



**KIT** Royal  
Tropical  
Institute

## **Scoping Study**

# **Integration of gender equality and social inclusion considerations into CLARE: the 'what' and the 'how'**

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## Executive Summary

Canada's International Development Research Centre (IDRC) and the UK's Foreign, Commonwealth and Development Office (FCDO) are working to develop the Climate Adaptation and Resilience (CLARE) research framework programme to inform effective climate action into the 2020s. The CLARE programme aims to be responsive to demands for research and evidence, strengthen capacities, and enable synthesis and learning to inform research uptake and impact. Recognizing that (a) consideration of differential climate vulnerability is essential for achieving just and effective action and outcomes, and (b) that considerations of gender and social inequalities are not always systematically or effectively included in research programs and project design (which undermines research outcomes), IDRC and FCDO have commissioned a scoping study on Gender Equality and Social Inclusion in Climate Change and Resilience Research. The overall objective of the study is to identify the opportunities for CLARE and inform its design to advance gender equality, social inclusion, women's empowerment and transformational change through action-oriented climate adaptation research.

This scoping report aims to answer two questions:

1. What is the state-of-the-art in research at the intersection of gender equality, social inclusion (GESI) and climate change adaptation?
2. What are lessons learned, best practices and gaps/areas to address for effective and practical integration of GESI considerations within CLARE, in particular in program and research design?

### *I The Research Landscape: GESI and Climate Change Adaptation Research*

The first part of this GESI scoping study offers a scoping *review of state-of-the-art literature at the intersections of GESI and climate change adaptation research*. This review presents:

1. recent **advances** in knowledge on GESI related climate change vulnerabilities and adaptive capacities;
2. insights from research exploring the integration of GESI into global and national climate change adaptation **policies**;
3. a discussion on **critical gaps** in the existing knowledge base on GESI and climate change adaptation, and;
4. a typology of **GESI outcomes** that climate research can aim to contribute towards.

### *Advances in knowledge on GESI related climate change impacts and adaptation*

Scholarship exploring the complex and dynamic links between gender norms and relations, intersectional livelihood struggles, and climate change vulnerabilities and adaptation is fast emerging. Contributions and advances from the social sciences demonstrate the inherently political and contested nature of adaptation policies and interventions, and underscore that underlying social, cultural and political contexts influence people's vulnerabilities to climate change and adaptive capacities. Our review looks at recent advances in relevant knowledge from **five key sectors and thematic areas**: (1) agriculture and natural resource management, (2) urban development, (3) infrastructure, (4) migration and security, and (5) health and disability. The advances are presented here for vulnerabilities and adaptive capacities, across these five sectors, with a few thematic illustrative examples.

**Vulnerability** is a product of complex climate-society interactions across scale and cannot be reduced to questions of individual qualities. Rather, people's vulnerabilities to the impacts of climate change are highly contextual; these are shaped by the extent to which they can realize their basic human rights and by health of the ecological systems they depend on for their livelihoods and wellbeing. Alarmingly, the literature stresses that people who face the highest risk of biophysical changes and of experiencing the most severe impacts of climate change are those who already suffer from multi-dimensional inequalities in their lives.

As with vulnerabilities, **adaptive capacities** of different groups of people are produced, reinforced and sustained by political, institutional, economic and social structures and changes. This means that people's adaptive capacities do not only stem from the different ways in which they are exposed to changes in biophysical conditions. Rather, adaptive capacities are produced by complex climate-society interactions, including the ways in which poverty, racism and gender inequality, for example, interact with the effects of climate change in different contexts.

### *The policy context of GESI and climate change*

Until recently, global and national policies and strategies designed to address and shape climate change adaptation have largely failed to address and engage with issues related to gender equality and social inclusion. However, over the past five years **policies**, that previously focused on the more technical and biophysical aspects of climate change adaptation, have increasingly integrated GESI considerations, in various forms.

For example, commitments to tackling gender inequalities in climate change adaptation are growing at the level of **global climate governance**. Numerous funding bodies, conventions and **climate finance** mechanisms - including the Green Climate Fund, the Intergovernmental Panel on Climate Change, the Global Environment Facility, and the United Nations Framework Convention on Climate Change - have recently integrated GESI considerations into their climate change adaptation policies as well as their organizational structures. GESI considerations are also gaining momentum at **national** levels and in national climate change adaptation policies. Still, literature exploring and evaluating GESI considerations in national climate change adaptation policies remains scarce.

### *Critical gaps*

While knowledge on the GESI and climate change adaptation nexus is expanding, the scoping review identifies critical gaps in the three spheres of climate change adaptation research: in knowledge production, in framing, and in considering who gains and who loses (Figure 1, next page).

**Knowledge production:** A first critical gap concerns 'whose knowledge' 'whose voices', and 'which sciences' are represented and recognized in the production of knowledge of what constitutes 'appropriate' adaptation measures, and what shapes different groups of people's vulnerabilities and adaptive capacities. Too often, the voices of marginalized groups – e.g. women, non-binary people, people with disabilities, and people of different races - are not **represented** in climate change adaptation research.

The question of whose voices are **represented** in climate change research also relate to who the researchers are. In April 2021, Reuters launched ‘The Hot List’ of 1000 climate change scholars, ranked by how their work influences other scientists and the public, activists and political leaders. Only 122 of the people on the list are women, and only 111 on the list are based in institutions in countries of the Global South.

**Framing:** The ways in which GESI is framed in adaptation research inform the questions that are asked, what kinds of knowledge is produced and what types of interventions are promoted. Poorly framed climate change adaptation research risks conflating and misrepresenting vulnerabilities and adaptive capacities of different groups of people. It also undermines the relevance and efficacy of proposed solutions to reduce vulnerabilities and strengthen adaptive capacities.

Recent studies, for example, demonstrate that adaptation research and policies **treating gender as synonymous with ‘women’** (re)produce simplistic and stereotypical narratives that dichotomize ‘men’ versus ‘women’. As a result, misconceptions about gendered vulnerability and adaptive capacities are reinforced and the variety of vulnerabilities and adaptive capacities, needs and preferences of different groups of people is rendered invisible. Feminist scholars argue for more and better intersectional analyses of different groups of people’s adaptive capacities and climate change vulnerabilities.

Similarly, there is a budding literature challenging the ‘framing’ of **women as especially vulnerable** to climate change and ‘portraits’ of women as **more environmentally conscious** in their adaptation efforts than men. This narrow framing of women risks misconstruing different groups of women and men’s everyday lived experiences, livelihood struggles and adaptive needs/preferences.

**Who gains and who loses?** A third critical gap in climate change adaptation literature is the lack of consideration of the **risks and consequences of adaptation** in people’s everyday lives. Several studies reviewed stress the importance of exploring how and why adaptation interventions might reproduce and reinforce social inequalities ‘on the ground’. The concept of **‘maladaptation’** is increasingly used by scholars to point to the negative effects of introducing climate change adaptation initiatives without an understanding of how these initiatives are shaped by, and entangled in, context-specific gender and social dynamics.

Feminist scholars thus call for moving beyond ‘sensitive’ or ‘accommodative’ climate change adaptation research towards gender- and social transformative research. The latter explicitly seeks to engage with, challenge and transform underlying social, political, and economic structures that compromise local livelihoods and add to the climate vulnerabilities of those already burdened by intersecting inequalities.

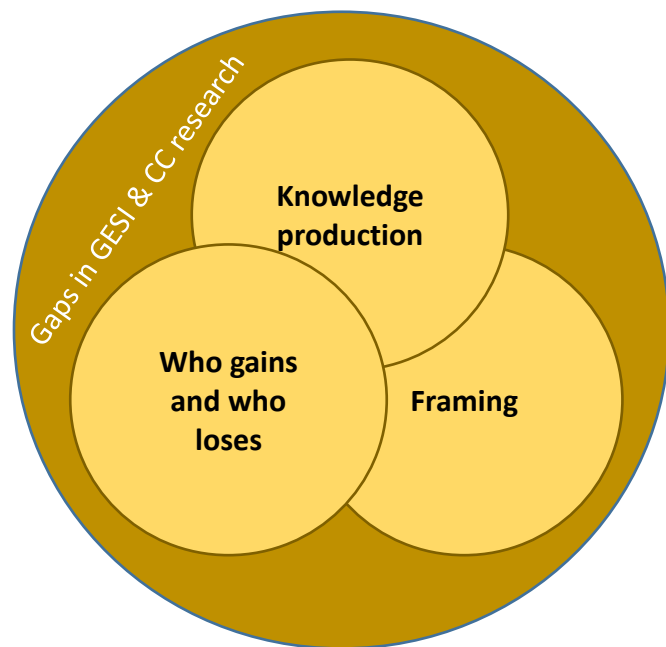


Figure 1: Critical gaps in climate change adaptation research on the intersections with GESI

### Framework of GESI outcomes and impacts

The increased acknowledgement of the importance of GESI integration into climate change research asks for a clear understanding of **what GESI outcomes and impacts are and entail**. This is key, as evidence is growing that opportunities to improve GESI development outcomes through climate change adaptation research and interventions are being missed. We articulate a framework of GESI outcomes and impacts in the context of climate change adaptation that unpacks the different levels of GESI outcomes and impacts that people can experience as **positive contributions to their well-being and empowerment** (Figure 2). This framework illustrates the relationships of GESI outcomes and impacts with different **intensities of change**, from incremental to transformational. The framework illustrates how climate change adaptation research, and CLARE specifically, can be more deliberate in directing climate change research to be GESI outcome and impact focused. The framework invites reflection on the intensity and depth of change that CLARE can and should aspire to contribute towards.

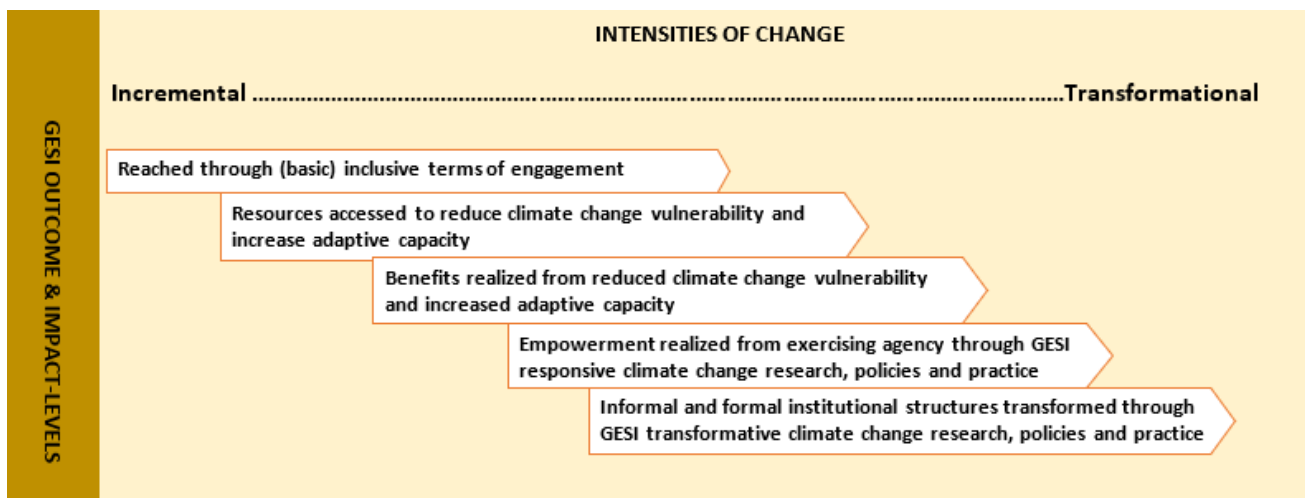


Figure 2: Framework of GESI outcomes and impacts

## II Entry points for GESI integration into CLARE

The second part of the scoping report focuses on *how to effectively and practically address the integration of GESI considerations within CLARE, in particular in program and research design*. This part identifies and articulates entry points for GESI integration into CLARE.

### A GESI strategy for CLARE

The current Theory of Change of CLARE articulates clear **positions and ambitions** with respect to the promotion of gender equality and social inclusion. These are: (1) to *purposively promote* gender equality and social inclusion, (2) with a specific concern for and focus on *the most vulnerable*, (3) in ways that *reduce barriers* for vulnerable populations, and (4) in ways that *recognize and include* most vulnerable communities and under-represented and marginalized groups as key stakeholders. These ambitions offer a solid starting point for GESI integration into the programme, while acknowledging the need to strengthen the TOC by more consistently and coherently integrating GESI aspects.



As a research funding programme, three **guiding principles** can serve as a basis for GESI integration into CLARE: (a) go beyond a gender only focus, (b) commit to transformative research, and (c) integrate GESI throughout the research programme and cycle.

We strongly recommend to formulate a **programme level GESI strategy** for CLARE, that articulates a strategic approach to the integration of gender equality and social inclusion and is designed in a consistent and coherent way. Key elements of that programme level GESI strategy are:

- a) the GESI commitments of CLARE's funding partners,
- b) the programme's GESI objectives and outcomes,
- c) GESI integration approaches and
- d) selected entry points for GESI integration.

A programme level GESI strategy will need to define GESI **objectives** and prioritize expected GESI **outcomes**. On the basis of the current TOC of the programme, as well as leading GESI integration commitments and strategies of both funding partners, we provide an initial articulation of GESI outcomes of CLARE (Table 1, section 3.1.3), in relation to its four output areas (1. Knowledge, 2. Capacity, 3. Actors, and 4. Decision Support). It is recommended to CLARE to further reflect on these provisionally formulated GESI outcomes, with the aim of *selecting* CLARE's strategic GESI *priorities*. In this scoping report, we give specific consideration to three GESI priorities:

- i. supporting and promoting *gender transformative research*,
- ii. capacity strengthening on *how to do GESI integrated research*, and
- iii. supporting women and marginalized populations to drive the research agenda, through *inclusive actor coalitions* as well as uptake strategies that aim *inclusive and evidence-based decision-making* that increases resilience of the most vulnerable and promotes GESI.

Next, two approaches are recommended as foundational to CLARE's GESI integration strategy:

1. A **dual** approach, that encompasses both GESI-specific and GESI-integrated research and areas of intervention. This dual approach can be applied to the programme itself as well as the level of the Calls launched within CLARE, and the projects funded under these Calls.

More concretely, it is recommended to:

- Formulate and set *targets* for programming *along the GESI continuum*.
- Request and support *GESI plans* for proposals and projects funded through CLARE.

2. A **staged process** approach, that outlines the programme's ambition, where it wants to go and end, and identifies the first steps to take for going in that direction. A staged approach takes advantage of the longer time frame CLARE operates in, and allows for building up, deepening and expanding GESI integration over time.

It is recommended to direct attention to concrete guiding questions such as: *Where do we start*, what can we do right from the beginning? What *opportunities* do we see? What can we *expand and deepen over time*? How do we *learn and reflect* over time? And *what steps or mechanisms* can we put in place to reflect on opportunities and challenges along the way?

The **entry points for GESI integration** are operationalized along (1) the research funding cycle and (2) a set of program-wide functions. Each step in the research funding cycle as well as each program function

offers concrete and relevant entry points for GESI integration into CLARE. For this scoping study, we selected five entry points, that are marked with red stars in Figure 3.<sup>1</sup> These entry points are:

1. Call for proposals
2. Proposal selection
3. Capacity strengthening
4. Synthesis and learning on knowledge gaps
5. Monitoring, evaluation and learning (MEL)

The recommendations related to these five entry points are presented in the following tables.



Figure 3: Entry points for GESI integration

### Call for proposals

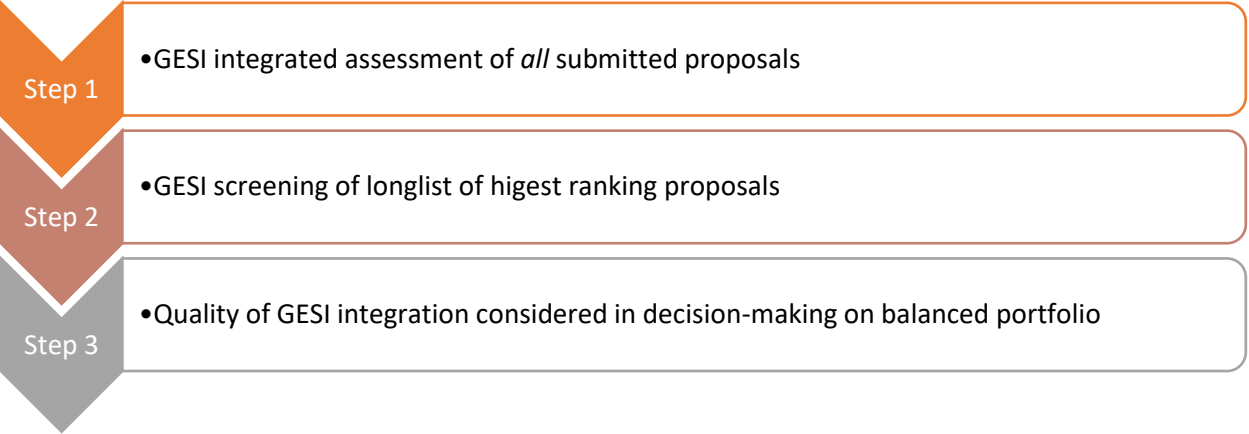
Design of a call for proposals	<ul style="list-style-type: none"> <li>• <b>Decide on a clear focus</b> of the Call, grounded in an understanding of GESI/CC intersections (based on a detailed and focused GESI <i>scoping study</i>).</li> <li>• Ensure <b>GESI expertise and representation</b> in the design (i.e. through <i>stakeholder consultations</i> with (a) women and marginalized groups as stakeholders, and (b) GESI specialists in CC research)</li> <li>• <b>Provide conceptual clarity</b> on what gender equality and social inclusion mean for CLARE and the specific Call.</li> <li>• <b>Set indicative targets</b> along the GESI continuum</li> <li>• <b>Formulate what is expected</b> of proposals/projects in improving and enhancing GESI integration.</li> </ul>
Publication of a Call for proposals	<ul style="list-style-type: none"> <li>• Accompany the Call with <b>clarity on how and why</b> GESI matters and is integrated into the Call</li> <li>• Provide <b>incentives</b> (through GESI targets and the selection criteria)</li> <li>• Provide <b>guidance documents</b> to potential applicants (that give conceptual clarity and are clear on expected GESI outcomes)</li> <li>• Include <b>requirements</b> for GESI integration into the proposal:               <ol style="list-style-type: none"> <li>1) Submit a <u>GESI Statement</u></li> <li>2) Integrate <u>GESI analysis</u></li> <li>3) Submit a <u>GESI plan</u></li> </ol> </li> </ul>

<sup>1</sup> Considering the scope of this scoping study, not all relevant entry points for GESI integration can be discussed in sufficient detail in this report. In developing a GESI Strategy for CLARE, it is highly recommended to further explore GESI integration into *research uptake and use*, acknowledging that this is a distinctive feature of CLARE.

	<ul style="list-style-type: none"> <li>• Provide a <b>proposal template and budgeting guidelines</b> into which GESI integration expectations and requirements are reflected</li> <li>• Make guidance materials and <b>support</b> for GESI integration <b>accessible</b> through: an online GESI Hub, a GESI webinar, a GESI-inbox, and potentially seed grants.</li> </ul>
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*Proposal selection*

<b>Assessment Committee</b>	<ul style="list-style-type: none"> <li>• Ensure proper <b>balance in the Assessment Committee</b>: <ul style="list-style-type: none"> <li>- Both women and men, and of marginalized groups</li> <li>- Include at least one GESI specialist (with expertise in climate change research as well as GESI integration strategies)</li> <li>- Inclusive to GESI interests (stakeholders)</li> </ul> </li> <li>• <b>Orientation</b> of Committee members on GESI aspects and priorities in the Call.</li> <li>• Consider a <b>division of tasks</b> among Committee members: <ul style="list-style-type: none"> <li>- All members review GESI integration across proposal criteria</li> <li>- GESI specialist member(s) review GESI Statement, GESI analysis and GESI plan.</li> </ul> </li> </ul>
<b>Selection process</b>	<ul style="list-style-type: none"> <li>• Comprehensively and coherently integrate GESI integration expectations and criteria into <b>eligibility screening</b> and <b>evaluation grids</b>.</li> <li>• GESI integration into <b>proposal assessment and selection process</b>, in three steps (See Figure 4).</li> </ul>



*Figure 4: Process for GESI integrated assessment and selection of proposals*

### Capacities for GESI integrated research for action

<p>Research team composition</p>	<ul style="list-style-type: none"> <li>Consider two aspects with respect to research team composition: <ol style="list-style-type: none"> <li><b>1. Gender and diversity</b> balance</li> <li><b>2. GESI expertise</b></li> </ol> </li> <li>Recognize and engage with how the influence of women researchers and researchers of marginalized backgrounds, as well as GESI specialists, is affected by <b>power dynamics and hierarchies</b> in research fields and institutions.</li> </ul>
<p>Capacity strengthening for GESI integration</p>	<ul style="list-style-type: none"> <li>Unpack and differentiate <b>whose</b> capacities need strengthening on <b>what</b>. These should be related to the GESI outcomes of CLARE.</li> <li>Avoid conflation of roles (e.g. of women researchers and GESI specialists; or of GESI focal points and GESI researchers).</li> <li>Conduct a <b>GESI capacity assessment</b> in the programme's and projects' inception phase.</li> <li>Develop a tailored and standardized GESI capacity assessment <b>tool</b> for this.</li> </ul>
<p>Unpacking for different target groups</p>	<ul style="list-style-type: none"> <li>Provide differentiated capacity strengthening activities for 3 different target groups: <ol style="list-style-type: none"> <li>Capacities of <i>climate change researchers</i>, to <b>integrate GESI</b> into climate change <b>research</b></li> <li><b>Leadership</b> strengthening for <i>women researchers, researchers of marginalized backgrounds, and GESI specialists</i></li> <li><b>GESI integration strategies</b> (in projects, programmes and organisations) for <i>project managers, research leaders, and GESI integration officers and focal points</i>.</li> </ol> </li> <li>Complement capacity strengthening activities that focus on individuals with strategies that address the <b>institutional settings</b> in research institutions and fields.</li> <li>Ensure <b>inclusive approaches</b> to research and leadership strengthening in the programme.</li> </ul>

### Synthesis and learning on knowledge gaps

<p>Collaborative research and learning agenda</p>	<ul style="list-style-type: none"> <li>Design a collaborative <b>research and learning agenda</b> on <b>the intersections</b> between GESI and climate change and action</li> <li>Be intentional in that learning agenda.</li> <li><b>Embed</b> this research and learning agenda in the knowledge exchange processes of the KM Strategy (<i>annual learning events, 6-monthly webinars</i>).</li> <li>Formulate <b>high-level learning questions on the intersections</b> between GESI and climate change and action</li> <li><b>Differentiate</b> this Research and learning agenda, from the GESI integration learning agenda (under MEL).</li> </ul>
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GESI Working Group	<ul style="list-style-type: none"> <li>• <b>Establish</b> a GESI Working Group</li> <li>• This WG:             <ol style="list-style-type: none"> <li>1. <b>Facilitates collaboration</b> across projects, on both GESI-responsive and GESI-transformative research.</li> <li>2. Key stakeholder in CLARE to (co-)develop the <b>Research and learning agenda</b> on the intersections between GESI and climate change.</li> <li>3. Key stakeholder in CLARE to (co-)develop the learning agenda on <b>GESI integration strategies</b> (MEL)</li> </ol> </li> </ul>
Incentives for cross-project collaboration, learning and synthesis	<ul style="list-style-type: none"> <li>• Put in place <b>dedicated and targeted incentives</b> for joint learning and knowledge synthesis on the intersections of GESI and climate change (action).</li> <li>• These include:             <ul style="list-style-type: none"> <li>• <i>Tagged resources</i> in a responsive fund</li> <li>• Opportunities for <i>presenting and publishing</i> GESI-responsive and GESI-transformative research (incl. conferences)</li> <li>• <i>Joint publications</i> and knowledge <i>dissemination</i> initiatives.</li> <li>• <i>Awards</i> and other recognition mechanisms.</li> <li>• <i>Travel grants</i> for PhD students or postdocs for GESI specialists and climate change researchers with interest in GESI integration.</li> </ul> </li> </ul>
Knowledge infrastructure	<ul style="list-style-type: none"> <li>• Put in place a <b>digital online library</b></li> <li>• Emerging findings and evidence on the intersections between GESI and climate research and action.</li> <li>• <b>Embed</b> this in the CLARE KM Strategy</li> <li>• Build on and expand the <b>online GESI Hub</b> (set up in the Call for Proposal phase).</li> </ul>

*Monitoring, Evaluation and Learning*

Monitoring Framework	<ul style="list-style-type: none"> <li>• <b>Integrate</b> GESI explicitly and intentionally into the CLARE <b>Monitoring Framework</b> (in inception phase).</li> <li>• Invite <b>grantees and projects to co-develop</b> the integration of GESI into the Monitoring Framework</li> <li>• Use this opportunity also to strengthen <b>capacities</b> on GESI integration</li> <li>• Use <b>programme-wide</b> GESI indicators</li> <li>• Use meaningful GESI <b>indicators</b></li> <li>• Ensure that commissioned MEL advisors have GESI <b>expertise</b></li> </ul>
Reflexive learning agenda on GESI integration	<ul style="list-style-type: none"> <li>• Formulate and facilitate a <b>reflexive learning agenda on GESI integration</b></li> <li>• <b>Differentiate</b> this GESI integration learning agenda from the Research and Learning agenda (Synthesis)</li> <li>• <b>At project-level:</b> formulate a learning agenda around their <i>GESI improvement areas and processes</i>.</li> </ul>

	<ul style="list-style-type: none"> <li>• Building on: the GESI plan, the GESI screening, the GESI analysis, GESI capacity assessment, and the GESI integrated Monitoring Framework.</li> <li>• <b>At programme level:</b> <i>synthesize</i> project-level agendas into a an <i>overarching</i> GESI integration learning agenda.</li> <li>• Use an action learning approach to this reflexive learning agenda</li> <li>• Dedicate resources to enable adaptive programming based on this learning agenda.</li> </ul>
Reporting (grantees to IDRC)	<ul style="list-style-type: none"> <li>• Include a <b>key set of quantitative GESI indicators and progress markers</b> (across CLARE’s output areas) in the online monitoring portal.</li> <li>• Include <b>practical materials</b> on GESI in M&amp;E on the Intranet (online monitoring portal)</li> <li>• Include GESI integration requirements into the <b>guidelines for reporting.</b> (consistency; alignment; sex-disaggregated and GESI data)</li> <li>• Leverage the technical reporting of grantees to IDRC as an opportunity for <b>dialogue, learning and adaptive planning</b> on GESI integration.</li> <li>• Link discussion on the technical reports to the <b>GESI improvement plans and learning agenda.</b></li> <li>• Develop <b>guidelines for POs</b> for these conversations.</li> </ul>
Evaluations	<ul style="list-style-type: none"> <li>• Conduct a <b>formative mid-term evaluation</b> focused on GESI integration in CLARE.</li> <li>• Determine its focus in close <b>consultation</b> with: <ul style="list-style-type: none"> <li>• the GESI Working Group,</li> <li>• representatives from researchers in CLARE projects, and</li> <li>• broader stakeholders (actor/coalitions) that represent the voices and perspectives of under-represented marginalized groups and women.</li> </ul> </li> <li>• <b>Integrate GESI into other</b> mid-term and summative end-phase evaluations in CLARE.</li> <li>• Ensure that commissioned evaluation teams have solid GESI <b>expertise.</b></li> </ul>

This scoping report identifies a range of opportunities for CLARE to advance gender equality, social inclusion and transformational change in its role as research funder for action-oriented climate change adaptation research. These build on experiences and lessons learned on the integration of gender equality, social inclusion and transformational change in the predecessor programmes and beyond. The ambitions on gender equality and social inclusion in CLARE’s Theory of Change provide an important reference for how CLARE can respond to and engage with critical gaps in research on the intersections between climate change, gender equality and social inclusion. Combined with an outcome and impact orientation, and a willingness to reflect and learn, the GESI ambitions set the stage for CLARE - and its funding partners - to be a leader in GESI integration in action-oriented climate change adaptation research.

# Chapter 1 – Framing this Scoping Study

## 1.1 Introduction

Canada's International Development Research Centre (IDRC) and the UK's Foreign, Commonwealth and Development Office (FCDO) are working to develop the Climate Adaptation and Resilience (CLARE) research framework programme to inform effective climate action into the 2020s. The CLARE programme aims to be responsive to demands for research and evidence, strengthen capacities, and enable synthesis and learning to inform research uptake and impact. Recognizing that (a) consideration of differential climate vulnerability is essential for achieving just and effective action and outcomes, and (b) that considerations of gender and social inequalities are not always systematically or effectively included in research programs and project design (which undermines research outcomes), IDRC and FCDO commissioned a scoping study on Gender Equality and Social Inclusion in Climate Change and Resilience Research. The overall **objective** of the study is to identify the opportunities for CLARE and inform its design to advance gender equality, social inclusion, women's empowerment and transformational change through action-oriented climate adaptation research.

This scoping report aims to answer **two questions**:

1. *What is the state-of-the-art in research at the intersections of gender equality, social inclusion (GESI) and climate change adaptation?*
2. *What are lessons learned, best practices and gaps/areas to address for effective and practical integration of GESI considerations within CLARE, in particular in program and research design?*

Over the last decade, the knowledge base on gender equality and social inclusion (GESI) and climate change has grown significantly, highlighting a growing interest in the intersections of social and technical concerns in climate change research and programming.<sup>2</sup> Numerous reviews of gender and climate change have been undertaken, anthologies have introduced research on how climate adaptation practices are gendered, and white papers have presented a gender lens on specific climate change-related themes (i.e. food security, resilience in drylands systems, and climate-friendly microfinance).<sup>3</sup> More recently, feminist critiques of climate change research and practice have provided new insights into how gender is understood and prioritized in relation to technical adaptation and mitigation solutions.<sup>4</sup> Also, an emerging knowledge base on intersectional approaches to climate change presents an opportunity to improve the overall quality of research design and programming.<sup>5</sup>

Yet, challenges remain to the systematic integration of GESI concerns in the design of climate change research (funding) programs. Barriers to the integration of gender equality and social inclusion in climate change research are not exclusively due to a weak knowledge-base, but also of a different nature. GESI integrated research<sup>6</sup> is facilitated or constrained by factors such as organizational structures, systems, epistemologies, capacities and resource allocations. In the design of CLARE, IDRC and FCDO deliberately aim to emphasize GESI integration; to do so successfully offers an invitation to

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<sup>2</sup> GCCA (2015); Seller (2016); FAO and CARE (2019); Rao et al. (2019).

<sup>3</sup> Seller (2016).

<sup>4</sup> Jerneck (2018).

<sup>5</sup> Djoudi et al. (2016); Chaplin et al. (2019).

<sup>6</sup> For clarification on GESI integrated research, see section 3.1.3, sub-section 'Dual approach'.

make explicit assumptions of how change happens and what CLARE's GESI integration approach is supposed to do. This scoping study report builds on this growing knowledge base on the intersections between GESI and climate change adaptation research, and the deepening insights on gender and GESI integration strategies.

The report is organized in three chapters:

- This chapter 1 continues with presenting the **conceptual foundation and analytical framework** that offers the basis for how the two central questions of this scoping study are addressed in chapter 2 and 3 respectively. It provides conceptual clarity on what we mean with gender, social inclusion and intersectionality, and clarifies our perspective on the how people's vulnerabilities and adaptive capacities are mediated by complex society-environment relations.
- Chapter 2 focuses on the **research landscape and the state-of-the-art in research** on the intersections between gender equality, social inclusion and climate change adaptation. It first looks at recent *advances* in knowledge on GESI related climate change vulnerabilities and adaptive capacities (section 2.1), and then at research exploring the integration of GESI into global and national climate change adaptation *policies* (2.2). From there, it discusses *critical gaps* in the existing knowledge base on GESI and climate change adaptation (2.3), and concludes with presenting a *framework of GESI outcomes* (2.4).
- Chapter 3 focuses on **how to effectively and practically integrate GESI into CLARE's** program and research design. It starts with the need for and key elements of a *programme level GESI strategy*. Five *entry points* for GESI integration form the basis of the remainder of that chapter. Sections 2 to 6 of this chapter engage with recommendations for these entry points: the *call for proposals* phase (3.2), the *proposal selection* (3.3), *capacity strengthening* (3.4), *Synthesis and learning on knowledge gaps* (3.5), and *monitoring, evaluation and learning* (3.6).

**Methodology:** To take advantage of and build on comprehensive work previously done, the literature review in *chapter 2* is based on a purposive selection of 10 existing reviews and 10 innovative publications. These have been complemented with insights from predecessor programmes of CLARE. The recommendations for GESI integration in *chapter 3* draw from key documentation on CLARE; these include previous scoping studies as well as draft programme strategies. Added to that, it considers documentation from predecessor programmes, and existing policies and frameworks (for instance IDRC's Gender Equality and Inclusion Programming Framework). These different sources of documentation have been complemented with insights from a virtual workshop with thought leaders and organisations at the forefront of GESI integration (May 19, 2021), and a small number of key informant interviews. (Annex 1 presents a more detailed overview of the Methodology). In chapters 2 and 3, the reader will find numerous boxes with illustrative examples of the literature and documentation reviewed. (Note: Literature references are provided in footnotes, rather than in-text, to enhance readability; the list of references is organized alphabetically by author).

## 1.2 Conceptual Foundation and analytical framework

CLARE aims to inform climate action that advances gender equality and social inclusion, women's empowerment, and transformational change. This is not just an ambitious aim but also open for different interpretations depending on how key concepts are understood. In this section we make explicit the conceptual understandings that underpin the GESI scoping study, in particular



what these imply for transformative adaptation research and action. The conceptual foundation deliberately situates this scoping study in an analytical frame which

- understands gender as relational;
- frames people's adaptive capacities and vulnerabilities as outcomes of complex society-environmental relations, and;
- defines transformative adaptation research as research that explicitly addresses and contests underlying social, political, and economic structures that produce and sustain marginalization and inequality in the context of adaptation.

### 1.2.1 *From gender roles to gender relations*

The difference between the social (gender) and the biological (sex) is increasingly acknowledged in climate change adaptation (CCA) research and practice. Yet, the literature on CCA is characterized by different understandings and applications of gender; including differences in definitions of gender and differences in how the concept is operationalized in and through research practice. For example, in much of the research on climate-smart agriculture (CSA) there is a tendency to separate the *roles* that women and men inhabit in production processes from the *relations* in which they are embedded. Gender is then understood as socially differentiated roles, i.e. the different behaviors, tasks, and responsibilities that are considered appropriate for women and men in a given society. Implicit in this understanding, is the assumption that gender roles can be changed into more rational, productive or adaptive practices with the introduction of new practices, technologies or skills. Additionally, women and men tend to be seen as equally free to choose whether they will adopt innovations or not.

A gender role lens often comes with a focus on closing **gender gaps** between stereotypical 'women' and 'men'. Yet, these gender gaps are symptoms of underlying root causes of gender disparity. A sole focus on gender roles and gender gaps risks rendering invisible the root causes of gender inequality in different places and sectors. The gender role lens then leads to a misreading of how the introduction of climate change adaptation policies and interventions both shapes, and is shaped by, contextual gender dynamics. It leaves the question of why there are gender differences in the impacts of, and responses to, climate change (as well as gender differentiated outcomes of climate change adaptation research, policy and practice) unanswered.<sup>7</sup>

In this scoping report, we draw on a perspective that views *gender as relational*. This acknowledges that women and men's roles and different social positions come about in the context of institutional structures, i.e., rules, norms and practices about who should do what, how and with what resources, and how power is distributed between men and women and their relative worth in society. The framing of gender as relational draws particular attention to how and why social norms, formal laws, regulations and institutions produce and sustain unequal social relations that drive inequality, social difference and exclusion. Institutional structures can be found in the arenas of the household, community, research organizations, and the state (including national and local government bodies).

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<sup>7</sup> Doss (2001); Danielsen and Wong (2014); KIT Gender (2016); Kristjanson et al. (2017)

### 1.2.2 Complex society-environment relations and intersectional livelihood struggles

Different groups of people are situated within the *same* biophysical changes and ecological conditions. However, their climate change vulnerabilities and adaptive capacities are *mediated* by social relations of power (including gender relations) and the institutional structures<sup>8</sup> producing and sustaining these relations.<sup>9</sup> Figure 5 captures these complex society/ecology/climate interactions. People's adaptive capacities not only stem from the ways in which they are exposed to changes in biophysical conditions. Rather, they are produced by complex **climate-society interactions**, including the ways in which poverty, racism and gender inequality, for example, interacts with effects of climate change in different contexts. The outer circle depicts *institutional structures*, and the second layer portrays the *arenas* in which institutional structures can be found, including climate change institutions. The third circle depicts *social inclusion* as a process with two interrelated dimensions: 1) improving the *terms* on which individuals and groups take part in social, political and economic development processes, and 2) enhancing the *agency* of those who are excluded on the basis of social positions. "Rather than conceptualizing adaptation as a policy process independent from broader patterns of social change, therefore, we conceptualize adaptation as part and parcel of these processes of change. This means that adaptation needs to be tied to the everyday livelihood activities and ambitions of individuals and groups in society".<sup>10</sup>

Research into social inclusion concerns understanding why some people are more at risk to changes in climate, and how their social positions influence their vulnerability and capacity to respond to climate signals in particular contexts. We use the concept of **intersectionality** to emphasize that inequalities experienced in relation to climate change and adaptation are seldom the result of a single social category. Rather, these inequalities are the outcome of the intersections of multiple social positions (e.g., gender, race, ethnicity, class, sexuality, age, disability etc.) (see Figure 6).<sup>11</sup> An intersectional perspective contrasts the static, binary and simplistic understandings of gender in which women and men are understood as indivisible homogeneous social categories. Power is a defining feature of intersectional analysis that explores how individuals and groups relate differently to changed circumstances - such as climate risk - given how they are situated in context-specific institutional structures. Furthermore, instead of viewing individuals or groups as either privileged and oppressed, such analysis emphasizes how people can experience both social exclusion and empowerment at the same time. Further, with an intersectionality-informed outlook, we can draw attention to whose knowledge and which voices are privileged in climate change research and research processes.<sup>12</sup>

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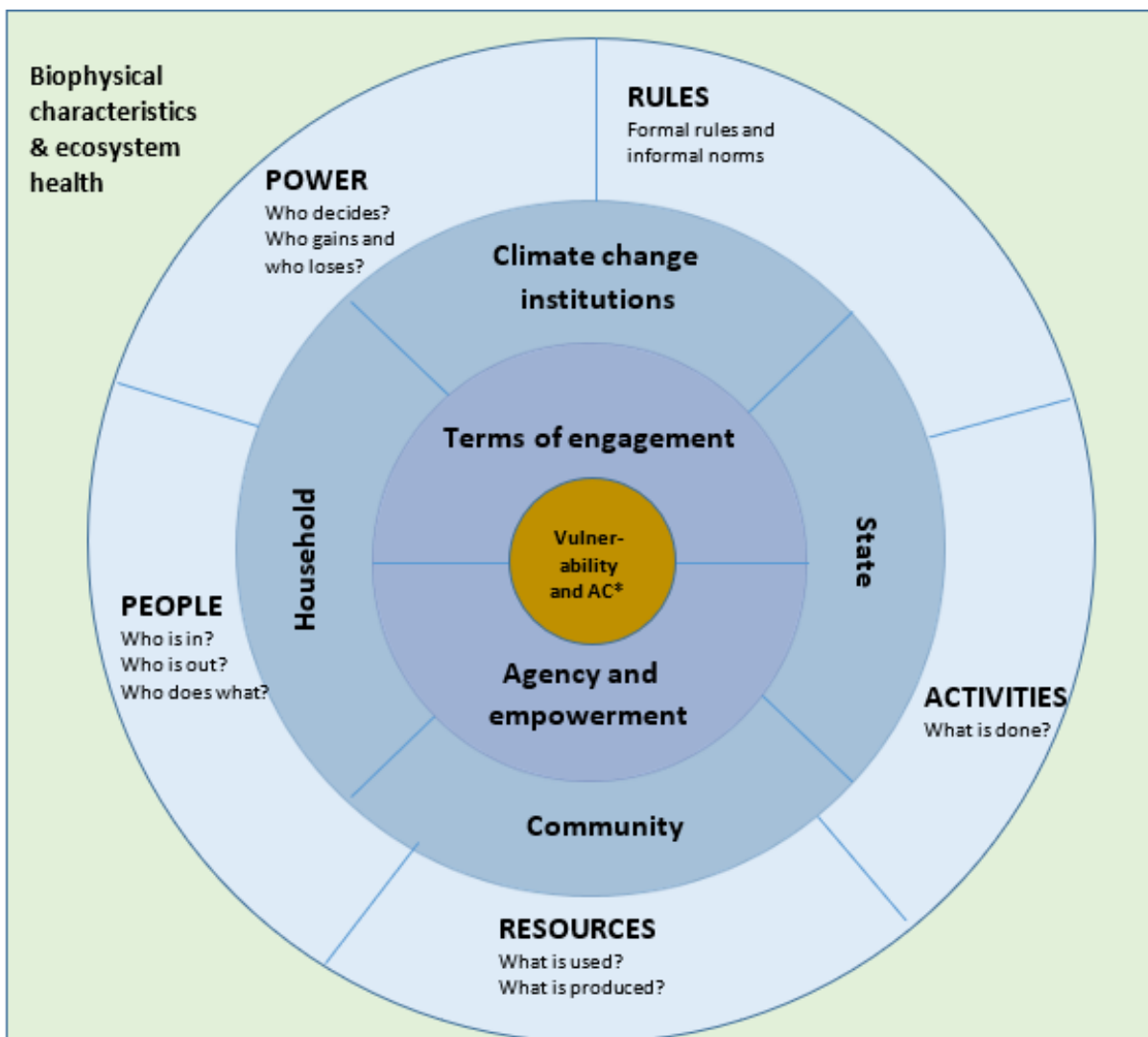
<sup>8</sup> We also understand that unequal social and gender relations, norms and practices are (re)produced and reinforced through climate change infrastructures and institutions, including their legal regulatory frameworks, policies and programs.

