is outlined below. The approach and learning from the Outer Hebrides, Scotland, is reported separately.

## 4. Applying the Traction framework at the locality level in Malawi

### 4.1. The Climate Change Context in Malawi

#### Climate Change in Malawi

Malawi's economy heavily depends on agriculture, supporting about 80% of rural people's livelihoods and contributing about 30% to GDP and 80% of export revenue<sup>1</sup>. This therefore implies that the performance of the other sectors of the economy are dependent on agriculture, which is largely rainfed and is highly vulnerable to climate change and climate variability. The United Nations Entity for Gender Equality and the Empowerment of Women, suggests that the country is losing about 1.7 percent of its gross domestic product (about USD 22 million) on average every year due to the combined effects of drought and floods<sup>2</sup>. The country experienced six major droughts and 18 episodes of flooding between 1967 and 2003 which negatively impacted smallholder farmers<sup>3</sup>. Devastating effects of climate change have also been recorded in Malawi more recently. The country was affected by droughts in 2011-2012 which had severe impacts on food security in many districts. Approximately 2 million people were affected, the majority of which were from southern region of the country. The country has also only just recovered from extensive flooding that took place in 2015 and left many lives and livelihoods destroyed; it is estimated that 1,101,364 people were affected, with 230,000 displaced and 106 killed. Drought conditions occurred due to the strong El Nino in 2021 which resulted in extensive crop failures, affecting 2.8 million people<sup>4</sup>.

#### National Policies supporting climate change

Malawi is guided by diverse national and sector specific policies to work towards global and national development goals. The Malawi Growth and Development Strategy (MGDS), a series of five-year plans, guides the country's development. The current MGDS III, Building a Productive, Competitive and Resilient Nation, will run through 2022 and focuses on education, energy, agriculture, health, and tourism. In January 2021, the Government launched the Malawi 2063 Vision that aims to transform Malawi into a wealthy and self-reliant industrialized 'upper middle-income country. This development agenda recognizes integration of disaster risk reduction and financing into sustainable development and planning as well as the promotion of climate change adaptation, mitigation, technology transfer and capacity building for sustainable livelihoods through Green Economy measures as key enabling factors to its attainment.<sup>5</sup>

The Government of Malawi developed a National Climate Change Management Policy (CCMP) in 2016 to assist the country to achieve its long-term goal for climate change management, to reduce the socioeconomic impacts of adverse

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<sup>1</sup> <https://climateknowledgeportal.worldbank.org/country/malawi>

<sup>2</sup> <https://www.mwnation.com/malawi-loses-1-7-of-gdp-to-floods-un/>

<sup>3</sup> <https://www.mountainresearchinitiative.org/news-content/africa/addressing-climate-change-poverty-and-flooding-in-malawi>

<sup>4</sup> <https://www.mountainresearchinitiative.org/news-content/africa/addressing-climate-change-poverty-and-flooding-in-malawi>

<sup>5</sup> <https://malawi.un.org/sites/default/files/2021-01/MW2063-%20Malawi%20Vision%202063%20Document.pdf>

effects of climate change<sup>6</sup>. The policy articulates the goals and objectives for climate change management in Malawi, as well as principles and strategies to guide implementation of activities aimed at reducing socio-economic impacts of adverse effects of climate change. Six priority areas are highlighted in the policy including Climate Change Adaptation; Climate Change Mitigation; Capacity Building; Education, Training and Awareness; Research; Technology Development and Transfer; and Systematic Observation, Climate Change Financing, Cross-Cutting Issues.

Effective climate change management, leadership and coordination at district and local levels of government and seeking community-based engagement and action are recognized as key in turning the policy aspirations into a reality. The policy singled out the following as key stakeholders in the implementation of the policy; government, non-governmental organizations and civil society, the private sector, academia, development partners, local communities, faith-based organizations and identified vulnerable groups. The policy further elaborates the roles and responsibilities that each stakeholder must play for full realization of the policy goal. Among others, the blueprint recognizes the decentralized structures as being pivotal in providing an avenue for communities' views to feed into decision making at both district and national levels. The organizations and committees at various levels are tasked to ensure that climate change is integrated into their programmes, projects, and plans.

#### 4.2. Applying Traction at the locality level with Climate Change Programme in Malawi

A number of projects are underway in Malawi. For the purpose of trialing the Traction framework, a connection was made with the Climate Challenge Programme Malawi.