<sup>9</sup> Kabeer and Subramanian (1996); Bryan et al. (2017); van Eerdewijk et al. (2017); Deering (2019).

<sup>10</sup> Eriksen et al. (2015, pp. 525-526).

<sup>11</sup> In figure 6, the blue circle has been 'lifted out' of Figure 5. This figure illustrates how the intersections of social positions influences and is influenced by climate change vulnerability and adaptive capacity in the context of complex biophysical and societal interactions.

<sup>12</sup> Djoudi et al. (2016); Colfer et al. (2018); Chaplin et al. (2019).



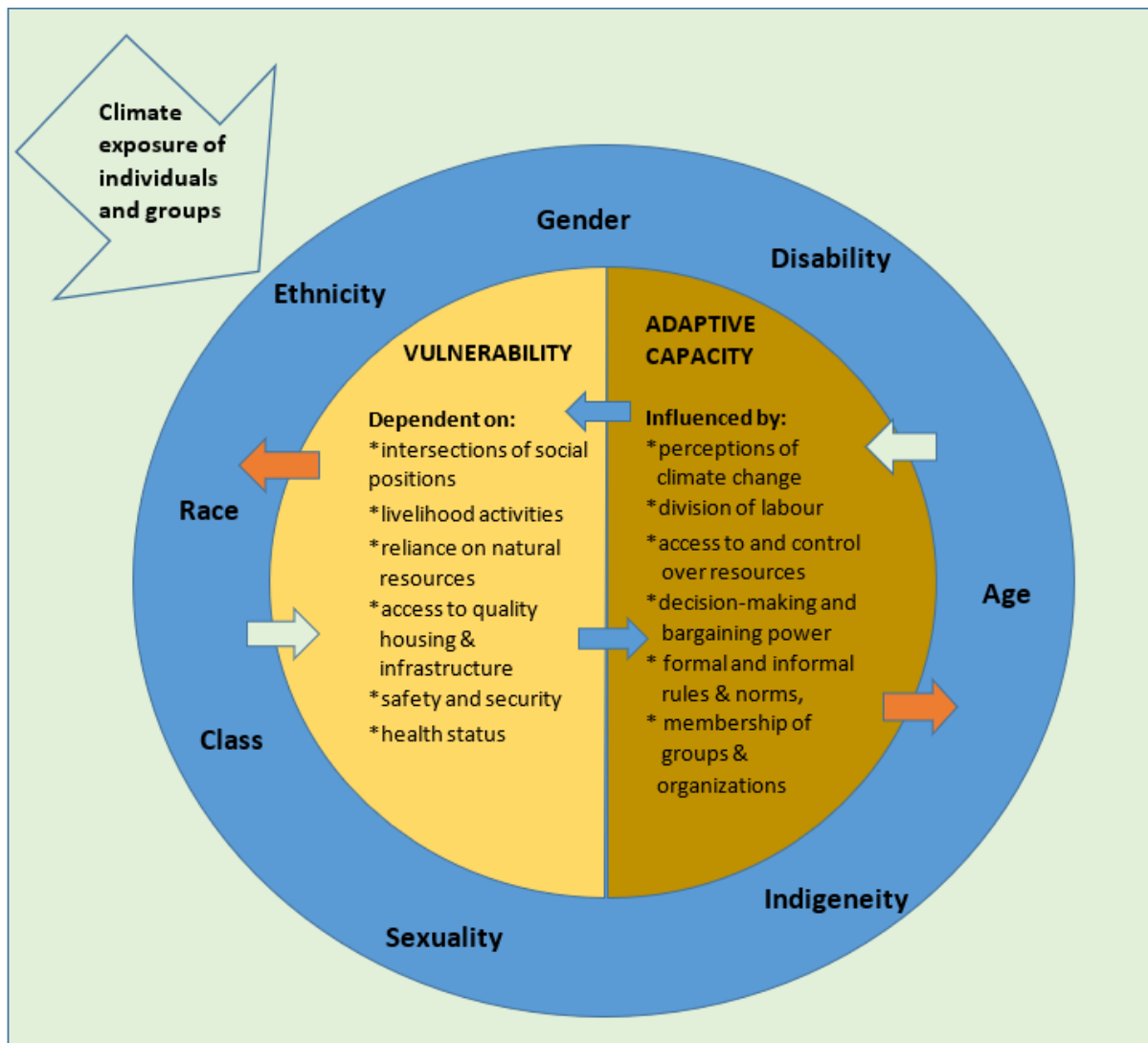
**Institutional structures:** Social relations are produced, reinforced and reproduced by social institutions – often referred to as the ‘rules of the game’. Social inequalities and exclusions come about through the institutional structures of these institutions that administer rules, allocate activities and responsibilities; make resources available according to people’s roles and social position; and exercise power which defines who can make decisions and whom these decisions will favor or not.

**Institutional arenas:** Institutional structures operate in institutional arenas. In the context of climate change, key institutional arenas are the **household**, the **community**, **international climate change institutions**, and the **state**, including national and local government bodies – in particular those that are responsible for climate change policy and practice.

**Social inclusion:** Social inclusion is a process with two interrelated tracks: 1) improving the terms on which people engage with climate change processes and 2) enhancing the agency of those who time and again are excluded from social, political and economic development processes on the basis of social positions.

\*AC = Adaptive capacity

Figure 5: GESI and climate change adaptation in the context of complex biophysical and societal interactions.



**Intersectionality:** The intersection of different social positions and forms of discrimination - based on, for example, gender, race, sexuality, etc. - influences people's climate change vulnerability and adaptive capacity (light green arrows) and in the context of complex biophysical and societal interactions produces (new) social inequalities and exclusions (orange arrows).

**Vulnerability:** Vulnerability is a product of complex climate-society interactions. Reducing it involves altering the context in which climate change occurs based on equity and justice. It is dependent on livelihood activities, reliance on natural resources, access to housing & social security, as well as health and nutrition status. Intersectional analysis explores the vulnerability of people given their situatedness in context-specific institutional structures.

**Adaptive capacity:** People's adaptive capacities are both shaped and constrained by social, political, and economic structures. Within these structures, people's response options are influenced by specific perceptions of climate change, access to and control over resources, participation in decision-making as well as formal and informal rules & norms.

Figure 6: Intersecting social positions produces differential vulnerabilities and adaptive capacities.

### 1.2.3 Understanding gender equality, women's empowerment and transformational change

A gender relations perspective implies the need for moving beyond a focus on gender gaps to challenge structural barriers to gender equality, such as context-specific unequal power relations and discriminatory institutional social norms that inhibit women's control over their lives. We understand **gender equality** as the equal enjoyment by people of all genders of rights, opportunities, resources and rewards so that they can contribute equally to, and benefit equally from, social, political and economic development - including efforts to address climate change<sup>13</sup>.

We understand **women's empowerment** as a transformative process of continuing shifts in unequal gender relations within and through which women take charge over their lives and futures. In the context of climate change, empowerment develops as women exercise agency through making decisions, expand their response options to climate challenges, and grow in their self-esteem as knowledgeably successful climate actors. It entails a shift in the distribution of resources so that women's access to adaptation technology, knowledge, services, assets, social protection and partnerships and so on increases and feeds women's absorptive and adaptive capacity to climate change. Change occurs through shifting institutional structures that shape women's choice and voice in particular climate related decision-making contexts - at the household level, in the community and with respect to different state level governance organizations and systems<sup>14</sup>.

**Social inclusion** entails a process of change, affecting people's terms of engagement as well as their agency (see Figure 5). In the short and intermediary term, working towards improved terms of engagement of climate related institutions, organizations and programs requires investing in improved institutional and organizational capacity to ensure that they can serve all individuals equitably regardless of their social identities. In the short and intermediary-term, work is also required related to enhancing the agency of excluded individuals and groups, and thus encompasses efforts to increase people's capabilities and access to and control over resources.

In the longer-term, social inclusion requires shifts in institutional structures that give some individuals and groups more opportunity towards structures that support equal agency for all. That means challenging structural barriers including visible and invisible as well as conscious and unconscious gender and social bias that devalues people on the basis of their social positions to ensure that climate related institutional actors will serve all people equitably<sup>15</sup>.

We understand **transformational change** as addressing the root causes of social and gender inequality and exclusion. It moves beyond the individual and entails change at the level of structures.<sup>16</sup> It implies using *transformative approaches* that focus on institutional structures and norms as key barriers to equality and inclusion, as opposed to accommodating approaches that focus on closing gender and social exclusion gaps through improving availability of resources and services within a given institutional context.<sup>17</sup> That also means a deliberate effort to sustainably increase the life choices of individuals and groups, rather than a temporary increase in opportunities.

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<sup>13</sup> DFID (2015); CARE (2018).

<sup>14</sup> Bryan et al. (2017); van Eerdewijk et al. (2017); Nordehn and Rubin (2018); IDRC (2019); Deering (2019).

<sup>15</sup> World Bank (2013); GESI Working Group (2017); Danielsen et al. (2018); Danielsen et al. (2019).

<sup>16</sup> Mullinax et al. (2019, p. 4).

<sup>17</sup> Nordehn and Rubin (2018); Mullinax et al. (2018); IDRC (2019).

## Chapter 2 – The Research Landscape: GESI and Climate Change & Adaptation Research

The importance of social dimensions (including gender) of both the causes and impacts of climate change is increasingly recognized by a wide range of international and national actors through their research, programs and policies.<sup>18</sup> Despite this recognition, there is a significant underrepresentation of research examining how both climate change and climate change adaptation policies shape, and are shaped by, intersectional livelihood struggles related to gender, race, disability, caste, amongst others. This imbalance in knowledge on CCA is associated with a) the dominance of bio-physical and technical understandings of climate change, b) an undervaluing of social sciences by climate change research funders, and c) a low level of diversity amongst actors and representatives in climate related science-policy initiatives.<sup>19</sup>

This imbalance notwithstanding, a diverse and growing body of knowledge on GESI and climate change is emerging in different research and policy forums. In particular, this scoping study identified a fast-growing scholarship theorizing and analyzing the complex and dynamic links between gender relations and climate change vulnerabilities/adaptation.<sup>20</sup> In a nutshell, this literature critiques dominant approaches to environmental governance that are rendering climate change adaptation as both universal, technical and distant, instead of differentiated, social and embodied. For example, recent contributions from feminist political ecology point to the inherently political nature of adaptation (both adaptation research and policies) and draw attention to the underlying social, cultural and political conditions that influence both research agendas as well as people's vulnerabilities to climate change and adaptive capacities.<sup>21</sup>

This chapter presents a scoping review of literature at the intersections of GESI and climate change adaptation (CCA) research<sup>22</sup>. It is structured as follows:

- Section 2.1 provides an overview of recent advances in knowledge on GESI related climate change vulnerabilities and adaptive capacities in five key sectors and thematic areas.
- Section 2.2 highlights current insights into the policy context of GESI and climate change.
- Section 2.3 discusses critical gaps in GESI and climate change research.
- Section 2.4 presents a typology of GESI outcomes in the context of climate change adaptation research.

Each section lists high-level recommendations for CLARE to consider.

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<sup>18</sup> Findlay and Wake (2021).

<sup>19</sup> See for example, Schipper et al. (2021); Ravera et al. (2016); Sellers (2016); Resurrección et al. (2019); Jerneck (2018); Deering (2019); Overland and Sovacool (2020).

<sup>20</sup> Djoudi et al. (2016); Gonda (2016); Ravera et al. (2016); Resurrección et al. (2019); Löw (2020).

<sup>21</sup> Eriksen et al. (2015).

<sup>22</sup> See Annex 1 for the scoping review methodology.

## 2.1 Advances in knowledge on GESI related climate change impacts and adaptation

This section synthesizes key insights from literature exploring the GESI/climate change adaptation nexus in five sectors/thematic areas:

1. agriculture and natural resource management
2. urban development
3. infrastructure
4. climate-induced migration
5. health and disability

For each section, we capture main advances in knowledge production on i) differential vulnerability to climate change and ii) differential adaptive capacity (see Box 1 for definitions). (An overview of the key advances discussed in this section is presented in a table format in Annex 3.)

To the greatest extent possible, we aim to demonstrate the intersectional dynamics within different institutional arenas shaping different groups of people’s vulnerabilities to climate change and how these dynamics affect the likelihood of being able to successfully adapt to changes in biophysical conditions. However, it is important to stress that the below insights are not necessarily always intersectional in nature. This reflects that some of the literature reviewed for this scoping study does not consistently explore how gender intersects with social categories such as race, class, disability, sexual orientation in shaping vulnerabilities/adaptive capacities. When relevant literature is available, each section also pays attention to how and why formal and informal actors and institutions<sup>23</sup> are shaping vulnerabilities, as well as opportunities and barriers to adaptive actions.

### Box 1: Defining vulnerability and adaptive capacity

The concepts of adaptation, adaptive capacity, vulnerability, as well as resilience and exposure, are highly interrelated and have wide application in the current climate change literature. It is important to note that the ways in which each of these concepts are defined, and hence understood, tend to differ among scholars from different disciplines.<sup>24</sup> The framing of these concepts matters as “each framing prioritizes the production of different types of knowledge, and emphasizes different types of policy responses to climate change”.<sup>25</sup>

This scoping study understands **vulnerability** as a product of complex climate-society interactions. “Both climate variability and change are considered to occur in the context of political, institutional, economic and social structures and changes, which interact dynamically with contextual conditions associated with a particular ‘exposure unit’ [...] From this perspective, reducing vulnerability involves altering the context in which climate change occurs, so that individuals and groups can better respond to changing conditions. It also stresses the need to mitigate climate change on the basis of equity and justice”.<sup>26</sup> This framing differs from conceptualizations of vulnerability as a result (outcome) of projected impacts of climate change only on a particular ‘exposure unit’.

As with vulnerability, this scoping study understands that **adaptive capacities** of individuals or households are both shaped and constrained by multi-scalar social, political, and economic structures and changes. “Adaptation

<sup>23</sup> Social, political, administrative and legal.

<sup>24</sup> Basset and Fogelmann (2013); Ravera et al. (2016)

<sup>25</sup> O’Brien et al. (2007, p. 73).

<sup>26</sup> O’Brien et al. (2007, p. 76).

in the context of human dimensions of global change usually refers to a process, action or outcome in a system (household, community, group, sector, region, country) in order for the system to better cope with, manage or adjust to some changing condition, stress, hazard, risk or opportunity”.<sup>27</sup> Further, “in practical terms, adaptive capacity is the ability to design and implement effective adaptation strategies, or to react to evolving hazards and stresses so as to reduce the likelihood of the occurrence and/or the magnitude of harmful outcomes resulting from climate-related hazard”.<sup>28</sup>

### 2.1.1 Agriculture and natural resource management

Adverse effects of climate change pose serious threats to food security and rural livelihoods. Among those most vulnerable to climate changes are poor rural communities and small-scale food producers, many of whom are women, that rely on agriculture, access to natural resources and healthy ecosystems for their food security, fuel and other eco-system products and services.

The literature reviewed presents a range of determinants of agricultural and ecosystem *vulnerability* to climate change. People who have secure and adequate land as well as sufficient access to inputs, technologies (including Information and Communications Technologies - ICTs), credit, training, employment opportunities, climate and market information services, are more likely to successfully adapt to the impacts of climate change. So are those who know and are skilled to adopt sustainable agricultural (such as climate-smart agriculture - CSA) and natural resource management (NRM) practices (such as land-restoration and other ecosystem-based adaptation strategies). There are widespread gender disparities and discrimination in the distribution of agricultural assets, inputs and information, in access use and benefits from rural climate services, and in the involvement in and benefits from NRM efforts.<sup>29</sup>

Across regions, evidence further suggests that women’s vulnerability to climate change is compounded by restrictive gender norms and pervasive stereotypes about men and women’s rights and roles, as well as male-centred agriculture and NRM systems, which undervalue women’s knowledge and contributions to the economy and neglect their subsistence requirements. Women’s limited decision-making power and their underrepresentation and exclusion from agriculture, forest, fisheries, water and other NRM governance institutions and policy-making processes is widely documented.<sup>30</sup>

A review of the gender literature on climate change and REDD+<sup>31</sup> concludes that research, policies and programs seldom make connections to indigeneity as a marker of inequality nor to the multi-layered positionings of indigenous women<sup>32</sup>. As a result, indigenous women’s knowledge of climate change and its effects on forests and people is marginalized with detrimental effects for forest protection, fair resource allocation and gender equality (see Box 2).<sup>33</sup>

<sup>27</sup> Smith and Wandel (2006, p. 282).

<sup>28</sup> Brooks and Agder (2004, p. 168).

<sup>29</sup> Aguilar et al. (2015); Mcleod et al. (2018); Deering (2019); Call and Sellers (2019); Resurrección et al. (2019); Gumucio et al. (2020); Löw (2020).

<sup>30</sup> Aguilar et al. (2015); Sellers (2016); Löw (2020).

<sup>31</sup> Reducing Emissions form Deforestation and Forest Degradation-

<sup>32</sup> Löw (2020).

<sup>33</sup> Löw (2020).



## Box 2: Indigenous people's knowledge, climate change & REDD+

An intersectional perspective can strengthen climate change and REDD+ research, programs and policies as it points out how differences in economic resources, division of labour and place (e.g., people living in and using a forest area) generate differences in knowledge about how to protect forests. This makes it important to ask what type of knowledge is privileged in dealing with climate change/ REDD+. A key step in this is understanding how the legitimacy of knowledge is related to social categories and power relations.

Research on knowledge of indigenous women demonstrates that they are diversifying crops and developing further traditional plant and livestock species that are more tolerant of extreme weather conditions. Moreover, they are protecting forests from logging, mining, monoculture plantations and large-scale agriculture to sustain and strengthen its resilience to climate change. It is essential to be aware and acknowledge the innovative self-determined adaptation strategies of indigenous peoples, particularly indigenous women and to recognize their knowledge and visions as indispensable contributions to sustainable development.

A recent systematic examination of 130 papers concludes that gender has significant impacts on the *adoption* of natural-resource base livelihood interventions designed to buffer rural populations against climate change shocks.<sup>34</sup> Research continues to document examples of maladaptation, i.e., of interventions emphasizing men's activities and preferences over those of women, which inadvertently propagates vulnerability and inequity in adaptive capacity. For example, marine protected areas (MPAs) - that have the potential to significantly improve ecosystem resilience to climate change - appear to perpetuate rather than transform gender disparities in terms of leadership and power, which often results in men's resource needs being prioritized at the expense of women's.<sup>35</sup>

The literature is rich on insights into the gender differences in climate-smart agriculture (CSA) as an adaptation strategy.<sup>36</sup> Women and men's capacity to adopt CSA practices is found to be affected by differences in perceptions of climate change, access to climate information and extension, and access to and control over resources, and social networking and collective action. Moreover, women's adaptation options are found to be limited by institutional constraints both formal (i.e. land rights) and informal (i.e. heavy reproductive labour burden, restricted mobility). These constraints lead to gender differences in the adoption of CSA practices. While these differences are context-specific, women tend to adopt more low-cost, small-scale technologies that require less skills, while men's options are broader and also include technologies that need higher investment and knowledge levels (including agro-forestry, improved seed and new crop varieties).<sup>37</sup>

While the impact of the CSA adoption cannot easily be generalized, few studies, examine the gender differences in *outcomes* across different CSA practices and strategies or look at differences in welfare outcomes when men, women or both pursue climate change adaptation strategies.<sup>38</sup> Caution is needed in making broad generalizations or assumptions that associate more sustainable environmental outcomes with greater involvement of women in natural-resource base livelihood interventions, as the

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<sup>34</sup> Call and Sellers (2019).

<sup>35</sup> Call and Sellers (2019, p. 9 - with reference to multiple studies from across the world).

<sup>36</sup> Gonda (2016); Ravera et al. (2016); Sellers (2016); Kristjanson et al. (2017); Ampaire et al. (2020); Call and Sellers (2019); Resurrección et al. (2019); Greene et al. (2020); Gumucio et al. (2020).

<sup>37</sup> Sellers (2016); Kristjanson et al. (2017).

<sup>38</sup> Kristjanson et al. (2017); Huyer and Partey (2020).

current evidence base for such links is scant. There is however evidence that when gender disparities in resources and information are addressed, women and men are able to adopt natural-resource management practices and these practices are likely to yield GESI equitable outcomes.<sup>39</sup> Moreover, women’s abilities to make meaningful choices and strategic decisions related to climate change adaptation is greatly shaped by environmental stress “even when household structures and social norms are supportive or legal entitlements are available”.<sup>40</sup> This points reiterates that people’s differential adaptive capacities are an outcome of complex climate-society interactions.

### *Recommendations for CLARE*

For the agricultural and NRM sector, prioritize research that:

- Applies an *intersectional* lens when designing and devising climate change adaptation strategies aimed at farmers and others relying on natural resources. Special care should be taken to ensure that intersectional livelihood struggles of *poor, rural and indigenous communities and groups, and small-scale food producers* (in particular women) are accounted for. .
- Identifies strategies that can contribute to *GESI equitable outcomes* in climate change adaptation, taking into account the existing knowledge on the range of constraining factors. This research includes questions as:
  - *Which factors, approaches and strategies effectively contribute to shifting formal and informal institutional structures that increase vulnerabilities of women and marginalized groups, and that limit their adaptive capacities?*
  - *Which factors, approaches and strategies effectively enhance the decision-making power, representation and leadership of women and marginalized groups in governance institutions in agriculture, forest, fisheries, water and other natural resources?*
  - *Which factors, approaches and strategies effectively contribute to enhancing more equitable access to resources (in the widest sense) for women and marginalized groups, that in turn are critical to equitable adoption of climate change interventions?*
  - *Which factors, approaches and strategies effectively strengthen collective action of women and marginalized groups, to address structural barriers that increase their vulnerabilities and undermine their adaptive capacities?*
- Ethically engages with indigenous women’s knowledge of climate change and its effects on forests and people, especially in the REDD+ research.

#### *2.1.2 Urban development*

Urban climate change risks are increasing across the world in urban centers of all sizes, economic conditions, and site characteristics. These risks are amplified by the rapid growth of highly vulnerable urban communities living in informal settlements, often built outside formal laws and regulations on dangerous sites<sup>41</sup> and with none or insufficient access to essential infrastructure and services.<sup>42</sup> Evidence suggests that increasing numbers of poor migrant youth, and women and girls in female-headed

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<sup>39</sup> Call and Sellers (2019).

<sup>40</sup> Rao et al. (2019, p. 964).

<sup>41</sup> Because their inhabitants then have a higher chance of avoiding eviction.

<sup>42</sup> Satterthwaite et al. (2020).

households, reside in informal settlements and that their safety (or lack thereof) during climate stresses causes particular concern.<sup>43</sup> Compared to research on GESI and climate change in rural contexts, however, research in urban contexts is in its infancy.<sup>44</sup>

Several studies illustrate gender differentiated vulnerability as urban women, particularly in slums, are found to be more adversely affected by climate change than men. The literature further demonstrates that urban women struggle harder than their male counterparts to rebuild livelihoods after extreme weather events (such as flooding) due to more limited access to productive resources, lower participation in adaptation decision-making as well as heavier domestic work burdens. Women in informal settlements are also found to be more at risk from eviction than men.<sup>45</sup>

A recent review of gender and climate change adaptation contends that gender concerns are still largely unaddressed in the urban policy context. The review argues that this is due to the lack of representation of women (and other social groups) in planning and decision-making bodies within cities, as well as the lack of recognition of their needs, knowledge of and contributions to urban development in urban governance structures and institutions.<sup>46</sup> As a result, women, migrant and homeless youth, as well as individuals whose gender identity falls outside normative gender categories, often do not have access to safe and secure forms of housing making them particularly vulnerable to climate change and disasters. The same groups are often excluded from (or their situation worsened by) climate adaptation responses, relief and recovery efforts that entrench, rather than address, inequality.<sup>47</sup> Several scholars consequently call for gender-transformative and transdisciplinary approaches to urban climate adaptation based on thorough analyses of power relations within neighborhoods and households and within urban governance structures and mechanisms<sup>48</sup> (see Box 3).

### **Box 3: Rethinking GESI and urban climate adaptation and governance**

**Gender-transformative and transdisciplinary approaches to urban climate adaptation** entail further diversification of decision-making bodies of cities and local governments, as well as ensuring equal representation, voice and influence of different groups of women and men - including grassroots and community organizations. They also explicitly address root causes of structural inequalities - for example, through post-hazard reconstruction of human settlement that requires property ownership and occupancy rights of women<sup>49</sup>.

**Transdisciplinary urban governance** is informed by the circumstances under which formal regulation can undermine the livelihoods of those reliant on the informal sector. It also needs to carefully consider the real-life tensions that vulnerable urban men and women face when adapting to climate change risk and simultaneously having to deal with other, perhaps more immediate, risks<sup>50</sup>.

*[continues on next page]*

<sup>43</sup> Resurrección et al. (2019).

<sup>44</sup> Aguilar et al. (2015); Sellers (2016); Owusu et al. (2019); Resurrección et al. (2019); Ziervogel (2019).

<sup>45</sup> Sellers (2016); Owusu et al. (2019); Resurrección et al. (2019).

<sup>46</sup> Resurrección et al. (2019).

<sup>47</sup> Resurrección et al. (2019); Ziervogel (2020).

<sup>48</sup> Resurrección et al. (2019); Owusu et al. (2019); Ziervogel (2019).

<sup>49</sup> Resurrección et al. (2019); Owusu et al. (2019); Ziervogel (2019)

<sup>50</sup> Ziervogel (2019); Ziervogel (2020).

**'Climate urbanism'** is a critical theory that both exposes the production of further inequalities associated with urban responses to climate change and provides new radical forms of practice for more progressive inclusive urban futures under climate change<sup>51</sup>.

### Recommendations for CLARE

For the urban development sector, prioritize research that:

- Substantially grows the knowledge base of the gendered and intersectional causes, drivers and consequences of *urban climate change risks* among different groups of people. More specifically:
  - Invest in research that pays attention to vulnerabilities and adaptive capacities of the most marginalized in urban areas: poor *migrant youth and women*, and especially those that are living in informal settlements, or are homeless.
  - Encourage research that provides further insight into what factors lead to *negative consequences* of urban CCA strategies and responses for women and marginalized urban groups. Connect this to research that explores *which factors, strategies and approaches effectively contribute to GESI equitable outcomes* for these group.
- Provides insights into promising strategies that *effectively enhance the decision-making power, representation and leadership of women and marginalized groups in urban planning and decision-making bodies that are devising and implementing CCA policies.*
- Explore entry points for gender-transformative and transdisciplinary approaches to urban climate adaptation (see Box 3).
- Strongly works towards increasing the representation, recognition and meaningful participation of women (and other social groups) in relevant planning and decision-making bodies within cities.

#### 2.1.3 Infrastructure

Worldwide, billions of people are excluded or deprived access to infrastructure - such as energy, transport, water, sanitation, waste management and modern communication services. Many of these people are poor, women, children, elderly, and disabled people. Access to quality infrastructure not only allows people to earn a living, stay healthy and be active citizens, it also enables people to cope with the stresses and shocks of climate change.

The reviewed literature finds that when infrastructure is damaged or breaks-down during climate crisis, in many circumstances it is felt more severely by women. For example, when sanitation systems don't work, women are faced with sanitation and bathing difficulties that can cause urinary tract infections that are not affecting men. Given women's primary role as caregivers and responsible for domestic duties such as cleaning, laundry, food preparation, health and household maintenance, women are often tasked with accessing, for example, domestic water supply and waste disposal infrastructure.

In addition, in the informal sector, waste sorting and collection is largely done by women. In their productive roles, women, especially in rural economies, also depend on access to infrastructure, such as to water infrastructure in agriculture and livestock husbandry. If such infrastructure is damaged due to

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<sup>51</sup> Castán Broto and Robin (2020); Ziervogel (2020).

climate hazards or shocks, there is a high risk that women's drudgery will be increased, which could have ripple effects such as girls leaving school<sup>52</sup>.

Current literature on gender dimensions of infrastructure points to increased access to adequate and reliable infrastructure services as a pathway to strengthening the adaptive capacity of women and girls. For example, access to water and energy services can positively impact health, labour productivity and income earning opportunities, while access to ICT – e.g., radio, TV, internet – can expand the chances of benefitting from training and extension, as well as opportunities for social and political interaction and increased voice. Investing in gender responsive and socially inclusive infrastructure development, in other words, also means investing in the adaptive capacities of those most affected by climate change<sup>53</sup>.

### *Recommendations for CLARE*

For the infrastructure sector, prioritize research that:

- Provides further insight into what factors, strategies and approaches effectively contribute to gender responsive and socially inclusive infrastructure development, as a promising pathway to strengthening the adaptive capacity of women and girls / those most affected by climate change.

For climate change adaptation research that is not exclusively or primarily focused on infrastructure, ensure that:

- Gendered (and other social) dimensions of access to energy, transport, water, sanitation, waste management and modern communication services, are consistently considered as part of their analysis of climate change vulnerabilities and adaptive capacities.

#### *2.1.4 Climate-induced migration*

Every second one person leaves their home due to climate change-related causes, according to the United Nations Frontiers 2017 report.<sup>54</sup> Various push and pull factors of migration have been explored in recent years, including factors such as economic, political, social, demographic and environmental.<sup>55</sup> From the literature it is evident that migration decisions and flows are not one-dimensional, but rather shaped by the operation and intersection of these factors in particular contexts at particular times. The ways in which climate change impact migration should thus not be simplified or detached from the wider social and political context in which both climate change and migration are situated.<sup>56</sup>

Research specifically linking climate change, gender and migration is emerging, yet scarce. It finds that climate-induced migration is inherently shaped by gender relations and norms, with the consequence that different groups of women and men tend to have different migration patterns and experiences at every stage of the migration cycle (pre-departure, transit, arrival, stay and return).<sup>57</sup> The literature

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<sup>52</sup> International Finance Corporation (2012).

<sup>53</sup> Aguilar et al. (2015); Sellers (2016); Gaskin et al. (2017); Resurrección et al. (2019).

<sup>54</sup> UNEP (2017).

<sup>55</sup> Vincent and Cull (2015).

<sup>56</sup> Sawas and Bose (2021).

<sup>57</sup> Cundill et al. (2021); IOM (2014); Vincent et al. (2021).

demonstrates that gender relations and norms further shape, and are shaped by, the pressure to migrate in the first place, such as potential employment prospects, status and care responsibilities. Additionally, the impacts of climate induced migration itself are gendered, including impacts related to health, mobility and quality of life, women's economic rights and violence against women and girls.<sup>58</sup> Thus, despite being presented as a 'natural response', decisions on and impacts of climate change-induced migration are complex and extremely varied. Migration on its own neither improves nor adversely impacts livelihoods; rather, migrants' livelihoods, wellbeing and food security are ultimately shaped by their positioning in the socio-economic orderings of host societies.<sup>59</sup>

#### **Box 4: Disasters, climate change and gendered vulnerabilities**

In the report "Climate migration in the Dry Corridor of Central America: integrating a gender perspective", InspirAction and Christian Aid refer to studies which demonstrate how women are affected by natural disasters, due to their limited mobility and their role as caregivers to children, the sick and elderly:

"[...] in the 2004 tsunami in Asia, in some regions of India, women accounted for almost 80% of the victims (IOM 2008b). The UNDP also warned in 2010 that women are fourteen times more likely than men to die in a natural disaster.

[...]

In Latin America, women lead between 8% and 30% of agricultural undertakings, and the number is rising as a result of the migration of men to cities [...] this reality makes them highly vulnerable to natural disasters and climate change. In 2008, after Cyclone Nargis struck the Ayeyarwady Delta in Myanmar, 87% of single women and 100% of married women lost their main source of income".<sup>60</sup>

While these findings are important, the report stresses that: "care should be taken not to make generalisations regarding the role of women as victims of natural disasters, and there is a great need for disaggregated statistics, which are not always available, in order to draw relevant conclusions. For example, there are specific situations, such as Hurricane Mitch in Nicaragua (1998), during which a higher number of men died (Bradshaw, 2001) than women, which shows once again that generalisations cannot be made about the role of women as victims of disasters".<sup>61</sup>

Importantly, the intersection between gender and climate-induced migration is critical as climate-induced migration is found to potentially (re)produce and reinforce gender inequalities in the different stages of the migration cycle. In other words, gender relations and norms greatly shape women and men's experiences of migration, including the risks and vulnerabilities involved throughout the entirety of their migration journey. For example, many women in Central America are faced with poor conditions in precarious employment and even abuse from their employers when they migrate: "yet they [women] cannot even demand their rights through fear of reprisals; this is the case of workers in the maquilas or in the agriculture sector, where the bosses are men and there are very strong power relations"<sup>62</sup>.

The ways in which gender relations and norms entwine with climate-induced migration influence the availability and effectiveness of migration as a climate change adaptation strategy for different groups of people (see Box 5). There is a growing literature demonstrating how gender relations and norms

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<sup>58</sup> Sawas and Bose (2021).

<sup>59</sup> Radel (2018).

<sup>60</sup> InspirAction and Christian Aid (2019, p. 21).

<sup>61</sup> InspirAction and Christian Aid (2019, p. 21).

<sup>62</sup> InspirAction & Christian Aid (2019, p. 59).

might prevent women from migrating in the first place, effectively trapping women in climate stressed communities. A review of literature on gender and migration, finds that “while males are better positioned and often explore livelihood opportunities elsewhere, females are more likely to explore coping mechanisms first in their communities because of higher financial and social cost associated with migration and limited access to productive resources and jobs in migration destination”.<sup>63</sup> Indeed, “migration as an adaptation strategy is often a privilege afforded to people with some disposable income, whilst the poorest and most marginalised people may be trapped in place. Since at least 70 per cent of the world’s poor are women and girls, this suggests an overall trend towards feminised ‘trapped’ communities”.<sup>64</sup>

Intersectional analyses has proven key to illuminating how and why gender intersects with other social markers to determine whether migration improves or erodes the adaptive capacities of women that are ‘left behind’ in climate stressed communities in Bangladesh. For example, “marital status plays a more significant role in affecting the adaptive capacity of women compared to men [...] Thus, intersectionality is also important in determining the role of migration in social relations and the implications for adaptive capacity”<sup>65</sup>. This underlines the critical concern that when the gender/climate change/migration nexus is explored, gender is often reduced to a statistical entity or discussed in terms of binary and mainstream male/female migration patterns<sup>66</sup>. This means that research risks to render invisible the intersectional experiences varying between different groups of women and men which are using migration as an adaptive strategy. Moreover, simplistic narratives of the gender and climate-induced migration nexus risk overlooking the potential that climate-induced migration might bring positive changes in women and men’s everyday lives as migration might alter unequal gender relations and norms in different contexts<sup>67</sup>.

#### **Box 5: Gendered migration responses in East Africa**

In exploring the links between climate change, migration and gender inequality in East Africa, “understanding gender is critical in climate migration context. Religion, society and culture compel women to be good wives and mothers and not to abandon their children at times of hazards. Women with children do not resort to migration straight away. In most cases, it is men and young girls who migrate at times of crisis”.<sup>68</sup>

Further, “in spite of the general assumption that migration is an adaptive response by the most vulnerable, those are not always the ones who migrate. The length of time, course, and place of migration are all connected to the personal circumstances of each migrant, along with their social ties and access to information. The poorest women living in rural areas often lack the required resources to migrate, such as social networks, property ownership, assets or even information. In some instances, despite the existence of adequate resources, families and societies challenge women's migration. Stringent cultural values and beliefs can determine that migration of women and girls is unethical. In addition, caring for children and reproductive responsibilities of women are physical barriers to their mobility”.<sup>69</sup>

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<sup>63</sup> Atuoye et al. (2021, p. 2)

<sup>64</sup> Sawas and Bose (2021, p. 7).

<sup>65</sup> Vincent et al. (2021, p. 156 – 157).

<sup>66</sup> Lama et al. (2021).

<sup>67</sup> Cundill et al. (2021)

<sup>68</sup> Abebe (2014, p. 136).

<sup>69</sup> Abebe (2014, p. 126).

## *Recommendations for CLARE*

With respect to climate-induced migration, prioritize research that:

- Increases the evidence-base on the availability and effectiveness of migration for marginalized groups and women. This research should also provide insight and evidence on how gender relations and norms might enable or prevent some groups of women (and men) from migrating.
- Explicitly focuses on vulnerabilities and adaptive capacities of marginalized women (and men) for whom migration is not a feasible option and who are effectively trapped in climate stressed communities. In particular, prioritize that research projects addresses how and why social markers, such as class and marital status, intersect with gender in determining whether migration improves or erodes the adaptive capacity of women ‘left behind’ in climate stressed communities.
- Moves beyond a focus on ‘the negative’. That is, research projects on climate-induced migration that capture how it might bring positive changes in women and men’s everyday lives as migration might alter unequal gender relations and norms in different contexts.

### *2.1.5 Health and disability*

The World Health Organization (WHO) identifies climate change as the greatest threat to global health in the 21st century.<sup>70</sup> Human health is endangered due to more heatwaves and other extreme weather events, related outbreaks of infectious diseases, and diseases caused by climate related environmental pollution. A growing body of research suggests that the world’s most disadvantaged people are also the most vulnerable to health impacts of climate change.<sup>71</sup> For example, heatwaves are known to affect the elderly disproportionately and low socio-economic status often translates into hazardous housing and environmental conditions more prone to food-, water-, and vectorborne diseases and other climate health risks. Decreased food production in poorer regions of the world is also likely to increase the risk of undernutrition, especially among children. Moreover, systems designed to support people in times of climate-related emergencies and disasters are often inaccessible to sick or disabled people; this while the vulnerability of these people at such times is further compounded by heightened exposure to abuse, risk of abandonment as well as discrimination during distribution of scarce emergency response resources (see Box 6). In sum, climate change acts as a health threat multiplier due to multiple direct (e.g., extreme heat) and indirect factors (e.g., reduced access to health care), and at the same time exacerbates existing health inequalities and exclusion from health and other services.<sup>72</sup>

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<sup>70</sup> WHO (2015).

<sup>71</sup> Sellers (2016); Gaskin (2017); Resurrección et al. (2019); Dunne (2020); van Daalen et al. (2020).

<sup>72</sup> van Daalen et al. (2020).



### **Box 6: Multiple inequalities experienced by people with disability**

A systematic review on climate change and disability finds that disability is more prevalent amongst elderly, women, ethnic minorities, as well as those on low incomes.<sup>73</sup> The review also identified factors influencing climate change vulnerability and adaptive capacity of disabled people to be level of education, severity of impairment, social stigma, social networks, access to information, facilities and services by support systems. Another important factor was found to be the capacity of government or disability agencies to support people with disabilities in the face of climate change and emergencies.

People with disability are vulnerable to climate change because they experience multidimensional inequalities and due to their exclusion from adaptation efforts. The review highlights the need for inclusive climate change research, programs and policies that address the detrimental outcomes for people with disability of multiple and intersecting inequalities.

Building on the above, recent research warns against essentializing the 'disabled experience' and notions of the 'universal disabled subject' in the context of climate change. Rather, it is imperative that research on disability and climate change recognizes that a) disability intersects with gender, race, class, etc. in complex and obscure ways, and b) that disabled people are most obviously intersectional based on their different types of disabilities. Thus, notions of the universal disabled subject renders invisible the diversity in lived experiences among disabled people in ways that obfuscate non-homogenous and intersectional daily experiences, vulnerabilities and adaptive capacities.<sup>74</sup>

A recent analysis of 130 peer-reviewed studies points out that women often face disproportionate high health risks from the impacts of climate change when compared to men.<sup>75</sup> Women, across the developing world, are more likely than men to be affected by climate-related death, injury, infectious disease, mental illness and food insecurity. Moreover, women also experience heightened maternal and reproductive health risks and decreased access to related health services as a result of climate change impacts. Climate change related disasters are also associated with increases in gender-based violence, child marriage, human trafficking and sexual exploitation of women and girls, although there is a critical need for additional research to contextualize the nature and quantify the scale of these serious problems<sup>76</sup> (see Box 7). The literature also reports gender-specific risks for men, for example, a higher risk of suicide following extreme weather events and in some regions men are more likely to be killed by floods and wildfires because they work more outside than women.<sup>77</sup>

### **Box 7: Gender-based violence as a result of drought in the Pacific**

In an effort to raise the voices of women in the Pacific, Mcleod et al. (2018) conducted a qualitative study was conducted that focused on the climate change experiences of women leaders of climate adaptation projects across seven Pacific Island Nations. One - often invisible - impact of climate change reported was the increase in violence against women and girls. For example, a women from the Marshalls explains that during periods of drought *"when they don't have enough water, the woman is not able to cook the food, or do the laundry, or prepare the husband's clothes and she can end up experience violence from her partner"*.<sup>78</sup>

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<sup>73</sup> Gaskin et al. (2017).

<sup>74</sup> Bråten (forthcoming).

<sup>75</sup> Sellers (2016); Dunne (2020).

<sup>76</sup> Sellers (2016); Mcleod et al. (2018); Castañeda Camey (2020).

<sup>77</sup> Sellers (2016); Resurrección et al. (2019); Dunne (2020).

<sup>78</sup> Mcleod et al. (2018, p. 180).

Whereas most of this literature focuses on risks and vulnerabilities to health impacts from climate change, there is emerging attention to the structural causes of vulnerability and how they yield deficits in adaptive capacity. For example, research associates climate change related gender-based health disparities with unequal access to and control over resources between women and men, such as financial assets that can help prevent, reduce and react to shocks and related illness or disability. Gender norms and power dynamics are also found to influence adaptive capacity such as when norms restrict women's mobility and prevent them from leaving home to seek timely medical help. Or when girls' infant mortality rates rise during times of climate driven food insecurity due to gender inequalities in intra-household food allocation<sup>79</sup>.

Despite increasing evidence on disproportionate health impacts of climate change, in research on health effects of climate change there is a severe lack of data disaggregation according to gender and other social dimensions. This undermines adaptation policy development and strategic planning that consequently fail to address underlying causes of climate vulnerability such as gender and social inequalities<sup>80</sup>.

### *Recommendations for CLARE*

With respect to health and disability, prioritize research that:

- Collects and analyzes quality data on health effects of climate change disaggregated by gender and other social dimensions, in order to strengthen a solid knowledge base on the diverse impacts of climate change on vulnerabilities and adaptive capacities of different groups of people.
- Identifies the structural causes of these vulnerabilities, and their effects on adaptive capacities of different groups of people.
- Are inclusive towards everyday challenges and opportunities of people living with disabilities.
- Investigates gender-specific health effects/risks of climate change for different groups of men.

## 2.2 Current insights into the policy context of GESI and climate change

This section looks at research investigating the policy context of GESI and climate change. After exploring research on how GESI has been taken onboard by stakeholders operating in different policy spaces, the section includes a critical take on the translation of GESI responsive climate policies into action. It ends with a brief discussion on whether or not the uptake of GESI into these climate change policies has advanced gender equality and social inclusion 'on the ground'.<sup>81</sup> It is beyond the scope of the study to discuss in-depth how GESI has been approached, appreciated and operationalized in different policy forums across scale. The purpose of this sub-section is to 'take the pulse' of how key actors operating at global and national levels of environmental governance, have taken up GESI in their modus operandi.

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<sup>79</sup> Resurrección et al. (2019); Dunne 2020; van Daalen et al. (2020).

<sup>80</sup> Van Daalen et al. (2020).

<sup>81</sup> The next chapter discusses how climate finance mechanisms, such as the Green Climate Fund and the Adaptation Fund engages with GESI in their modus operandi. This chapter therefore does not discuss how GESI has been taken up into the climate finance landscape.

### 2.2.1 Gender and climate governance

The reviewed literature contends policies and strategies designed to address and shape climate change adaptation have, until recently, largely failed to incorporate gender and social inclusion considerations. However, over the past five years, GESI considerations are increasingly integrated into policies previously focused on the more technical and biophysical aspects of climate change mitigation and adaptation, although progress remain slow.<sup>82</sup>

#### Global level

Commitments to tackling gender inequalities in adaptation is increasing at the level of global climate governance. Numerous funding bodies, conventions and task groups - including the Green Climate Fund, the Intergovernmental Panel on Climate Change (IPCC) and the Global Environment Facility (GEF), and the United Nations Framework Convention on Climate Change (UNFCCC) - have recently started integrating GESI considerations into both their climate change policies and organizational structures.<sup>83</sup> These stakeholders “require gender equality to be addressed across all aspects of delivery. For instance, in 2017 the GEF shifted from a “gender-aware ‘do no harm’ approach” to a “gender-responsive ‘do good’ approach” that aligns with the IPCC’s emphasis on “involving women and men equally in the development and implementation of national climate policies and projects”.<sup>84</sup>

It is worth noting that IPCC’s Gender Policy and Implementation Plan (GPIP) makes explicit reference to intersectionality: “While the focus of this policy is on gender, it is important to recognise that gender often intersects with other factors that influence participation including race, ethnicity, language, disability, age, diversity of expertise, or nationality”.<sup>85</sup> UNFCCC’s adoption of its first Gender Action Plan in 2017 at COP 23 “was a landmark decision, integrating both gender equality and human rights into climate action, and addressing the gender dimensions of climate impacts, adaptation, and mitigation increase their effectiveness”.<sup>86</sup> At COP 25 in 2019, the UNFCCC adopted a 5-year enhanced Lima work programme on gender and an enhanced Gender Action Plan. This plan aims to advance knowledge and understanding of gender-responsive climate action in the implementation of the UNFCCC. As with IPCC’s GPIP, this recent UNFCCC Gender Action Plan makes explicit reference to intersectionality: “Recognizing with concern that climate change impacts on women and men can often differ owing to historical and current gender inequalities and multidimensional factors and can be more pronounced in developing countries and for local communities and indigenous peoples”.<sup>87</sup>

#### National level

As national-level changes are intimately linked to progress in global policy forums, GESI considerations are also gaining momentum at the national level and in national climate change mitigation and adaptation policies.<sup>88</sup> The integration of gender into national climate change policies in different regions

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<sup>82</sup> Mcleod et al. (2018); Ampaire et al., (2020); Huyer et al., (2020).

<sup>83</sup> Lau et al. (2021)

<sup>84</sup> Lau et al. (2021, p. 186).

<sup>85</sup> IPCC (2020, p. 2).

<sup>86</sup> Huyer et al. (2020, p. 576).

<sup>87</sup> UNFCCC (2019, p. 6).

<sup>88</sup> Huyer et al. (2020).

of the world is considerable, “although the degree of inclusion differs depending on the country and sector analyzed”.<sup>89</sup> Yet, overall, literature exploring and evaluating GESI considerations in national climate change adaptation policies remains scarce<sup>90</sup>. Some emerging insights include:

- An “analysis of 105 policies on climate change, environment, and agriculture in Latin America found that, across the region, two-thirds of national agriculture and climate policies had no mention of gender issues; slightly over half of all national climate policies did not include gender to any extent.”<sup>91</sup>
- “since 2015 in Guatemala and Honduras there has been an increase in attention to gender issues in climate policies. However, while most policies, laws, strategies, and plans have included some mention of gender, none have allocated financial resources for implementation of gender action”.<sup>92</sup>
- A study examining the extent to which gender issues were integrated and budgeted for in 155 climate change, environmental, and agriculture policies in Tanzania and Uganda “found increasing integration of gender dimensions in policy in both countries, although [it] discovered an insufficient attention to structural causes of gender inequality, with gender issues often being equated to ‘women’s issues’; and limited budget allocations for gender (if at all) that varied across the different financial years analysed”.<sup>93</sup>

### *2.2.2 Translation of GESI and climate policy and practice*

While GESI considerations are increasingly found to make their way into climate change policies across different levels of environmental governance, questions remain as to whether or not this integration leads to meaningful changes towards gender equality ‘on the ground’. For example, “although reference to gender increasingly appears in these policy frameworks, a significant gap remains regarding the implementation of these policies”.<sup>94</sup> Indeed, “while there has been gradual progress on gender mainstreaming in global climate policy, results continue to be uneven”.<sup>95</sup> Concerns thus exist that there is a major GAP between GESI rhetoric and GESI action and that policy actors across scale are failing to implement their stated GESI requirements and ambitions.

Further, several studies reviewed assert that climate change policies are treading into essentialist territory by (re)producing simplistic and stereotypical narratives that dichotomize ‘men’ versus ‘women’. As a result, these policies effectively render invisible the variety of vulnerabilities and adaptive capacities/needs/preferences of different groups of people.<sup>96</sup>

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<sup>89</sup> Huyer et al. (2020, p. 577).

<sup>90</sup> See also the report “Advancing Gender-Responsive Climate Action Through National Adaptation Plan (NAP) Processes” by Angie Dazé (2020). This report highlights both challenges and opportunities that countries face in taking a gender-responsive approach to their NAP processes.

<sup>91</sup> Gumucio and Tafur Rueda (2015, 53, 54), in Huyer et al. (2020, p. 577).

<sup>92</sup> Acosta et al. (2019), in Huyer et al. (2020, p. 577).

<sup>93</sup> Ampaire et al. (2020), in Huyer et al. (2020, p. 577).

<sup>94</sup> Mcleod et al. (2018, p. 183).

<sup>95</sup> Huyer et al. (2020, p. 576).

<sup>96</sup> Ampaire et al. (2020); Lau et al. (2021); and Huyer et al. (2020).

More than essentializing women and men's vulnerabilities and adaptive capacities, scholars stress that many climate change policies reproduce discourses which frame women as de facto vulnerable to climate change. For example, because climate change policies in Tanzania and Uganda subjected women as vulnerable to climate change, these policies failed to pay attention to different groups of men's vulnerabilities and their adaptive capacities.<sup>97</sup> Thus, scholars are questioning the extent to which said climate policies are capable of addressing structural causes of gender inequalities.<sup>98</sup>

### *Recommendations for CLARE*

- Prioritize research projects that seek to better understand how GESI integration into both global and national climate change adaptation policies leads to meaningful changes towards gender equality 'on the ground'.
- Take note of policy research and gender mainstreaming literature and insights on how policy making and implementation are inherently contested processes, and how institutions and institutional processes are sites of struggle and contestations.<sup>99</sup>
- Make note of policy-focused research that explores how CCA policies address intersectionality as well as social issues 'beyond' gender, such as issues related to men and masculinity and disability.

## 2.3 Critical gaps in GESI and climate change research

Above we demonstrated advances in the existing diverse body of knowledge on GESI and climate change and adaptation. Still, critical gaps remain in the following three spheres of climate change adaptation research. These gaps are visible across all five sectors discussed above, and also in policy research at different levels. The gaps are:

- **Knowledge production:** the representation, distribution of resources to and recognition of different knowledges, voices and epistemologies in climate adaptation research.
- **Framing:** the ways that GESI considerations are framed in climate change adaptation research.
- **Who gains and who loses:** knowledge on how costs and benefits of both climate change and climate change adaptation policies and interventions are distributed amongst different groups of people.

Figure 7 summarizes these gaps. They overlap and are inherently linked. Taken in isolation or together, they offer important pointers to opportunities for CLARE to invest in more impactful research.

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<sup>97</sup> Ampaire et al. (2020).

<sup>98</sup> Huyer et al. (2020).

<sup>99</sup> There is a wide body of literature on lessons learned and critical reflection on gender mainstreaming strategies, policies and practices, calling for recognition and rethinking of policy making and institutional change as political processes of resistance, contestation and struggle. (see for instance: Roggeband 2014; Eerdewijk & Davids 2014; Davids & Van Eerdewijk 2016; Eerdewijk 2016, amongst many others)

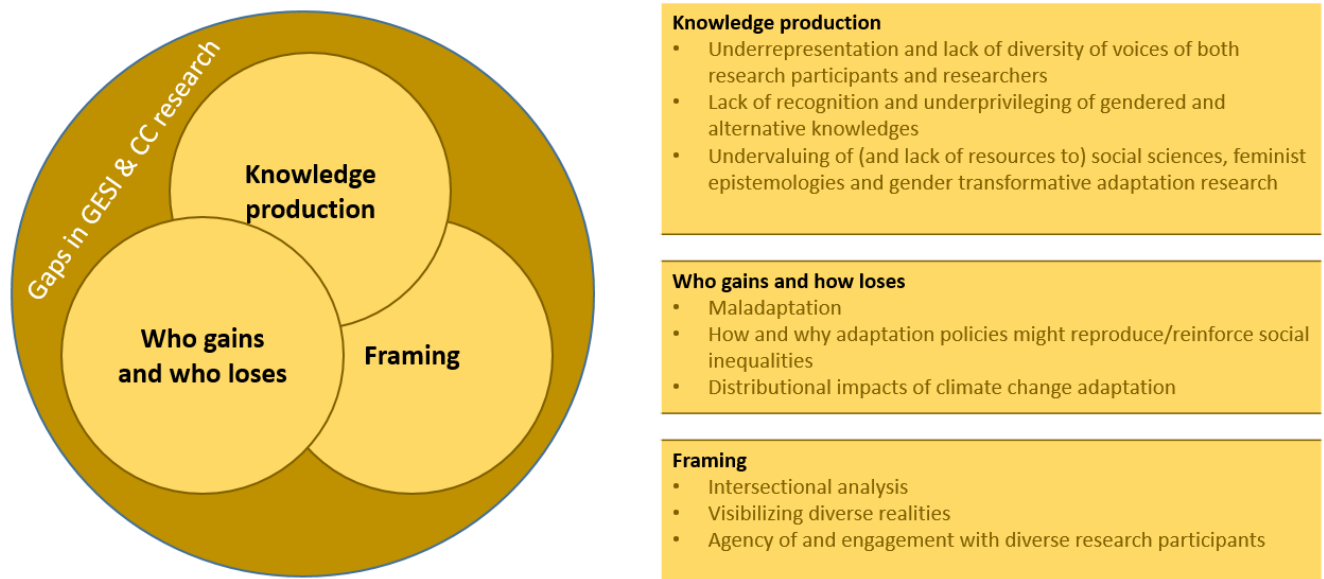


Figure 7: Critical gaps in GESI and climate change research

### 2.3.1 Knowledge production

While most scientists don't deny that anthropogenic climate change is real and has material consequences, critical scholarship argues that there is a need to interrogate the social and political forces that shape dominant understandings of what climate change is and why it matters.<sup>100</sup> For example, in their effort to (re)politicize climate change science, feminist scholars bring to view the interconnections between knowledge and power, and they question the explicit and implicit language, values, judgements and contestations that 'sets the stage' for how climate change is framed and addressed. There is a critical gap in terms of 'whose knowledge', 'whose voices' and 'which sciences' count in knowledge production of what constitutes different groups of people's vulnerabilities and adaptive capacities. "To respond to sustainability and equity challenges, the research community as well as decision makers need to engage with the diversity of voices and forms of knowledge of multiple social agents. Additionally, they have to bridge diverse theories, approaches and disciplines [...] that can lead to more suitable solutions in the face of unprecedented global changes".<sup>101</sup>

*Whose voices?* Too often, the voices of marginalized groups – e.g., women, non-binary people, people with disabilities, and people of different races - are not **represented** in climate change research. For example, research across geographies and related to different sectors and interventions areas (i.e., CSA, forest management, REDD+, MPA etc.) primarily focuses on men's preferences over those of

<sup>100</sup> Eriksen et al. (2015).

<sup>101</sup> Ravera et al. (2016, p. 237).

women's.<sup>102</sup> The implications for climate adaptation policy and programming are severe: “women will remain largely information-starved and neglected by service-providers and development interventions unless their differencing needs, preferences and constraints are considered right from the beginning”.<sup>103</sup> Moreover, scholars note a geographical unevenness in climate change research with the majority of studies on agriculture interventions focusing on sub-Saharan Africa, whereas much of the forestry literature centers on South Asia, and the fisheries literature on Southeast Asia. Latin America and the Caribbean are broadly absent.<sup>104 105</sup> Several scholars thus stress the need for transdisciplinary research approaches to ensure that all relevant groups are involved at every step of the (research) planning process to ensure real inclusion and deliver social and gender transformative adaptation.<sup>106</sup>

The question of whose voices are **represented** in climate change research also relate to who the researchers are. In April 2021, Reuters launched “The Hot List” of 1000 influential scholars in climate science<sup>107</sup>. The list identifies and ranks climate academics according to how influential they are, exploring not only their research but also how their work influences other scientists and the public, activists and political leaders. Only 122 of the people on the list are women, and only 111 on the list are based in institutions in countries of the Global South, of whom 88 are from China. Not a single scholar on the list is based at an African institution outside of South Africa<sup>108</sup>. These figures

“reflect several academic biases that interfere with our ability to undertake equitable and impactful research on climate and development challenges [...] gender biases in funding are significantly more explicit in the physical sciences than in social sciences (Boyle et al., 2015) and there are more men in STEM subjects than women. Despite there being more women in academia than 60 years ago, gender differences have increased in terms of both productivity and impact (Huang et al., 2020) [...]” If telling us anything at all, the ranking reveals the unequal research conditions in the Global South”.<sup>109</sup>

These harsh realities of a male-dominated and North-centred composition of this particular ‘Hot List’ prompted a call to action to confront the significant inequity in academia through systemic changes in the way we publish and cite academic contributions.<sup>110</sup>

*Whose knowledge?* The knowledge of those whose voices are not represented in climate change research is often not **recognized** either. For example, indigenous women’s crucial knowledge about how to protect forests by whom and through which measures, generally is invisible in research on climate change, forest development and REDD+.<sup>111</sup> To address this gap, an intersectional gendered approach is

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<sup>102</sup> Call and Sellers (2019)

<sup>103</sup> Kristjanson et al. (2017, p. 496).

<sup>104</sup> see e.g. review of Call and Sellers (2019).

<sup>105</sup> Language barriers might play into this geographical unevenness, especially when reviews focus on English publications.

<sup>106</sup> IDRC (2020); Ravera et al. (2016); Ziervogel (2019); Resurrección (2019); Greene (2020).

<sup>107</sup> It is worth noting that the field of ‘climate science’, as referred to by “The Hot List” is broader than the field of research that this scoping study refers to as ‘climate change adaptation’.

<sup>108</sup> Schipper et al. (2021).

<sup>109</sup> Schipper et al. (2021, p. 1).

<sup>110</sup> Schipper et al. (2021, p. 1).

<sup>111</sup> Mcleod et al. (2018); Löw (2020).

needed which “identifies, recognizes and strengthens the knowledge of indigenous women that is related to specific local conditions of life – without describing it as fixed, closer to nature”.<sup>112</sup> Privileging gendered and alternative knowledge in climate change research, implies moving beyond a focus on women as vulnerable and victims “to analyze the significance of the active roles of women in their efforts to adapt to and mitigate effects of climate change through their collaborative actions, situated knowledge and embodies practices”.<sup>113</sup> This means focusing on how differences in access to and control over resources, decision making power, division of labour and caregiving tasks define gender relations and gendered knowledge that affect adaptive capacities.

Another gap in the **recognition** of legitimate knowledge and insights is also reflected “in the persistence of inequitable partnerships and colonial models of scientific practice, where researchers from the Global North often claim senior authorship rights, and researchers from the Global South are relegated to the status of local researcher assistants and data collectors”.<sup>114</sup>

*Which sciences?* The undervaluing of social science in climate change research is indeed substantial. Between 1990 and 2018, the natural and technical sciences received around 770% more funding than the social sciences and humanities for research on climate change (both research on mitigation and adaptation).<sup>115</sup> This conclusion is based on an unprecedented analysis of research grants from 333 donors around the world spanning 4.3 million awards with a cumulative value of USD 1.3 trillion from 1950 to 2021.<sup>116</sup> This review did not analyze the **distribution** of funding to GESI or gender research. That said, in 2016, UNDP analyzed worldwide project funding from this perspective and concluded that only 0.01% addressed both climate change and women’s rights.<sup>117</sup>

These gaps in knowledge production, and the related critical questions offer a basis to the **recommendations** developed and presented in chapter 3 on entry points for GESI integration into CLARE. The questions concerning whose voices, whose knowledge and which sciences point to the need to not only be intentional in *what* research to fund and conduct, but also *how* to do so. These questions resonate with CLARE’s ambitions in research for action, strengthening capacities and inclusive partnerships, and catalyzing new coalitions of diverse actors, amongst others, and provide direction to GESI integration considerations in the research funding cycle as well as program-wide functions.

### 2.3.2 Framing

As demonstrated throughout this report, one important impediment to meaningful and effective integration of GESI in climate change adaptation research is the way that GESI considerations are framed in relation to adaptation (and mitigation) measures. Indeed, the ways in which both climate change and climate change adaptation are framed influence the questions that are asked, what kinds of knowledge that is produced and what types of interventions are promoted. Poorly framed climate change research risks conflating and misrepresenting different groups of people’s vulnerabilities and adaptive capacities (as well as the solutions to how to reduce vulnerabilities/strengthen adaptive capacities). Further, such

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<sup>112</sup> Löw (2020, p. 94).

<sup>113</sup> Ravera et al. (2016, p. 237).

<sup>114</sup> Schippers et al., 2021, p. 1).

<sup>115</sup> Both research on mitigation and adaptation, as well as research on new technologies, institutional designs and on climate and impacts science

<sup>116</sup> Overland and Sovacool (2020)

<sup>117</sup> (2016).



research risks reinforcing pre-existing social inequalities and social hierarchies rather than opening the possibilities for adaptation research and policies to transform unequal gender relations (see Box 8).

**It is recommended** that CLARE steps away from essentialist understandings of gender in climate change research, policies and programs and that CLARE takes a critical stance against adaptation research and policies (re)producing simplistic and stereotypical narratives that dichotomize ‘men’ versus ‘women’. By promoting a more nuanced understanding of GESI in the context of CCA, CLARE can actively demystify misconceptions about gendered vulnerability and adaptive capacities. Moreover, this stance enables CLARE to render visible the variety of vulnerabilities and adaptive capacities/needs/preferences of different groups of people.<sup>118</sup>

Additionally, **it is recommended** that CLARE should be careful in ‘framing’ of women as especially vulnerable to climate change or as more environmentally conscious in their adaptation efforts than men, particularly when little or no data supports this claim.<sup>119</sup> This subjectification of *women* risks misconstruing different groups of women and men’s everyday lived experiences, livelihood struggles and adaptive needs/preferences. As a result, women’s agency is overshadowed as is the potential of men to contribute to gender equality in the context of a changing climate.<sup>120</sup> Moreover, by reproducing essentialist and ‘women as vulnerable’ narratives, both climate change research and policies (supported by CLARE) risk reproducing/reinforcing social inequalities ‘on the ground’.

#### **Box 8: Power struggles at the level of climate change adaptation discourse and practice**

The introduction of improved cooking stoves and water reservoirs as ‘gender-smart’ and ‘climate change-smart’ adaptation technologies reproduced unequal gender power relations in rural Nicaragua. The cultivation of the discourse of the ‘vulnerable but environmentalist women’ in a climate change adaptation project reinforced traditional gender roles and increased women’s work burden as climate change adaptation was promoted as part of their reproductive roles. In effect, the adaptation technologies introduced mainly served the interest of men as their chores were eased and unequal gender power relations not challenged. Gonda suggests that an alternative vision of the transformative role of gender could have made visible the resistance of women to being framed as vulnerable and willing to accommodate traditional gender roles and could have shown examples of positive deviance of some men. What is more, such vision could have opened up space for project support to ongoing changes in gender roles otherwise overlooked by the project. And in turn, the probability of project contributions to climate change adaptation and gender equality could have been increased.<sup>121</sup>

Scholars are also increasingly drawing attention to the conceptualization of intersectionality and calling for a deeper interrogation of power in the convergences of social, ecological, and economic dimensions of climate change<sup>122</sup>. Still, intersectional analysis of socio-environmental/climate change issues remain understudied.<sup>123</sup> For example, age and ethnicity are often included as categories and explanatory variables in the literature rather than as a determinants of social exclusion and inequality. Other realities

<sup>118</sup> Gonda (2016); Ampaire et al. (2020); Lua et al. (2021); Huyer et al. (2020); Singh et al. (2021).

<sup>119</sup> IDRC (2020); Huyer et al. (2020).

<sup>120</sup> Ampaire et al. (2020).

<sup>121</sup> Gonda (2016).

<sup>122</sup> Eriksen et al. (2015); Djoudi et al. (2016); Thompson-Hall et al. (2016); Huyer and Gumucio (2020); Jerneck (2018); Chaplin (2019); Löw (2020).

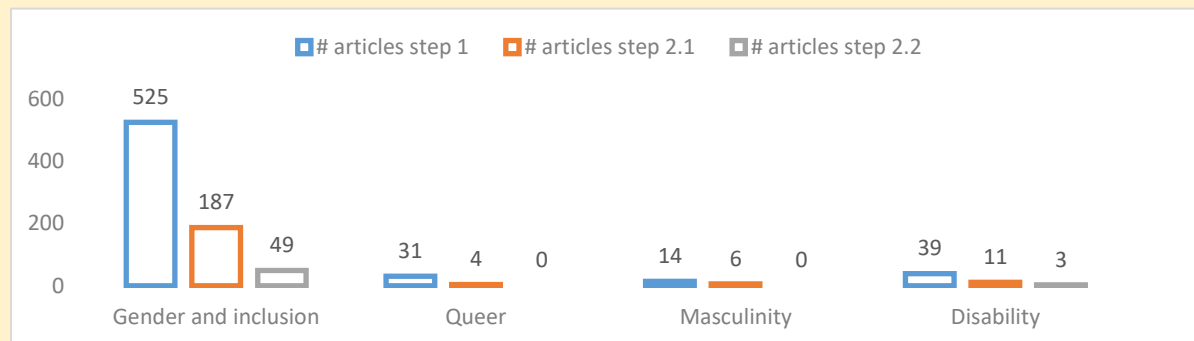
<sup>123</sup> Ravera et al. (2016)

- i.e., those of non-binary people, people with disabilities, indigenous people, and people of different races - are nearly invisible in the existing GESI and climate change knowledge base. The investigation of how masculinity frames men and boy's vulnerabilities and adaptive strategies is also a critical gap<sup>124</sup> (see Box 9).

**It is recommended** for CLARE to advance the use of intersectional conceptualizations of GESI throughout both its programme and research funding cycle. This conceptualization offers a more power-sensitive strand of thinking, which disputes predefined categories. It instead positions people in the context of the interplay between social relations of power and social institutions, and sheds light on how this interplay produce and sustain unequal vulnerabilities to the impacts of climate change and unequal adaptive capacities.

**It is further recommended** that CLARE should be mindful of the limitations of 'additive approaches' to intersectional analyses. Rather, CLARE should actively promote and employ an intersectionality lens that explores how different social positions and forms of discrimination - based on class, age, ethnicity, and disability etc. – *intersect* to affect climate realities.<sup>125</sup> An intersectionality lens with its focus on power dynamics and people's agency links directly to actions development actors can undertake in support of the people most affected by climate change's multiple dynamics.

**Box 9: Which social positions are addressed in research on GESI and climate change?**



The scoping review found that few articles consider how people's vulnerabilities and adaptive capacities are intertwined with structures of domination beyond that of gender. The graph above illustrates the result of searches for articles in Scopus based on four search strings of this report's literature search (see details Annex 1). Only four out of 208 hits (from step 2.1, in the orange columns) explicitly addresses consider sexual minorities, and only 11 address how people with disabilities are impacted by climate change or targeted by climate change adaptation programs. Also, only six articles investigate how masculinity frames men and boy's vulnerabilities and adaptive strategies.

<sup>124</sup> Ravera et al. (2016); Gaskin et al. (2017); Mcleod et al. (2018); Löw (2020); van Daalen et al. (2020).

<sup>125</sup> Djoudi et al. (2016); Ravera et al. (2016); Thompson-Hall et al. (2016); Call and Sellers (2019).

### 2.3.3 Who gains and who loses?

A final gap pertaining to research on the GESI and climate change nexus are critical considerations of the risks and consequences of *adaptation* measures in people's everyday lives. Several studies reviewed stress the importance of exploring how and why adaptation policies might reproduce and reinforce social inequalities 'on the ground'. Adaptation policies and research projects are enmeshed in matrices of difference, social relations and institutions, with contradictory effects on power, vulnerabilities and adaptive capacities. What is seen as positive and beneficial adaptation by some may be experienced as maladaptation by others.<sup>126</sup> In other words, what counts as 'appropriate' climate change mitigation and adaptation is always political and contested.<sup>127</sup>

The concept of 'maladaptation' is increasingly used by scholars to describe the negative effects of introducing climate change adaptation initiatives without an understanding of how these initiatives are shaped by, and entangled in, context-specific gender and social dynamics<sup>128</sup> (See Box 10). Publications warn about the maladaptive effects of ignoring inequalities in climate adaptation research and programs. For example, attention is drawn to the new and old social exclusions that come about due to "the (re) masculinization and elite capture of new opportunities under the aegis of the green economy through climate change programs such as carbon markets and industrial agriculture".<sup>129</sup>

Still, the conceptual work on maladaptation is yet to translate into a significant body of empirical literature on the distributional impacts of real-world adaptation activities.<sup>130</sup> Thus, concerns about 'maladaptation' and vulnerability redistribution do not significantly influence the way adaptation choices are made or evaluated by policy makers, project planners or international funds.

**It is recommended** that CLARE advances the knowledge base on maladaptation. In particular, CLARE should encourage research project to carefully consider how unequal gender relations and norms might lead to maladaptation in the sites where the research projects are being implemented.

#### **Box 10: Climate change adaptation policies can (re)produce social inequalities**

Current feminist scholarship stress that climate change mitigation and adaptation policies have tended to ignore entrenched social injustices and livelihood struggles related to gender, race, disability and caste, for example<sup>131</sup>. This is alarming considering that 'socially blind' climate policies are found guilty of (re)producing social inequalities and problematic social hierarchies. Poorly informed climate change adaptation research therefore risks diminishing different groups of people's capacities and opportunities to benefit from adaptation interventions and to cope with and manage the impacts of climate change in their everyday lives.

<sup>126</sup> Taylor (2013); Gonda (2019).

<sup>127</sup> Eriksen et al. (2015); Singh et al. (2021).

<sup>128</sup> Magnan et al. (2016); Gonda (2016); Resurrección et al. (2019)

<sup>129</sup> Resurrección et al. (2019, p. 35).

<sup>130</sup> Atteridge and Remling (2018).

<sup>131</sup> See for example, Eriksen et al. (2015) and Gonda (2019).

## 2.4 Potential GESI outcomes and impacts of climate change research

Earlier sections speak to the increasing acknowledgement of the importance of GESI integration in work aimed at addressing climate change. Still, more deliberate efforts are needed to fulfil the potential of climate change research to contribute to different levels of GESI outcomes/impacts. Indeed, the evidence is growing not just in terms of persistent inequalities, but also in terms of missed opportunities to improve GESI development outcomes.

Figure 8 presents a framework of GESI outcomes/impacts that climate research can aim to contribute to. GESI outcomes/impacts are defined as different levels of outcomes and impacts that people experience as positive contributions to their well-being and empowerment, and critical steppingstones to social and gender transformation. Serving as a heuristic, the framework illustrates the relationships of GESI outcomes and impacts with different intensities of change, differentiating between incremental and transformational change.<sup>132</sup>

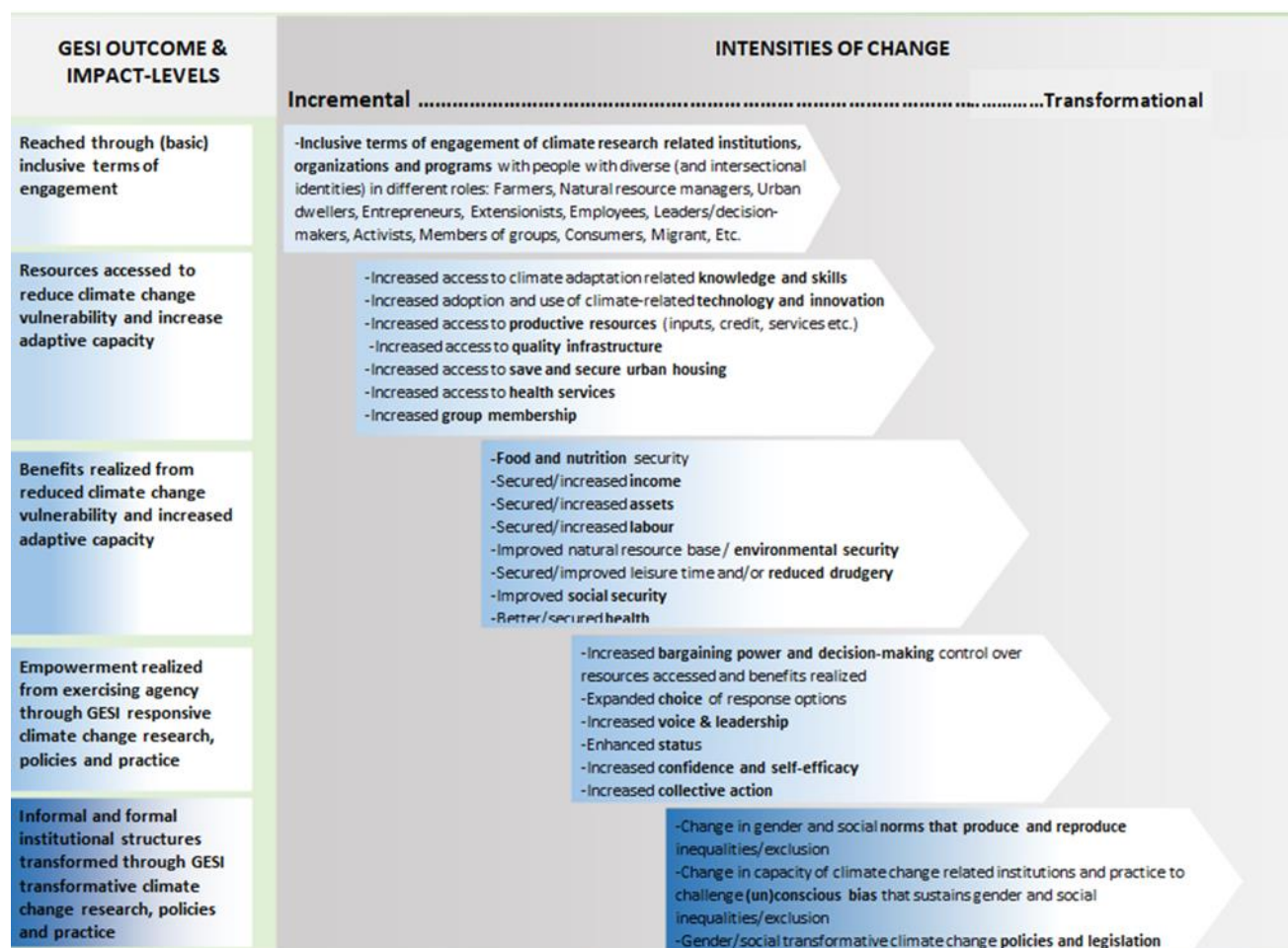


Figure 8: GESI outcomes framework

<sup>132</sup> Lonsdale et al. (2015).

With **incremental changes**, we refer to climate change adaptation research which:

- focuses on current conditions and discrete, short-term changes
- implies specific controllable GESI outcomes
- seeks to operate within the status quo to maintain and/or increase efficiency of existing structures

With **transformational changes**, we refer to climate change adaptation research which:

- focuses on future, long-term institutional change
- works towards GESI outcome/impact more open ended and less controllable
- addresses power imbalance and the causes of social injustice to induce a step change /radical shifts of institutional structures.

The aim of the framework is to inspire CLARE and other climate change research programs to reflect on what level of change climate change research can and should aspire to contribute to. The framework further demonstrates that CLARE can be more deliberate in directing climate change research to be GESI outcome/impact focused – and eventually contributing more to social and gender transformative change.

More gender transformative research is especially relevant for climate research that informs adaptation policies and interventions to ensure that not only bio-physical and technical dimensions of climate change are addressed but also gender and social inequalities.<sup>133</sup> Social science research, and gender transformative research in particular, can play a significant role in shaping how diverse actors respond to climate change as it opens up for critical explorations of how adaptation policies and projects are enmeshed in unequal social relations and institutions, with contradictory effects on power, adaptive capacity and vulnerability. In other words, it shifts the direction and emphasis of analysis and sees “adaptation as part of sociopolitical processes involving relations, contestations, negotiations and cooperation at multiple scales, from the individual to that of international negotiations”.<sup>134</sup>

**It is recommended that CLARE moves beyond ‘sensitive’ or ‘accommodative’ climate change adaptation research towards gender- and social transformative research.**<sup>135</sup> The latter explicitly seeks to engage with, challenge and disrupt underlying social, political, and economic structures that compromise local livelihoods and add to the climate vulnerabilities of those already burdened by intersecting inequalities.

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<sup>133</sup> Jerneck (2018); Deering (2019); Resurrección et al. (2019).

<sup>134</sup> Eriksen et al. (2015, p. 526).

<sup>135</sup> Ravera et al. (2016); Resurrección (2019); Huyer and Gumucio (2020); Löw (2020).

## Chapter 3 – Entry points for GESI integration into CLARE

This chapter shifts the attention to the second question of this scoping study, and engages with how to **effectively and practically integrate GESI into CLARE’s program and research design**. It builds on the key premise of chapter 2 that climate change adaptation research is not apolitical, and seeks to engage with the critical gaps and take forward the GESI typology presented there. This chapter is built up as follows:

- In section 3.1.1., a programme-level GESI strategy for CLARE as a research funding programme is grounded in existing ambitions articulated in its Theory of Change as well as commitments from funding partners.
- Key elements of a programme level GESI strategy are presented and discussed in sections 3.1.2 and 3, after which specific entry points for GESI integration are identified in section 3.1.4.
- These five entry points are then discussed in more detail in the remainder of the chapter.
  - Section 3.2: the call for proposals phase
  - Section 3.3: proposal selection
  - Section 3.4: capacity strengthening
  - Section 3.5: synthesis and learning on knowledge gaps
  - Section 3.6: monitoring, evaluation and learning.

The reader will notice the boxes with *illustrative examples* that support and provide background to the presented recommendations. The chapter also contains many *forward and backward references* to sub-sections; these references are provided to support the reader in seeing how the recommendations are interconnected and interrelated, and how directions set out earlier on translate and offer a basis for steps taken later on and further down the line.