Trócaire Malawi, through a sister agency the Scottish Catholic International Aid Fund (SCIAF), is contracted by the Scottish Government's Energy and Climate Change Directorate to implement the Climate Challenge Programme Malawi (CCPM). The implementation of the programme began in October 2017. CCPM was designed using a participatory process that ensured a high level of community engagement. The programme is aimed at improving the targeted communities' resilience to the adverse effects of climate change by developing and implementing adaptation strategies that will improve agricultural production and sustain rural livelihoods in Balaka, Chikwawa, Machinga and Zomba districts in the Southern Region of Malawi. This programme is premised on an integrated community-based climate change adaptation approach to build communities' livelihood resilience, diversify their livelihood options, and support them to conserve natural resources and reduce disaster risks associated with climate change. A key strategy of the programme is to promote transformative agriculture through agroecology, as opposed to more conventional approaches.

The programme is founded on the following principles: community-led, leave no-one behind, benefit the environment, create a sustainable legacy and improve climate literacy in relation to human rights.

Programme interventions are centred on sectors of food, water, energy, income, and empowerment.

Trócaire implements the programme through various local partners including Catholic Development Commission (CADECOM) Chikwawa, CADECOM Mangochi, CADECOM National, Centre for Integrated Community Development (CICOD), Churches Action in Relief and Development (CARD), Civil Society Network on Climate Change (CISONECC), Eagles Relief and Development (Eagles Relief) and Zomba Diocese Research and Development Department (ZARDD).

**Traction analysis at locality level:** The intention was to use the Traction framework to understand, with partners in localities in Malawi “**what is enabling or inhibiting adaptation progress as analyzed through the five Traction framework enablers: visioning and leadership, governance, gathering and use of information, cooperation and justice?**”

Embedded in this was to explore local governance and adaptation in relation to:

- water management (including access to water, drought, and flood risk management)
- decision making processes
- inclusion, justice, and gender equality.

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<sup>6</sup> <https://reliefweb.int/sites/reliefweb.int/files/resources/NCCM-Policy-Final-06-11-2016.pdf>

The study samples widely across four districts and across local structures, to gain as much insight into questions as possible. This approach helped to gauge consistency/inconsistency across responses, and geography, as well as the presence and absence of key variables/responses, to assess whether findings are idiosyncratic (to where or to whom) or more general, systematic, and cross-cutting.

Key informant interviews engaged a diverse set of respondents including district agriculture development officers, district water development officers, district planning officers, and district disaster and rehabilitation officers among others in four districts.

Focus Groups Discussions (FGDs) with community groups were conducted in four districts of Balaka, Chikwawa, Machinga and Zomba. The FGDs consisted of a small number of willing community members (approximately five to eight). Over 26 FGDs were conducted in the above-mentioned districts targeting Water Point Committee members, women leaders, men leaders, lead farmers, paravets, climate justice committee members among others. Of the 26 FGDs, 207 participants attended interviews, 132 were female.

The approach involved at least four villages in each district for FGDs, villages for FGDs were randomly selected from a list of beneficiary villages to ensure maximum variation by local partner organization and the type of local structure. Interviews were conducted by the Palladium research team in Balaka, Machinga, Zomba and Chikwawa.

### **Limitations**

This qualitative inquiry was somewhat limited in its ability to fully engage district level informants due to the Covid-19 pandemic, in part as most of the officers were not physically available making virtual engagement the only option. Nevertheless, most of the key informants were available for interviews. Further, the inquiry was limited in its ability to fully get responses from informants due to frequent transfers of government officials. In some cases, we met government officials who had come in the district six months prior presenting challenges in articulating key developments in the district fully. Equally other officials who were targeted for the climate justice module were not available in the district.

### **Findings in relation to climate change issues**

Across all study sites, drought (prolonged dry spell) and floods were the most cited climate change issues affecting the communities. A few study districts indicated that communities were also facing infestation of pests such as fall armyworms and an emergency of strange skin diseases. While flooding and drought were both consistently cited as impactful shocks, there was broad sentiment that lack of rain/water was the most consistent and damaging shock for farmers. Respondents had varying experiences with drought. Some indicated that rains were fine for a while and then a drought would hit for a couple weeks during the growing season, while others indicated that drought was longer and more consistent. Meanwhile, respondents suggested that drought either destroyed their crops or significantly reduced their yield/production of crops.

## **5. Learning from the Traction framework in Malawi**

We outline below:

- Learning in relation to what is enabling or inhibiting adaptation progress across the five Traction framework themes: visioning and leadership, governance, gathering and use of information, cooperation and justice within the context of Malawi and the stakeholders involved
- Learning in relation to the process of using the Traction framework at the local level in Malawi.