### 3.1 GESI objectives and CLARE strategy

#### 3.1.1 Strategic objectives GESI

A first step in identifying entry points for GESI integration, is to look at what ambitions and objectives have been articulated on gender equality and social inclusion so far. This sub-section explores this by first looking at GESI in the Theory of Change of CLARE. It then highlights the gender equality and/or social inclusion commitments and ambitions of CLARE core partners: FCDO and IDRC. This is followed by an articulation of what the role of a research funding programme is in promoting inclusive and transformative programming. These three cornerstones provide a basis for a next discussion, in section 3.1.2, on the key elements of the GESI strategy.

#### *GESI in CLARE’s Theory of Change*

The first starting point to identifying, understanding and articulating the GESI integration objectives of CLARE is to look at the CLARE’s **Theory of Change**.<sup>136</sup> This TOC provides several clear positions and ambitions with respect to the promotion of gender equality and social inclusion (see Annex 4, with selected key points).

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<sup>136</sup> CLARE Theory of Change, version September 9, 2020.

The TOC does clearly articulate GESI aspects in relation to all four<sup>137</sup> outputs (1. Actors, 2. Capacity, 3. Knowledge and 4. Decision-support):

- ✓ Firstly, CLARE aims to develop **knowledge and evidence** that supports adaptation and resilience of the most vulnerable and promotes social inclusion; this implies research that *purposively promotes* GESI, and includes *transformative* research that promotes GESI (see: problem statement, objective #4, assumptions #2, input #2, and output #1).
- ✓ Secondly, social inclusion and GESI are key considerations with respect to evidence-based **decision-making and climate action**, in a way that increase *resilience of the most vulnerable*, that *reduce barriers* for vulnerable populations, and *promote GESI* (objective #2, outcome #3, outcome #4).
- ✓ Thirdly, this entails enhanced **capacities** for research, for leadership, for climate action, and for evidence-based choices that are *socially inclusive*, along the value chain, and that *include the most vulnerable* communities as key stakeholders (input #1, output #4, short-term outcome #2).
- ✓ Fourthly, that CLARE seeks to catalyse and strengthen **new coalitions of diverse actors** to support climate action, and that these new coalitions *include members of under-represented and marginalized groups* (input #3, input #4 and output #3).

The GESI positioning and ambitions that come to the fore in these are (a) to purposively promote gender equality and social inclusion, (b) with a specific concern for and focus on the most vulnerable, (c) in ways that reduce barriers for vulnerable populations, and (d) and in ways that recognize and include most vulnerable communities and under-represented and marginalized groups as key stakeholders.

Acknowledging these clearly articulated GESI positions and ambitions across CLARE's outputs, it is recommended to strengthen the TOC by more consistently and coherently integrating GESI aspects. This can be done by taking into account (see also Annex 4):

- That the TOC sometimes speaks to social inclusion, sometimes to gender equality and sometimes to both, and at other moments refers to 'vulnerable' or 'marginalized'.
- How to strengthen the integration of GESI in all parts of the TOC: the problem statement is very explicit about GESI, and the assumptions also refer to GESI. Some of the inputs and some outcomes address gender equality and/or social inclusion. The other parts of the TOC do not reflect GESI consistently.
- To further articulate the links are between gender equality and social inclusion, and how references to social inclusion could/should/can entail gender equality and intersectionality.

### *IDRC & FCDO commitments*

These GESI ambitions and objectives of CLARE resonate with IDRC's **outcome and impact oriented** ambitions on gender equality and social inclusion: to improve programme impact, to strengthen thought

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<sup>137</sup> These also resonates with IDRC's strategic intent in GEI programming: "Our strategic intent is the need to mainstream gender and intersectional analysis in all our research, generate evidence on what works to achieve gender equality and inclusion, build capacities especially in the global south to work on gender equality and inclusion and work with multiple partners to scale impact" (IDRC Gender Equality and Inclusion Programming Framework, January 2021, para 1.4, p. 11).

leadership in gender focused research, by ‘more inclusive and transformative’ programming.<sup>138</sup> These sit within the focus in the *IDRC Strategy 2020-2030* to focus on research outcomes that “fill knowledge gaps, contribute to positive change, and promote gender equality and inclusion”.<sup>139</sup> For the Climate resilient food systems program, the intended outcome is that “communities living in climate hotspots are more resilient and healthy, and have access to sustainable and inclusive food systems”.<sup>140</sup>

CLARE’s GESI ambitions also resonate with FCDO’s Strategic Vision that ‘girls and women enjoy their rights and contribute to their country’s growth and economy, shape their communities and their countries’ futures’. FCDO approaches gender equality in terms of economic and political empowerment. This involves leadership and participation in decision making at all levels, as well as economic opportunities and empowerment. In terms of climate change specifically, the Strategic Vision commits (1) to protect and empower girls and women in conflict, protracted crises and humanitarian emergencies, and to rebuild their lives and societies, by listening to their needs and by increasing the meaningful and representative participation and leadership of women; and (2) to *integrate gender equality in all our work across the board and track delivery through to results* on jobs, trade, tax systems and the world economy; new technologies; modern slavery; climate change; nutrition; tackling AIDS; infrastructure; and peace agreements.

### *Roles for research funders in promoting inclusive and transformative programming*

As a research funding programme, the GESI ambitions ask for clear positioning of CLARE’s **role** in promoting more inclusive and transformative programming. Three aspects<sup>141</sup> can serve as guiding principles to that positioning, and serve as a basis for GESI integration into CLARE:

- **Beyond a gender only focus:** As a research funder, CLARE can show commitment and leadership to ensuring that gender equality and social inclusion are core features that make climate change research of highest quality and relevance. This entails a commitment to go beyond a focus on gender only, and to commit to diversity and inclusion being reflected in the framing and design of research and translated into methodologies and analysis, in such a way that the uptake of research results and findings will benefit everyone. Equal outcomes require understanding of social relations, structures, hierarchies and inequalities in climate change and action; these social relations and inequalities are shaped by gender in its intersections with other social factors (Box 11, and Conceptual Foundations, in Chapter 1).<sup>142</sup>

#### **Box 11: Gender as an entry point and not as a silo**

Gender concepts and analysis can offer a useful entry point for understanding different groups of people’s climate risks and vulnerabilities. However, gender alone cannot explain the complex and intricate relationships between social difference, marginalization and environmental change. *“Gender is one of many factors that influence how people are impacted by climate change. How people experience and respond to risk varies depending on factors like age, ethnicity, gender and class. Elucidating such nuances requires evidence, to inform decisions about risk reduction strategies and*

<sup>138</sup> IDRC *Gender Equality and Inclusion Programming Framework* (GEI PF) (version January 2021, p. 2).

<sup>139</sup> IDRC GEI PF (version January 2021, para 1.3, p. 9).

<sup>140</sup> IDRC GEI PF (version January 2021, para 1.3, p. 9).

<sup>141</sup> IDRC GEI PF (version January 2021, para 1.2, p. 3).

<sup>142</sup> Integration of inclusion in programming, beyond a gender only focus, featured as one of three improvement points that IDRC identified based on a scan of publicly documentation of research funders (IDRC GEI PF, para 1.2).



*adaptation options with data on who is most vulnerable, how people respond, and what needs to be done. Effective adaptation eschews universal solutions, and embraces the reality of specific peoples and places” (CARIAA<sup>143</sup>).*

A GESI approach that combines **gender analysis** with an **intersectionality** lens makes CLARE well placed to steer away from simplistic narratives of ‘women’s’ and ‘men’s vulnerabilities and adaptive needs. It counters tendencies that isolate gender from the ways race, ethnicity, class, age (and other social markers of difference or systems of oppression) shape and sustain unequal social relations. Such tendencies risk that climate change research (re)produce simplistic and essentialist narratives that dichotomize men versus women. Doing so, these research projects might accidentally render invisible the variety and complexity of vulnerabilities and adaptive capacities, needs and preferences of different groups of people. A commitment to gender equality and social inclusion allows CLARE to take a leading role in moving away from gender as a silo, to using gender and intersectionality as key entry points to encourage and enable socially inclusive and sustainable climate change research and action.

- **Transformative:** As a research funding programme, CLARE should commit to integrating GESI into climate change research in a way that underlying causes of gender and social inequalities are addressed - in particular societal (gender) norms, institutional inequalities, unequal behaviours and practices, and organizational practices. This means for CLARE to support transformative research. As a research funding framework, CLARE is in a position to create preconditions that can promote and strengthen the practice of gender-transformative research.<sup>144</sup> Transformative research “addresses barriers experienced by the most vulnerable” (TOC assumptions, p. 3), and “tackles the root causes of inequality (such as the social norms that hold gender inequality in place)” (TOC, Annex C, definitions, p. 18). It acknowledges both the systemic and agency dimensions of change, and that both formal and informal power need to be addressed (see Box 12).

#### **Box 12: Transformative research**

Transformative research is concerned with removing **structural** barriers to access and control over resources. It addresses formal and informal barriers; these includes formal structures (policies, legal frameworks, institutions and programming) as well as informal ones (in particular social norms, behaviours and relations of gender) that perpetuate inequalities. Transformative research seeks to catalyze **agency** (individual, institutional and collective), and promotes leadership of women and marginalized groups. It is focused on generating evidence on reducing inequities, **lasting and systemic change** in structures and leadership, and on what works to achieving GESI.<sup>145</sup>

GESI transformative research can build on and expand the definition of gender-transformative research as ‘research that aims to promote gender equality and to empower women and girls—not just for individual self-improvement, but to transform gender power dynamics and structures at the community and societal levels’. It is focused on gender-transformative **change** that ‘strives towards changes that address the root causes of gender inequality, moving beyond the individual to the structural’.<sup>146</sup>

- **Throughout the funding and research cycle:** As a funder, CLARE should be explicitly committed to integration GESI throughout the research programme and cycle, from the early stages of research to its eventual uptake. This means to effectively integrate GESI in (a) the framing of problems themselves, (b) the design of research and methodologies, and (c) uptake and scaling of research results in inclusive and equitable ways.

<sup>143</sup> CARIAA Novel Insight Brief: Gender and Social Inclusion, p. 5.

<sup>144</sup> Mullinax et al. (2018); Resurrección et al. (2019).

<sup>145</sup> IDRC *Gender Equality and Inclusion Programming Framework* (GEI PF) (version January 2021, para 1.4, p. 10-12).

<sup>146</sup> Mullinax et al. (2018, p. 4).

### 3.1.2 GESI Strategy for CLARE

Against the strategic GESI objectives and CLARE roles that lay an initial and yet strong foundation for GESI integration into CLARE, this sub-section focuses on the foundational elements for a GESI strategy. It firstly discusses the advantages of a programme level GESI strategy. It then continues with highlighting the key elements of a CLARE GESI strategy.

#### *A programme level Gender Equality and Social Inclusion Strategy*

It is strongly recommended for CLARE to develop, implement and monitor a **programme level Gender Equality and Social Inclusion Strategy**. With a programme level strategy, a strategic approach to GESI integration can be articulated and designed in a consistent and coherent way. The advantages of a programme level CLARE GESI Strategy include that it:

- calls and allows for *aligning* and *tailoring* GESI objectives and strategies to the field of climate change research.<sup>147</sup>
- allows for considering and addressing both the research process and the organizational process of a research funding programme. That is, for considering and addressing both *research design* and *program design* dimensions.<sup>148</sup>
- provides a vision on GESI in climate change research, and a roadmap towards its implementation and to achieving envisioned GESI outcomes.
- contributes to ensuring *consistency* in GESI integration ambitions, strategies and outcomes across *multiple CLARE calls* (in e.g. conceptualizations of calls, the assessment process, and reporting requirements and guidelines) as well as over the research funding cycle.
- contributes to ensuring that GESI integration is considered, explicitly articulated and effectively integrated *from the start*, of both the funding and the research cycle.
- is vital to forming “a basis for an *ongoing learning agenda* about gender equality and social inclusion”.<sup>149</sup>

Because a programme level GESI strategy relates to both research and program design elements, it is recommended for a CLARE GESI Strategy to function in a **matrix-like way intersecting** with other CLARE strategies, for instance on research commissioning, knowledge management and capacity strengthening. This means, a CLARE GESI Strategy both (a) sets GESI objectives, strategies and monitoring mechanisms, and (b) includes sections on these other programme strategies<sup>150</sup>, and addresses how GESI is integrated effectively and practically into those.

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<sup>147</sup> A programme level GESI Strategy follows IDRC’s GEI PF that “every program has “a gender approach aligned with the nature of their field, interventions and types of research and that aligns with their outcomes” (IDRC *Gender Equality and Inclusion Programming Framework* (GEI PF) (version January 2021, para 2.1, p. 13). It resonates with FCDO’s commitment to *integrate gender equality in all our work across the board and track delivery through to results* on, amongst others, climate change.

<sup>148</sup> Program design and research design were explicitly mentioned in the original ToR for this GESI integration Scoping Study (see also sub-section 3.1.4).

<sup>149</sup> IDRC *Gender Equality and Inclusion Programming Framework* (GEI PF) (version January 2021, para 1.4, p. 10).

<sup>150</sup> And these sections on GESI on other programme strategies are then also reflected and found in these respective strategies. For example, the GESI Strategy includes a section on GESI in Capacity Strengthening, and the programme Capacity Strengthening includes (the same) section on GESI in Capacity Strengthening.

### Key elements in a CLARE level GESI Strategy

The key elements of a strong programme level GESI Strategy for CLARE to develop are<sup>151</sup>:

1. Key **reference points** from CLARE’s funding partners
2. GESI **objectives and outcomes**
3. GESI integration **approaches**
4. Selection of **entry points** for GESI integration

Together, these are key to providing leadership in planning and implementation of GESI strategies, and reflect improvements points IDRC identified for GESI integration in programming (see Box 13). These four elements are briefly discussed below, and then discussed in more detail in the subsequent (sub)sections. Figure 9 visually represents these key elements.

### Key elements of a programme level GESI Strategy

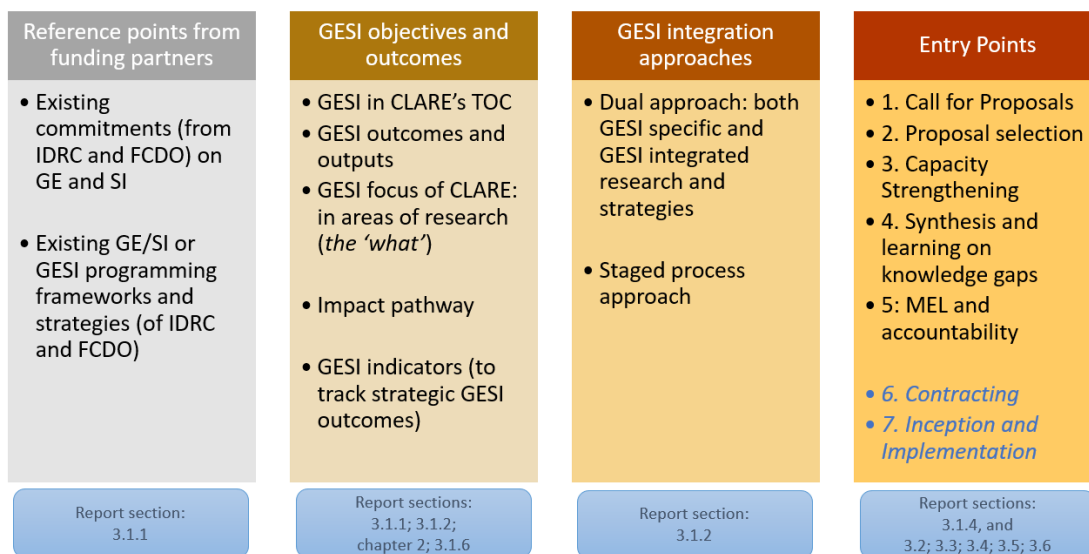


Figure 9: Key elements of a programme level GESI strategy

#### Box 13: Improvement points for GESI integration

Three points on which IDRC has identified it can learn from others in strengthening GESI integration in their programming are: (1) integration of inclusion in programming, to continue to move *beyond a gender only focus*, (2) *leadership* on planning and implementation, and (3) *transparent reporting and progress on learning*.<sup>152</sup>

<sup>151</sup> IDRC *Gender Equality and Inclusion Programming Framework* (GEI PF) (version January 2021, para 2.1, p. 13).

<sup>152</sup> IDRC GEI PF (version January 2021, para 1.2, p. 3).

**Key reference points from funding partners** - In formulating a CLARE programme level gender strategy, it is relevant to ground it in the GESI ambitions, commitments and strategies of the funding partners (FCDO and IDRC). These key reference points include FCDO's Strategic Vision, and IDRC's Equality Statement, and its Gender Equality and Inclusion Programming Framework, and the RQ+ framework. (see also section 3.1.1)

**GESI objectives and outcomes** – A programme level GESI Strategy starts from an explicit and clear articulation of intended gender equality and social inclusion impacts and outcomes of CLARE. This includes:

- *GESI outcomes and outputs*, building on CLARE TOC and the four outcome areas (Knowledge, Capacities, Actor coalitions and Decision-support).  
(GESI in TOC, in section 3.1.1; GESI outcomes in CLARE, see section 3.1.3)
- The GESI focus of CLARE: choices regarding the *GESI areas of intervention in climate change action research* that CLARE will pursue: the 'what'.<sup>153</sup>  
(This builds on the scoping review in chapter 2) (GESI focus, see also section 3.2.1)
- *Impact pathways*: articulated of how GESI (integration) interventions lead to impact on gender equality and social inclusion.<sup>154</sup>
- A set of GESI *indicators*, that can track the strategic GESI outcomes in the programme.  
(further discussed in section 3.1.6 on MEL)

**GESI integration approaches** – The GESI Strategy should articulate its approaches to GESI integration. Two approaches are recommended as foundation to CLARE's GESI integration strategy:

1. A *dual* approach: That means that it encompasses both GESI-specific and GESI-integrated research and areas of intervention. (see section 3.1.3)
2. A *staged process* approach: that means it is ambitious in where it wants to go and end, and identifies the first steps to take for going in that direction. (see section 3.1.3)

**Entry points to GESI integration into CLARE:** A programme level strategy needs to include a process and mechanisms for the integration of GESI in both *programme design and research design* aspects (these are presented and operationalized in section 3.1.4). These entry points include mechanisms for *building capacity* of program staff and project staff, as well as partners and grantees on GESI integration and GESI research. It also includes mechanisms for transparent *reporting and progress on learning*, and *accountability* on gender-equal and socially inclusive outcomes and GESI indicators (see also Box 13 on improvement points).

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<sup>153</sup> IDRC *Gender Equality and Inclusion Programming Framework* (GEI PF) (version January 2021, para 2.1, p. 13).

<sup>154</sup> IDRC GEI PF (version January 2021, para 2.1, p. 13).

### 3.1.3 GESI outcomes and approaches

#### Defining expected GESI outcomes in CLARE

For effective and concrete integration of GESI into CLARE research and program design, a programme level GESI strategy will **need to further define and prioritize expected GESI outcomes** (see Table 1). These then inform and give direction to the approaches in research and program design, that is the entry points for GESI integration. Defining expected GESI outcomes is a political process of making choices and selecting priorities by CLARE leadership and management, and should be approached as such when designing a GESI strategy for CLARE.

The current TOC of the programme, as well as leading GESI integration commitments and strategies of both funding partners, offer a foundation for these choices on expected GESI outcomes of the programme. Table 1 offers an initial articulation of GESI outcomes of CLARE based on these foundational documents of CLARE and its funding partners. Without this (even tentative and initial) articulation of expected GESI outcomes in and through CLARE, it is almost impossible to give substantial advise on how the integrate GESI in program and research design. The provisional GESI outcomes tentatively articulated in Table 1 give direction for the concrete actions proposed under the specific entry points identified and then discussed in more detail below.

These provisional GESI outcomes are many, and it is hence recommended to CLARE to further reflect on these, with the aim of **selecting** CLARE's strategic GESI **priorities**. Whereas the Table assists in unpacking what might be implied or covered in the four CLARE outputs, it is recommended to use this broad sets of potential and provisional GESI outcome to arrive at a selection of CLARE priorities for GESI integration. Taking into account IDRC's Strategic Objectives and CLARE's emphases, priorities that merit consideration are:

1. supporting and promoting *gender transformative research*
2. capacity strengthening on *how to do GESI integrated research*
3. supporting women and marginalized populations to drive the research agenda, through *inclusive actor coalitions* as well as uptake strategies that aim *inclusive and evidence-based decision-making* that increases resilience of the most vulnerable and promotes GESI.

*"Any adaptation decision, whether made by an individual adjusting his or her livelihood strategy, or a policy maker designing formal adaptation strategies, is the product of prioritizing some interests over others, privileging and experiencing some biophysical changes over others, hearing some voices and ignoring others."*<sup>155</sup>

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<sup>155</sup> Eriksen et al. (2015, p. 526).

Table 1: Provisional GESI outcomes of CLARE (by CLARE output areas)		
CLARE outputs	TOC	Provisional GESI outcomes of CLARE <sup>156</sup>
<b>KNOWLEDGE:</b> New scientific evidence, knowledge tools and open data	<ul style="list-style-type: none"> <li>Develop <b>knowledge and evidence</b> that supports adaptation and resilience of the most vulnerable and promotes social inclusion;</li> <li>this implies research that <b>purposively promotes GESI</b>,</li> <li>and includes <b>transformative research that promotes GESI</b></li> </ul>	<ul style="list-style-type: none"> <li>Climate action research (agenda) that is <u>driven by women and marginalized populations</u></li> <li>Research and evidence <u>on what works to achieve gender equality and social inclusion</u>.</li> </ul> <p>Two strands of research and knowledge:</p> <ul style="list-style-type: none"> <li>GESI <u>integrated</u>: research, knowledge and evidence that consistently integrates GESI analysis</li> <li>Gender-<u>transformative</u> research</li> </ul>
<b>CAPACITY:</b> Enhanced capacity for climate action along the whole value chain	<p><b>Capacities</b> for research, for leadership, for climate action, and for evidence-based choices that are <i>socially inclusive</i>, along the value chain, and that <i>include the most vulnerable communities as key stakeholders</i></p>	<ul style="list-style-type: none"> <li><u>Women and marginalized populations in leadership positions</u>, and with strengthened capacities to lead and drive research (agendas)</li> <li>Capacity strengthening on leadership <u>to GESI specialists</u> in climate change research</li> <li>Strengthen capacities of individuals and institutions/organizations in <u>conducting GESI integrated climate action research</u></li> <li>Capacities of individuals and institutions/organizations <u>on inclusive decision-making</u> in climate action</li> </ul>
<b>ACTORS:</b> Strengthened and new coalitions of actors dedicated to supporting urgent and future climate action	<p>Catalyse and strengthen <b>new coalitions of diverse actors</b> to support climate action, and that these new coalitions <i>include members of under-represented and marginalized groups</i></p>	<ul style="list-style-type: none"> <li>Inclusion of <u>under-represented and marginalized groups</u> in new actor coalitions.</li> <li>Inclusions of <u>GESI specialists</u> in new actors coalitions.</li> <li>Inclusion of <u>women researchers and those of marginalized groups</u> in new actor coalitions</li> <li>Inclusion of GESI groups, of GESI specialists and of women/marginalized groups researchers focused on <u>promoting their agency</u>.</li> </ul>
<b>DECISION SUPPORT:</b> Climate services, tools, applications and approaches that promote research <b>uptake and inform policy and practice</b>	<p>Social inclusion and GESI are key considerations with respect to evidence-based <b>decision-making and climate action</b>, in a way that increase <i>resilience of the most vulnerable</i>, that <i>reduce barriers</i> for vulnerable populations, and <i>promote GESI</i></p>	<ul style="list-style-type: none"> <li><u>Priority setting</u> on climate action research is (1) informed and based on realities and concerns of women and marginalized groups, and (2) aimed at generating knowledge and evidence on what works to achieve GESI.</li> <li>CLARE provides <u>thought leadership</u> on GESI and climate action.</li> <li>CLARE <u>distills and shares knowledge</u> on GESI in climate action, and on what works to achieve GESI in climate action.</li> <li><u>Uptake strategies</u> are informed by and aimed at <u>inclusion</u> of GESI groups, GESI specialists, and women/marginalized groups researchers.</li> </ul>

<sup>156</sup> These provisional GESI outcomes of CLARE are informed by the CLARE Theory of Change and by IDRC's GEI PF (and expected outcomes formulated in the Sept 8<sup>th</sup> version of this *Gender Equality and Inclusion Programming Framework* p. 14).

## Dual approach

It is strongly recommended that the CLARE GESI Strategy follows a tailored **dual approach** GESI approach, that combines both *GESI-specific* and *GESI-integrated* research and strategies (see Box 14). This dual approach can be applied to the levels of (a) the calls in CLARE, and (b) to projects (and sub-projects) within calls (see Figure 10). Having both gender-specific calls in CLARE, and a set of gender-integrated and gender-specific projects within calls, responds to the ambition for this research funding to be transformative (see section 3.1.1).

This dual approach at different levels within CLARE can build on the understanding of ‘gender specific’ and ‘gender integrated’ projects in IDRC’s GEI PF. It is recommended to:

- Translate the definitions of ‘gender-specific’ and ‘gender integrated’ to speak to gender equality *and social inclusion*, so that they can operate within a GESI strategy, and move ‘beyond gender only’. The gender markers and continuum then function as GESI markers and a **GESI continuum**.
- (Re)define these definitions to apply them to the **levels** of: the programme, calls within the programme, projects and then sub-projects (as the definitions used in the IDRC GEI PF are at the level of research projects).<sup>157</sup> (see Figure 10)
- Strengthen the definition of **characteristics** and the coverage of elements included in that, of GESI-integrated and GESI-specific. (More detailed recommendations regarding the definition of the GESI markers is discussed in section 3.3.2.)

Implementing a dual GESI approach calls for setting ambitions from the start and simultaneously setting out ambitions for further improvements over time. It is recommended to:

1. Formulate and set **targets for programming along the continuum** of GESI-sensitive and responsive to GESI-transformative research. These targets on the desired balance will shape the composition of the core portfolio of CLARE funded projects and research, and how GESI is integrated into that. In setting these targets, the parameters to take into account are<sup>158</sup>:
  - At the level of CLARE Calls:
    - ✓ Within *all* CLARE calls, aim for a balanced set of selected research projects, including both GESI-responsive and GESI-transformative ones.<sup>159</sup>
    - ✓ That none of the CLARE calls are formulated in a GESI-blind way.

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<sup>157</sup> The *Gender Equality and Inclusion Programming Framework* uses the terminology of gender-specific and gender-integrated projects. (IDRC GEI PF, version January 2021, para 2.1, p. 14).

Gender-**specific** projects are characterized by (a) key research *questions* and key *outcomes* are on gender equality, (b) are led by *gender researchers* or organizations with capacity for gender research, (c) research topics and questions on gender equality are clear, (d) generate evidence and key lessons on gender equality and inclusion, (e) test what approaches work for achieving gender equality outcomes, and/(or) (f) aim to refine gender research methods.

Gender-**integrated** projects can be understood along a continuum (from gender-blind, to gender-sensitive, gender-responsive and gender-transformative research). The continuum can be used to (a) support project and partners to improve their approach to gender-equal outcomes, and (b) to identify capacities and support needed for projects and partners to improve their gender approaches.

<sup>158</sup> “At a minimum, IDRC will not fund gender blind projects. And each program should aim to support a certain portfolio of projects that aim to have gender transformative impact.” (IDRC *Gender Equality and Inclusion Programming Framework* (version January 2021, p. 15).

<sup>159</sup> In case of having one call for CLARE, it is even more important to have clear and ambitious targets. There will be no next opportunity to expand and further integrate GESI into CLARE, once the first set of projects is selected.

- At the level of the portfolio of projects under CLARE (Calls):
  - ✓ That each call has one or more GESI-transformative research projects.
  - ✓ That no GESI-blind research projects are selected and funded. (This also requires the GESI Strategy to have a process to ensure that no projects are GESI-blind.
  - ✓ For the GESI-integrated projects, further specify ambitions as to the desired balance between GESI-sensitive and GESI-responsive projects.
  - ✓ Among the potentially multiple calls launched through CLARE, formulate one or more calls where the “key research question and key outcomes are on gender equality” and social inclusion.<sup>160</sup>

These parameters are also visually reflected in Figure 10 above.

2. Request and support improvement **plans** for proposals and projects to further improve and strengthen their GESI outcomes and capacities. This applies to all projects and sub-projects in non-GESI-specific calls, in particular to GESI-sensitive and GESI-responsive selected projects. (see also sections 3.2 and 3.3, and links to Capacity Strengthening in section 3.4, and MEL in section 3.6)

## Dual approach across levels in CLARE

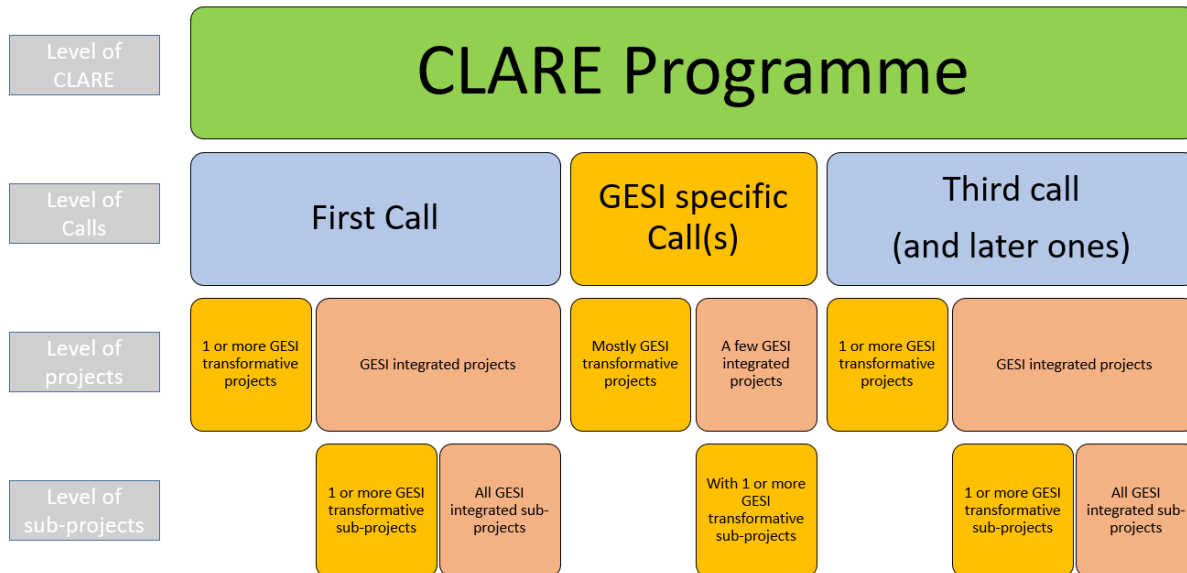


Figure 10: Dual approach across levels in CLARE

<sup>160</sup> IDRC Gender Equality and Inclusion Programming Framework (version January 2021, p. 14).



#### Box 14: Effectiveness of a dual approach to GESI integration

The dual approach to GESI integration is based on the so-called twin-track or dual approach of gender mainstreaming. Gender mainstreaming is conceived based on the recognition that inequalities and disempowerment are embedded in institutional structures and practices, including policy making processes. The promotion of gender equality and women's empowerment, consequently, requires not only targeted strategies and interventions for advancing gender equality, but also mainstreaming of women's and men's interests and needs into policy-making itself. One of the key lessons learned in the widespread adoption of gender mainstreaming is the importance of a dual approach:<sup>161</sup>

"Gender mainstreaming is an approach to *both programming and institutional change* in support of the implementation of global commitments on gender equality and women's empowerment. Implementing a gender mainstreaming strategy, therefore, requires systematic integration of gender perspectives in policies, programmes and thematic issues. [...] Widespread development practice has established that a multiple-track strategy for gender mainstreaming has greater potential for achieving gender equality and women's empowerment. A majority of development organizations have adopted a multiple-track approach, often called twin-track or **dual-track**, to implement gender mainstreaming. The multiple-track approach includes combining *gender-targeted* interventions for specific social groups, organizations and/or processes with *gender integrated strategies across* the substantive work of all priority sectors." (UN Women, n.d., p. 4, 5)<sup>162</sup>

"When properly addressed and implemented, gender mainstreaming is a transformative approach with a great potential for social change. It is a long-term strategy: every step counts towards this change of approach, but it will require some time until it is fully and automatically integrated into policy-making. There is wide consensus about the effectiveness of a **dual approach** towards gender equality, combining *gender mainstreaming* and *specific measures for the advancement of women*, to ensure better policy-making and better use of resources. Such a dual approach is also implemented in the UN 2030 Agenda for Sustainable Development, which includes a stand-alone goal on gender equality and the empowerment of women and girls (SDG 5), as well as gender-sensitive targets in other goals" (Council of Europe).<sup>163</sup>

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<sup>161</sup> A dual approach to gender mainstreaming was framed in the 1990s, after gender mainstreaming was established as the global strategy for promoting gender equality and women's empowerment, at the Fourth World Conference on Women (FWCW) in Beijing in 1995. In the decade that followed, gender mainstreaming was adopted by many development and other agencies and institutions across the world. With this wide adoption, concerns and critiques were raised on how gender mainstreaming was implemented in practice; in many cases, gender mainstreaming had resulted in 'away-streaming' and the evaporation of gender equality and women's empowerment. Much of this was due to the fact that organisations that embraced gender mainstreaming, paradoxically had weakened gender units, under-resourced gender focal points and reduced the number of specialists (see also Box 25 on the 'yes, but' mechanism). (For a broader reflections on gender mainstreaming, including the dual approach, see for instance: Roggeband 2014; Eerdewijk & Davids 2014; Davids & Van Eerdewijk 2016; Eerdewijk 2016, amongst many others)

<sup>162</sup> UN Women (n.d.), *Gender mainstreaming: a global strategy for achieving gender equality & the empowerment of women and girls*. <https://www.unwomen.org/-/media/headquarters/attachments/sections/library/publications/2020/gender-mainstreaming-strategy-for-achieving-gender-equality-and-empowerment-of-women-girls-en.pdf?la=en&vs=3849>

<sup>163</sup> Council of Europe, *What is gender mainstreaming?* <https://www.coe.int/en/web/genderequality/what-is-gender-mainstreaming>

### *A staged process approach to GESI integration*

The dual approach to GESI integration can be combined with a staged process approach. A staged approach will allow CLARE to take advantage of the longer time frame it operates in (longer than the common 1-3 year project funding). It also allows for building up, deepening and expanding GESI integration over time. It shifts the question on ‘what is the minimum we should or can do’, to articulating ‘where CLARE wants to go to in the end and what are the first steps to take in that direction’. This can be guided by questions as to: Where do we start, what can we do right from the beginning? What opportunities do we see? What can we expand and deepen over time? How do we learn and reflect over time? And what steps or mechanisms can we put in place to reflect on opportunities and challenges along the way? A staged approach allows for both being ambitious and recognizing that capacities for GESI integrated research might be fragmented or weak in the beginning (see Box 16 on Accompaniment). It translates GESI integration into a journey, that can go from 0 to 100 over time (see Box 15). A staged approach fits well with CLARE’s interest in adaptive programming that is responsive to opportunities, and allows for issues and ambitions to evolve and deepen.

#### **Box 15: From 0 – 100: GESI as a journey**

It can be useful to think of GESI in CLARE as a journey. Going from ‘0 to 100’ in terms of ‘knowing and ‘doing’ GESI in CLARE takes time, resources, commitment, capacities and willingness to learn and reflect. The starting point of the journey starts by asking, and reflecting on, ‘where to begin?’ and ‘where do we want to go?’. This journey perspective is important because, as stressed in the CARIIA mid-term evaluation, the ‘minimum [objectives and] principles’ on gender and equity should not be kept to the minimum; rather, gender transformative research should be supported and encouraged”<sup>164</sup>. By considering GESI as a journey, CLARE has the opportunity to deliberately set up spaces for continuous in-depth reflection and learning on ‘knowing’ and ‘doing’ of GESI. By inviting CLARE staff, partners and other stakeholders to come together to reflect and discuss GESI opportunities and challenges, CLARE can identify crucial ‘GESI gaps’ and identify critical actions needed to move away from the minimum GESI objectives and principles towards more transformative GESI programming and research. These moments of learning and reflection should be articulated and planned for in the GESI strategy and linked to CLARE’s ambitions to build knowledge and evidence on GESI in climate change research.

*See also Box 36, on reflection and learning on gender mainstreaming efforts of the Adaptation Fund since 2007.*

#### **Box 16: Accompaniment along the GESI continuum**

“To effectively increase the practice of gender-transformative research, it is important to recognize and respect organizations where they are and accompany them as they continue to improve their approaches to reducing gender inequalities. Similar to programmatic work, there is a continuum of how gender is integrated into research design, and development organizations and funders have a range of practices and approaches to prioritization. It was very common for [grantees and researchers] to express both a genuine desire to do gender-transformative research and a strong sense of having limited ability to achieve this desire—due to organizational, financial and contextual constraints. For many, simply having gender in the research agenda and indicators disaggregated by sex has been a long struggle. Many of the interviewees are currently conceptualizing and planning research with gender-transformative goals but have yet to document best practices and lessons learned. Across the organizations, there was a clear need and desire for learning spaces on using research for gender-transformative change.”<sup>165</sup>

<sup>164</sup> Gonda (2017, p. ii).

<sup>165</sup> Mullinax et al. (2018, p. 5).

The entry points for GESI integration identified below, and the recommendations on these entry points in the subsequent section, reflect such a staged approach characterized by accompaniment and on-going learning. The set of recommendations:

- builds on the *ambitions* on GESI outcomes, as provisionally articulated in the TOC and above.
- articulates targets on project portfolio, combined with *minimum requirements* for proposals and applicants (Indicative target setting in section 3.2.1, and requirements for the design phase and proposals in section 3.2.2).
- provides *support and guidance* in different phases of a project, including the design/proposal stage, as well as after being awarded a grant.
- Requires *willingness* of applicants and potential grantees to (a) conduct inclusive stakeholder consultations, to include GESI expertise, and (b) to conduct a GESI capacity assessment and advance their GESI plan.
- Intentionally offers *capacity strengthening*, and commit to *monitoring and evaluation for learning* purposes.
- Puts in place *architecture and infrastructure* to provide guidance and support, and invite and enhance learning and reflection (i.e. online GESI hub, GESI Working Group, etc.)

### 3.1.4 Entry points for GESI integration in the research funding cycle

The entry points for GESI integration are based on two dimensions of CLARE strategy framework: program design and research design.<sup>166</sup> These two dimensions are operationalized along (1) the research funding cycle and (2) a set of program-wide functions. The **research funding cycle** can be divided into seven steps, which can be clustered into three main phases:<sup>167</sup>

- Phase I: (1) Call for proposals, (2) Proposal selection and (3) Contracting
- Phase II: (4) Inception and (5) Implementation
- Phase III: (6) Reporting and (7) Evaluation.

The **program-wide functions** include<sup>168</sup>:

- Capacity strengthening
- Monitoring, evaluation & learning (MEL)
- Synthesis and learning on knowledge gaps
- Research uptake and use.

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<sup>166</sup> Program design and research design were explicitly mentioned in the original ToR for this GESI integration Scoping Study. *Program design* is understood to include aspects related to the programme's theory of change; monitoring, evaluation and learning (MEL); team composition; research commissioning process including calls for proposals, assessment criteria and process for selection of proposals; capacity strengthening activities. *Research design* is understood to include aspects as research team composition and expertise, research methodologies, MEL, and research-into-use.

<sup>167</sup> IDRC *Gender Equality and Inclusion Programming Framework* (version January 2021, p. 16); Wong et al. (2018).

<sup>168</sup> The five program-wide functions currently listed here is not a conclusive list; there can be more functions.

Each of these steps/phases and program functions offer concrete and relevant entry points for GESI integration into CLARE.<sup>169</sup> Figure 11 presents the research funding cycle and program-wide functions in one visual. The research funding cycle steps are presented in the outer circle, and the program-wide functions are captured in the heart of the visual. The red stars mark the five entry points for GESI integration that are discussed in more detail in this scoping report.<sup>170</sup> These are:

1. **Call for proposals**
2. **Proposal selection**
3. **Capacity strengthening**
4. **Synthesis and learning on knowledge gaps**
5. **Monitoring, evaluation and learning (MEL)**

These 5 ‘red stars’ are presented in the upcoming sections 3.2 to 3.6.