### **5.1. Enablers of Effective Local Governance in Adaptation Planning and Implementation in districts in Malawi**

A series of key learning points on what enables change based on the learning with the communities and district stakeholders in Malawi are presented by Traction enablers, include:

#### **1: Visioning, goals, targets and outcomes through policy and leadership**

The Malawi decentralized governance system is an enabler to adaptation. Adaptation action is integrated across sectors and scales with coherence or alignment between policies relating to livelihoods, agriculture, poverty reduction,

disaster and climate change programmes cascaded from national level through local government programmes through multi-sectoral and stakeholder structures. National to local policy coherence and a close integration between CCMP and other policies through vertical and horizontal coherence is evident at the district level. Local structures have been put in place as an avenue for cooperation and engagement of different groups to translate national policies into local plans and programmes and vice versa, ensuring local issues are raised for attention in national policies. Champions especially within agriculture departments offer extension services that respond to the needs of farmers.

#### **Enablers of adaptation action at local level include:**

- **Policy coherence** and a close integration between CCMP and other policies such as Malawi Growth and Development Strategy, National Agriculture Policy among others.
- **Demand driven agriculture extension approach** giving communities an opportunity to choose agriculture value chains suitable in their area, based on their local climatic conditions and demand the extension services they need for specific commodity to produce.
- **Vertical and horizontal coherence at the sub-national (district level):** All districts have well established structures through the District Extension Committee (DEC) and sub-committees coordinating locally with Village Development Committees, village civil protection committees and other local structures. Strong coordination was evident especially with NGO actors in ensuring that all local organizations are coordinating with and between sectors of Government to align national and local policies and issues.
- **Champions and local leaders** are driving and ensuring compliance and coordination through the Village Development Committees.

#### **Inhibitors of adaptation action at local level include:**

- Vertical integration is impacted by limited **financial and human resources, transport and mobility**. This was noted at both district (financial and human resources) and local level (transport challenges for local agents to fully execute their roles), impacting planning and implementation.
- **Limited scrutiny and perceived lack of transparency** in financial utilization and management of non-governmental organizations' projects, impacting accountability at district level.

## **2. Governance processes and capacity to respond**

Effective district level multi-stakeholder structures that coordinate well with key private sector and NGO actors and work closely with local level community structures are in place. Legitimacy and mechanisms to enable local communities' engagement in planning and implementation of adaptation activities are evident. Governance structures are supported through an upsurge of evidence from the local level, which inform higher level decision making for influencing policy, planning and resilience action.

#### **Enablers of adaptation action at local level include:**

- **Governance structures that engage local people.** All districts have well established structures through the District Executive Committee (DEC) and sub-committees coordinating locally with Village Development Committees, village civil protection committees and other local structures. District and local level structures that are well coordinated within and with other important stakeholders is key in ensuring harmonization of adaptation actions, compliance to government guidelines and leveraging both human and finance resources to ensure needs-based planning.
- **Needs-based planning** through Participatory Vulnerability and Capacity Assessment (PVCA) contributes to multi-stakeholder and multi-sector planning. PVCA is reviewed at the district level, indicating the impact of climate change on communities, sectors and local groups in a district. The DEC uses the PVCA to coordinate strategies, policies and solutions.
- **Local issues influence policies.** Evidence of local impacts of climate change are contributing to policy development. For example, the Affordable Input Programme (AIP), a national flagship programme to eradicate



hunger, has included small livestock in the programme based on district suggestions. As a result of drought it becomes extremely hard for smallholder farmers to produce enough to feed their households.

#### **Inhibitors of adaptation action at local level include:**

- Lack of mechanism to formalize multi-sectoral exchange and learning or monitoring and evaluation beyond the review meetings at the district.
- **Politicization of adaptation measures:** False promises and politicization of adaptation measures by people vying for political positions as a means of amassing votes, or perceived lack of transparency in financial utilization and management of non-governmental organizations' projects limited adaptation progress.

### **3: Synthesis and utilisation of knowledge – understanding knowledge systems for society and the natural environment**

Governance structures are supported through an upsurge of evidence from the local level to inform higher level decision making on policies, planning and resilience action. This combines technical and local knowledge to address contextualization and uncertainty in longer term factors. Climate information is accessible, relevant and empowering for different users.

#### **Enablers of adaptation action at local level include**

- **Understanding of differentiated climate risks to different groups enhances local responsiveness and effectiveness of decision making, policy influencing and action for adaptation.** The Participatory Vulnerability and Capacity Assessment (PVCA) provides a framework for analysis of existing and needed capacities to cope with the impacts of a changing climate on different groups and issues at the community level. The results of the PVCA are reviewed at the district level, indicating the impact of climate change on communities, local groups, and proposed solutions. The knowledge generated through the process with different government departments and actors in DEC help to create a needs-based analysis of climate risks on local conditions.
- **District level contingency planning** provides a shared framework across sectors as a basis of coordination, decision making and budgeting. The multi-hazard disaster contingency plan for preparedness and response planning is based on the annual seasonal forecast. The PCVA data on climate vulnerability contributes to the contingency planning process. Contingency plans are recognized as a positive mechanism for a shared framework as they are generated annually, they are not as exhaustive as the development planning and focus on specific risks and the implications on different sectors, and groups in the district.
- **Access to information by farmers and water users.** Farmers through the department of metrological services gets weather forecasts through various mediums which helps them to make production decisions. Communities are given both annual weather forecasts (long-range information), monthly, and weekly expected weather conditions which enabled them to make short term faming decisions.
  - The scientific messages disseminated are translated into local language, making messages more user-friendly to people in communities. The annual weather forecast enables farmers to request the type of extension services they need.
  - Information access, flow, and accessible media are vital in ensuring that local communities are prepared and are able to take anticipatory actions before a disaster strikes and make important decisions influencing agriculture and water management.

#### **Inhibitors of adaptation action at local level include:**

- Capacity of the local social structures for community engagement is limited: engaging communities in planning is very human resource heavy and therefore there just is not enough capacity to deliver needed support.
- Contingency planning results in itemizing activities and budgeting but there is insufficient funding through the government programmes and there is a need for additional help from outside. Without outside support, many efforts proposed are unable to be implemented

#### **4: Facilitation of cross-sector and cross-organisational collaboration via stakeholder and public engagement**

Governance structures make space for local organizations, traditional leaders and community groups. Decentralization demands that grassroots communities be consulted in the development phase of adaptation actions. NGOs advocacy on women's leadership, deliberate approaches by district stakeholders to include women in civil protection committees, and NGOs playing a critical role in building local capacities and empowering community groups contribute to enabling adaptation through decentralization.

##### **Enablers of adaptation action at local level include**

- **Decentralization of planning processes.** Malawi adopted a decentralized system of government in October 1998 as a vehicle for poverty reduction and also as a means for strengthening democratic institutions and participation at the local level. Approaches recognize that development has to start from the grassroots and ensure that no one is left behind.
- **Deliberate efforts that ensure governance structures make space for local organizations, traditional leaders and community groups:** The development of the district development plan engages all stakeholders in the districts including the civil society, faith leaders, private companies among others. Making use of the district executive committee (DEC) and its sector specific sub committees to coordinate various adaptation programmes has supported adaptation planning. NGOs have a place in the DEC structures and have played a critical role in building local capacities.
- **Greater involvement of communities in decision making for adaptation:** Planning cycles focus on responding to specific risks and implications on different sectors and groups in the district combined with clear mechanism for collaboration and ensuring that underrepresented vulnerable groups are included in various local structures.

##### **Inhibitors of adaptation action at local level include:**

- **Inadequate capacity to both develop and implement the contingency plan by the local structures.** Each district has over 100+ Civil Protection Committees that need to be trained to meaningfully participate in the development of Contingency Plans.

#### **5: Consideration of ethics and justice via normative competence**

Malawi's climate change management policy recognizes that women and girls are disproportionately affected by climate change and are more vulnerable to its impacts. Women representative posts are established to ensure that women's specific issues are integrated into various adaptation initiatives. Offering support to women through skills and confidence development, inspiration through leadership, and economic empowerment have been key. Victims of disasters have in the past been involved in damage assessments by the Village Civil Protection Committees.

##### **Enablers of adaptation action at local level include:**

- **Understanding the challenge with and by those most impact by climate change.** Deliberate efforts ensure that underrepresented vulnerable groups are included in understanding the challenge and are engaged in various local structures and able to participate in decision making for adaptation. Deliberate approach by the district stakeholders to include women in civil protection committees to ensure women's voices are heard in many sectors of planning, NGOs have been advocating strongly on women's leadership, empowering women so that they also can be drivers of change within their communities.
- **Challenge social norms that limit participation and exert exclusion.** Providing the means to support women to be a part of driving processes at local level through enhancing skills and confidence, inspiration through leadership, and helping or putting in place conditions for women to fulfil their potential.

### **Inhibitors of adaptation action at local level include:**

- Transport and mobility: especially for women the ability to be able to move around without support for transport impedes their engagement and role in climate adaptation planning and action.

### **5.2. Learning from the process of using the Traction framework**

Reviewing the field research and findings through the Traction framework helped gather insights on enablers and inhibitors to adaptation progress. Learning in Malawi recognized the important role a decentralized system of governance plays in enabling adaptation at the local level. However, it is recognized that the availability of policy alone may not be sufficient if the same is not translated to the local communities. Hence important enablers have included deliberate strategies to align policies and leadership, governance and means to engage underrepresented groups and especially women in demand driven adaptation planning; and implementation through local structures and challenging norms that may limit participation.