Considering the scope of this scoping study, not all relevant entry points for GESI integration can be discussed in sufficient detail in this report. In developing a GESI Strategy for CLARE, it is highly recommended to further explore **GESI integration into research uptake and use**, acknowledging that this is a distinctive feature of CLARE.<sup>171</sup>



Figure 11: Entry points for GESI integration into CLARE

<sup>169</sup> These entry points build on existing insights on *what is needed to support gender-transformative research*. (Mullinax, Hart & Vargas Garcia, 2018; Resurrección et al., 2019. See also the publication: *Research principles and practice to transform unequal gender relations* (September 11, 2019; *Research In Action*))

<sup>170</sup> In aligning these five entry points for GESI integration to the aspects mentioned in the Scoping Study ToR: (a) *Research methodologies* (element of research design) are included under: call for proposals, under proposal selection, and under MEL; (b) *Team composition and expertise* (element of program design and research design) are included under: call for proposal, under proposal selection, under capacity strengthening, and under MEL.

<sup>171</sup> Key areas of integrating gender considerations to advance gender-responsive climate action are: 1. Positioning of women as adaptation stakeholders; 2. Use of gender analysis to inform adaptation planning; 3. Creation of an enabling legal and policy environment for gender-responsive NAP processes; 4. Integration of gender considerations in M&E of adaptation; 5. Inclusive and gender-equitable stakeholder engagement in NAP process; and 6. Consideration of gender in institutional arrangements for adaptation (Daze, 2020).

## 3.2 Call for proposals

In considering GESI integration in the Call for Proposal phase, it is useful to distinguish between (a) the *design* of the Call, and (b) the *publication* of the Call. Both offer excellent opportunities for CLARE and its funding partners to **provide thought leadership**<sup>172</sup> and **set ambitions** on GESI integration in climate change adaptation and resilience research and action.

### 3.2.1 Design of a Call for Proposal

It is key to be clear and explicit on gender equality and social inclusion from the beginning, that is even before the formulation of a Call for Proposal. The programme level GESI Strategy, and in particular CLARE's anticipated GESI outcomes (see Table 1, section 3.1.3), function as key points of reference for the integration of GESI into a Call for Proposals. Using points of reference strengthens *consistency* on GESI integration across (multiple) calls, and lays the basis for building up a *portfolio* of GESI integrated research across CLARE projects and Calls (see section 1.3, dual approach). This in turn contributes to *collective programme results* on GESI and its intersections in climate change adaptation and resilience, and provides a solid foundation for *synthesizing and learning* on GESI knowledge gaps (section 3.5).<sup>173</sup>

#### *Choice of focus and conceptual clarity*

It is important to consider GESI analysis already in the earliest steps of the formulation of a Call: the **choice of the focus** of that Call. In the development of the **Concept Note**<sup>174</sup> for a call - the first stage where areas of intervention and climate action research are formulated - the intersections between GESI and climate action research need to be identified and articulated. If GESI considerations 'only' come in after initial focus is set, the Call risks treating GESI integration as an 'add-on'. It is recommended to conduct a more *detailed and focused Scoping study* on GESI intersections with climate action research; building on chapter 2 of this report.

Informed decision-making during the design of a Call - from choice of the focus, to aspects of GESI integration and setting of targets - will benefit from, or even requires, **GESI expertise and representation in the process** of the design of a Call. It is highly relevant to be intentional about who is involved and represented in the process of the design of a Call, and in which capacities. From a GESI perspective, the following specific questions on the nature of the process in the formulation and decision-making of each Call can guide this:

- are both women and men scientists and stakeholders represented?
- are GESI specialists represented?
- are stakeholders and representatives of interest groups of women and/or marginalized groups represented?

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<sup>172</sup> Leadership on planning and implementation featured as one of three improvement points that IDRC identified based on a scan of publicly documentation of research funders (See box 13; IDRC *Gender Equality and Inclusion Programming Framework* (GEI PF) (version January 2021, para 1.2, p. 3).

<sup>173</sup> Wong et al. (2018, pp. 3-4).

<sup>174</sup> See Draft Strategy 'Process for Commissioning Research within CLARE' (13 April 2021), slide 5 (point of departure).

Concretely, it is recommended to conduct one or more *stakeholder consultations*, that include (a) women and marginalized groups/populations as stakeholders, as well as (b) GESI specialists in climate change research and action, with specific consideration of Southern researchers and thought leaders. The guiding questions on GESI expertise and representation also relate to the highest management of the CLARE programme.<sup>175</sup>

In this early stage of the design of a Call, it is also recommended to articulate what gender equality and social inclusion mean conceptually, for CLARE and in the specific Call. Box 17 and 18 highlight the importance of **conceptual clarity**, and the points of attention in this respect.<sup>176</sup> Box 19 highlights a selection of gender-transformative papers and publications that can contribute to better understanding of what GESI transformative research entails and looks like. The conceptual clarity in the design of the Call forms the basis for the guidance provided to applicants once the Call is published (section 3.2.2).

### **Box 17: The importance of conceptual clarity**

Words, terms and approaches relating to GESI are often vague and hold different meanings and understanding for diverse actors engaged in climate change research and programming. The vagueness of terms such as ‘gender-transformative’ can lead to confusion and a lack of agreement on concrete strategies and best practices for realizing transformative impact at different levels. While there is a growing acceptance of the need to incorporate ‘gender’ and ‘social inclusion’ into climate change research, the discussion in the virtual workshop<sup>177</sup> stressed that research funding programmes tend to provide insufficient clarity surrounding the meaning and operationalization of GESI.

- *“How to reach a common understanding and objectives of GESI in multidisciplinary research teams? We need to start with a common understanding of GESI from the very beginning.”*
- *“Often the concept ‘intersectionality’ gets exploited or misused, so it’s important to set the tone in a call for proposals about what you mean by it.”*
- *“How does ‘gender’ and ‘inclusion’ translate into the local languages in the communities in which the different projects will be implemented? English is not a language which is accessible to all. What does gender mean in the common vernacular locally? How does the gender jargon translate across national NGOs?”*
- *“‘Gender’ is often misunderstood by government officials, something that makes gender less ‘attractive’. Gender is oftentimes conflated to mean women.”*
- *“In some contexts it is OK to talk about women’s empowerment, but it is problematic to talk about ‘gender equality’. CLARE needs to be flexible in terms of which key words are being used and promoted when talking about ‘GESI’. At the same time, the words that are chosen needs to feed into the same GESI objectives, ambitions and visions.”*

Lack of conceptual clarity regarding what GESI is, and guidance on how to operationalize it, risks leaving potential and actual project implementers with insufficient reference and direction to determine which project activities to pursue and how to align their ToC’s with CLARE’s stated GESI ambitions and requirements.

<sup>175</sup> Leadership on planning and implementation featured as one of three improvement points that IDRC identified based on a scan of publicly documentation of research funders (See box 13; IDRC *Gender Equality and Inclusion Programming Framework* (GEI PF) (version January 2021, para 1.2, p. 3).

<sup>176</sup> See also the GESI in CLARE’s TOC in section 3.1.1; provisional GESI outcomes in section 3.1.3; and the Conceptual foundation and analytical framework of this scoping report in chapter 1.

<sup>177</sup> On May 19<sup>th</sup> 2021, a two-hour virtual workshop was held, entitled ‘Gender Equality and Social Inclusion in Climate Change Research: what can we learn from each other?’ (see Annex 1, Methodology).

### Box 18: Importance of precision with language

The report *'Using Research for Gender-Transformative Change: Principles and Practice'* points to the importance of precision with language and observes that:

“Currently, organizations **use a range of terms to describe** research efforts for gender-transformative change, even when describing common principles and research practices. [...] Given the **backlash** against certain relevant terms (e.g. feminist), organizations may be making decisions about terminology for political reasons. The **importance of precision with language**, however, cannot be underestimated, especially given the increasing development discourse around gender-transformative research. Vagueness and misuse of terms—especially when the concepts are difficult to define and the words are used interchangeably instead of with nuance—can lead to a **loss of the original meaning and political intent behind the term.**”<sup>178</sup>

The report *'Lessons Learned Synthesis Paper: Gender Integration and the Canadian International Food Security Research Fund'* also highlights the meanings of gender, and notes that:

“Project and program reports make claims that require further interrogating not only as to their validity but also their risk of worsening the position of women, particularly from their tendency to homogenize women and assume particular cause-and-effects. For example, technical innovations are assumed to automatically benefit women either by reducing drudgery or empowering them.<sup>179</sup> [...] [These kind of] repetition[s] of **gender and development tropes** do little to **unpack particular myths and fables**<sup>180</sup> that serve to **ossify gender roles, by essentialising them, rather than to open the possibility of transforming social relations of gender.**”<sup>181</sup>

### Box 19: Gender transformative research: examples for inspiration

A number of publications and outputs can serve as inspiration to grasp what is meant by 'transformative' and 'intersectional' approaches to gender in climate change research and programming. These papers “adopt an intersectional perspective that allows for highlighting in a nuanced way the complex interactions between potentially oppressive and privileging factors in the context of climate change”.<sup>182</sup>

- Morchain et al., “*What If Gender Became an Essential, Standard Element of Vulnerability Assessments?*”
- Vincent and Cull, “*DECCMA's Approach to the Incorporation of Gender.*”
- Singh, Deshpande, and Basu, “*How Do We Assess Vulnerability to Climate Change in India?*”
- Maharjan, Prakash, and Gurung Goodrich, “*Migration and the 2015 Gorkha Earthquake in Nepal: Effect on Rescue and Relief Processes and Lessons for the Future*” (HI-AWARE Working Paper 4).
- Rao et al. (2019), “*A qualitative comparative analysis of women's agency and adaptive capacity in climate change hotspots in Asia and Africa*”.
- ASSAR (n.d.), *Gender is one of many factors that influence how we are impacted by and respond to climate change* ([infographic](#)).

<sup>178</sup> Mullinax et al. (2018, p. 5)

<sup>179</sup> Reducing women's workload is an important dimension of gender equality and in the gender division of labour. There has been considerable interest in agricultural research for development in technologies to reduce women's drudgery, and these can be of specific interest in the context of climate change and resilience. Assumptions of often technologically driven interventions that certain technologies will reduce women's labour burden have been criticized. Consultative participatory approaches in which women farmers are meaningfully consulted on their needs and preferences are key to realizing labour reduction outcomes (see e.g. Huyer et al. forthcoming; Badstue et al. (2020); Eerdewijk & Danielsen (2015).

<sup>180</sup> Cornwall et al. (2007).

<sup>181</sup> Wong et al. (2018, p. 14).

<sup>182</sup> Gonda (2017, p.18).

With enhanced conceptual clarity, and within the chosen focus of a Call for Proposal, programme management and staff then further articulate the following aspects with regards to GESI integration<sup>183</sup>:

- ✓ Explain and justify the **rationale** for GESI integration in the Call:
  - Be explicit and clear about *why* GESI integration is important in formulation of this Call,
  - Justify how gender equality and social inclusion are *reflected in the Call's focus* (including what insights emerge from a GESI analysis at programme level).
- ✓ Be explicit about the **GESI outcomes** that are desired and expected from the research funded through this Call:
  - Taking into account all four output areas of CLARE: Knowledge, Capacity, Actor Coalitions and Decision-Support.
  - This draws on expected GESI outcomes for CLARE (see section 3.1.3)
- ✓ Be explicit in **how** GESI is expected to be integrated in proposals (see section 3.2.2):
  - especially in which outputs, which dimensions and which phases of the project/research and *what* you would like to see there,
  - commitments to improve and enhance (GESI plans).
- ✓ Provide leadership on the **intersections and linkages** between GESI expectations and other important dimensions and/or expectations from the programme (e.g. scaling up, good governance, research-into-use, Southern-led).

#### *Indicative target setting along the GESI continuum*

Against the backdrop of these aspects, the desired balance in the set of research projects along the GESI continuum needs to be decided upon. This will build on the parameters for establishing a balanced portfolio in CLARE of GESI-sensitive, -responsive and transformative projects (see Dual approach, in section 3.1.3, Figure 10). An indicative example of what this **target setting** can look like for a CLARE Call is presented in Box 20. In addition to setting targets, it is also important to formulate what commitments are expected from proposal/projects on **improving and enhancing** their GESI integration, outcomes and capacities (in improvement plans in the proposal). (Section 3.3.2 further discusses how these targets are considered in the proposal selection phase).

In order to realize these targets, a strategic consideration is needed of how to **attract and inspire** applicants that can contribute to the GESI strategy and CLARE's ambitions to promote gender equality and social inclusion, with a focus on the most vulnerable, in ways that reduce barriers for vulnerable populations and that recognize and include them (see CLARE TOC, in section 3.1.1). Such ambitions, that resonate closely with the ambition for thought leadership on GESI's intersection with climate action research, call for a *purposively and actively inviting* potential applicants and future grantees that can bring the required experience, expertise and commitment to learn and improve GESI outcomes and approaches.<sup>184 185</sup> With such an pro-active selection of future grantees, the programme will build a

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<sup>183</sup> Wong et al. (2018, pp. 3-4).

<sup>184</sup> Wong et al. (2018, p. 17).

<sup>185</sup> This recommendation to purposively and pro-actively advertise and promote the Call, and its GESI ambitions articulated within it, resonates with recommendations made in the CLARE Scoping Study on partnerships to "understand the *drivers and incentives* for non-traditional partners to participate in CLARE and ensure this is considered throughout the project design, promotion and implementation" (Mundy 2020, p. 8). Specific points of



promising portfolio of researchers and projects that can contribute to developing the thought leadership CLARE aims for.

**Box 20: Indicative target setting along the GESI continuum**

In applying the parameters for setting targets of a balanced set of projects along the GESI continuum (see section 3.1.3 and Figure 10), the targets for the first CLARE Call could potentially look as follows:

- No GESI-blind projects are selected and funded
- If for example 14 proposal are foreseen in the first Call, aim to select *at least two* gender-transformative projects.
- Of the maximum 12 GESI-integrated projects, aim for at least 50% of these being GESI-responsive.
- Considering the size and time frames of the projects (potentially 5 years; amounts of 4-10 M CAD), aim to have at least 2-4 GESI-responsive projects that have one or more GESI transformative sub-projects.

<i>GESI-sensitive</i>	<i>GESI-responsive</i>	<i>GESI-transformative</i>
- maximum 6 projects	- between 5-10 projects - at least 2-4 have a GESI transformative sub-project	- At least 2 projects
- each project needs a strong GESI plan	- each project needs a strong GESI plan	- each project needs a further GESI plan

(Indicative numbers drawn as examples from *Draft Strategy 'Process for Commissioning Research within CLARE'* (13 April 2021), slide 4 (Towards Calls).

### 3.2.2 Publication of a Call for Proposals

The design stage of a Call for Proposals will develop important guidance and information that can be published in the actual announcement of the Call. In the publication, GESI integration will greatly benefit from *clarity* on GESI integration expectations and ambitions (see also Box 17 and 18 above on conceptual clarity). It is here that CLARE can provide thought leadership to potential applicants. In order for proposals to respond to and match with the programme’s expectations and ambitions, the publication of the Call needs to be accompanied with **clarity on why and how** gender equality and social inclusion matter and are integrated into the Call.<sup>186</sup> This clarity needs to be given in: (a) incentives, (b) guidance, and (c) proposal templates.

**Incentives** – The programme and Call’s ambitions on GESI integration need to be translated into incentives for applicants to design and develop proposals that integrate (and strengthen) GESI, and eventually to implement GESI-responsive and GESI-transformative research.<sup>187</sup> Incentives for GESI integration are first the selection criteria and the *targets set in the Call* for Proposals on *the minimum level and ambitions* required in projects (i.e. no GESI-blind projects; preference for GESI-responsive

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attention highlighted in that Scoping Study include, amongst others: the length of the lead time between announcement of Calls and submissions of proposal; flexibility in proposal requirements with respect to identified partnerships; being explicit about expectations of and supportive to the types of principle-based partnerships envisioned to be developed; consider innovative approaches (regional partnership scoping, market place events) to introduce novel and interested potential applicants (p. 10).

<sup>186</sup> Nordehn & Rubin (2018, p. 39-46); Wong et al. (2018, pp. 3-4).

<sup>187</sup> Nordehn & Rubin (2018, p.. 39-46).

projects when proposals are of equal value; minimum number of GESI-transformative projects to be funded in one call). This minimum level and ambitious level concerns both GESI outcomes, and the choice of GESI strategies. These are then translated into the selection criteria (section 3.3).

**Guidance documents** – With the publication of each Call, a number of guidance documents will inspire and support potential applicants in submitting proposals that have strongly integrated GESI. These guidance documents need to give clarity on what GESI integration means for CLARE and the specific Call; this is detailed in Table 2.<sup>188</sup>

Table 2: Required clarity on GESI for CLARE and the Call	
Required clarity	How to give it?
<b>Conceptual clarity:</b> - defining gender equality and social inclusion - explaining what GESI integration is (along the GESI continuum)	<ul style="list-style-type: none"> <li>➤ <b>GESI glossary</b></li> <li>➤ <b>factsheet</b> with gender equality and social inclusion <b>terminology</b> and clarifications</li> <li>➤ <b>factsheet</b> outlining the <b>principles</b> of gender-sensitive, gender-responsive reach and benefit, and gender transformative empower strategies.</li> <li>➤ <b>Cases and best practices</b> of example projects of gender-responsive and gender-transformative climate change research-for-action</li> </ul>
<b>Clarity on <u>expected GESI outcomes</u> of CLARE, and of this particular Call</b>	<ul style="list-style-type: none"> <li>➤ <b>Factsheet</b> outlining expected GESI <b>outcomes</b> of CLARE, applied to the Call, including gender equality and social inclusion indicators</li> </ul>

Next, the publication of the Call and the guidance documents need to address what is *expected and required* of applications.<sup>189</sup> It is helpful to distinguish between what is a requirement for the **proposal development phase**, and what are requirements of the **proposal** itself (see Table 3). Guidance documents can be developed and published for the different requirements. The publication of the Call should also provide clarity on the assessment criteria of proposal (these are discussed in Section 3.3.2).

Table 3: Requirement and expectations of proposals and projects	
Requirements for GESI integration in the <b>proposal development</b> phase of projects	Encourage and support grantees to draw on gender equality and social inclusion <b>expertise</b> during proposal development.
	Encourage and support applicants and grantees to conduct a GESI inclusive <b>stakeholder consultation</b> .
	Require grantees to integrate a <b>gender and inclusion analysis</b>
Clarity the requirements for GESI integration into the <b>proposal</b>	1. Submit a Gender Equality and Social Inclusion <b>Statement</b>
	2. Integrate a Gender and Inclusion <b>Analysis</b> into the proposal
	3. Submit a <b>GESI Plan</b>

The quality of GESI integration in the proposal will be enhanced when applicants engage GESI expertise and conduct a GESI inclusive stakeholder consultation when the proposal is being developed. This can also keep the ambitions for research uptake and use in mind. The proposal development phase offers the opportunity to lay the foundation to includes representatives of future and potential users, and take their perspectives and voices on equality and inclusion into account, as well as the potential weaknesses

<sup>188</sup> Nordehn & Rubin (2018, p. 39-46).

<sup>189</sup> Nordehn & Rubin (2018, p. 39-46); Wong et al. (2018).

in understanding or capacities in that respect. By encouraging a GESI inclusive stakeholder consultation, applicants are encouraged to “identify and work with **partners** who can support outreach and implementation of gender-responsive and/or gender-transformative adaptation options [with] targeted groups of women and men [of different backgrounds] for a sustained period”.<sup>190</sup> This invites applicants to explicitly consider women and marginalized groups as climate action stakeholders; and can lay the first foundation for a GESI inclusive research uptake strategy.<sup>191</sup>

With respect to requirement of the proposal, it is recommended to have applicants<sup>192</sup>:

- Submit a Gender Equality and Inclusion **Statement** that articulates how the project expects to contribute to gender equality and social inclusion (see Box 21 for UKRI’s experience with a Gender Equality Statement). It is important that the GESI statement template ‘steers’ the applicants in a certain direction that aligns with CLARE’s GESI priorities, while being flexible enough to allow the applicants to articulate their GESI priorities as relevant to/in different contexts, demands and languages.
- Secondly, it is recommended that proposals integrate **gender and inclusion analysis** into the proposal. This is not to be approached as a separate exercise and part of the proposal; rather consideration of gender and inclusion analysis aspects are to be embedded throughout the proposal, including the (a) problem identification and context, (b) research purpose and anticipated results and (c) impact, project design and methodology.  
This embedded gender and inclusion analysis addresses and integrates the gender-based and social constraints experienced by the (different) groups of women and men, in particular in relation to their ability to make strategic life choices to absorb and adapt to climate-related shocks and stressors. This analysis should take into consideration other important factors including age, class/livelihoods roles, caste, and ethnicity. It can be framed by key areas of inquiry for investigating differences in men’s and women’s absorptive and adaptive capacities and pathways to resilience.<sup>193</sup> A gender and inclusion analysis will benefit from a desk review of existing literature, and can be complemented with a stakeholder consultation, or primary data collection.
- Thirdly, it is recommended that applications include a GESI **plan**, that identifies (a) the strengths and weaknesses of the proposal and applicants on GESI along the four CLARE output areas, and (b) the proposed steps and strategies for improving and strengthening these over the course of the project implementation.

Boxes 22 and 21 highlight experiences of other funders with gender analysis and gender action plans. These also show that these funders have developed their requirements over time, benefitting from learnings that emerged along the way on whether and how the statement, the analysis and the improvement plan contribute to meaningful GESI integration.

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<sup>190</sup> Nordehn & Rubin (2018, p. 39-46).

<sup>191</sup> See also footnote 168, in Section 3.1.4.

<sup>192</sup> Nordehn & Rubin (2018, p. 39-46) ; Wong et al. (2018).

<sup>193</sup> Nordehn & Rubin (2018, p. 39-46); Wong et al. (2018).

### Box 21: UKRI's Gender Equality Statement

Since 2019, it is mandatory for all applications to UKRI *Global Challenges Research Fund* (GCRF) and *Newton Fund* to include a **gender equality statement** in their proposals.<sup>194</sup> This one-page statement “must outline how applicants have taken meaningful yet proportionate consideration as to how the project will contribute to reducing gender inequalities”. In considering a project’s impact on gender relations, applicants must “proportionally and meaningfully” consider a set of criteria questions<sup>195</sup>, and show “how their project is likely to reduce inequalities between persons of different gender throughout the design of the project, implementation of the project and impact”. In cases where “projects may have less impact on gender and gender relations, [...] applicants should also thoroughly justify when they believe their project will have minimal impact on gender equality and why”.

To support applicants, UKRI has an ‘**GESI inbox**’ which applicants can contact for GESI related questions or support to develop their gender equality statement. Further, UKRI might directly contact applicants to ask to strengthen their gender equality statement and guide them in how and why gender can be better integrated into their proposal. UKRI offers a range of **guidance materials** on gender to applicants (readily available online), including a gender glossary. These materials make clear what gender means to UKRI (see Box 17 and 18 on conceptual clarity) and help applicants to better understand how and why gender is relevant for their proposed research projects.<sup>196</sup>

Despite initial worries that the gender equality statement would be a ‘tick the box exercise’, UKRI finds it enables the identification of ‘gender gaps’ (in and among applicant organizations) and that it offers an opportunity to provide gender related capacity strengthening to applicants. UKRI does not expect applicants to necessarily have in-depth knowledge of gender, and recognizes that gender might be new and complex for some. Yet, it sets clear expectations regarding gender: “for us, it is not just about the statement, but really how gender gets implemented, and that researchers across all fields of study really learn to recognize and incorporate gender at every stage of their research when and where relevant”.<sup>197</sup> The gender equality statement is not ‘set in stone’: it was first developed as a ‘simple’ statement, and over time became more encompassing (see Box 15). In 2020, UKRI became ‘stricter’ in their evaluation and has ‘declined’ several proposals due to insufficient<sup>198</sup> gender equality statements. UKRI will soon evaluate the effectiveness of the gender statement as part of its evolving gender journey.<sup>199</sup>

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<sup>194</sup> UKRI (n.d.)

<sup>195</sup> These criteria questions are: (1) Have measures been put in place to ensure equal and meaningful opportunities for people of different genders to be involved throughout the project? This includes the development of the project, the participants of the research and the beneficiaries of the research. (2) The expected impact of the project (benefits and losses) on people of different genders, both throughout the project and beyond. (3) The impact on the relations between people of different genders and people of the same gender. For example, changing roles and responsibilities in households, society, economy, politics, power, etc. (4) How will any risks and unintended negative consequences on gender equality be avoided or mitigated against, and monitored? (5) Are relevant outcomes and outputs being measured, with data disaggregated by age and gender (where disclosed)?

<sup>196</sup> Others have also developed toolkits and guidance on how to formulate a Gender equality statement for GCRF proposals and projects: e.g. Cavanagh & Mackay (2020),

[https://www.ed.ac.uk/files/atoms/files/toolkit\\_developing\\_your\\_gcrf\\_gender\\_equality\\_statement.pdf](https://www.ed.ac.uk/files/atoms/files/toolkit_developing_your_gcrf_gender_equality_statement.pdf)

<sup>197</sup> Interview with two key informants from UKRI (conducted 07 July 2021).

<sup>198</sup> UKRI defines insufficient responses as “A Gender Equality Statement will be deemed insufficient if it does not address all required criteria (with an understanding that, depending on the nature of their research, not all questions will be applicable). A Gender Equality Statement may also be deemed insufficient if it does not show how applicants have taken meaningful yet proportionate consideration as to how the project will contribute to reducing gender inequalities, as required under the International Development (Gender Equality) Act”.

<sup>199</sup> Interview with key informant from GCRF and Newton Funds at UKRI (conducted 07 July 2021).

### Box 22: Gender analysis in the Global Environment Facility

In reflecting on its experiences with gender mainstreaming in its portfolio of projects, the Global Environment Facility (GEF) learned that conducting **gender analysis** at the onset of a project offers an important entry point for gender mainstreaming. Such gender analysis – conducted either as part of a social assessment or as a stand-alone exercise – “reveals the connections between gender relations and the environmental problem to be solved under the project”.<sup>200</sup> For those projects that conducted a gender analysis, during project preparation or implementation (18% of their portfolio), it “led to the development of additional gender-related actions, including gender-related project components, outputs, activities, or indicators” (p. 20). The research embodied in the gender analysis proved crucial for:

- Assessing gender-related activities, including gender relations and responsibilities, resource use and management, and decision making raised by the project;
- Designing project framework and approach; and
- Demonstrating the need for gender disaggregated data and indicators (p. 37).

### Box 23: The gender requirements of Green Climate Fund

The Green Climate Fund (GCF) has a stated objective to place gender as a key element of its programming architecture, and is committed to fund gender-responsive climate action programmes and projects that promote gender equality. GCF’s gender-responsive approach is articulated in the *GCF Gender Policy*<sup>201</sup>, which was adopted by the Fund’s governing body in 2015 and updated in 2019. To ensure that gender is sufficiently considered in funding proposals, GCF requires applicants to thoroughly consider and account for gender in their proposals. This entails<sup>202</sup>:

1. an initial **gender and social assessment** (to be included with the funding proposal). This includes: “a snapshot of the gender equality situation in the region, country or project area; the gender issues that may be relevant to the proposed project; and the opportunities to bring about positive change for both women and men”.
2. a **gender and social inclusion action plan** (submitted at the project preparation stage). This plan should: “indicate the gender-responsive activities the project will undertake; provide relevant gender-performance indicators; sex-disaggregated targets; timelines; responsibility lines; and a budget against each proposed activity”.

To support applicants in preparing gender and social assessment and action plan, GCF provides financial and technical assistance for the preparation of project and programme funding proposals through the [Project Preparation Facility](#) (PPF).

GCF has observed that the gender and social assessments face challenges in terms of required information on a) context, b) sector relevance, c) project specificity, d) stakeholder inputs, and e) lack of gender expertise. With respect to the gender action plans, it is noted that these do not always align with the submitted gender assessments and does not clearly spell out the anticipated chain of results.<sup>203</sup>

**Templates and guidelines** - With the publication of the Call, practical materials are provided for applicants to use and complete in the proposal writing process. This includes a **proposal template** in which the GESI integration expectations and requirements are reflected. This is complemented by **budgeting guidelines**, and in particular requirements regarding the allocation and earmarking of resources for GESI integration.<sup>204</sup>

<sup>200</sup> The Global Environment Facility (2013, p. 20).

<sup>201</sup> Green Climate Fund (2019).

<sup>202</sup> Green Climate Fund (n.d.).

<sup>203</sup> Green Climate Fund (2019).

<sup>204</sup> Wong et al. (2018, pp. 3-4).

These different types of guidance materials, pertaining to CLARE itself, as well as to the requirements of project proposals, should be made easily available, preferably in an *online CLARE GESI hub*. Materials can be both text and video. Links to the CLARE GESI hub and its resources should be included in the call for proposals and in the final proposal template. Additional support can be provided by:

- An *online webinar*: addressing GESI integration aspects and requirements
- A '*GESI*' *inbox*: where potential applicants can ask questions and guidance regarding the GESI proposal requirements (see Box 21 on UKRI and Box 22 on GCF). In order to ensure fair and equal chance for applicants, it is recommended to collect recurring questions, and publish the answers in a document summarizing FAQ on GESI integration.
- *Seed grants* in the proposal submission phase<sup>205</sup>: these seed grants could be used for the requirements of GESI integration in the design phase and the proposal. These include use of GESI expertise, conduct GESI inclusive consultations, conducting a GESI analysis, development of GESI Statement and of GESI plan.

Provision of this kind of support leads to next questions as to what capacities are needed at the CLARE team. Availability of external *GESI specialists* can be considered to advise potential applicants or those who receive a seed grant.

By providing guidance and support in the proposal development phase, the integration of GESI into proposals and projects is not approached as an outcome, but as an active *process*, where CLARE can support applicants in GESI integration right from the beginning of the funding cycle. Considering that potential applicants or grantees might lack expertise on gender equality and social inclusion in their consortium or teams, (additional) **support** on GESI integration is relevant to applicants already *in the submission (design) phase* and/or *proposal assessment phase*. It will contribute to stronger and higher quality GESI integration into the proposals and projects, from an early stage.<sup>206</sup> This, in turn, contributes to a well-balanced set of eventually selected projects.

<b>Box 24: Key GESI strategies, policies and publications from climate funding mechanisms</b>	
The Green Climate Fund (GCF), the Adaptation Fund (AF) and the Global Environment Facility (GEF) have in recent years both developed, evaluated and updated gender their gender policies and strategies, including GESI requirements and standards in the project identification and selection phase. Below is a list of key resources from GCF, AF and GEF that provide insightful GESI 'actions' and lessons learned, as well as useful guidance documents.	
<b>Green Climate Fund</b>	<ul style="list-style-type: none"> <li>- The GCF <a href="#">Gender Policy</a></li> <li>- <a href="#">Gender assessment and action plan templates</a></li> <li>- <a href="#">Mainstreaming Gender in Green Climate Fund Projects</a></li> </ul>
<b>Adaptation Fund</b>	<ul style="list-style-type: none"> <li>- <a href="#">Gender Policy and Action Plan of the Adaptation Fund (amended in March 2021)</a></li> <li>- <a href="#">Guidance document for Implementing Entities on compliance with the Adaptation Fund Gender Policy</a></li> <li>- <a href="#">From Policy Mandate to Implementation: Assessment Report on Progress in Realizing the Mandate of the Adaptation Fund's Gender Policy and Gender Action Plan</a></li> <li>- <a href="#">Assessing Progress: Integrating Gender in Adaptation Fund Projects and Programmes</a></li> </ul>
<b>Global Environment Facility</b>	<ul style="list-style-type: none"> <li>- <a href="#">Gender equality action plan</a></li> <li>- <a href="#">Mainstreaming Gender at the GEF</a></li> <li>- <a href="#">Guidance to Advance Gender Equality in GEF projects and programmes</a></li> </ul>

<sup>205</sup> Seed grants are considered as an option in the *draft strategy for 'Commissioning research within CLARE'*.

<sup>206</sup> Nordehn & Rubin (2018, p. 36).

### 3.3. Proposal selection

This section focuses on the proposal selection phase, and considers first the assessment Committee, and then the selection process, including GESI integration selection criteria.

#### 3.3.1 Assessment Committee

Before turning to the selection process and assessment criteria, attention needs to be paid to *who* is assessing the proposals, and how GESI is considered in *decision-making* on proposal selection.

A first recommendation is to ensure a proper balance in the **composition of the Assessment Committee** (and/or Review Panels).<sup>207</sup> This calls for consideration of different dimensions of GESI representation:

- Committee members include both *women and men* members and members of *marginalized* groups, representing different geographies, linguistic and professional backgrounds
- The Committee should include at least one *GESI specialist*, with expertise in (i) climate change *research* as well as (ii) *GESI integration strategies* in research.
- The Committee should be inclusive in terms of representation of women's and GESI *interests*; this means it is also relevant to include *stakeholders* such as women rights' organizations and other social inclusion voices, active in climate action.

A second recommendation is to **orient** the Committee members on GESI aspects and priorities as set out on CLARE and in the specific Call for which proposals are assessed. This orientation supports Committee members in understanding why GESI is important, how it is reflected in the Call, what is required of applicants and proposals, and how to assess the quality of GESI integration in the proposal. With all Committee Members being oriented on GESI integration, a **division of tasks** can be suggested for GESI and non-GESI specialist members: the GESI specialist members can review the GESI Statement, GESI analysis and GESI improvement plan, and all Committee Members review and assess the integration of GESI across the different proposal criteria (see respectively step 2 and step 1 in process explained in section 3.3.2).

#### 3.3.2 Assessment process and criteria

With respect to the process of assessing and selecting submitted proposals, it is recommended to include GESI integration expectations and criteria comprehensively and coherently into the **eligibility screening** and **evaluation grids**.<sup>208</sup> The assessment criteria used in the proposal selection process are a key instrument in ensuring the quality and level of GESI integration of the eventual portfolio from the beginning.

It is recommended to integrate the assessment of GESI integration into the proposal assessments, and into the selection process in three steps (see Figure 12 below).<sup>209</sup> In the first step, all submitted

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<sup>207</sup> Wong et al. (2018, pp. 3-4).

<sup>208</sup> Wong et al. (2018, pp. 3-4).

<sup>209</sup> In the recommendations to CLARE, we opted for this order and balance of integrating GESI considerations and criteria into proposal assessment and selection. This is not the only way to integrate GESI. For our recommendations here, we did not opt for this, but opted for an integrated approach in Step 1. In Step 2, we then make a deeper assessment of the quality of GESI integration, but now only for those long-listed proposals after Step 1.

proposals are assessed using an evaluation template in which GESI criteria are integrated. In the second step, for the longlist of highest ranking proposals after completing step 1, a GESI screening is conducted, that pays focused attention on the quality of GESI integration. In step 3, the results of step 1 and 2 are discussed to come to a final selection decision; in this decision-making step, the quality of GESI integration and the GESI targets set out earlier are explicit considerations to come to a balanced portfolio of projects. Each step, and also the GESI criteria used, is presented in more detail below.

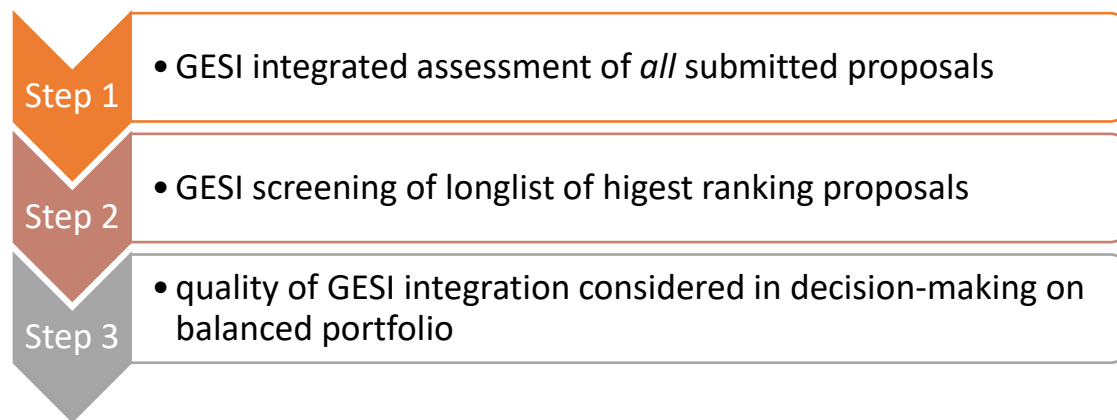


Figure 12: GESI integration into three-step selection process of submitted proposals

### Step 1: GESI integrated assessment of all proposals

The assessment of all submitted proposals is done with a set of criteria, into which GESI is integrated. With respect to integrating GESI aspects into this set of assessment criteria, the recommendations are to (A) partly revise the formulation of the existing criteria, (B) to clarify which GESI requirements for proposals are relevant to which criteria, and (C) to provide guiding questions on GESI aspects for criteria, as relevant. More specifically:

- A. **Prioritize 4 GESI aspects and integrate these into the formulation of 4 of the assessment criteria** (which are scored on a 0-5 scale).<sup>210</sup> These four are: GESI impact; GESI track record; GESI in research design; and GESI capacity strengthening. They are key considerations for the quality of GESI integration into the proposal, and hence merit to be assessed as criteria on their own. In particular:
- Under ‘Relevance & Impact’, rephrase the first criteria on how the proposal responds to the priority themes set out in the Call to explicitly reflect GESI outcomes and impacts.
  - Under ‘Equitable Partnerships’, rephrase the first criteria on ‘track record’ to reflect the applicant’s track record on GESI integrated and GESI transformative research.
  - Under ‘Research Quality & Project Design’, keep the stand-alone criteria on GESI, and strengthen its formulation [*How are gender equality and social inclusion considered and integrated into all phases and aspects of the research cycle (objectives, research questions, design and methodology)?*]
  - Under ‘Capacity Strengthening & Learning’, rephrase the first criteria to reflect the GESI capacity strengthening needs and strategies.

<sup>210</sup> 0 = unacceptable, 1 = very poor, 2 = poor, 3 = acceptable, 4 = good, 5 = outstanding.



- B. **Clarify** which **requirements** for proposals and for the project’s inception phase are to be taken into account when scoring proposals against/under the 20 existing assessment criteria. These include: the GESI Statement, the (integrated) GESI analysis, the GESI capacity assessment, the GESI plan and the integration of GESI into the Monitoring Framework.
- C. Provide **guiding questions** on GESI aspects and considerations for all existing criteria, as relevant. These guiding questions will support reviewers in applying the assessment criteria in a GESI integrated way.

A more detailed overview of what this looks like is presented in Annex 6.

These recommendations on GESI integrated **assessment criteria** are grounded in the expected GESI outcomes of CLARE (see section 3.1.3), and from the GESI outcomes of the specific Call (see section 3.2.1 and 3.2.2). These GESI outcomes are linked and translated to the assessment criteria, as they have been formulated in the *draft strategy for ‘Commissioning research within CLARE’*. This translation process drew from and leveraged three assessment instruments of gender, gender integration and/or inclusion aspects, that are available and used within IDRC<sup>211</sup> (see Figure 13). A light review of these three instruments reveals that they cover a range of GESI integration aspects, and (only) partly match the provisional GESI outcomes of CLARE as reflected in the current TOC (for more details on the light review, and also on the three instruments: see Annex 7).