Key enablers based on learning with CCPM communities, stakeholders and districts included:

- Well-defined climate change policy with **vertical and horizontal integration or coherence across thematic sectors** including poverty reduction, disaster management, agriculture, water and economic development and social support programmes.
- Effective district level **multi-stakeholder structures that coordinate** well with key private sector and NGO actors as well as **working closely with local level community structures**. Legitimacy and mechanisms to **enable local communities' engagement** in planning and implementation of adaptation activities.
- **Demand driven** efforts such as agriculture extension approaches give communities an opportunity to choose agriculture value chains suitable to their area, based on their local climatic conditions and subsequently demand the extension services they need to produce specific commodities.
- **Access to information by farmers and community groups in a manner that is accessible, timely and appropriate to support users in making decisions – when they need to.**
- **Farmer and community driven advocacy** that has driven coherence between climate risk, environmental management and poverty reduction efforts.
- **Capacity and skills building, and support groups** that have helped women and other vulnerable groups to have confidence to drive adaptation planning and implementation.

Using the framework has helped in understanding interlinkages between policies and the level of interaction by different actors. The Traction framework offers a tool to understand adaptation efforts implemented and how various actors can contribute to planning and implementation.

## **6. Summary of value of the Traction framework at a locality scale**

In Malawi Traction provided a structured framework to assist stakeholders to explore a range of perspectives on adaptation governance, planning and implementation in a systematic manner. Traction offered a tool to understand adaptation efforts that have already been implemented and how various actors can contribute to planning and implementation.

The Traction process has offered insights for partners on important features to further enable adaptation at the local level to inform strategy development, investment and capacity development. In a similar manner Traction offered insights into inhibitors, providing the opportunity for participating partners to explore how inhibitors and barriers might be addressed.

## 7. Recommendations for enhancement to the Traction framework

Based on insights from using the Traction framework in Malawi several areas for further development have been identified.

- How each of the enablers contribute to and reinforce each other is a crucial area of further analysis within the framework. This needs to be practical and accessible for users of the Traction framework.
- How can the framework can be applied by actors themselves as a means for reflection and analysis? How can the framework be used for a stock take on enablers? How can the framework be used as the means to generate shared learning and vision for what advances and what inhibits adaptation progress in each of contexts it is applied to?

These insights have been acted upon for the revised version of the Traction framework (2022)

## 8. Next Steps

Findings from the study in Malawi generated important inputs for policy makers, implementers, academia, communities and stakeholders implementing climate change adaptation actions in the country. As such disseminating the results is helpful in igniting debate on various issues including long term adaptation funding, community engagement in climate change adaptation among others. The following next steps are suggested as opportunities for discussion with CCPM partners

- National level virtual discussions on Malawi learning through CCPM findings. A national partner for CCPM – Civil Society Network on Climate Change (CISONECC) may be tasked to lead in organizing this meeting to be attended by its members (affiliates) implementing related programmes / projects, donors, and government key staff (ministry of finance, environmental department, metrological services, agriculture, gender among others).
- District level learning events in each district. A collaborative learning event per district may be organized in collaboration with CCPM partners where participants from diverse government departments including district level structures` representatives may be invited to the workshop.
- A comprehensive policy analysis of the district level policy documents to establish complementarity and differences that may affect adaptation planning and implementation.

## Annex 1: Summary Findings using Traction framework

<p>TRACTION framework: enablers</p>	<p><i>Findings from Malawi Traction research on enablers and inhibitors</i></p>
<p><u>Visioning, goals, targets and outcomes through policy and leadership</u></p>	
<ul style="list-style-type: none"> <li>National policies and legislation</li> </ul>	<p><b>Findings</b></p> <ul style="list-style-type: none"> <li>At national level and based on decentralization in Malawi, the policy, goals, targets, and outcomes are in place. This is evident at local level. There is also a horizontal integration of the policies from national to district and then the local communities. These policies are linked.</li> </ul>
<ul style="list-style-type: none"> <li>Integration of adaptation across sectors and scales</li> </ul>	<ul style="list-style-type: none"> <li>Coherence between climate change policies and outcomes and poverty reduction, strong evidence of this cascaded to local level.</li> </ul>
<ul style="list-style-type: none"> <li>Leadership and 'champions' from government in driving adaptation processes forwards</li> </ul>	<p><b>Enablers:</b></p> <ul style="list-style-type: none"> <li>Importance of policy coherence between livelihoods and agriculture, especially significant through agricultural extension workers.</li> <li>demand driven farmers can identify the extension services they need for specific commodity to produce</li> <li>because farmers have access to information (on seasonal climate forecasts) they then can demand capability building through extension services to respond to anticipatory actions to address climate risks (diversification of agricultural activities)</li> <li>vertical and horizontal coherence at the sub-national (district level): structures very clearly in place through District Extension Committee (DEC) and sub-committees coordinating with Village Development Committees. Coordinating and integrating policy and ensuring all local organizations are complying and participating. Champions and local leaders are driving and ensuring compliance and coordination through the Village Development Committees however there is inconsistency in application*</li> </ul> <p><b>Inhibitors:</b></p> <ul style="list-style-type: none"> <li>Vertical integration impacted by limited financial and human resources, access (physical), transport and mobility. Risk of setting up parallel systems (power?)*. Perceived lack of transparency in financial utilization and management of Government projects: the need for enhanced accountability in use of funds allocated for government projects</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>establishing strong partnerships with local organizations to maximize local human resources to support stronger vertical and horizontal coherence</li> <li>Traditional leadership: government mandated committees may be in place however traditional leaders offer a critical viewpoint especially in natural resources management (water and forestry) and should be engaged as champions and local leaders as a part of the framing of the competency / enabler (to support vertical and horizontal coherence at the local level)</li> </ul> <p><b>Illustrations:</b></p> <ul style="list-style-type: none"> <li>climate justice: access to information, farmers demanding accountability but also, advocacy in linking and responding to poverty reduction especially for those whose livelihoods are collapsing as a result of the changing climate</li> </ul>
<p>Defining and developing <u>pathways</u> from the present towards envisioned outcomes – governance processes and capacity to respond</p>	
<ul style="list-style-type: none"> <li>Fostering innovation and learning</li> </ul>	<p><b>Findings</b></p> <ul style="list-style-type: none"> <li>Governance structures at district and local levels, review meetings at district level (multistakeholder and multi-sector) in place for this purpose</li> </ul>

<ul style="list-style-type: none"> <li>Financing, resourcing and assets</li> </ul>	<ul style="list-style-type: none"> <li>Participatory Vulnerability Capacity Assessment: (PVCA) knowledge flow from local to district: reviewed at the district level, indicating the impact of climate change on communities and local groups in a district, to coordinate strategies, coordinate solutions, contributing to knowledge sharing and innovation through needs-based planning <ul style="list-style-type: none"> <li>PVCA offers innovation in knowledge flow contributing to multi-stakeholder planning and plans however, the biggest barrier is accessing resources to implement</li> <li>no clear mechanism to formalize learning and exchange beyond the review meetings at the district, within the technical sectors there are means to manage information and compliance with policies, for example water technicians are guided by local policies on water extraction based on national policies and local water availability conditions</li> <li>knowledge flow district to national: advocacy to include livestock as a part of the poverty reduction programme to help farmers suffering from the impacts of climate change on agricultural productivity based on the findings of climate impacts on farmer productivity (PVCA) were successful and implemented</li> </ul> </li> </ul> <p>Enablers</p> <ul style="list-style-type: none"> <li>Needs based planning (PVCA) contributing to strategy and programme planning</li> <li>Governance structures: review meetings at district level (multistakeholder and multi-sector)</li> </ul> <p>Inhibitors:</p> <ul style="list-style-type: none"> <li>Accessing resources to implement: provision of special funding to promote local adaptation appears to be inconsistent and largely the government plays the supervision role. Very dependant on outside funding, no funding results in no project implementation</li> <li>Reliance on collaboration effort with other partners is driving adaptation of effort in these districts. The challenge is that the partners depend on outside support as a part of driving this collaborating</li> <li>Lack of multi-sectoral exchange and learning or M&amp;E systems (which is identified as a specific need by participants)</li> </ul> <p>Recommendation:</p> <ul style="list-style-type: none"> <li>Review the linkages between competency / enabler 1 and 2 and how this is used as a basis of competency / enabler mapping (maybe descriptors to be enhanced)</li> </ul> <p>Illustrations:</p> <ul style="list-style-type: none"> <li>Review meetings conducted at district level - attended by both government ministries and NGO representatives operating in the district</li> <li>Government push the adaptation agenda through the existing structures such as the agriculture extension network</li> <li>Limited funding perpetuates dependence on external support thus most of the adaptation efforts are driven by development partners.</li> </ul>
<p>Synthesis and utilisation of <u>knowledge</u> – understanding knowledge systems for society and the natural environment</p>	
<ul style="list-style-type: none"> <li>Knowledge availability and accessibility</li> </ul>	<p>Findings</p> <ul style="list-style-type: none"> <li>Central entry point is the district disaster contingency plan which offers a range of scenarios and responds to both quick onset and slow onset disasters, considering medium and short range weather/climate patterns, environment and society, structured anticipatory analysis and planning</li> </ul>
<ul style="list-style-type: none"> <li>Knowledge of policymakers</li> </ul>	