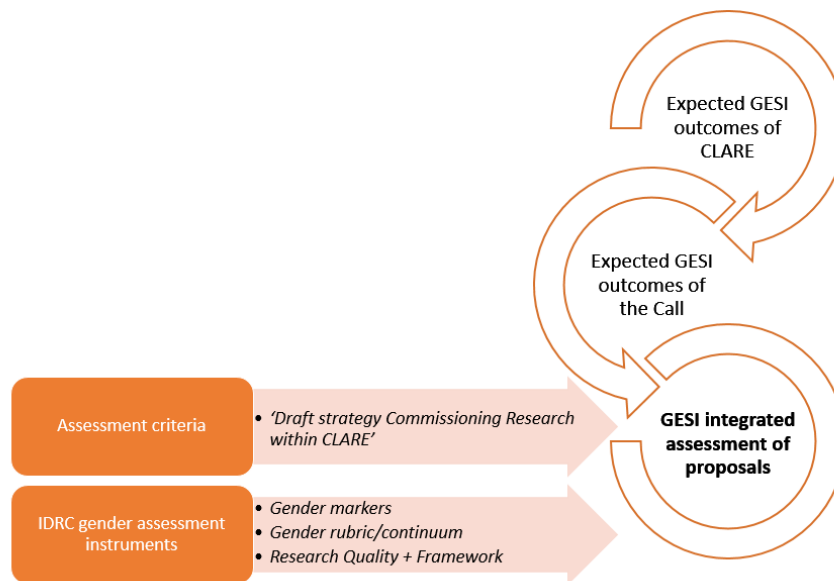


Figure 13: Towards GESI integrated assessment of proposals

<sup>211</sup> The three instruments are:

- (1) the so-called ‘Research project **gender markers**’ in the Gender Equality and Inclusion Programming Framework (IDRC GEI PF, version January 2021, para 2.2, p. 15)
- (2) the **gender rubric/continuum**, as used and presented in the *IDRC Research Quality Plus (RQ+) Assessment Instrument* (2020, updated version: p. 16).
- (3) *IDRC Research Quality Plus (RQ+) Assessment Instrument* (2020, updated version).

### Step 2: GESI screening of the longlisted proposals

On the basis of the assessment of all proposals under step 1, a longlist is created of the highest ranking proposals. A more in-depth, still light GESI screening is conducted for all these longlisted proposals. This GESI screening focuses on assessing the quality of the integration of GESI into the proposal. The GESI screening will look at four elements: the quality of the GESI Statement, the quality of the GESI plan, the quality of the gender and inclusion analysis in the proposal, and whether/to what extent the proposal is a GESI transformative project (see Table 4). This step 2 can be executed by the GESI specialist member of the Assessment Committee.

Table 4: GESI screening elements and scoring							
GESI Screening		0	1	2	3	4	5
A	Quality of <b>GESI statement</b>						
B	Quality of <b>gender and inclusion analysis</b> in the proposal						
C	Quality of <b>GESI plan</b>						
	C.1 ) Identified strengths and weaknesses on GESI on four output areas of CLARE						
	C.2 ) Proposed steps and strategies for improving and strengthening GESI integration						
D	GESI transformative character of project						
Total GESI screening score (sum of A, B, C1, C2, and D)							

The five elements of the GESI screening are scored on the same 0-5 scale. The total GESI screening score is the sum of these five elements (see Table 4). With the total GESI screening score, a new ranking of the longlisted proposals can be made, that takes into account both the total score of step 1 and the GESI screening score of step 2.

### Step 3: decision-making on selection of proposals and portfolio composition

After step 1 and 2, it is key to ensure that the level and quality of GESI integration is **explicitly part of the discussion and decision-making** on proposal assessment and selection.<sup>212</sup> This concerns both the proposals itself, and the composition of the overall *portfolio* of (potentially) selected projects. At this moment in the proposal selection process, the quality of GESI integration needs to be an explicit consideration to come to a balanced portfolio of projects under the Call, alongside with for instance geographical balance or the level of risk in the portfolio.

The decision-making needs to link back to the desired **targets** on GESI integration that are set in the design of a Call (see section 3.2.1, Box 20 on Indicative targeting). Does the ranking and rating of the submitted and short-listed proposal relate to the GESI integration targets set for the Call and the programme? This is a moment for deliberation of what proposals have most potential to contribute to the GESI ambitions and outcomes of CLARE and the Call. It also requires the Assessment Committee to take into account a balance between selecting proposals/projects that have a proven track record on GESI integrated and/or transformative research, and proposals/projects that are at a lower starting point but show strong aspirations and potential to move into the direction of more GESI integrated and potentially transformative research.

<sup>212</sup> Wong et al. (2018, pp. 3-4).

## 3.4 Capacities for GESI integrated research for action

With respect to capacities, this section first looks at research team composition and then at capacity strengthening for GESI integration

### 3.4.1 Research team composition and GESI integration

With respect to the composition of the research team, two different aspects need to be considered from GESI integration perspective: (1) gender and diversity balance, and (2) GESI expertise. These two aspects pertain to different GESI outcomes: gender and diversity balance is pivotal in relation to women and marginalized populations driving the climate action research agenda, and being in leadership positions to do so. GESI expertise is key to capacities to conduct GESI integrated and GESI transformative climate action research, and as such to (co-)creating knowledge and evidence on what works to achieve gender equality and social inclusion (see Table 1 in section 3.1.3).

- **Gender and diversity balance:** this concerns the balance between women and men of diverse backgrounds in the research team. This balance concerns researchers as well as practitioners (including from advocacy and community groups), and needs to take into account differences in positions (i.e. from project or research assistant to project leaders and principal investigators).
  - This balance in diversity and gender terms is relevant at the start of the project (and can be assessed in the application and selection process); it also merits considerable attention in (access to and ability to benefit from) capacity strengthening opportunities (see Box 25).
- **GESI expertise:** this concerns the available capacities and expertise to conduct GESI integrated and GESI transformative research. It is important to have GESI specialists as part of the research team.<sup>213</sup> This can be in-house expertise as well as externally contracted GESI expertise. Important considerations are:
  - *timing* when external GESI expertise is brought in: early on, at the onset of designing a project (otherwise it becomes an ‘add-on’ and leads to ‘retro-fitting’).
  - *medium-to-longer term engagement* of GESI expertise and specialists (compared to ad hoc and temporary assignments): to enhance and strengthen GESI expertise in project/research teams, make sure these specialists are embedded in and contribute to process of change, rather than involving GESI specialists in a fragmented and unsustainable way).<sup>214</sup>
  - *Seniority* and level of influence of GESI specialists (gender/GESI focal points often junior staff, with limited influence).
  - Resource allocations needed for GESI expertise and specialists in research team.

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<sup>213</sup> Nordehn & Rubin (2018, pp. 35-36); Mullinax et al. (2018, pp. 5-7, 33-34).

<sup>214</sup> When bringing external GESI expertise into CLARE projects and the programme - in for instance a call-down facility -, it is worth considering how this can be done in a strategic and sustainable way. This requires attention to working with a known *group* of GESI specialists, who are *oriented* on CLARE and its GESI strategy (ambitions, strategies and process), and who can be involved at *multiple moments* over time, to contribute to continuity and progress in the GESI integration process. It also requires clarity on what the medium (and longer) term goals and processes for GESI integration are, so that the assignments that external GESI specialists work on are **embedded** in the projects’ and programme’s strategic learning and capacity strengthening agendas. Ad hoc involvement of poorly-oriented GESI specialists undermines the potential they can bring to projects/programmes (for a broader discussion on integration of gender and feminist knowledge and capacities: Davids & Van Eerdewijk 2016; Eerdewijk & Davids 2014; Mukhophadyay 2014; Roggeband 2014; Eerdewijk 2016).

The recognition and level of influence of GESI specialists as well as women researchers and researchers of marginalized backgrounds calls for insight and acknowledgement of **power dynamics and hierarchies in research fields and institutions**. Box 25 highlights lessons learned around recognition of gender and feminist specialists and knowledge, and points to the ‘yes, but’ mechanism of dismissive recognition. Box 26 reflects on the need to pay attention to pre-existing power dynamics that can characterize collaborative settings; these include dynamics related to disciplinary boundaries, as well as gender, age and other social factors. Box 29 in section 3.4.2 mentions how epistemological divides can affect the integration of gender and the position of both women researchers and gender specialists. Ambitions and requirements with respect to a more balanced composition of research teams cannot ignore existing biases and dynamics, and hence directly call for recognizing and engaging with such power dynamics.<sup>215</sup>

**Box 25: Critical lessons learned: the ‘yes, but’ mechanism**

Over the past 25 years, gender mainstreaming and integration strategies have been readily adopted by a range of organizations, institutions and programmes in international development. These efforts were often based on both an assumption and a need for everyone to do gender, combined with the assumption that this set of (seemingly) technical skills of gender analysis, planning, and programming can be transferred to ‘everyone’.

Gender mainstreaming practice has been undermined by a contradictory **‘yes, but’ mechanism**.<sup>216</sup> The ‘yes’ captures the ready adoption and seeming openness to feminist knowledge and a gender equality agenda. The ‘but’ points to ‘a **dismissive recognition** [...] through which feminist work is simultaneously replenished and contained’.<sup>217</sup> **Gender is accepted and taken in as relevant and important, but ‘can be better done with non-feminist theories’ and with non-feminist actors.**<sup>218</sup>

As a result, many gender integration and mainstreaming efforts paradoxically contributed to the weakening of gender units, resulted in the under-resourcing of gender focal points, and a reduction in the number of gender specialists.<sup>219</sup>

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<sup>215</sup> The need to acknowledge power dynamics and hierarchies resonates strongly with the framing and insights of the CLARE Scoping Study on partnerships, that speaks about how to purposively support and foster equitable, effective and diverse partnerships (Mundy 2020).

<sup>216</sup> Pereira (2012).

<sup>217</sup> Pereira (2012, p. 296).

<sup>218</sup> Davids & van Eerdewijk (2016, p. 87-88).

Davids & van Eerdewijk (2016). *See also* Pereira (2012); Eerdewijk (2016).

### Box 26: Institutional power imbalances: Lessons learned from FCFA

While not reflecting explicitly on GESI considerations, FCFA - in the report [A Critical Reflection on Learning from the FCFA Programme](#) - observes that “international teams and transdisciplinary collaborations bring together partners with different competencies, perspectives, and expectations. Diversity related to professions, expertise, hierarchy, gender, age, and culture is thus a **common characteristic** of such collaborative settings. **Pre-existing power dynamics** are thus inherently embedded in various forms of interaction with diverse groups of members [...] and shape the working culture and practices within the teams”.<sup>220</sup>

The report stresses that “If we are serious about enhancing Southern leadership and leadership capacity we must begin by addressing some of the power dynamics that shape these collaborations. These are linked to long-standing biases around institutional prestige, number and profile (or impact factor) of publications, disciplinary orientation (e.g. natural vs. social sciences), intersectionality (e.g. gender, ethnicity, class, age, ability), and more. Understanding and actively addressing these biases that might be limiting the opportunities of particular groups of collaborators is an important step towards more equitable collaborations”.<sup>221</sup>

In essence, if institutional hierarchies and power imbalances pertaining to gender and other social markers of difference are not properly addressed, capacity strengthening efforts, especially for women and early career researchers, might have short institutional legacies – “Addressing these issues is critical to developing collective leadership and research capacity in the South”.<sup>222</sup>

### 3.4.2 Capacity strengthening for GESI integration

Capacity strengthening is one of the four output areas of CLARE’s TOC, and is as such reflected prominently among the provisional GESI outcomes (see section 3.1.3). In developing strategies and activities on capacity strengthening from a GESI integration perspective, it is critical to start with unpacking and differentiating **whose** capacities need strengthening on **what**. Otherwise, there is a risk of conflating issues, for instance in implicit assumptions that women scientists always have GESI expertise and an interest in GESI (integrated) research. Or, in confusing the role of a GESI focal point to lead and monitor a GESI integration strategy with the position of a specialized researcher in GESI in climate change. The Table 5 below makes explicit whose capacities and what capacities are at stake in the provisional GESI outcomes presented earlier (section 3.1.3). Box 27 shows how AWARD has translated this kind of a differentiation in capacity strengthening needs into a set of training courses that target different groups: women researchers on the one hand, and senior management and decision-makers on the other.<sup>223</sup>

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<sup>220</sup> Currie-Alder et al. 2019, cited in FCFA (2020, pp. 58-59).

<sup>221</sup> FCFA (2020, p. 46).

<sup>222</sup> FCFA (2020, p. 5).

<sup>223</sup> Another example of capacity strengthening programmes that aim to promote the integration of gender equality and social inclusion is GREAT (Gender-responsive Researchers Equipped for Agricultural Transformation). “GREAT delivers training to agricultural researchers from SSA in the theory and practice of gender-responsive research, seeking to increase opportunities for equitable participation and the sharing of benefits from agricultural research and improve the outcomes for smallholder women farmers, entrepreneurs, and farmer organizations across sub-Saharan Africa. By building and engaging communities of researchers equipped with the skills, knowledge, and support systems to develop and implement gender-responsive projects, GREAT advances gender-responsiveness as the norm and standard for agricultural research.” ([GREAT, n.d.](#)).

Table 5: Capacity strengthening for GESI integration: whose and what capacities		
CLARE output: CAPACITY: Enhanced capacity for climate action along the whole value chain		
TOC: Capacities for research, for leadership, for climate action, and for evidence-based choices that are <i>socially inclusive</i> , along the value chain, and that <i>include the most vulnerable</i> communities as key stakeholders		
Provisional GESI outcomes of CLARE	Whose capacities?	What capacities?
<ul style="list-style-type: none"> <li>Women and marginalized populations in leadership positions, and with strengthened capacities to lead and drive research (agendas)</li> <li>Capacity strengthening on leadership to GESI specialists in climate change research</li> </ul>	<ol style="list-style-type: none"> <li><u>Women</u> researchers and researchers with backgrounds in <u>marginalized</u> groups</li> <li><u>GESI specialists</u> in climate change research</li> </ol>	<u>Leadership</u> capacities (to lead and drive the climate change research agenda)
<ul style="list-style-type: none"> <li>Strengthen capacities of individuals and institutions/organizations in conducting GESI integrated climate action research</li> </ul>	<ol style="list-style-type: none"> <li><u>climate change researchers</u> ('non-GESI specialists) and their organizations</li> </ol>	- capacities to integrate and conduct <u>GESI integrated climate action research</u>
	<ol style="list-style-type: none"> <li><u>senior researchers, PIs and project leaders/management</u></li> </ol>	- capacities to implement and monitor <u>GESI integration strategies</u> in a research project - including capacities to support leadership development of (1) and (2) (and combine it with institutional change)
<ul style="list-style-type: none"> <li>Capacities of individuals and institutions/organizations on inclusive decision-making in climate action</li> </ul>	<ol style="list-style-type: none"> <li>research <u>grantees</u>, and potentially research-uptake <u>partners and stakeholders</u></li> </ol>	Capacities in <u>GESI integrated research-uptake and decision-making in transdisciplinary research</u> : - interdisciplinary research between technical and social sciences, as a broader foundation under GESI integrated research

### Box 27: Capacity strengthening by African Women in Agricultural Research and Development (AWARD)

AWARD is offering a range of different training courses targeting African scientists, research institutions, and agribusinesses with the aim to ensure that agricultural innovations and AR4D “better respond to the needs and priorities of a diversity of women and men across Africa’s agricultural value chains”.<sup>224</sup>

The [training courses](#) offered by AWARD fall into four general categories: mentoring, leadership, science skills, and gender responsiveness. For example, through its *Leadership Series*, AWARD offers “four distinct but complementary leadership courses designed to improve the performance and empower professionals across their institutions”, with specific attention for women agricultural scientists:

- Leadership for Agricultural Research and Development
- Women’s Leadership and Management Course
- Enhancing Negotiation Skills for Women
- Leadership Skills for Career Development

AWARD further offers two trainings with the objectives to support **senior management, policy-makers** and others in ensuring that they thoroughly respond to the different voices, needs and priorities of both women and men in the work that they do:

- Gender Training for Senior Managers
- Engendering Agricultural Research for Development

<sup>224</sup> <https://awardfellowships.org/our-strategy/>

### *GESI capacity assessment in inception phase*

It is recommended for CLARE to develop a **GESI capacity assessment tool** that grantees will be requested to use in the inception phase of their project. Such a GESI capacity assessment tool should encompass the different capacities and potential target groups of capacity strengthening activities, and assist grantees in identifying strengths and weaknesses in their GESI capacities. The tool should be tailored to CLARE and reflect its GESI ambitions and outcomes. By using a standardized GESI capacity assessment tool across grantees and projects in CLARE's portfolio, the respective strengths and weaknesses across the portfolio can be identified, and capacity strengthening initiatives can be formulated at programme level, addressing gaps across grantees. At project-level, the GESI capacity assessment will support grantees in identifying their strengths and weaknesses, selecting their priorities, and choosing their capacity strengthening strategies. (see also Box 28 on AOCA)

#### **Box 28: Using a tailor-made capacity assessment tool to guide programme-wide capacity strengthening**

Capacity strengthening of selected women's rights organisations in four countries is one of the four pathways of change in the YW4A programme (Young Women for Awareness, Agency, Advocacy and Accountability).<sup>225</sup> To assess the strengths and weaknesses of all participating women's rights organisations, and to inform the capacity strengthening programme of that pathway, the consortium choose to design a tailor-made assessment tool: the Advocacy and Organisational Capacity Assessment (AOCA). The AOCA instrument covers four domains of capacity, and for each domain 3-6 sub-domains are identified. The AOCA tool is implemented with facilitative support of national advisors, who support the women's rights organisations in their guided self-assessment.

The AOCA is implemented in the first 9 months of the 5-year programme. The first results both (1) inform the **capacity strengthening strategies and activities** in year 1 and 2, and (2) form the basis of the **baseline** reports in year 1. The AOCA will be repeated in the third and fifth year of the programme, to track progress and adapt the capacity strengthening strategies, and is complemented with annual reflection sessions to support learning and adaptive programming.

### *3.4.3 Unpacking capacity strengthening for different targeted groups*

Building on the recommendation to differentiate between whose capacities require strengthening on what, this sub-section takes some first steps to unpacking what this can look like for (1) GESI integrated research capacities for climate change and action researchers, (2) leadership strengthening of women/marginalized researchers and GESI specialists, and (3) GESI integration capacities for project managers, research leaders, and GESI officers and focal points.

#### *Capacities to integrating GESI into climate change research*

A major point of attention for capacity strengthening in CLARE will be to enhance the capacities in projects to integrate GESI into climate change research, and uptake for action. The target group for this is in principle broad and large: it can concern all climate change researchers in project. A selection process is needed to narrow down this broad group; this targeting process should take into account which researchers and positions can have a larger effect on GESI integration in the research project and

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<sup>225</sup> Information about YW4A : <https://www.worldywca.org/young-women-for-awareness-agency-advocacy-and-accountability-world-ywca-led-consortium-aims-to-strengthen-movements-for-change/>  
For more information about the AOCA tool and process: Joke Manders ([j.manders@kit.nl](mailto:j.manders@kit.nl))

activities. This would suggest a special consideration of *research leaders and project managers*, who are key actors in the project and can also lay the ground for other researchers to integrate GESI. A second potential target group are climate change researchers with an emerging or expressed interest in interdisciplinary and transdisciplinary approaches, in impact-oriented innovation, and in questions around equality and inclusion.

It is recommended that the capacity strengthening activities start shortly after award of the grant, and that they are linked to the GESI capacity assessment (and the *GESI Statement, GESI analysis and GESI improvement plan*, as submitted in the proposal). The focus of the training should be on **how to** conduct GESI integrated research, taking into account all stages of a research project. Aspects to cover include: research design, conceptual framework, methodology, data collection, GESI analysis, and publication and dissemination. Key in this will be to enhance the understanding of gender-responsive and transformative research strategies. This also means that explicit attention needs to be paid to capacities for doing gender-transformative research, including distinctive aspects of inter- and transdisciplinary research, as well as participatory, collaborative and dialogical methods.<sup>226</sup>

It is recommended to organize the capacity strengthening activities in **multiple modules**, spread over the first years of CLARE.<sup>227</sup> **Coaching and mentoring** on GESI integration in actual research projects (including of GESI-transformative research) can support actual application and use of knowledge and capacities developed in training sessions. In later years of CLARE, these capacity strengthening trainings and coaching can be connected to the **knowledge management** activities that seek to synthesize learning on knowledge gaps (see section 3.5). In this way, a mutually reinforcing momentum between capacity strengthening and mutual learning activities can be leveraged (See Box 29 on CIFSRR's gender support initiative). The capacity strengthening trainings and coaching activities can also be linked to the GESI online **platform** of materials and resources for grantees and projects.

#### **Box 29: 12-month gender support initiative in CIFSRR**

After an initial start with training workshops and the involvement of external consultants for e.g. gender audits, the approach of CIFSRR (*Canadian International Food Security Research Fund*) to strengthen capacities for gender integration evolved into "a more systemic and tailored approach to CIFSRR projects [in] a **package** of linked and mutually reinforcing capacity strengthening and learning activities". "Key features included gender audits; different capacity strengthening interventions including workshops, field accompaniment and virtual support (in the form of coaching, webinars, tools and other resources) as well as establishing and undertaking project-based action plans for gender integration. Internal assessment of the initiative indicates the majority of participants gaining and applying learnings resulting from it [...]. In particular, the main benefits were the action plans that provided the basis for tailored-support as well as opportunities for learning among grantees."

"One noteworthy learning for grantees is the increased appreciation for and value of social sciences to AFS, particularly among researchers with dominant bio-physical research orientations. In this sense the capacity strengthening efforts seem to have **bridged epistemological divides** that can stymie gender integration efforts (for

<sup>226</sup> There is a need to be intentional in research design and use to promote GESI transformative change (grounded in realities, and giving voice to women, girls and marginalized groups), and in particular to use participatory, collaborative and dialogical methodologies that are consistent with such goals of GESI transformative change (Mullinax et al. 2018, p. 5-7, 33-34).

<sup>227</sup> Wong et al. (2018, p. 10-11); Nordehn & Rubin (2018, p. 42).



example, see Danielsen and Wong, 2013). While this greater appreciation for the value of addressing gender issues in Agriculture and Food Security research resulted in many cases of building in gender expertise, sometimes such resources were either siloed within the project or not given attention commensurate to other issues, as indicated for example with hiring of junior staff to be responsible for integration gender in the research. To its credit, however, CIFSRF staff had observed this tendency and took measures, such as ensuring both PIs and gender researchers attended capacity strengthening events.”<sup>228</sup>

### *Leadership strengthening of women/marginalized researchers and GESI specialists*

The targeted groups for the first GESI capacity outcome are twofold: it concerns leadership of (1) women researchers and researchers of marginalized groups to lead and drive the research agenda, and (2) of GESI specialists in climate change research. These are two potentially partly overlapping groups, but also distinctly different. Not all women researchers specialize in gender integrated research. And not all GESI specialized researchers are women or come from marginalized backgrounds.

Leadership strengthening of these two groups is an important focus as it affects whose voices and perspectives are heard and are driving research agendas, and eventually uptake and impact. Their leadership capacities can be strengthened in two ways:

- Firstly, by offering distinct and target leadership courses and mentoring to these target groups. Such leadership capacity strengthening approaches need to take into account the specific challenges and biases women, marginalized groups and GESI specialists might encounter when developing and exercising leadership. That means, they need to consider the **power hierarchies and dynamics** that often hamper and limit leadership of these groups, and intentionally integrate strategies to engage with those.
- Secondly, existing and more mainstream capacity strengthening and leadership activities can also leverage leadership of these target groups. In order for that to be successful, it is critical to identify and address the *opportunities and barriers* these two groups might experience in accessing general/overall capacity building initiatives in CLARE and beyond.<sup>229</sup> (See Box 30 on inclusive approaches to capacity strengthening opportunities)

In order for leadership approaches for women, marginalized groups and GESI specialists to be effective and sustainable, the institutional context in which they work and provide leadership also merit attention; this calls for capacity strengthening of project leaders and (organizational) management on unintentional and unconscious biases that reproduce inequalities (see Box 31 on CARE’s strategy on self-reflection among staff).

#### **Box 30: Need for inclusive approaches to research and leadership capacity strengthening**

*“Different strategies are required to meet the needs of women and men from different backgrounds, because they experience different barriers to participate as researchers”.*<sup>230</sup> Multiple assessments and studies<sup>231</sup> have shed light on how the same capacity building opportunities might in practice be differently accessible for different groups of scientists and researchers, depending on their social location. Women and men with caretaking responsibilities might be less able to travel abroad frequently or for longer periods for capacity building opportunities. Or, women

<sup>228</sup> Wong et al. (2018, p. 10-11).

<sup>229</sup> Nordehn & Rubin (2018, pp. 37-38).

<sup>230</sup> Nordehn & Rubin (2018, p. 37).

<sup>231</sup> The *Gender & Climate Change synthesis report* (Nordehn & Rubin, 2018, p. 37-38) for instance refers to: Gay-Antaki and Liverman 2018; Avallone et al. 2013; Canetto et al. 2012; and Levine et al. 2007.

researchers and researchers of marginalized groups might have less access to male dominated networks, which can limit their access to capacity building opportunities and resources. This different access to informal and formal professional networks and associations also makes that they have less opportunities to publish in prestigious journals or attend international and global conferences. It also affects their opportunities for formal and informal mentorship with seasoned and experienced scientists or project leaders. Inclusive approaches to research capacity strengthening and professional advancement are based on such assessments of **potential barriers to access and benefit**, and take this into account. This can for instance relate to the planning and location of capacity strengthening activities, or potentially additional financial or other support. It also calls for going beyond the usual suspects in recruiting participants and announcing opportunities.

### *The institutional context and project management*

Both the extent to which GESI is integrated into climate change research, and the extent to which women researchers, those of marginalized groups and/or GESI specialist can lead and drive research agendas are not only or 'just' a reflection of their (individual) capacities. The institutional context in which these different groups operate and work greatly affects their ability to integrate GESI into research and leadership opportunities respectively. Put differently, the institutional settings in research institutions and fields shape what researchers are more likely to drive agendas and what type of research gets promoted. Because institutional settings are marked by inequalities and power dynamics (see Boxes 25, 26 and 27), both capacity strengthening ambitions require these institutional dynamics to be considered and addressed.

This then calls for capacity strengthening of **research leaders and project management**. This could be combined with activities also involving **GESI integration officers and focal points**. It is important to avoid that the responsibility for GESI integration lands with junior/medior level project staff, with limited decision-making and influence in the overall project (this leads to 'mainstreaming away'). The management and leadership of the overall project as well as principal investigators (PIs, or co-PIs) should be directly involved in capacity strengthening activities and processes on GESI integration strategies, to secure leadership commitment, understanding, involvement and accountability. Here, demonstrated commitment and engagement is important, to avoid such senior leaders dedicating insufficient time and effort to this role.

The focus of this type of capacity strengthening is on GESI integration strategies in project management and implementation. This encompasses both formal and informal institutional aspects, that is operational and institutional procedures, systems, procedures and processes, as well as beliefs, attitudes and values (for the latter, see Box 31 on CARE's approach to reflection). It can start shortly after award of the grant, and can be closely linked to the *GESI improvement plans* of projects (see 'Dual approach' in section 3.1.3) The initial capacity strengthening sessions can followed by (a) separate sharing and reflection sessions/moments for GESI integration officers and focal points, as well as (b) joint reflection moments with both target groups (i.e. at bi-annual/annual meetings) to reflect on progress, barriers, learnings and to course adapt. Sharing, reflection and learning takes place both at project level, and between grantees.

On-going (guided and facilitated) reflection is important and helpful to uncover institutional barriers to GESI integration that will come to the surface in an (organizational) change process like this. The joint reflection and course adaption by project management and GESI integration focal points is pivotal here,

as some of these institutional barriers might be out of sight for project leadership, and beyond the mandate or sphere of influence of GESI integration focal points. On-going reflection and learning by project leaders and management, as well as GESI officers and focal points can be linked to a GESI Working Group and quarterly/bi-annual meetings. (Links with section 6, ‘A reflexive learning agenda on GESI integration’).

### **Box 31: CARE’s effort to transform staff capacities through reflection**

*“Beliefs, attitudes, and values of staff are shaped by the societies they live in – just like the people in the communities where development programs operate. [...] SAA begins by transforming the capacity of program staff members. This continues throughout the process cycle. It usually begins with the staffs’ own capacity transformation, which is a continuous process”<sup>232</sup>.*

It is important to recognize how project staff might (unintentionally) (re)produce unequal power dynamics in and through projects and programmes. CARE’s work on gender norm transformation therefore starts with CARE staff reflecting on their own positionality and biases. To guide this self-reflection, CARE employs the **Social Analysis and Action (SAA)** approach: this is a facilitated process through which individuals explore and challenge the social norms, beliefs, and practices that shape their lives and health. The first step in the SAA approach is to transform unconscious biases and staff capacities through reflection.

“Two core elements of staff transformation are:

- **Self-reflection:** Self-reflection encourages staff to become aware of and address unconsciously held biases and beliefs, so that they do not reinforce or perpetuate these stereotypes.
- **Building skills to facilitate critical reflection and dialogue (CRD):** Discussions about gender, power relations and other social norms can sometimes be sensitive. CRD strengthen staff members’ confidence and comfort in talking about and facilitating such conversations. It enables individuals and communities to question and, challenge restrictive norms, envision alternatives, and act together to shift norms”<sup>233</sup>.

Reflection has also been built in explicitly into CARE’s their **participatory MEL framework for community-based adaptation**<sup>234</sup>.

## **3.5 Synthesis and learning on knowledge gaps**

Synthesis and learning on knowledge gaps is critical for GESI integration in both the knowledge and the decision-support outcomes of CLARE (see 3.1.3, Table 1). As a programme-wide function, knowledge management entails both knowledge *infrastructure* and knowledge *exchange processes*.<sup>235</sup> The TOC and the provisional GESI outcomes offer the basis for key points of focus in a synthesis and learning agenda on knowledge gaps in the intersections between GESI and climate change research and action:

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<sup>232</sup> CARE (2018, p. 10).

<sup>233</sup> CARE (2018, p. 10).

<sup>234</sup> [PMERL: Participatory Monitoring, Evaluation, Reflection and Learning for Community-Based Adaptation](#)

<sup>235</sup> The *draft Knowledge Management Strategy for CLARE* (version December 2020) addresses (i) monitoring and evaluation, (ii) knowledge infrastructure, (iii) knowledge exchange processes, and (iv) research uptake, knowledge brokering and knowledge translation. Monitoring and evaluation is covered in section 3.6. **Research uptake** is identified as an important entry point for GESI integration, but beyond the scope of this report (see section 3.1.4).

- **generating knowledge and evidence** on what works to achieve GESI.
- providing **thought leadership** on GESI and climate action.
- **distilling and sharing knowledge** on GESI in climate action, and on what works to achieve GESI in climate action.

### *Collaborative learning agenda on intersections between GESI and climate change and action*

The first recommendation is to *actively design* a collaborative research and **intentional learning agenda** to generate and synthesize knowledge and evidence on the intersections of GESI with climate change and action.<sup>236</sup> This learning agenda can be embedded in the knowledge exchange processes of the KM Strategy of CLARE. This would also link the GESI learning agenda to: (a) *annual learning events* (where intersections between GESI and climate change and action are one of the thematic foci), and (b) 6-monthly *thematic webinar series*. Both annual events and the webinars offer a space for GESI researchers as well as non-GESI specialists who are developing and learning about how to integrate GESI into their studies, to present their work, and share their insights and learnings. They can share about innovative gender-responsive as well as gender-transformative research and methodologies.

High level **learnings questions** shape the learning reviews anticipated in CLARE's KM Strategy. Drawing on the draft KM Strategy and the CLARE GESI outcomes above, important learning questions on GESI will speak to how can gender and social inclusion considerations be effectively integrated into research programming to address structural barriers experienced by the most vulnerable. This includes:

- What knowledge and evidence is emerging on how to support adaptation and resilience *of the most vulnerable*, in a way that *reduces barriers* for vulnerable populations and *promotes gender equality and social inclusion*?
- What knowledge and evidence is emerging on what factors and strategies contribute to *purposely promoting gender equality and social inclusion* and *fostering transformative change*?

GESI oriented learning questions can be clustered around specific focus areas of climate change research and action, as well as geographical areas. They should include at least one cluster on gender-transformative research, knowledge and evidence, to leverage and synthesize that type of research that CLARE seeks to promote (see Section 3.1.3).

It is recommended to focus the learning questions on synthesis of knowledge and evidence **on the intersections of GESI and climate change and action**, so the knowledge and decision-support outcomes of CLARE. (This is to be differentiated from learning around a GESI integration learning agenda, that primarily focuses on GESI integration strategies and experiences itself; see also '*GESI improvement plans and learning agenda*', in section 3.6).<sup>237</sup> The two types of learning are related, but distinctly different.

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<sup>236</sup> Wong et al. (2018, p. 17); Mullinax et al. (2018, pp. 5-7, 33-34).

<sup>237</sup> The current learning question on GESI formulated in the draft Knowledge Management Strategy can be strengthened by clarifying the focus on the intersections of GESI and climate change and action, as distinct from the GESI integration learning agenda. (*Draft Knowledge Management Strategy for CLARE*, December 2020, p. 11).

Finally, GESI should also be explicitly considered in relation to the *other* high level learnings questions in the knowledge exchange processes.<sup>238</sup> Strong GESI focused learning questions as well as solid integration of GESI into other learning questions and exchange processes will benefit the reflections in and responsive learning of the PMG on the implementation of CLARE.

### *GESI Working Group*

A second recommendation is to put in place a Gender Equality and Social Inclusion Working Group.<sup>239</sup> Such a working group can facilitate collaboration across projects, on both GESI-responsive and GESI-transformative research and learning. It can also be a key stakeholder in CLARE and across projects that can co-develop the agendas for learning and knowledge synthesis on GESI's intersections with climate change and action, as well as on GESI integration strategies. Setting up and supporting a GESI Working Group is an important mechanism to “formalize improved knowledge sharing practices on gender integration” in and across CLARE's projects.<sup>240</sup> An often-cited example of a GESI Working Group is within CARIIA, and some key reflections and lessons are presented in Box 32.

#### **Box 32: Lessons learned from the CARIIA Gender & Equity Working Group**

To enable collaborative research, capacity building and knowledge sharing, CARIIA established different working groups that addressed a) thematic issues, b) specific cross-consortium research ideas, and c) in-country engagement activities. One of these was the Gender & Equity Working Group. It was set up to collaborate on developing a common approach that meets a minimum acceptable standard for gender research across consortia. The Gender & Equity Working Group was further mandated to monitor progress against the agreed standards and milestones on an ongoing basis (in addition to expert assessments planned at mid-term and at the end of the program).

CARIIA's *mid-term evaluation on gender and social inclusion* noted that “CARIIA's Gender & Equity Working Group has an **important role** to play, especially when it comes to fostering innovation and supporting the exchange of methodologies”.<sup>241</sup> However, “the Gender & Equity Working Group has only **partially** fulfilled its objectives” and that “has not managed to become a space where innovation on gender and equity research emerges and consolidates”.<sup>242</sup> The evaluation recommends CARIIA to “revise the Gender & Equity Working Group's **objectives** for the remainder of the program. Discuss how the working group can foster innovative research on gender and equity, as well as how it can support **mechanisms that promote the exchange of methodological expertise and knowledge across and outside the consortia**. The Gender & Equity Working Group has the potential to become a platform that supports **capitalization** on gender and equity in the second half of the CARIIA program and after the program is finalized. If the later constitutes a priority for CARIIA, it would be recommendable that IDRC supports this process by allocating a person for this task”.<sup>243</sup>

<sup>238</sup> The other high level learning questions presented in the draft Knowledge Management Strategy are about: (i) equitable and novel partnerships, (ii) best practices for research uptake and knowledge brokering for impact, (iii) capacity strengthening for equitable and socially inclusive climate adaptation and evidence-based climate action, (iv) multi-level KM, and (v) transdisciplinary approaches. (*Draft Knowledge Management Strategy for CLARE*, December 2020, p. 11).

<sup>239</sup> Nordehn & Rubin (2018, p. 39-46); Mullinax et al. (2018, p. 33-34).

<sup>240</sup> Nordehn & Rubin (2018, p. 39-46).

<sup>241</sup> Gonda (2017, p. ii).

<sup>242</sup> Gonda (2017, p. 25).

<sup>243</sup> Gonda (2017, p. 26).

In the CARIIAA *summative evaluation*, the Gender & Equity Working Group is found to be “making progress in terms of **coordination**, involvement of increasing number of researchers from each consortium, and **generation of quality knowledge** on gender drivers and conditions leading to climate change vulnerability in the countries covered by CARIIAA [...] The creation of the CARIIAA Gender and Equity Working Group represents a clear will to **promote collaborative** work across CARIIAA and to **foster researchers’ involvement in gender specific research**. The contribution to CARIIAA outcomes by creating awareness, conducting capacity building activities and promoting mentoring has been key”.<sup>244</sup>

### *Incentives for cross-project collaboration, learning and synthesis on GESI*

A third recommendation concerns putting in place dedicated and targeted incentives for joint learning and knowledge synthesis on the intersections of GESI and climate change and action. There are different options to pursue to promote cross-project collaboration and joint learning and synthesis.<sup>245</sup> These include:

- **Tag resources** for gender-responsive as well as gender-transformative research in a **responsive fund** for cross-project collaborations. The calls for Concept Note can provide specific opportunities for submitting Concept Note that explore innovative methodologies and/or research questions GESI and climate change research, across a number of projects.
- Provide opportunities for **presenting and publishing** GESI-responsive and GESI-transformative research. In addition to the earlier mentioned annual learning events or periodical webinar series, this can also be initiated/coordinated at important academic or policy-oriented **conferences**.
- Initiating and supporting **joint (CLARE programme) publications and other knowledge dissemination and communication initiatives** that cluster and synthesize knowledge and evidence on GESI’s intersections with climate change research and action. Such joint publications can combine insights and experiences from the research projects as well as/combined with the innovations funded through the responsive fund.
- Dedicate **awards** and other recognition mechanisms to outstanding and innovative GESI-responsive and GESI-transformative research. This can both be focused on well-established GESI research, as ground-breaking innovative first steps in a research area or discipline where GESI integrated is just emerging.
- Reserve a part of the 3-6 month **travel grants for PhD students or post-docs** for GESI specialists and/or climate change researchers who are dedicated to exploring and strengthening their capacities to integrate GESI into their field and studies.

These different incentives can be explored and further elaborated with guidance from the GESI Working Group. An example of using small grants mechanism to support a coherent learning agenda across different organizations, and synthesize them in joint publication is provided in Box 33.

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<sup>244</sup> Lafontaine et al. (2018).

<sup>245</sup> Nordehn & Rubin (2018, p. 39-46); Mullinax et al. (2018, pp. 5-7, 33-34).

*Draft Knowledge Management Strategy for CLARE*, December 2020 (p. 11-12).

### Box 33: Using small grants to support the synthesis and learning on GESI integrated research

CGIAR Collaborative Platform for Gender Research engaged and coordination collaboration between gender research in agriculture and natural resource domains across the CGIAR centres and programs.<sup>246</sup> It sought to increase the **visibility and impact** of gender research conducted in the CGIAR, and set and supported a CGIAR-wide gender research **agenda**. This was done by: (i) research agenda-setting, (ii) engaging gender scientists within and beyond the CGIAR, (iii) strengthening capacities of gender researchers, and scientists integrating gender analysis into their research, and (iv) showcasing CGIAR gender research.<sup>247</sup>

The Gender Platform formulated gender research themes that cut across the different centres and programs. These were articulated with inputs from both gender research coordinators and 'science leaders' and donors. Each year, one of the **cross-cutting themes** was highlighted, and specific support and initiatives were provided for cross-CGIAR learning, synthesis and publications. The three themes were: '*Gender dynamics in seed systems*' (2017), the '*Feminization of agriculture: building evidence to debunk myths on current challenges and opportunities*' (2018), and '*Gender dynamics in value chains: beyond the production node and single commodity analysis*' (2019).

Collaboration, learning and synthesis was invited, supported and promoted via a combination of mechanisms:

- **Small grants** were issues for co-funded projects of collaboration, within these dedicated cross-cutting themes. The small grants could be used to develop conceptual frameworks, mixed method approaches, and/or joint outputs.
- Coordination and facilitating of **workshops** that bring together the small-grant projects and researchers, to jointly craft research questions, compare tools, methods and (emerging) findings, and to synthesize evidence and insights.
- Coordination and support of **joint publications** of the multiple projects under these cross-cutting themes, for instance as in a special issue of a journal, in an edited volume, or as policy briefs.

The dedicated and strategic coordination of the Platform promoted high-level learning on cross-cutting gender research questions, and allowed for coherent synthesis and publication of (emerging and potentially fragmented) evidence, insights and knowledge.

### Knowledge infrastructure

The fourth and final recommendation for knowledge synthesis and learning, is to put in place a **digital online library** to collect and make accessible emerging findings, evidence on the intersections between GESI and climate change research and action.<sup>248</sup> This can build on the earlier proposed CLARE GESI Hub, and be embedded in the online knowledge hub of the KM Strategy. In addition to storing and sharing GESI guidance materials and tools, this only GESI Hub can over the course of the programme include a news portal on GESI research, and collect and make accessible findings and insights of GESI research across projects.

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<sup>246</sup> Between 2017 and 2019, the CGIAR Collaborative Platform for Gender Research was based in the CGIAR Research Program (CRP) on Policies, Institutions, and Markets (PIM) and coordinated by KIT Royal Tropical Institute.

As of January 2020, the platform entered a new phase, under a new name. The current GENDER Platform is hosted by the International Livestock Research Institute (ILRI) in Nairobi, Kenya. See: <https://gender.cgiar.org/>

<sup>247</sup> CGIAR Collaborative Platform for Gender Research (2019).

<sup>248</sup> Nordehn & Rubin (2018, p. 39-46).

### 3.6 Monitoring, evaluation and learning

The starting point of the recommendations to integrate GESI into MEL and accountability is that monitoring and evaluation are used for learning and adaptive programming, at both the CLARE programme level and the level of projects and grantees. This resonates with the key features of CLARE's future M&E framework as they are being currently developed (see Box 34). Solid integration of GESI outcomes, indicators and progress markers in regular reporting and learning will contribute to continuous refining of GESI strategies and outcomes.<sup>249</sup> GESI integration recommendations relate to: (a) the monitoring framework; (b) a reflexive learning agenda on GESI integration; (c) reporting; and (d) evaluations.

#### **Box 34: Key features of CLARE's M&E framework<sup>250</sup>**

The main objectives of CLARE's M&E framework are:

- (a) ensure *accountability* between grantees and IDRC, and between IDRC and FCDO,
- (b) support *learning* to improve implementation and achieve greater impact through adaptive programme management, and
- (c) *track* progress along the Theory of Change and support the *achievement* of outcomes.

It consists of four elements:

- (1) a **Theory of Change** (programme logic on how programme activities lead to outputs, outcomes and ultimately impacts), (2) a **Monitoring framework** (offers a set of indicators and progress markers; may include aspects of Key Performance Indicators and outcome mapping methodologies), (3) A **Logframe** (embedded within the monitoring framework), and (4) formative and summative **evaluations**.

#### *Monitoring framework*

The Monitoring framework is expected to be defined during the first six months of the programme, and at programme level.<sup>251</sup> It is strongly recommended to *leverage* the development of the monitoring framework as an opportunity to integrate GESI across the programme, and especially its different output areas. A solid integration of GESI into the monitoring framework can deepen *awareness and understanding* across staff, partners and stakeholders on what GESI integration aims for, what it entails, and how it is envisaged to evolve over time.

- Take note of the recommendations for strengthening the integration of GESI into the **ToC** (see section 3.1.1).
- **Programme-wide GESI indicators** can be derived from GESI outcomes at CLARE level (see section 3.1.3, Table 1) (adapted to the specificities of a Call, when needed).<sup>252</sup> Indicators are formulated at programme level; monitoring data is primarily collected at project level. As such, the GESI indicator can be used to monitor progress and support learning on GESI integration at project and programme level.<sup>253</sup>

<sup>249</sup> E.g.: Wong et al. (2018, p. 17).

<sup>250</sup> *Draft Knowledge Management Strategy CLARE* (December 2020).

<sup>251</sup> *Draft Knowledge Management Strategy CLARE* (December 2020).

<sup>252</sup> Wong et al. (2018, p. 17); see for instance Nelson & Huyer (2016).

<sup>253</sup> Wong et al. (2018, p. 17).



- **Meaningful GESI indicators** should:
  - ✓ Be/include *outcome* indicators (beyond input and beyond throughput).
  - ✓ Capture and provide insight into the *pathways* of change that the integration of GESI is about and entails, including setbacks and challenges along the way.<sup>254</sup>
  - ✓ Include both *quantitative* and *qualitative* indicators (see Box 35).

**Box 35: Need for qualitative GESI indicators: beyond ‘reach’**

The Gender and Climate Change Synthesis report (2018) observes that “*The current cross-cutting indicators used to monitor gender equality outcomes mostly use reach indicators, on men’s and women’s participation and achievements in research. This reporting occurs every six months. CCP currently measures capacity building of different research participants, measuring the number of women and men who participate in training. Projects in CARIAA monitor the number of women and men who have authored reports, further disaggregating by northern and southern researchers. Other data is captured on the number of men and women receiving scholarships and travel grants*” (p. 35)<sup>255</sup>

The importance of nuanced and meaningful gender indicators is stressed in the Green Climate Fund’s report [Mainstreaming Gender in Green Climate Fund Projects](#). This relates to indicators with respect to both GCF’s performance measurement framework and in the M&E frameworks of the projects that are applying for/receiving GCF funding. The report can offer inspiration and guidance to CLARE when thinking about which gender indicators to include in its monitoring framework. Different types and uses of gender indicators are provided.:

- Incorporating gender-sensitive targets and indicators in the GCF Funding Proposal (p. 47)
- Gender-responsive outcome-level indicators in the GCF performance measurement framework (p. 43)
- Gender-related development impacts and indicators in GCF projects (p. 44)
- Examples of gender-responsive indicators in climate change projects (p. 69). These indicators are clustered into the following of six categories: (i) Well-being and livelihood, (ii) Economic empowerment, (iii) Participation and decision-making, (iv) Capacity development, (v) Sectoral planning and policies, and (vi) Access to finance.

In the development of the Monitoring framework, ensure that:

- The specialists that are (anticipated to be) **commissioned** for this also bring strong GESI expertise to the assignment. This covers GESI expertise in climate action research, as well as in institutional change, capacity strengthening and knowledge management, amongst others.
- Invite **grantees and projects** to contribute and co-develop the integration of GESI into the monitoring framework. This can both be a useful *capacity strengthening opportunity on GESI integration*, and serve as a starting point for strengthening of GESI integration in their respective projects. It will also strongly contribute to *linking* the GESI ambitions and outcomes formulated at programme level to the ambitions, strategies and outcomes across all projects.

Projects/grantees can:

<sup>254</sup> On what ‘good gender data’ are, see: Data2x ([www.data2x.org](http://www.data2x.org)), Newton et al. (2019) (<https://www.kit.nl/publication/what-do-participatory-approaches-have-to-offer-the-measurement-of-empowerment-of-women-and-girls-2/>), and KIT’s work on measuring empowerment (<https://www.kit.nl/publication/what-gets-measured-matters/>).

<sup>255</sup> Nordehn & Rubin (2018, p. 35).

- ✓ contribute to formulation of GESI indicators and pathways at programme level
- ✓ identify and prioritize their GESI ambitions and strategies within that context
- ✓ link these to their GESI improvement plans
- ✓ benefit from this opportunity to strengthen collaboration between their M&E specialists, GESI specialists and project leadership.

### *A reflexive learning agenda on GESI integration*

Learning is prominent in CLARE’s M&E framework, with learning being one of the three main objectives (see Box). It is strongly recommended to formulate and facilitate a reflexive learning agenda on CLARE’s approach to GESI integration throughout the lifespan of the programme. This kind of learning agenda and process encompasses both the project level and the CLARE programme itself.

**Project-level:** Learning on GESI integration can build on the requirement of all projects to have/develop a *GESI plan in their proposal (1)* (see Box 20 on Indicative target setting; section 3.2.1). This initial GESI plan can be further developed and strengthened using the *Monitoring framework (2)*, and the learnings created in that process around GESI integration pathways. The GESI plan can also benefit from, or include, the *GESI screening (3)* (used in Proposal selection, see section 3.3) and the *GESI capacity assessment tool (4)* (proposed as starting point for GESI integration in Capacity Strengthening; see section 3.4.2). Together, these four pieces form the basis for each project to:

- **Prioritize** GESI improvement areas in the project, and
- Decide on the **timing, sequencing and synergies** of and between strategies and activities for these GESI improvement areas over the course of the project. (see staged process approach, section 3.1.3)

At project level, grantees then formulate a learning agenda around their GESI improvement areas and processes. This learning agenda guides and supports continuous reflection, course adaption and capacity strengthening of each projects on GESI integration strategies and practices. It can have explicit linkages to capacity strengthening activities and processes on GESI integration (with GESI focal points and project leadership, see section 4.2, page 83).

**Programme level:** At CLARE level, it is recommended to synthesize these project-oriented learning agendas into an overarching **GESI integration learning agenda**. This is different from – or, to be differentiated from – research outcomes and evidence of GESI integrated research; this is part of ‘Synthesis and learning on knowledge gaps’ (in section 3.5). The GESI integration learning agenda will be key to supporting reflection on GESI integration approaches, and on adapting these to new insights and to opportunities and challenges that emerge throughout the lifespan of CLARE. It will identify lessons learned that will enable adaptive programming in CLARE. Key questions<sup>256</sup> to reflect on are:

- How is GESI being implemented and operationalized in CLARE and in projects funded by CLARE? What areas and strategies are prioritized, and why?

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<sup>256</sup> IDRC’s Climate Resilience Food Systems programme has articulated the following learning questions: What are the most effective ways to commission and support research that promotes gender equality and social inclusion? Is IDRC-funded research supporting the resilience of women and indigenous people in building inclusive, sustainable food systems, and if so, how?

- What approaches to supporting GESI integration are most effective from the programme level? What has worked well? What has not worked as planned?
- What factors, within and beyond projects and the programme, influence the successful and transformative integration of GESI into climate change research and action?

It is recommended to support and facilitate this GESI integration learning in an action learning approach, that allows to deepening and expanding the staged process approach of GESI integration (see also section 3.1.3). The programme-level learning agenda and process can explore and link progress and learning at project and programme levels.

In order to allow a GESI integration learning agenda, in combination with the GESI improvement plans and the project-level learning agendas to allow for adaptive programming, **resources** are needed for GESI expertise in the MEL framework, staff time dedicated to GESI integration and learning, and/or gender capacity strengthening. These resource allocations should be visible in:

- Initial project budgets: these should include allocations for GESI MEL activities
- And at CLARE level, in both initial programme budgets, as well as for instance in a responsive fund, that can be applied to/accessed when new opportunities for progress and impact on GESI outcomes present themselves and emerge from the learning process.

### **Box 36: Knowledge synthesis and learning on gender in the Adaptation Fund**

The Adaptation Fund (AF) is committed to continuous learning related to its gender mainstreaming efforts. Its gender policy states that the gender mainstreaming approach of the Fund's gender policy is a long-term undertaking "demanding a sustained commitment and a regular tracking of its progress [...] As experience is gained and lessons learned in the implementation of the gender policy throughout the Fund's operations, the Fund as a learning institution might adjust its approach. In light of this, the Fund will review its gender policy three years after it becomes operational"<sup>257</sup>.

In the 2019 report "From Policy Mandate to Implementation", the AF reviews and evaluates the implementation of its Gender Policy (GP) and Gender Action Plans (GAP).<sup>258</sup> It assesses the Fund's progress in implementation the GP and GAP, comparing this to international best practices and the experience in other multilateral climate funds. One of the conclusions of the report is that "The findings and recommendations are not to be considered as a simple "pass or fail" assessment, but should be read in the context of acknowledging that the gender mainstreaming mandate for the Fund's operations stemming from the Fund's GP is a **long-term process**, with the tracking of advances made in integrating gender equality and women's empowerment considerations throughout Fund processes, procedures and operations providing the guidance to the Fund as a **learning institution toward further consolidation and expansion of the progress made over the past three years**. As is to be expected, there is **room for further improvement**".<sup>259</sup>

### **Reporting (grantees to IDRC)**

Project monitoring takes place via regular technical reports of grantees to IDRC POs, combined with face-to-face and online meetings and engagements. This combination is key for ensuring that technical reporting is not a tick-the-box exercise, but also leveraged as an opportunity for dialogue, learning and adaptive planning with projects and grantees. Within the overall Monitoring framework, grantees sets

<sup>257</sup> Adaptation Fund (2021, p. 13).

<sup>258</sup> Adaption Fund (2019).

<sup>259</sup> Adaptation Fund (2019, p. 36).

their own objectives, also on GESI, and then report against these objectives (on an annual or 6-month basis). In addition, projects provide quantitative monitoring data on relatively simple quantitative indicators in the online monitoring portal.

It is recommended that:

- The online **monitoring portal** includes a key set of quantitative GESI integration indicators and progress markers, across CLARE's output areas.
- The intranet, in which the online monitoring portal is embedded, includes practical materials and **resources on GESI in M&E**, including on GESI in action learning, on gender transformative change, on gender institutional change processes, amongst others.
- **Guidelines for reporting** include GESI integration requirements,
  - ✓ in a way that GESI issues, progress and challenges to GESI outcomes are consistently documented.<sup>260,261</sup>
  - ✓ These should be aligned with the programme GESI outcomes, the proposal criteria and the grant-contract, and the GESI learning agenda.
  - ✓ Should include specific requests in project reporting for sex-disaggregated data as well as 'good GESI data'.<sup>262</sup>
- The meetings and engagements between the POs and grantees around the technical reporting are leveraged for an informed and constructive conversations with grantees on progress and learnings on GESI integration across the four output areas. It is recommended to support and strengthen this by:
  - ✓ Linking the discussions and conversations on the technical reports to the GESI improvement plans and learning agenda.
  - ✓ To develop **guidelines for POs**, to guide them in having these conversations around GESI integration, in a way that supports learning and adaptive planning at project level around GESI integration strategies and activities. Such guidelines should promote reflection and learning, and invite grantees to take a step back from project delivery and research.<sup>263</sup>
  - ✓ To use the technical reports and accompanying conversations to identify where additional support for GESI integration is needed. This can relate to GESI integration into MEL, or into the output areas of CLARE and the project' GESI objectives, strategies and activities, and preferably embedded in the project GESI improvement plan and learning agenda.

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<sup>260</sup> Wong et al. (2018, pp. 5-6).

<sup>261</sup> Nordehn & Rubin (2018, p. 46).

<sup>262</sup> On what 'good gender data' are, see: Data2x ([www.data2x.org](http://www.data2x.org)), Newton et al. (2019) (<https://www.kit.nl/publication/what-do-participatory-approaches-have-to-offer-the-measurement-of-empowerment-of-women-and-girls-2/>), and KIT's work on measuring empowerment (<https://www.kit.nl/publication/what-gets-measured-matters/>).

<sup>263</sup> Such guidelines would need to be further developed, and can draw from other IDRC programmes that have recently worked on them. It will be helpful to link them to the GESI plans of the projects/grantees and GESI outcomes of CLARE.

## Evaluations

CLARE's M&E framework considers two types of evaluations: formative evaluations (addressing key questions), and summative end of phase evaluations (after 5 years). It is recommended to:

- Conduct a formative **mid-term evaluation focused on GESI integration** in CLARE.<sup>264</sup>
  - ✓ The scope of this GESI mid-term evaluation should be positioned within the CLARE GESI Strategy, and should consider (a) the GESI objectives across the four output areas of CLARE, (b) the defining elements of CLARE GESI Strategy, and (c) both programme and project level pathways of change towards GESI outcomes.
  - ✓ The specific focus of this GESI mid-term evaluation should strongly draw on inputs and priorities from:
    - a/the GESI Working Group in CLARE
    - representatives from researchers in CLARE projects, including both (a) women researchers and those of marginalized groups, and (b) GESI specialists/researchers.
    - broader stakeholders, especially actors/coalitions that represent the voice and perspective of under-represented marginalized groups and women stakeholders.
- **Integrate GESI into other mid-term and summative end of phase evaluations** that will be conducted within CLARE.
  - ✓ This is especially relevant for evaluations that concern CLARE strategies that intersect with CLARE's GESI Strategy (see 'matrix-like intersections, section 3.1.2).
  - ✓ To successfully integrate and embed GESI in these mid-term and summative evaluations, the commissioned evaluation team needs to have solid GESI expertise.

## Concluding remark

This scoping report has identified a range of opportunities for CLARE to advance gender equality, social inclusion and transformational change in its role as research funder for action-oriented climate change adaptation research. These opportunities build on and leverage the knowledge base that has emerged over the last decade on gender equality and social inclusion and its intersections with climate change adaptation. The opportunities also build on experiences and lessons learned on the integration of gender equality, social inclusion and transformational change in the predecessor programmes. These can be fruitfully complemented with insights on institutional change and gender integration in many other organizations, and the practical and academic lessons that have been drawn from that.

To be able to seize and leverage these opportunities and advance gender equality and social inclusion in climate change adaptation research, it is highly relevant to acknowledge the imbalance in the existing knowledge base. Research that examines how climate change adaptation shapes, and is shaped by, intersectional livelihood struggles related to gender, race, disability, caste, amongst others, is underrepresented. Organizational structures, academic epistemologies, the allocation of resources, and gaps or weaknesses in capacities, amongst others, can constrain, and indeed also facilitate, GESI integrated research.

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<sup>264</sup> Wong et al. (2018, pp. 5-6).

This scoping report sought to support CLARE and its funding partners to interrogate how change happens. The ambitions on gender equality and social inclusion in CLARE’s Theory of Change have provided an important reference for articulating what CLARE’s GESI integration approach is supposed to do. The recommendations are grounded in an explicit understanding of the complex climate-society interactions that shape climate change vulnerabilities and adaptive capacities of different groups. They are also grounded in a conceptual understanding of gender and intersectionality as relational, and of transformational change. Departing from this grounding, the recommendations offer practical insights on how to respond to and engage with the critical gaps in research on the intersections between climate change, gender equality and social inclusion. This offers a basis for CLARE to engage with the inherently political nature of climate change adaptation research. Combined with an outcome and impact orientation, and a willingness to reflect and learn, the GESI ambitions set the stage for CLARE – and its funding partners – to be a leader in GESI integration in action-oriented climate change adaptation research.

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## Annex 1 – Methodology of scoping study

This Annex presents the methodology of the scoping study, covering three elements:

- The literature search (for the first question: *What is the state-of-the-art in research at the intersection of GESI and climate change adaptation?*)
- The document and desk review (for the second question: *What are lessons learned, best practices and gaps/areas to address for effective and practical integration of GESI considerations within CLARE, in particular in program and research design?*)
- The virtual workshop (part of the methodology for the second question)

### Literature search

To answer the first question of this scoping study, we selected 10 systematic reviews and 10 other ‘innovative’ publications for review published from 2015 until 2020. We used the term ‘innovative’ for publications that are breaking new ground in the GESI and climate change literature by bringing to view and discussing new and relatively unexplored knowledge gaps, and/or because they represent important advances in the literature reviewed by this scoping study. This focused selection allowed us to take advantage of and build on comprehensive work previously done, within the time frame and available level of effort of this scoping study. The targeted selection of literature included in this scoping review implies our review is high-level, and cannot provide an in-depth detailed deliberation of the complex intersections between GESI and climate change adaptation in all sectors and thematic areas.

The literature search and selection was done in four main phases described below.

**Phase 1. Identifying relevant academic literature:** We choose to search the academic database Scopus to get a comprehensive overview of the scientific literature on GESI and climate change adaptation. The search was conducted October 31, 2020. We developed our search string based on the research question’s three key words (*gender equality, social inclusion, climate change adaptation*). As these words have synonyms we expanded the search terms by pairing concepts with similar meanings including: women; empowerment; transformation; intersectionality; exclusion; inequality; vulnerability; marginalization; resilience.

*Search terms:*

inclus\* OR intersect\* OR empower\*;  
gender\* OR women;  
OR vulnerab\* OR marginal\* OR exclus OR inequal\*;  
adapt\* OR resilien\*;  
climate.

A search was done specifically for gender, climate change and synthesis or review papers (gender\* OR women; "climate change"; review\* OR synthesis\*). Additionally, searches were done on **climate change and masculinity** (gender AND masculin\*; "climate change"), **queer issues** (queer\* OR lgbt\*; "climate change" OR adapt\*) and **disability** (disab\* AND vulner\*; "climate change\*"). The initial number of results totalled 1195 (from 2015 until 2020), which were exported to Excel.

**Phase 2. First selection round:** We looked at the titles of the publications identified and those that were clearly irrelevant were removed. This led to the removal of 870 articles. We reviewed the abstracts of

the remaining 325 against the inclusion criteria described below, which led to the removal of an additional 266 articles. The results from the first selection in phase 2 totaled 99 publications. In phase 2, we did not distinguish between systematic reviews and other innovative publications.

*Inclusion criteria:*

- describes gender equality and social inclusion intersections with climate change;
- focuses on vulnerability to and impacts of climate change from an intersectional perspective;
- examines strategies and approaches to advance GESI in the context of climate change; and
- examines outcomes of efforts to advance GESI in the wider context of climate change.

**Phase 3. Identifying relevant grey literature:** Websites of key multilaterals (i.e., UNEP), bilaterals (i.e., DFID/FCDO) as well as key development research organizations (i.e., CGIAR – CCAFS; IDRC) and humanitarian organizations (i.e., CARE) were searched for relevant grey literature using the key words: climate change adaptation, gender equality; women empowerment; gender transformative approaches; social inclusion/exclusion; and intersectionality. Publications were identified using a similar method to the academic literature. The initial number of results totaled 34, which were added to the long-list. In addition, long-list was populated with recommended publications from KIT's network of contacts working on relevant themes. On this basis another 19 papers were incorporated into the long-list. The results from phase 3 thus came to 53 publications (34+19). In phase 3, we did not distinguish between systematic reviews and other innovative publications.

**Phase 4. Second selection round:** The combined longlist had 152 results (99 from phase 2, and 53 from phase 3). The final selection was done through a step-wise approach. First, we used the inclusion criteria from phase 2 to do a more in-depth review of the key-words, abstract and executive summaries of the publications, which led to the removal of 100 publications. For the final short-listing of 20 focus publications, we then reviewed all the remaining 52 publications against the selection considerations described below. Out of these publications, 23 were labelled as 'innovative and 16 as reviews. The remainder of the publications was grey literature (phase 3).

*Final selection considerations (all publications):*

- Representation of different sectors and themes (i.e., agriculture, natural resource management, natural environment, rural and urban development and services, security and migration; infrastructure, health, climate policy, climate finance)
- Representation of intersectional analysis incl. focus on different social positions (i.e., gender, age, disability)
- Representation of different geographies (i.e., Africa, Asia and the Pacific, Latin America)
- Balance between case-studies and theoretical/conceptual contributions
- At least 30% with authors representing institutions in the Global South

The final selection of shortlisted publications (reviews and innovative publications) served as the backbone for the analysis; along the process of analysis and writing, the selection was expanded, as seemed appropriate. The reference list gives the final overview of all publications used, in both chapters 2 and 3.



## Shortlist (Phase 4)

	Full citation	Review or other innovative publication	Sectoral / thematic representation	Geographical representation	Southern or Northern authors
1	Ampaire, E.L., Acosta, M., Huyer, S., Kigonya, R., Muchunguzi, P., Muna, R. and Jassogne, L., 2019. Gender in climate change, agriculture, and natural resource policies: insights from East Africa. <i>Climatic Change</i> , 158(1), pp.43-60.	Review	Agriculture and NRM	Uganda and Tanzania, Africa	Global South & North
2	Call, M. and Sellers, S., 2019. How does gendered vulnerability shape the adoption and impact of sustainable livelihood interventions in an era of global climate change?. <i>Environmental Research Letters</i> , 14(8), p.083005.	Review	Agriculture, fisheries, aquaculture and forestry	Multiple geographies	Global North
3	van Daalen, K., Jung, L., Dhatt, R. and Phelan, A.L., 2020. Climate change and gender-based health disparities. <i>The Lancet Planetary Health</i> , 4(2), pp.e44-e45.	Other publication	Health	Multiple geographies	Global North
4	Djoudi, H., Locatelli, B., Vaast, C., Asher, K., Brockhaus, M. and Sijapati, B.B., 2016. Beyond dichotomies: Gender and intersecting inequalities in climate change studies. <i>Ambio</i> , 45(3), pp.248-262.	Review	Intersectionality	Multiple geographies	Global South & North
5.	Gaskin, C.J., Taylor, D., Kinnear, S., Mann, J., Hillman, W. and Moran, M., 2017. Factors associated with the climate change vulnerability and the adaptive capacity of people with disability: A systematic review. <i>Weather, Climate, and Society</i> , 9(4), pp.801-814.	Review	Disability	Multiple geographies	Global North
6.	Gonda, N., 2016. Climate change, "technology" and gender: "Adapting women" to climate change with cooking stoves and water reservoirs. <i>Gender, Technology and Development</i> , 20(2), pp.149-168.	Other	Infrastructure	Nicaragua, Latin America	Global North

7.	Gumucio, T., Hansen, J., Huyer, S. and Van Huysen, T., 2020. Gender-responsive rural climate services: a review of the literature. <i>Climate and Development</i> , 12(3), pp.241-254.	Review	Rural climate services, ITCs	Across geographies	Global North
8.	Greene, S, Pertaub, D, Mclvor, S, Beauchamp, E and Philippine, S., 2020. <i>Understanding local climate priorities: applying a gender and generation focused planning tool in mainland Tanzania and Zanzibar</i> . IIED. Available at: <a href="https://pubs.iied.org/10210IIED/">https://pubs.iied.org/10210IIED/</a> .	Other publication	Agriculture	Africa	Global North
9.	Huyer, S., & Gumucio, T. (2020). Going Back to the Well : Women, Agency, and Climate Adaptation. <i>World Journal of Agriculture and Soil Sciences</i> , 4–6.	Other publication	Agriculture	Multiple geographies	Global North
10.	Kristjanson, P., Bryan, E., Bernier, Q., Twyman, J., Meinzen-Dick, R., Kieran, C., Ringler, C., Jost, C. and Doss, C., 2017. Addressing gender in agricultural research for development in the face of a changing climate: where are we and where should we be going?. <i>International Journal of Agricultural Sustainability</i> , 15(5), pp.482-500.	Review	Agriculture	Multiple geographies	Global South and North
11.	Löw, C., 2020. Gender and indigenous concepts of climate protection: a critical revision of REDD+ projects. <i>Current Opinion in Environmental Sustainability</i> , 43, pp.91-98.	Review	REDD+	Multiple	Global North
13.	Manlosa, A.O., Schultner, J., Dorresteijn, I. and Fischer, J., 2019. Leverage points for improving gender equality and human well-being in a smallholder farming context. <i>Sustainability Science</i> , 14(2), pp.529-541.	Review			Global North
14	Mcleod, E., Arora-Jonsson, S., Masuda, Y.J., Bruton-Adams, M., Emaurois, C.O., Gorong, B., Hudlow, C.J., James, R., Kuhlken, H., Masike-Liri, B. and Musrasrik-Carl, E., 2018. Raising the voices of Pacific Island women to inform climate adaptation policies. <i>Marine policy</i> , 93, pp.178-185.	Other publication	Multiple sectors	The Pacific	Global South & North
15	Owusu, M., Nursey-Bray, M. and Rudd, D., 2019. Gendered perception and vulnerability to climate change in urban slum	Other publication	Urban development	Africa	Global North

	communities in Accra, Ghana. <i>Regional Environmental Change</i> , 19(1), pp.13-25.				
16	Rao, N., Mishra, A., Prakash, A. et al. A qualitative comparative analysis of women's agency and adaptive capacity in climate change hotspots in Asia and Africa. <i>Nat. Clim. Chang.</i> 9, 964–971 (2019)	Other publication	Multiple sectors	Multiple geographies	Global South
17	Ravera, F., Iniesta-Arandia, I., Martín-López, B., Pascual, U. and Bose, P., 2016. Gender perspectives in resilience, vulnerability and adaptation to global environmental change <i>Ambio</i> , 45(3) pp.235-47.	Other publication	Environment	Multiple geographies	Global South & North
18	Resurrección, B.P., Bee, B.A., Dankelman, I., Park, C.M.Y., Haldar, M. and McMullen, C.P., 2019. Gender-transformative climate change adaptation: advancing social equity. <i>Background paper to the 2019 report of the Global Commission on Adaptation</i> . Available at: <a href="https://www.sei.org/wp-content/uploads/2019/11/gender-transformative-climate-change-adaptation.pdf">https://www.sei.org/wp-content/uploads/2019/11/gender-transformative-climate-change-adaptation.pdf</a> .	Review	Multiple sectors	Multiple geographies	Global North
19	Sellers, S., 2016. Gender and climate change: A closer look at existing evidence. <i>Global Gender and Climate Alliance</i> . Available at: <a href="https://wedo.org/wp-content/uploads/2016/11/GGCA-RP-FINAL.pdf">https://wedo.org/wp-content/uploads/2016/11/GGCA-RP-FINAL.pdf</a> .	Review	Multiple sectors	Multiple geographies	Global North
20	Ziervogel, G., 2019. Building transformative capacity for adaptation planning and implementation that works for the urban poor: Insights from South Africa. <i>Ambio</i> , 48(5), pp.494-506.	Other publication	Urban development	Africa	Global South

### CLARE & IDRC documentation: selection

For answering the second question of the scoping study, a targeted and purposive document and desk review was conducted. The documentation identified and used for chapter 3 encompasses the following materials:

- Key documentation on CLARE, including a draft Theory of Change.
- Scoping studies that were already conducted and completed for CLARE. These were the following:
  - [Programme functions](#)
  - [Capacity strengthening](#)
  - [Fragility and conflict](#)
  - [Partnership and research commissioning](#)
  - [Evidence gaps](#)
  - [Demands from African users](#)
- Over the course of 2021, three draft strategies for CLARE became available and were taken into account:
  - *draft strategy for 'Commissioning research within CLARE'*
  - *draft Capacity Strengthening Strategy for CLARE*
  - *draft Knowledge Management Strategy for CLARE*
- Existing GESI policies, frameworks and instruments from IDRC, including the Gender Equality and Inclusion Programming Framework, as well as several gender assessment instruments, among others.
- Selected documentation on GESI integration experiences of CLARE predecessor programs:
  - Agricultural Model Intercomparison and Improvement Project (AgMIP),
  - Climate Adaptation and Research in Africa and Asia (CARIAA),
  - Conflict and Cooperation in the Management of Climate Change (CCMCC),
  - Climate Impacts Research Capacity and Leadership Enhancement (CIRCLE),
  - Ecosystems Services for Poverty Alleviation (ESPA),
  - Future Climate for Africa (FCFA),
  - Science for Humanitarian Emergencies and Resilience (SHEAR), and
  - Weather and Climate Information Services for Africa (WISER).
- GESI focused reports, reviews and other documentation developed by IDRC in relation to earlier or on-going programmes (for instance the report *Gender and Climate Change: Synthesis of IDRC's support to Climate Change research* or the one on *Using Research for Gender-Transformative Change: Principles and Practices*)
- Policy documents, framework, reports, or other practice oriented documentation from other organisations, that served as illustrative examples on GESI integration. Much of this documentation was collected for and used in the boxes throughout chapter 3.

In addition to this documentation, chapter 3 is based on the insights from the virtual workshop (see below), which were followed-up and complemented with three targeted key informant interviews (with UKRI, CARE, and B. Resurrecion).

In the analysis and writing process, and also in responding to feedback to earlier drafts of this scoping report, additional references and documentation was added on specific aspects or points that merited further explanation, justification or illustration.

## *Virtual workshop*

On May 19<sup>th</sup>, 2021, KIT, together with IDRC, organized an online workshop titled “Virtual conversation on Gender Equality and Social Inclusion (GESI) integration in research on climate change adaptation and resilience: what can we learn from one another”. The overall aim of the workshop was to facilitate critical dialogues and reflections amongst thought-leaders on their experiences and lessons learned on integrating Gender Equality and Social Inclusion (GESI) in climate change research. Specifically, during the workshop, the participants were encouraged to discuss what approaches and strategies work best for effective and practical GESI integration in climate change research. By facilitating these discussions, the workshop served as basis for KIT to revise the scoping study report on entry points for effective and practical integration of GESI into CLARE

### **Selection of participants**

Prior to the workshop, experts and organisations at the forefront of gender, social inclusion and climate action were identified by KIT. Care was taken to ensure that the identified experts represented a diverse group of people in terms of expertise, affiliations, geographical location and gender. A total of 30 experts were identified through professional networks, the literature review and in conversations between KIT and IDRC. Each of the identified expert was contacted directly by KIT via email. In the email the experts were given a personal invitation to join the workshop, including detailed information on the aims, key questions, and the critical issues for the workshop. Out of the 30 experts contacted, 14 agreed to participate in the workshop (see list of participants below).

### **Workshop design**

The workshop was conducted in Zoom. Anouka van Eerdewijk (KIT), Yngve Bråten (KIT), Heidi Braun (IDRC) and Sophia Huyer (IDRC) facilitated the workshop. The agenda included both plenary sessions and break-out groups. The workshop was recorded, including contributions shared in the chat function.

- The workshop started with an introduction to the workshop agenda and to CLARE. Presentations were held by Heidi Braun and Anouka van Eerdewijk.
- Next, the participants were given the opportunity to discuss different aspects of strategies and approaches for GESI integration in climate change research. These discussions took place in a total of four breakout groups. In the first breakout session, participants were separated into groups discussing either a) Capacity Strengthening or b) M&E. In the second breakout session the participants were divided into groups discussing c) knowledge sharing and learning and d) gender and intersectional analysis. Each breakout session started with a brief introduction to the topic at hand. After the introduction participants were given a link to IdeaBoardz in which the participants were invited to share their insights, lessons learned and recommendations (as virtual sticky notes). IdeaBoardz was thus used as a tool to both steer the breakout sessions and to collate primary data.
- In the last part of the workshop, the participants were invited back into the Zoom plenary. Here the participants were encouraged to share “Aha-moments” from each break-out session, and to critically reflect on whether and how climate change research is different (or not) from other sectors, and what CLARE need to consider to achieve meaningful results.

### **Workshop outcomes**

The workshop produced two types of outputs. Firstly, the workshop produced in-depth qualitative data that was used to inform the various chapters of this scoping study. Secondly, the

workshop presentation (PPT), as well as the unedited Zoom chat and the IdeaBoardz used during the break-out groups were shared with the participants.

Workshop participants	
Name	Affiliation
Amina Maharjan	International Centre for Integrated Mountain Development
Andrea Nightingale	University of Oslo
Baljinder Bains	UK Research and Innovation (UKRI)
Daniel Morchain	International Institute for Sustainable Development (IISD)
Farhana Sultana	Syracuse University
Karl Deering	CARE
Katharine Vincent	Kulima Integrated Development Solutions (Pty) and University of East Anglia
Ken de Souza	The Foreign, Commonwealth & Development Office
Nicoline de Haan	CGIAR Gender Platform
Mairi Dupar	Climate and Development Knowledge Network (CDKN) at ODI
Malgosia Madajewicz	Columbia University
Shaila Shahid	Bangladesh Government (DCCSU)
Virginie Le Masson	University College London
Amiera Sawas	Climate Outreach
Facilitators	
Anouka van Eerdewijk	KIT Royal Tropical Institute
Heidi Braun	The International Development Research Centre (IDRC)
Sophia Huyer	CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS)
Yngve Bråten	KIT Royal Tropical Institute

## Annex 2 – List of thought leaders and key organizations on GESI and climate change adaptation

Below we present a list of thought leaders (both individuals and organizations) working on, and advancing, the GESI and climate change adaptation and resilience nexus. The list evolved organically as the KIT team prepared the virtual workshop and reviewed the literature serving as the basis for the different chapters of the scoping study. Importantly, many thought leaders on CCA research can be found in the bibliography of this scoping study even though they are not listed below. This list is not meant to be exclusionary but rather intends to give a snapshot of the thought leaders that KIT engaged with (both directly and indirectly) in the process of writing the scoping study. Please note that the expertise listed next to each thought leader refers only to topics explored by the thought leaders in the publications reviewed for this scoping study.

We are aware that GESI/climate change is an area of research that is fast expanding, with new researchers, insights and organizations constantly moving the needle of the work that has been highlighted in the scoping study. We therefore consider this list of thought leaders and organizations as a living document. Further, given the substantial number of people and organizations working on the topic covered in this report, coupled with the limited scope of the study, we have account for the fact that some thought leaders have been omitted from the list.

<b>Name</b>	<b>Expertise/Affiliation (if applicable)</b>
<b>Action Aid</b>	<i>Gender and climate resilience + migration</i>
<b>Adaptation Fund (AF)</b>	<i>Gender and Climate Finance</i>
<b>Amiera Sawas</b>	<i>Gender and climate-induced migration</i> <b>Affiliation:</b> Climate Outreach
<b>Amina Maharjan</b>	<i>Gender and migration</i> <b>Affiliation:</b> International Centre for Integrated Mountain Development
<b>Andrea Nightingale</b>	<i>Intersectionality and climate change adaptation (feminist political ecology)</i> <b>Affiliation:</b> University of Oslo
<b>Baljinder Bains</b>	<i>Gender mainstreaming</i> <b>Affiliation:</b> UK Research and Innovation (UKRI)
<b>Bernadette P. Resurrección</b>	<i>Gender, migration and natural resource management (feminist political ecology)</i> <b>Affiliation:</b> Queen’s University
<b>Caderyn J. Gaskin</b>	<i>Disability and climate change</i> <b>Affiliation:</b> Gaskin Research
<b>CARE International</b>	<i>Gender and climate change adaptation</i>
<b>CCAFS</b>	<i>Gender and climate smart agriculture</i>
<b>Daniel Morchain</b>	<i>Social dimensions of climate change adaptation</i> <b>Affiliation:</b> International Institute for Sustainable Development (IISD)
<b>Farhana Sultana</b>	<i>Climate and social justice</i> <b>Affiliation:</b> Syracuse University
<b>GenderCC - Women for Climate Justice</b>	<i>Gender, urban development and climate change</i>
<b>Gina Ziervogel</b>	<i>Gender, climate change and urban development</i> <b>Affiliation:</b> University of Cape Town
<b>Global Environment Facility (GEF)</b>	<i>Gender and climate finance</i>

<b>Green Climate Fund</b>	<i>Gender and climate finance</i>
<b>Katharine Vincent</b>	<i>Gender and climate induced-migration</i> <b>Affiliation:</b> Kulima Integrated Development Solutions (Pty) and University of East Anglia
<b>Liane Schalatek</b>	<i>Gender and climate finance</i> <b>Affiliation:</b> Heinrich-Böll-Stiftung
<b>Mark Pelling</b>	<i>Adaptation to climate change</i> <b>Affiliation:</b> King's College London
<b>Nicoline de Haan</b>	<i>Gender and agriculture/NRM</i> <b>Affiliation:</b> CGIAR Gender Platform
<b>Nitya Rao</b>	<i>Gender and climate change adaptation</i> <b>Affiliation:</b> University of East Anglia
<b>Noémi Gonda</b>	<i>Gender, intersectionality and climate change adaptation (feminist political ecology)</i> <b>Affiliation:</b> Swedish University of Agricultural Sciences.
<b>Mairi Dupar</b>	<i>GESI and CCA policies</i> <b>Affiliation:</b> Climate and Development Knowledge Network (CDKN) at ODI
<b>Malgosia Madajewicz</b>	<i>Social dimensions of CCA</i> <b>Affiliation:</b> Colombia University
<b>Sam Sellers</b>	<i>Gender and climate change (vulnerability)</i> <b>Affiliation:</b> University of Washington
<b>Sarah L. Bell</b>	<i>Climate change and disability</i> <b>Affiliation:</b> European Centre for Environment and Human Health, University of Exeter
<b>Shaila Shahid</b>	<i>Gender mainstreaming</i> <b>Affiliation:</b> Bangladesh Government (DCCSU)
<b>Siri Eriksen</b>	<i>Disability and climate change (feminist political ecology)</i> <b>Affiliation:</b> Norwegian University of Life Sciences
<b>Tatiana Gumucio</b>	<i>Gender and climate change policies</i> <b>Affiliation:</b> Penn State University
<b>Virginie Le Masson</b>	<i>Gender inequalities and violence-related risks in places affected by environmental changes and disasters</i> <b>Affiliation:</b> University College London
<b>Women's Environment and Development Organization (WEDO)</b>	<i>Gender, migration and climate change</i>



## Annex 3 - Summary of key advances in sector-specific knowledge on GESI related climate change impacts and adaptation

This Annex presents a summary of the recent advances in knowledge on GESI related climate change vulnerabilities and adaptive capacities in five key sectors and thematic areas, as discussed in more detail in section 2.1, in a table format.