- Synthesis of knowledge across disciplines and scales

- Weather forecast and what this means in terms of main systems in the district (hazards, disaster response, health, education, food security, water etc) influence the district contingency plan as does the PVCA
- Knowledge for decision making centred around the district contingency plan which generates a detailed budget for resourcing, across sectors and programmes presented to the DEC, used as basis for allocating of existing resources and to request new funding from donors
- Mechanisms stakeholders use to disseminate information to communities to support decision making?,
  - Through mobile phones on weekly weather especially during the rainy season (area specific information which is important)
  - Through radio and TV (daily weather forecast and not area specific information)
  - Through agricultural extension workers who provide seasonal forecasts to small agricultural units leaders who work with lead farmers, a voluntary farmer support means. Sometime the information comes late, or the expectation that lead farmers may have too many farmers to support
  - Limitations in resources (bicycle, time, money for mobile networks)
- The importance of locally relevant information, presented in many different ways and media throughout communities based on the different needs and contexts, importance of both long range information for farmers decision making versus short term information for example disaster risk awareness and preparation/response.

#### Enablers

- Locally relevant information, presented in many different ways and media throughout communities based on the different needs and contexts, importance of both long range information for farmers decision making versus short term information for example disaster risk awareness and preparation/response.
- Scientific messages are translated into local language, making messages more accessible to people in communities
- The district level contingency planning provides a shared framework across sectors as a basis of coordination, decision making and budgeting (PVCA evidence based and locally owned?)

#### Inhibitors

- Resourcing: both human capacity and financial aspect
- Capacity of the local social structures for community engagement, in the preparation of the plan, engaging the local communities. the processes are very human resource heavy and therefore there just is not enough capacity to deliver
- Contingency planning results in itemizing activities and budgeting but there is never enough funding through the government programmes and there is a need for additional help from outside
- Issues where emergency response for example cannot be delivered because of a lack of resources i.e. boats for emergency response result in risk of loss of lives, livelihoods and assets

#### Recommendations:

- Issues around Ownership (information, decisions, implications) has not emerged through the use of the Traction lens

#### Illustrations

- District Government starts initiating adaptive actions, such as flooding protection for housing for new build
- Knowledge of the area based on the enhanced context analysis has enabled accessing boreholes that have significantly more water to be channelled to a bore hole where there is limited water

	<ul style="list-style-type: none"> <li>Identifying the extreme weather conditions in two districts has resulted in changes to agricultural planning, shifting from dependency on rainfed agriculture to irrigated agriculture following extreme floods and droughts</li> </ul>
Facilitation of cross-sector and cross-organisational <u>collaboration</u> via stakeholder and public engagement	
<ul style="list-style-type: none"> <li>Public, stakeholder and civil society inclusion</li> </ul>	<p>Note: this enabler offers very practical illustration of what the national policies are saying</p> <p>Findings</p> <ul style="list-style-type: none"> <li>PVCA as practical entry point to engage communities and local groups</li> <li>DEC structure and contingency plans that engage all local stakeholders and both government and non government and provide coordination mechanisms</li> <li>District planning is done every 5 years, contingency plans are generated annually and are not as exhaustive as the development planning and <i>demand focus on specific risks and the implications on different sectors, and groups in the district</i></li> <li>Alignment between adaptation and poverty reduction programmes planning and engagement of communities and local groups</li> <li>Local voices through the Village Development Committees (VDC) included in District development or other sectoral planning and plans: <i>deliberate strategies to ensure that the underrepresented vulnerable groups, especially women are included in various local structures, women leading groups that are traditionally dominated by men</i></li> <li>Very strong evidence in all districts visited</li> </ul> <p>Enablers</p> <ul style="list-style-type: none"> <li>Decentralization of planning processes, various district stakeholders need to be engaged as a part of development planning which mandates the structures of DEC and local planning. <i>becoming ingrained that development has to start from the grassroots and ensuring that no one is left behind</i></li> <li>NGOs have been advocating strongly on women's leadership, empowering women that they also can be drive of change within their communities</li> <li>Deliberate approach by the district stakeholders to include women in civil protection committees to ensure women's voices are heard in many sectors of planning</li> <li>NGOs play a critical role in building local capacities (skills, knowledge and practice)</li> </ul> <p><i>Inhibitors:</i></p> <ul style="list-style-type: none"> <li>District development plan will identify challenges to be addressed but full implementation is largely dependent on funding/resourcing which is partially funded by the central government through the local district councils.</li> <li>Inadequate capacity to both develop and implement the contingency plan by the local structures that were not trained</li> </ul> <p><i>Recommendations</i></p> <ul style="list-style-type: none"> <li>Deliberate framing of competency / enabler 4 which focuses on practical local mechanisms as compared with competency/ enabler 1 which focuses on policy enabling environment to allow/enable competencies 4 to be attained, describe the links</li> <li>Describing the attributes of locally driven through decentralisation</li> <li>Government investments at local level for integrated adaptation and development planning</li> </ul> <p><i>Illustrations</i></p> <ul style="list-style-type: none"> <li>Engagement of ADCs, VDCs, CPCs, Stakeholder panels in planning and implementation</li> </ul>
<ul style="list-style-type: none"> <li>Reflexivity on collaboration</li> </ul>	
<ul style="list-style-type: none"> <li>Linking adaptation policy with development goals</li> </ul>	