<b>Table 6: A summary of advances in sector-specific knowledge on GESI related climate change impacts and adaptation</b>		
	<b>Vulnerability /absorptive capacity</b> <i>Differentiated sensitivity to and risks from climate change by social positions</i> a. Groups particularly vulnerable to climate change b. Examples of differentiated, and more severe, experiences of climate change effects to different groups of people in different social positions	<b>Adaptive capacity</b> <i>How ability to respond to climate change is influenced by gender and social inequalities (in different institutional arenas)</i> a. Examples of gender/social differences in ability to respond to climate change b. How gender and social relations mediate climate change response options c. Examples of climate change actions/interventions with potential to enhance gender equality and social inclusion
<b>Across sectors</b>	<p>* Vulnerability is a <b>product of complex climate-society interactions</b> and should not be reduced to questions of individual qualities.</p> <p>*It is linked to the extent to which people can realize their <b>basic human rights</b> and to the <b>health of the ecological systems</b> they depend on for their livelihoods and wellbeing.</p> <p>*Care should be taken to not generalize different groups of people’s vulnerabilities to climate change. <b>Essentialist narratives</b> - e.g., women as victims and notions of the ‘universal disabled subject’ – risk reproducing and reinforcing social inequalities and render the variety of vulnerabilities invisible.</p> <p>* People who face the highest risk and experience the most severe impacts of climate change are those who already suffer from <b>multi-dimensional inequalities</b> in their lives.</p>	<p>* Pervasive gender and social inequalities and exclusion generate or reinforce <b>power imbalances in all institutional arenas</b> (e.g., household, community, climate change institutions) resulting in differential adaptive capacity, including more limited climate change response options for women and girls compared to that of men and boys.</p> <p>* <b>Resulting (negative) impacts tend to further restrict</b> access to resources needed to improve capacities to adapt (e.g., access to skills and training); further impede freedom to participate and influence decisions (e.g., ); rendering needs, interests and contributions + knowledge largely invisible (e.g., women’s care work, indigenous people’s ecological knowledge); and ultimately further increase differentiated vulnerability from climate change.</p>
<b>Sector specific</b>	<b>Agriculture and natural resource management</b>	<p>a. Poor/rural/indigenous communities/groups, small-scale food producers - in particular women.</p> <p>b. Reliance on agriculture and access to natural resources depends on social positions, e.g., indigenous women rely on healthy forests for their food security, fuel + other eco-system products and services</p> <p>a. Gender differences in adoption of climate-smart agriculture practices, e.g., women’s response options are often more limited/low-cost/tech than men’s.</p> <p>* Gender/social discrimination in <b>access to and control over agricultural resources</b>, inputs, and services, e.g., land, technology, agroclimatic information, human and financial capital =&gt; disparities in use of and benefits from rural climate services</p> <p>* <b>Institutional constraints</b> both formal (i.e. land rights) and informal (i.e., restrictive gender/social norms and pervasive stereotypes about rights and roles) =&gt; male/elite-centred agriculture and natural resource management systems + reproductive labour burden, restricted mobility etc.</p> <p>* Underrepresentation and exclusion from participation in <b>decision-making</b> of</p>

		<p>marginalized groups at all institutional levels (from HH to governance/policy) =&gt; undervaluing/underrecognition of different needs, economic contributions and knowledge</p> <p>*Social inequalities permeate institutional structures and can lead to:</p> <ul style="list-style-type: none"> <li>-<b>Maladaptive</b> interventions/policies emphasizing elite/male preferences</li> <li>-(<b>Re</b>)<b>masculinization and elite capture</b> of (new) opportunities</li> </ul> <p>b. *<b>Women’s collective action</b> can enhance gender equality and women’s agency: it can provide the basis for women to gain better access to information; increase production; decrease workloads; and play a leading role in community decision-making.</p>
<b>Urban development</b>	<p>a. Communities/dweller in disaster-prone, informal settlements/slums built outside formal laws and regulations - in particular + increasingly women and girls in female-headed households, migrant and homeless youth + individuals whose gender falls outside normative categories</p> <p>b. Safety of groups mentioned above of particular concern due to insecurity of settlements/housing + increased risk of evictions as well as (especially for women) additional suffering due to insufficient access to essential infrastructure and other basic services.</p>	<p>a. Gender differentiated adaptive capacity: women (slum) dwellers often struggle harder to rebuild CC affected livelihoods than men</p> <p>b. * At household level: Gender inequitable <b>access</b> to productive resources, low participation in adaptation <b>decision-making</b> and domestic work burdens</p> <p>* At level of urban <b>governance</b> structures and institutions:</p> <ul style="list-style-type: none"> <li>-Gender and social <b>underrepresentation</b> and exclusion from urban decision-making bodies/planning</li> <li>-Lack of recognition of diverse needs, knowledge of and contributions to urban development</li> </ul> <p>* Existing urban climate adaptation response, relief and recovery efforts <b>entrench</b> rather than address gender and social inequalities</p> <p>c. * Post-hazard reconstruction of human settlement that requires property ownership and occupancy rights of women/other particularly vulnerable urban groups</p>
<b>Infrastructure</b>	<p>a. * Some groups, irrespective of climate change, have less access to infrastructure, e.g., elderly, disabled, women, children</p> <p>* Reliance on infrastructure is gendered, e.g., women are more severely affected by break-downs of drinking water, sanitation, waste-disposal infrastructure, and water infrastructure in agriculture and livestock husbandry.</p> <p>* Climate-related break-down of infrastructure often leads to increased drudgery of women, which can affect girls schooling negatively.</p>	<p>a. People excluded or deprived from access to infrastructure are less likely to cope from the stresses and shocks of climate change.</p> <p>b. * <b>Gender-division of labour/care-economy</b> make women and girls’ experience climate change related break-downs of infrastructure more severe compared to men and boys – and also further negatively affects their ability to respond/adapt to climate change.</p> <p>c. *Investing in gender responsive and socially inclusive infrastructure development is a promising pathway to strengthening the adaptive capacity of women and girls / those most affected by climate change.</p>
<b>Climate-induced migration</b>	<p>* Gender relations and norms shape different groups of people’s migration patterns and experiences at every stage of the migration cycle (predeparture, transit, arrival, stay and return).</p> <p>* At the same time, climate-induced migration is found to potentially (re)produce and reinforce gender inequalities in the</p>	<p>a. Gender relations and norms might prevent some groups of women from migrating, effectively trapping women in climate stressed communities.</p> <p>b. The ways in which social markers, such as class and marital status, intersect with gender determine whether migration improves or erodes the adaptive capacity of women ‘left behind’.</p>

		<p>different stages of the migration cycle, i.e., gender relations and norms shape women and men’s experiences of migration, including the risks involved throughout the entirety of their migration journey.</p> <p>* Out-migration might contribute to changing population structures and increasingly, such as ageing populations with particular vulnerabilities.</p>	<p>c. Climate-induced migration might bring positive changes in women and men’s everyday lives as migration might alter unequal gender relations and norms in different contexts.</p>
	<p><b>Health and disability</b></p>	<p>a. * Women often face disproportionate high health risks from the impacts of climate change when compared to men.</p> <p>* People with disability experience multidimensional inequalities and due to their exclusion from adaptation efforts</p> <p>b. * Climate change acts as a health threat multiplier due to multiple direct (e.g., extreme heat) and indirect factors (e.g., reduced access to health care), and at the same time exacerbates existing health inequalities and exclusion from health and other services.</p>	<p>a. * Climate change related gender-based health disparities are associated with unequal access to and control over resources between women and men such as financial assets that can help prevent, reduce and react to shocks and related illness or disability.</p> <p>b. * Gender norms and power dynamics might influence adaptive capacity such as when norms restrict women’s mobility and prevent them from leaving home to seek timely medical help.</p>

## Annex 4 - CLARE TOC analysis with GESI lens

(Version TOC: September 9, 2020)

Table 1. CLARE Theory Of Change: selected GESI references (Sept 9, 2020 version)	
Problem statement	The impacts of climate change are, and will be, <i>disproportionately experienced by marginalized and vulnerable groups</i> . Failure to adapt and build resilience to climate change will therefore undermine global efforts to alleviate poverty and achieve the Sustainable Development Goals. <b>Gender responsive and socially equitable</b> <sup>265</sup> development is thus <b>foundational</b> to achieving the SDGs, and in <i>achieving just transitions toward resilient societies</i> . Climate adaptation research that <b>purposefully promotes gender equality and social inclusion</b> is therefore a <b>necessary</b> feature of <i>efforts to enhance resilience</i> .
Goal	<i>not explicit on GE; does say SI and vulnerable</i> To enable <b>socially inclusive</b> and sustainable action to build resilience and reduce vulnerability to risks from climate change and natural hazards for the <b>most vulnerable</b> through action oriented research and capacity strengthening.
Objectives	<i>not explicit on GESI; does say vulnerable in 2<sup>nd</sup> objective, and SI in 4<sup>th</sup> objective</i> <ul style="list-style-type: none"> <li>• <i>To accelerate immediate action on climate adaptation and resilience by maximising the uptake of existing knowledge at multiple scales through development of climate services, tools, technology and innovation to inform policy and practice in the global South, including fragile states</i></li> <li>• <i>To drive the development of new knowledge to support adaptation and resilience of the <b>most vulnerable</b> through transdisciplinary research that builds novel coalitions of actors dedicated to supporting urgent and future climate action</i></li> <li>• <i>To enable capacity to support sustainable climate-resilient development in the global South along the whole chain from research to action, across scales and regions.</i></li> <li>• <i>To support <b>socially inclusive</b> practical action by addressing social, economic and political barriers to adaptation.</i></li> </ul>
Assumptions	<i>(1 of 11 assumptions explicit about GESI)</i> <b>Gender equality and social inclusion</b> are <b>integral</b> to just and sustainable action: <b>Transformative research and knowledge</b> that addresses barriers experienced by the most vulnerable will increase resilience.
Inputs	<i>(4 out of 7 inputs more or less explicit about GESI)</i> <ul style="list-style-type: none"> <li>• Investment in activities that enable <i>Southern and <b>socially inclusive</b> research capacity and leadership</i> and reduce <b>power imbalances</b>.</li> <li>• <i>Investment in <b>transformative</b> research that <b>promotes gender equality and supports social inclusion</b>;</i></li> <li>• <i>Catalysing new, and capitalising on previously supported, <b>coalitions of actors</b>, including <b>members of under-represented and marginalised groups</b>.</i></li> <li>• <i>Investment to support effective and <b>equitable partnerships of diverse and novel actors</b></i></li> </ul>

<sup>265</sup> Footnote from CLARE TOC: 'Gender responsive' refers to an approach towards climate compatible development that recognises diverse access, control, opportunities, participation in decision-making amongst different genders, and particularly recognising the traditionally limited opportunities for women and girls (and thus unequal benefits of climate compatible development for women and girls). 'Social equity' considers the multidimensional aspects of poverty and well-being, particularly those who have historically been disadvantaged members of society. While this includes women and girls, it is also cross-cut with indigenous and lower-caste peoples, ethnicity, age and disability, all which can further exacerbate people's ability to benefit from the most appropriate options to climate compatible development.

Outputs	<p><i>(4 out of 5 outputs more or less explicitly address GESI)</i></p> <ul style="list-style-type: none"> <li>• New scientific evidence, knowledge, tools and open data that <b>promote social inclusion</b>;</li> <li>• New or improved methods to assess the <i>relative merits of adaptation options</i> that are accessible to actors at a variety of scales;</li> <li>• Strengthened and <i>new coalitions of diverse actors</i> dedicated to supporting urgent and future climate action;</li> <li>• Enhanced <i>capacity for sustainable and socially inclusive climate action</i> along the value chain from researchers to knowledge brokers to policy makers and practitioners</li> </ul>
Outcomes	<p><i>(2 out of 4 outcomes are more or less explicit about GESI)</i></p> <ul style="list-style-type: none"> <li>• <i>Evidence-based</i> decision making, policies, planning and investments that increase climate resilience for the <b>most vulnerable</b>.</li> <li>• <b>Reduced barriers for vulnerable populations</b> to take action in the near- and longer-term, particularly those options that <b>promote gender equality and social inclusion</b>, across a range of sectors</li> </ul>
Short-term impact	<ul style="list-style-type: none"> <li>• Vertically and horizontally integrated policy and practice that <b>supports social inclusion and progress</b> toward achieving the SDGs through evidence-based climate resilient development pathways in the global South.</li> <li>• <b>Key stakeholders, including the most vulnerable communities</b>, have the <i>capacities</i> (institutions, systems, practices and skills) to enable them to <i>make evidence-based choices</i> for coping with current variability and potential future impacts of climate on development.</li> </ul>
Long-term impact	<p><i>(not explicit about GESI)</i></p> <p>Poor and <b>marginalised</b> communities in the global South are more <i>resilient</i> to weather, climate change and related natural hazards in the near and longer term.</p>

## Annex 5: Building up CLARE expected GESI outcomes

CLARE outputs	TOC	Provisional GESI outcomes of CLARE	IDRC Str Obj. 1: <i>High Quality Research</i>	IDRC Str Obj. 2: <i>Amplifying Knowledge</i>	IDRC Str Obj. 3: <i>Mobilizing Alliances</i>
<b>KNOWLEDGE:</b> New scientific evidence, knowledge tools and open data	<ul style="list-style-type: none"> <li>Develop <b>knowledge and evidence</b> that supports adaptation and resilience of the most vulnerable and promotes social inclusion; this implies research that <b>purposively promotes GESI</b>,</li> <li>and includes <b>transformative research that promotes GESI</b></li> </ul>	<ul style="list-style-type: none"> <li>Climate action research (agenda) that is <u>driven by</u> women and marginalized populations</li> <li>Research and evidence <u>on what works to achieve</u> gender equality and social inclusion.</li> </ul> <p>Two strands of research and knowledge:</p> <ul style="list-style-type: none"> <li>GESI <u>integrated</u>: research, knowledge and evidence that consistently integrates GESI analysis</li> <li>Gender-<u>transformative</u> research</li> </ul>	<p>Women and marginalized populations have opportunities to lead and drive the research agenda in IDRC-supported research projects</p> <p>IDRC-supported research consistently integrates gender and intersectional analysis.</p>	<p><u>IDRC-generated research and evidence on what works to achieve gender equality and inclusion</u> in R4D is distilled and shared to improve the field of R4D.</p>	
<b>CAPACITY:</b> Enhanced capacity for climate action along the whole value chain	<p><b>Capacities</b> for research, for leadership, for climate action, and for evidence-based choices that are <i>socially inclusive</i>, along the value chain, and that <i>include the most vulnerable</i> communities as key stakeholders</p>	<ul style="list-style-type: none"> <li><u>Women and marginalized populations in leadership positions</u>, and with strengthened capacities to lead and drive research (agendas)</li> <li>Capacity strengthening on leadership <u>to GESI in climate change specialists</u></li> <li>Strengthen capacities of individuals and institutions/organizations in <u>conducting GESI integrated climate action research</u></li> <li>Capacities of individuals and institutions/organizations <u>on inclusive decision-making</u> in climate action</li> </ul>	<p>IDRC support provides individuals (especially in the global south) opportunities to build <u>capacities to work on gender equality and inclusion</u>.</p>		

<p><b>ACTORS:</b> Strengthened and new coalitions of actors dedicated to supporting urgent and future climate action</p>	<p>Catalyse and strengthen <b>new coalitions of diverse actors</b> to support climate action, and that these new coalitions <i>include members of under-represented and marginalized groups</i></p>	<ul style="list-style-type: none"> <li>▪ Inclusion of <u>under-represented and marginalized groups</u> in new actor coalitions.</li> <li>▪ Inclusions of <u>GESI specialists</u> in new actors coalitions.</li> <li>▪ Inclusion of <u>women researchers and those of marginalized groups</u> in new actor coalitions</li> <li>▪ Inclusion of GESI groups, of GESI specialists and of women/marginalized groups researchers focused on <u>promoting their agency</u>.</li> </ul>			<p>Stakeholders convened to adapt and scale knowledge and solutions <u>include and promote the agency of women and marginalized groups</u>.</p>
<p><b>DECISION SUPPORT:</b> Climate services, tools, applications and approaches that promote research <b>uptake</b> and <b>inform policy and practice</b></p>	<p>Social inclusion and GESI are key considerations with respect to evidence-based <b>decision-making and climate action</b>, in a way that increase <i>resilience of the most vulnerable</i>, that <i>reduce barriers</i> for vulnerable populations, and <i>promote GESI</i></p>	<ul style="list-style-type: none"> <li>▪ Priority setting on climate action research is (1) informed and based on realities and concerns of women and marginalized groups, and (2) aimed at generating knowledge and evidence on what works to achieve GESI.</li> <li>▪ CLARE provides thought leadership on GESI and climate action.</li> <li>▪ CLARE distills and shares knowledge on GESI in climate action, and on what works to achieve GESI in climate action.</li> <li>▪ Uptake strategies are informed by and aimed at inclusion of GESI groups, GESI specialists, and women/marginalized groups researchers, as well as GESI decision-makers.</li> </ul>		<p>IDRC-generated research and evidence on what works to achieve gender equality and inclusion in R4D <u>is distilled and shared to improve the field of R4D</u>.</p>	<p>Stakeholders convened to adapt and scale knowledge and solutions include and promote the agency of women and marginalized groups.</p>

## Annex 6: Integrating GESI considerations into proposal assessment criteria

This Annex presents a more detail overview of the integration of GESI considerations, as recommended in section 3.3.2, and relates to Step 1 of the assessment of all proposals. This is an initial and preliminary attempt to operationalize the recommendations.

### Step 1: GESI integrated assessment of all proposals

The assessment of all submitted proposals is done with a set of criteria, into which GESI is integrated. With respect to integrating GESI aspects into this set of assessment criteria, the recommendations are to (A) partly revise the formulation of the existing criteria, (B) to clarify which GESI requirements for proposals are relevant to which criteria, and (C) to provide guiding questions on GESI aspects for criteria, as relevant. More specifically:

**(A) Prioritize 4 GESI aspects and integrate these into the formulation of 4 of the assessment criteria** (which are scored on a 0-5 scale).<sup>266</sup> These four are: GESI impact; GESI track record; GESI in research design; and GESI capacity strengthening. They are key considerations for the quality of GESI integration into the proposal, and hence merit to be assessed as criteria on their own.

In particular: (these are presented in the second column of the table and marked in green)

- Under 'Relevance & Impact', rephrase the first criteria on how the proposal responds to the priority themes set out in the Call to explicitly reflect GESI outcomes and impacts.
- Under 'Equitable Partnerships', rephrase the first criteria on 'track record' to reflect the applicant's track record on GESI integrated and GESI transformative research.
- Under 'Research Quality & Project Design', keep the stand-alone criteria on GESI, and strengthen its formulation [*How are gender equality and social inclusion considered and integrated into all phases and aspects of the research cycle (objectives, research questions, design and methodology)?*]
- Under 'Capacity Strengthening & Learning', rephrase the first criteria to reflect the GESI capacity strengthening needs and strategies.

**(B) Clarify which requirements for proposals and for the project's inception phase** are to be taken into account when scoring proposals against/under the 20 existing assessment criteria.

These include: the GESI Statement, the (integrated) GESI analysis, the GESI capacity assessment, the GESI plan and the integration of GESI into the Monitoring Framework. (these are presented in the third column of the table and marked in bleu)

**(C) Provide guiding questions on GESI aspects and considerations for all existing criteria, as relevant.** These guiding questions will support reviewers in applying the assessment criteria in a GESI integrated way. (these are presented in the fourth column of the table and marked in yellow).

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<sup>266</sup> 0 = unacceptable, 1 = very poor, 2 = poor, 3 = acceptable, 4 = good, 5 = outstanding.



**GESI integration into proposal assessment criteria for CLARE**

Explanation of CLARE assessment criteria	(A) GESI criteria to be integrated	(B) GESI requirements for proposals (and inception phase)	(C) GESI guiding questions (to CLARE assessment criteria)
<b>RELEVANCE AND LIKELIHOOD OF IMPACT (25%)</b>			
a) Responds to priority themes of the Call	Rephrase criteria to: <b>Responds to the priority themes of the Call, and explicitly reflects GESI outcomes and impacts</b>	<b>GESI Statement</b>	<p>I) What is the expected impact of the project on people of different genders and on marginalized populations (during and beyond the project)? - What are expected GESI outcomes and impacts of the project? (See GESI framework, chapter 2, section 2.4)</p> <p>II) What <b>types of research</b> are proposed? - How does it develop knowledge and evidence that supports adaptation and resilience of the most vulnerable and promotes social inclusion? - How does the research <i>purposively promote GESI</i>? Does it include/compromise of <i>transformative</i> research that promotes GESI?</p> <p>III) Quality of <b>expected research outputs</b>: - Are the research outputs and proposed actions/interventions/ solutions cognizant of differences and inequalities affecting women, men and marginalized populations? - How do the expected research outputs of the project provide evidence on long-term structural changes in power relations and norms that affect women and marginalized groups?</p>
b) Understanding of user needs and decision contexts		Proposals reflects <b>integrated GESI analysis</b>	<ul style="list-style-type: none"> <li>- Proposal reflects <b>awareness</b> of how GESI issues and inequalities intersection with climate change</li> <li>- <b>Priorities</b> set in the proposal are informed by and based on realities of women and marginalized groups. (Insights drawn from <i>GESI inclusive stakeholder consultation</i> during <u>proposal development</u> phase).</li> </ul>
c) Presents convincing strategies for the uptake of results			<ul style="list-style-type: none"> <li>- Uptake strategies are informed by and <b>aimed at inclusion</b> of women and marginalized groups, and of GESI specialists; as researchers, decision-makers and as end-users</li> <li>- What measures are put in place to ensure equal and meaningful opportunities for people of different genders and of marginalized groups to be involved throughout the project (from design, inception, implementation and uptake)?</li> </ul>
d) Appropriate approach to knowledge management and infrastructure;			<ul style="list-style-type: none"> <li>- proposal/project contributes to CLARE developing <b>thought leadership</b> on intersections between climate change action and GESI</li> <li>- initiatives and approach to facilitate <b>collaboration and learning</b> within the project, on gender-responsive and gender-transformative research</li> </ul>

			- actions proposed to <b>synthesize learnings on what works</b> to achieve GESI in climate change (action) research.
e) Measures to strengthen capacities for research, uptake and practice within the project and among external stakeholders			How do these measures take into account GESI considerations for capacity strengthening?
<b>EQUITABLE PARTNERSHIPS AND ORGANIZATIONAL CAPACITY (25%)</b>			
f) Strong track record	Rephrase criteria to: <b>Strong track record on <u>GESI integrated climate change adaptation research for action</u></b>		Includes: I) Track record in GESI integrated research II) Track record in gender-transformative research
g) Team demonstrates capacity including roles for coordination, research, and uptake		* To what extent was GESI expertise used during the <u>proposal development</u> phase)? • <b>GESI plan</b>	How does the proposal address GESI integration in research team composition: <i>1. gender and diversity balance in research team, and</i> <i>2. Quality and availability of GESI expertise in research team (see section 3.4.1)</i>
h) Explains how team will coordinate their multi-country work, ensure fair and equitable partnerships			
i) Generates benefits for the researchers and non-academics			- What (explicit) strategies are proposed/put in place for women and marginalized populations to benefit?
j) Creates and nurtures opportunities for leadership from the global South and by non-academics			- What (explicit) strategies are proposed/put in place for women researchers and researchers of marginalized populations to lead and drive the research (action) agenda (focused on promoting their agenda)?
<b>RESEARCH QUALITY AND PROJECT DESIGN (25%)</b>			
k) Original and promising research questions			- How explicitly and strongly are gender equality and social inclusion <b>reflected</b> in research (objectives and) questions. - How do research (objectives and) questions <b>prioritize</b> the interests of women and marginalized groups?

l) Appropriate methodology to address research questions			<p>I) <b>Data collection</b> (methodological framework, protocols and instruments):</p> <ul style="list-style-type: none"> <li>- Is <i>data</i> collected <i>on and from</i> women and men, and <i>on and from</i> marginalized groups?<sup>267</sup></li> <li>- Is data collected that captures and reflects <i>differences and inequalities</i> that affect different areas of women and men's lives, and of marginalized groups?<sup>267</sup></li> </ul> <p>II) <b>Data analysis:</b></p> <ul style="list-style-type: none"> <li>- Analysis <i>disaggregates</i> data by sex and other social markers of differences</li> <li>- systematic analysis is conducted of <i>GESI differences and inequalities in its intersections</i> with climate change and adaptation (using GESI concepts)</li> </ul>
m) Identifies key ethical issues and ways of addressing them			- How does the project ensure it complies with prior, free and informed <b>consent</b> for research participants? What measures are taken to ensure <b>privacy</b> of research participants? How are vulnerable and marginalized groups <b>safeguarded</b> against undue coercion and influencing?
n) Convincing design to achieve relevant and important results within funding period;		Project plans to conduct a <i>GESI analysis</i> in the <u>inception phase</u> . (also reflected in project budget)	
o) Gender, equity, and inclusion are considered at all stages of the project	Rephrase criteria to: <b>How are gender equality and social inclusion considered and integrated into all phases and aspects of the research cycle (objectives, research questions, design and methodology)?</b>		
<b>CAPACITY STRENGTHENING AND LEARNING (15%)</b>			
p) Presents convincing strategies for strengthening capacities across 'value chain' including stakeholders and end users	Reformulate this criteria to reflect GESI capacity considerations: <b>Presents convincing strategies for strengthening capacities across 'value chain' including stakeholders and end users, in a gender equal and socially inclusive way</b>	<i>GESI capacity assessment:</i> - project plans to conduct a GESI capacity assessment in the <u>inception phase</u> . (also reflected in project budget)	GESI capacity strengthening strategies address: - project includes strategies and activities to strengthen (1) <i>GESI integrated research</i> capacities for climate change and action researchers, (2) <i>leadership</i> of women/marginalized researchers and GESI specialists, and (3) <i>GESI integration for project managers</i> , research leaders, and GESI officers and focal points
q) Offers experiential learning and exchanges for early career and young professionals			- with specific attention for women and marginalized groups (and displays awareness of inclusive approaches to capacity strengthening)

<sup>267</sup> On what 'good gender data' are, see: Data2x ([www.data2x.org](http://www.data2x.org)), Newton et al. (2019) (<https://www.kit.nl/publication/what-do-participatory-approaches-have-to-offer-the-measurement-of-empowerment-of-women-and-girls-2/>), and KIT's work on measuring empowerment (<https://www.kit.nl/publication/what-gets-measured-matters/>).

r) Articulates own theory of change and results framework with outputs, outcomes, and intended impact		<i>GESI integration into Monitoring Framework:</i> - project plans to further integrate GESI into the Monitoring Framework in the <u>inception phase</u> of CLARE	- How are <i>GESI outcomes</i> integrated into the proposal's Theory of Change and results framework? - How are GESI considerations integrated into the (overall and non-GESI specific) outcomes and results of the project? - Are gender and age disaggregated data collected in the results framework?
<b>ADAPTIVE MANAGEMENT AND VALUE FOR MONEY (10%)</b>			
s) Strategies for mitigating risks, flexibility to respond to emergent opportunities for collaboration and impact		<b>* GESI plan</b>	- Are measures put in place to ensure and monitor that the research activities and the project <i>Do No Harm</i> to women and marginalized groups? How will any risks and unintended negative consequences on gender equality and social inclusion be avoided or mitigated against, and monitored?
t) Offers good value for money (e.g. cost of inputs, number of participants that benefit, and potential for positive change)			

## Annex 7: Analysis of GESI aspects in existing IDRC gender assessment instruments

A light review of three existing gender and social inclusion shows that they partly *overlap* and partly *differ* in the GESI aspects they cover. It also highlights potential *weaknesses and gaps* of GESI aspects that are either missing, or inconsistently covered in the three instruments. These observations can be taken into account when designing a GESI integration assessment tool for proposal selection in a CLARE Call.

The quick review looked at three gender instruments used in IDRC:

- (1) the gender markers in the GEI PF<sup>268</sup>,
- (2) the gender rubric/continuum<sup>269</sup>, and
- (3) the Research Quality+ framework<sup>270</sup>.

The GESI aspects covered in these three instruments have been clustered into 13 aspects (see Table II below).

The three instruments differ in the GESI aspects they cover, and in addition, the way specific GESI aspects are addressed and operationalized also varies across the instruments (see Table II, and for more details Table III and IV below). There are gains to make in: (a) further aligning the instruments, (b) translating the gender instruments to become GESI ones, and (c) strengthening how they can be designed to more effectively support and promote GESI integration in applied research for action.

With the provisional GESI outcomes of CLARE in the back of our minds, Table I presents key observations regarding designing a GESI marker that can serve in the selection of research proposals.

Aspect in instrument	Observations
1. Project <b>design and rationale</b>	Include, and clearly specify how and what
2. Types of <b>GESI outcomes and strategies</b>	Include, and: <ul style="list-style-type: none"> <li>- Distinguish between outcomes and strategies. This merits further clarification.</li> <li>- Also include a 'do no harm' lens, in addition to the positive GESI research outcomes.</li> <li>- GESI outcomes should be framed as 'research outcomes'.</li> </ul>
3. <b>Research questions and objectives</b>	Include, as it points to how GESI issues are integrated and how interests are prioritized.

<sup>268</sup> The so-called 'Research project gender markers' in the Gender Equality and Inclusion Programming Framework (IDRC GEI PF, version January 2021, para 2.2, p. 15).

<sup>269</sup> As used and presented in the *IDRC Research Quality Plus (RQ+) Assessment Instrument* (2020, updated version: p. 16).

<sup>270</sup> *IDRC Research Quality Plus (RQ+) Assessment Instrument* (2020, updated version).

<b>4. Methodology</b>	Include, and needs enhanced consistency and clarity. A range of issues and ways of addressing them are covered across the different instruments. Needs further thinking and clarification on what GESI integration means in methodology and in data collection.
<b>5. GESI analysis</b>	Include, and enhance a clear understanding of what GESI analysis is and entails.
<b>6. Research outputs</b>	Include, this is a key criteria. It needs better articulation.
<b>7. Research team</b>	Include, and clearly define it dimensions. Also, use it consistently. Encompasses both team composition and GESI expertise in a project.
<b>8. Research uptake, actor coalitions</b>	For CLARE important to include. These aspects are weakly captured in existing instruments, and need to be articulated more strongly.
<b>9. Capacity strengthening</b>	For CLARE important to include. These aspects are weakly captured in existing instruments, and need to be articulated more strongly.

*Table II : Overview of gender/GESI aspects covered in IDRC's assessment instruments*

Gender (GESI) aspect		Gender markers	Gender rubric (gender continuum)	RQ+ instrument	
				Gender in RQ+ instrument	RQ+ dimensions: <i>inclusiveness and negative consequences</i>
1	Rationale	x	x		
2	Project design	x	x	x	x
3	Participation	x		x	x
4	Types of gender/GESI outcomes and strategies	x			
5	Realized GESI outcomes	x	x		x
6	Research questions and objectives			x	
7	Methodology		x		x
8	Data collection	x		x	
9	Analysis		x	x	
10	Research outputs		x	x	x
11	Research team (1): gender balance	x		x	
12	Research team (2): gender expertise	x			
13	Research uptake	x	x		

<i>Table III: More detailed overview of gender/GESI aspects covered in IDRC's assessment instruments</i>				
<b>Gender (GESI) aspect</b>	<b>Gender markers</b>	<b>Gender rubric (gender continuum)</b>	<b>Gender in RQ+ instrument</b>	<b>RQ+ dimensions: inclusiveness and negative consequences</b>
<b>Rationale</b>				
<i>Awareness of GESI issues and root causes in area/field or research</i>	<b>x</b>			
<i>Project rationale</i>		<b>x</b>		
<i>Clarity about gender outcomes (in rationale and targeting)</i>	<b>x</b>			
<b>Project design</b>				
<i>Research/project cycle</i>	<b>x</b>		<b>x</b>	
<i>Integration of GESI relations into project design (key documents)</i>	<b>x</b>	<b>x</b>		
<i>Attention for <u>potential harm</u> of research project</i>	<b>x</b>			
<i>Inclusiveness addressed in research design</i>				<b>x</b>
<i>Efforts/measures to address/mitigate foreseeable negative consequences &amp; outcomes of the research</i>				<b>x</b>
<b>Participation</b>				
<i>Participation</i>	<b>x</b>		<b>x<sup>a</sup></b>	
<i>Inclusive selection of research participants or project beneficiaries</i>				<b>x<sup>b</sup></b>
<b>Types of gender/GESI outcomes and strategies</b>				
<i>Aims at transformative outcomes (root causes, underlying power dynamics and norms)</i>	<b>x</b>			
<b>Realized GESI outcomes</b>				
<i><u>Sustained change realized</u></i>		<b>x</b>		
<i><u>Evidence of gendered outcomes achieved</u></i>	<b>x</b>			
<i>Evidence of change or progress towards change</i>	<b>x</b>			
<i>Sings of coercion of vulnerable persons, communities or populations</i>				<b>x</b>
<b>Research questions and objectives</b>				
<i>Research questions and objectives</i>			<b>x</b>	
<i>Prioritization of interests of vulnerable, marginalized groups or populations</i>				<b>x</b>
<b>Methodology</b>				
<i>Project methodology</i>		<b>x</b>		
<i>Inclusiveness addressed in research <u>execution</u></i>				<b>x</b>
<i>Inclusiveness addressed in <u>safeguarding</u> of vulnerable and marginalized groups</i>				<b>x</b>
<i>Compliance with prior, free and informed <u>consent</u> procedures for research participants</i>				<b>x</b>
<i>Measures taken to ensure <u>privacy</u> of research participants</i>				<b>x</b>
<b>Data collection</b>				
<i>Registering gender differences</i>			<b>x</b>	
<i>Engagement with research participants</i>			<b>x</b>	
<i>GESI relations addressed in data collection instruments and data collection</i>	<b>x</b>			
<b>Analysis</b>				
<i>Disaggregation of data by sex</i>			<b>x</b>	
<i>Gender analysis</i>		<b>x</b>	<b>x</b>	
<i>Systematic gender analysis of activities and findings</i>			<b>x</b>	
<b>Research outputs</b>				

<i>Evidence base on long-term structural change in power relations and norms</i>		<b>x</b>		
<i>Solutions developed</i>			<b>x</b>	
<i>Inclusiveness addressed in research findings</i>				<b>x</b>
<b>Research team (1): gender balance</b>				
<i>Gender balance and appropriate roles</i>	<b>x</b>		<b>x</b>	
<i>Gender balance in capacity building opportunities</i>			<b>x</b>	
<i>Gender balance in leadership opportunities</i>			<b>x</b>	
<b>Research team (2): gender expertise</b>				
<i>Gender expertise in the (research) team</i>	<b>x</b>			
<i>Capacities in gender and relevant analyses</i>	<b>x</b>			
<i>Governance: advisors and links to gender experts</i>	<b>x</b>			
<b>Research uptake</b>				
<i>Positioning for use</i>	<b>x</b>			
<i>Gender findings use to inform <u>implementation</u> strategies</i>	<b>x</b>	<b>x</b>		
<i>Gender findings use to influence <u>outreach, communication and policy</u> strategies</i>				
<i>Partnerships (as action for change)</i>		<b>x</b>		

<sup>a</sup> Unclear: whose participation in what.

<sup>b</sup> Considering inclusiveness here is defined as ‘not excluding anyone’. (RQ+, p. 15) This is not the same as actively making selection inclusive.

<i>Table IV: Overview of gender/GESI aspects covered in three dimensions of IDRC’s Research Quality + instrument</i>			
<b>Gender (GESI) aspect</b>	<b>RQ+ instrument</b>		
	<b>Gender</b> in RQ+ instrument	<b>Inclusiveness</b> in RQ+ instrument	Addressing <b>potentially negative consequences and outcomes</b> for R participants and affected populations
<b>Rationale</b>			
<i>Awareness of GESI issues and root causes in area/field or research</i>			
<i>Project rationale</i>			
<i>Clarity about gender outcomes (in rationale and targeting)</i>			
<b>Project design</b>			
<i>Research/project cycle</i>	Whether/how gender is considered in phases and aspects of the research cycle		
<i>Integration of GESI relations into project design (key documents)</i>			
<i>Attention for potential harm of research project</i>			
<i>Inclusiveness addressed in research design</i>		Whether/how inclusiveness is addressed in research design	
<i>Efforts/measures to address and mitigate foreseeable negative consequences and outcomes of the research</i>			Whether/how efforts or measures were taken to address, mitigate and/or



			eliminate foreseeable negative consequences and/or outcomes of the research
<b>Participation</b>			
<i>Participation</i>	Whether/how gender is considered in participation		
<i>Inclusive selection of research participants or project beneficiaries</i>		Whether/how inclusiveness is addressed in selection of research participants or project beneficiaries	
<b>Types of gender/GESI outcomes and strategies</b>			
<i>Aims at transformative outcomes (root causes, underlying power dynamics and norms)</i>			
<b>Realized GESI outcomes</b>			
<i>Sustained change realized</i>			
<i>Evidence of gendered outcomes achieved</i>			
<i>Evidence of change or progress towards change</i>			
<i>Signs of coercion</i>			Whether or not there are signs of coercion of vulnerable persons, communities or populations in the research/project
<b>Research questions and objectives</b>			
<i>Research questions and objectives</i>	Whether/how gender is considered in research questions and objectives		
<i>Prioritization of interests of vulnerable, marginalized groups or populations</i>		Whether/how interests of vulnerable, marginalized groups or populations are prioritized.	
<b>Methodology</b>			
<i>Project methodology</i>			
<i>Inclusiveness addressed in research execution</i>		Whether/how inclusiveness is addressed in research execution	
<i>Inclusiveness addressed in safeguarding of vulnerable and marginalized groups</i>		Whether/how inclusiveness is addressed in safeguarding vulnerable and marginalized; avoiding undue coercion or influencing	
<i>Compliance with prior, free and informed consent procedures for research participants</i>			Whether/how the projects complied with prior, free and informed consent procedures for research participants
<i>Measures taken to ensure privacy of research participants</i>			Whether/how the project takes measures taken to ensure privacy of research participants
<b>Data collection</b>			
<i>Registering gender differences</i>	Whether/how data collection registers gender differences		
<i>Engagement with research participants</i>	Whether/how a gender lens is used, including in safety protocols		

	<i>[not in scoring table]</i>		
<i>GESI relations addressed in data collection instruments and data collection</i>			
<b>Analysis</b>			
<i>Disaggregation of data by sex</i>	Whether data is disaggregated by sex		
<i>Gender analysis</i>	Whether/how gender analysis is conducted		
<i>Systematic gender analysis of activities and findings</i>	Whether/how a systematic gender differentiated analysis is done of research activities and findings <i>[not in scoring table]</i>		
<b>Research outputs</b>			
<i>Evidence base on long-term structural change in power relations and norms</i>			
<i>Solutions developed</i>	Whether solutions are developed cognizant of differentiated situations and needs related to gender <i>[not in scoring table]</i>		
<i>Inclusiveness addressed in research findings</i>		Whether/how inclusiveness is addressed in research findings	
<b>Research team (1): gender balance</b>			
<i>Gender balance and appropriate roles</i>	Whether/how attention is given to gender balance and appropriate roles		
<i>Gender balance in capacity building opportunities</i>	Whether/how considered <i>[not in scoring table]</i>		
<i>Gender balance in leadership opportunities</i>	Whether/how considered <i>[not in scoring table]</i>		
<b>Research team (2): gender expertise</b>			
<i>Gender expertise in the (research) team</i>			
<i>Capacities in gender and relevant analyses</i>			
<i>Governance: advisors and links to gender experts</i>			
<b>Research uptake</b>			
<i>Positioning for use</i>			
<i>Gender findings use to inform <u>implementation strategies</u></i>			
<i>Gender findings use to influence <u>outreach, communication and policy strategies</u></i>			
<i>Partnerships (as action for change)</i>			