	<ul style="list-style-type: none"> <li>Local adaptation effort aimed at improving smallholder agriculture production and consequently food security and poverty reduction (irrigation farming, income diversification, livestock passon, forestry based entripSES).</li> <li>involvement of NGOs in joint planning and implementation of adaptation initiatives such as PVCA, Multi hazard contingency plan, district development plan.</li> </ul>
Consideration of <u>ethics and justice</u> via normative competence	
<ul style="list-style-type: none"> <li>Inclusion of equity and justice issues in core national climate adaptation policies and statements</li> </ul>	<p>Findings</p> <ul style="list-style-type: none"> <li>Significant challenges associated with risk from political attention cycles, perpetuating dependency syndrome especially impacting water and access to decision making</li> <li>PVCA: there is a clear identification of how climate affects different people and groups in different ways, these are used as a basis of a response/action, the variations emerging as a result of the PVCA are evident in different districts and under different conditions</li> <li>National policy aligns and puts focus on the role of girls and women in being a part of tackling climate impacts</li> </ul>
<ul style="list-style-type: none"> <li>Actions to understand and address unequal exposure to climate risks depending on gender, ethnicity, race</li> </ul>	<p>Enablers</p> <ul style="list-style-type: none"> <li>Especially focused on enablers to support women to be a part of driving processes at local level through skills enhancement, confidence building, inspiration through leadership, helping (or putting in place conditions for women to fulfil their mandate), economic empowerment</li> </ul> <p>Inhibitors:</p> <ul style="list-style-type: none"> <li>Participation is dependent on the cultural norms, especially women's leadership and cultural beliefs and that women should not be leaders.</li> </ul> <p>Recommendations</p> <ul style="list-style-type: none"> <li>Enhanced mechanisms for accountability and transparency, expanding who is involved and broader base of leadership is important</li> <li>Enhanced information flow to communities so there is a reduced scope for mistrust</li> <li>Approaches need to challenge the cultural norms do not accept the cultural norms</li> <li>clear articulation of enablers to support women (and underrepresented groups) in the competency / enabler descriptor</li> </ul> <p>Illustrations</p> <ul style="list-style-type: none"> <li>Women took up key decision making positions and contributed significantly to various development initiatives in forestry management, borehole operations and management, agriculture extension service provision.</li> <li>deliberate inclusion of women representative post in CPCs to ensure issues affecting women are dealt with</li> <li>Disaster relief office engages the CPCs during disasters to establish the extent of damage and they get assisted</li> </ul>

## Annex 2: Study Photo Documentation, field study June 2021



Farmers adapting to climate change by diversifying away from maize and planting drought tolerant crops such as bananas at Chiweza, TA Mwambo, Zomba. Photo credit: Missi Kapalamula – Research Assistant



Irrigation scheme, Kathebwe village, TA Mwambo Zomba. They are promoting mixed cropping at the same time taking care of the existing trees. Photo credit: Semu Kamowa- team supervisor: Angella Laviwa– Research Assistant



Agroforestry field where nitrogen fixing trees were planted as an effort to mitigate the impact on climate change on agricultural practices in Chaweza, TA Mwambo, Zomba district. Photo credit, Angella Laviwa – Research Assistant.



Ngongondo, TA Liwonde, Machinga. Managed by Ngongondo Water point Committee. Photo credit: Semu Kamowa – Field Supervisor.

FGD with Climate Justice Committee, TA Matola, Balaka. Photo credit: Tamala Mhone – Research Assistant.



FGD with women in Leadership at Mangamba, TA Nsanama, Machinga District. Photo Credit: Baxter Chirombo.



FGD with the Climate Justice Committee at Gaga, TA Chapananga, Chikwawa. Photo Credit: Baxter Chirombo – Research Assistant.



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