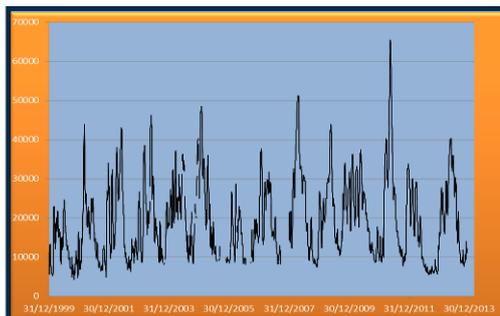
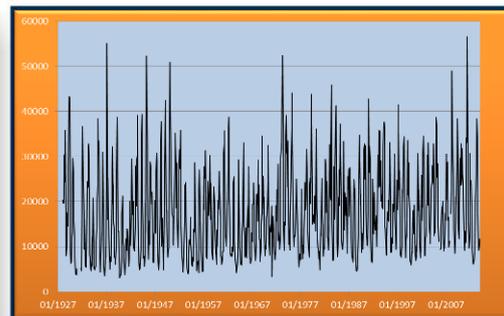


CSIR Contribution to Defining Adaptive Capacity in the Context of Environmental Change

1st Interim Report



Report Documentation Page

Form Approved
OMB No. 0704-0188

Public reporting burden for the collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to a penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

| | | | | | |
|---|------------------------------------|---|---|---------------------------------|---------------------------------|
| 1. REPORT DATE 31 MAR 2014 | 2. REPORT TYPE | 3. DATES COVERED 00-00-2014 to 00-00-2014 | | | |
| 4. TITLE AND SUBTITLE CSIR Contribution to Defining Adaptive Capacity in the Context of Environmental Change | | 5a. CONTRACT NUMBER W911NF-14-1-0113 | | | |
| | | 5b. GRANT NUMBER | | | |
| | | 5c. PROGRAM ELEMENT NUMBER | | | |
| 6. AUTHOR(S) | | 5d. PROJECT NUMBER | | | |
| | | 5e. TASK NUMBER | | | |
| | | 5f. WORK UNIT NUMBER | | | |
| 7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) CSIR,PO Box 395,Pretoria 0001, South Africa, | | 8. PERFORMING ORGANIZATION REPORT NUMBER ; 1675-EN-01 | | | |
| 9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES) Army Engineer Research & Development Center - International Research Office, ERDC-IRO, ATT: RICHMOND, Unit 4507, APO, AE, 09421 | | 10. SPONSOR/MONITOR'S ACRONYM(S) | | | |
| | | 11. SPONSOR/MONITOR'S REPORT NUMBER(S) 1675-EN-01 | | | |
| 12. DISTRIBUTION/AVAILABILITY STATEMENT Approved for public release; distribution unlimited | | | | | |
| 13. SUPPLEMENTARY NOTES | | | | | |
| 14. ABSTRACT | | | | | |
| 15. SUBJECT TERMS | | | | | |
| 16. SECURITY CLASSIFICATION OF: | | | 17. LIMITATION OF ABSTRACT Same as Report (SAR) | 18. NUMBER OF PAGES 9 | 19a. NAME OF RESPONSIBLE PERSON |
| a. REPORT unclassified | b. ABSTRACT unclassified | c. THIS PAGE unclassified | | | |

CSIR Contribution to Defining Adaptive Capacity in the Context of Environmental Change

1st Interim Report

Report prepared for:
ERDC-IRO
ATTN: Julian Richmond
86-88 Blenheim Crescent
West Ruislip
Middlesex, HA4 7HL
United Kingdom

Report prepared by:
Marius Claassen & Karen Nortje
CSIR
PO Box 395
Pretoria
0001, South Africa

Date:
31 March 2014

CONTENTS

| | | |
|-----------|-----------------------------------|----------|
| 1. | INTRODUCTION | 2 |
| 2. | PROJECT TASKS AND PROGRESS | 2 |
| 2.1 | Tasks | 2 |
| 2.2 | Progress | 3 |
| 2.3 | What's next? | 6 |
| 3. | COST AND PAYMENT SCHEDULE | 6 |
| 3.1 | Cost and Price | 6 |
| 3.2 | Payment schedule | 7 |

1. INTRODUCTION

The grant (W911NF-14-1-0113) is based on the premise that human security and environmental security is inextricably linked and that a better understanding the relationship between human and environmental security will assist in reducing vulnerabilities and improving stability. The grant supports CSIR and ERDC research in adaptation to water-related impacts of climate change. The grant supports a comparison of historic human responses to environmental change in the Mississippi River and the Nile River, as measured by human security indicator datasets and environmental variability data. The overall goal is to measure regional adaptive capacity and thus understand how to facilitate regional stability that can withstand threats imposed by environmental impacts. Based on the outcome of this analysis, a set of metrics will be developed that will assist in measuring the adaptive capacity of a region based on past behaviour and capabilities to cope with physical or environmental changes.

The research is focused on understanding and identifying vulnerabilities in developing regions that inherently have fewer institutional capabilities to handle large-scale changes. The qualitative and quantitative analysis of adaptive capacity compares areas in the Mississippi and Nile Basin. The Mississippi case area serves as a more controlled case study with the Nile Basin representing a context with more limited historical data. Environmental change and human behavior over the hundred year time scale (1910-2010) are being used for the analysis. The comparison of environmental change (eg. precipitation and temperature trends) and the corresponding human behavioural responses (eg food access and migration patterns) will provide an input to metric creation, contingent on evidence that changes in local stability are related to environmental change. These metrics will be used to measure areas of vulnerability within both study regions.

2. PROJECT TASKS AND PROGRESS

2.1 Tasks



| No. | Task | Description | Target date |
|-----|-------------|---|---------------|
| 1 | Datasets | 1.1 Inputs to environmental and human security datasets | 31 Jan 2014 |
| 2 | Data fusion | 2.1 Data overlay | 31 March 2014 |
| 2 | Data fusion | 2.2 Data analysis 2.3 Additional data collection | 30 Sept 2014 |
| 3 | Correlation | 3.1 Compare results | 30 Sept 2014 |
| 4 | Metrics | 4.1 Develop adaptive capacity metrics | 31 March 2015 |
| 4 | Metrics | 4.2 Identify areas of vulnerability | 30 June 2015 |

Defining Adaptive Capacity in the Context of Environmental Change

This report pertains to Task 1: Data Sets. The Tasks has been described as follows in the Project Plan:

Task 1: Data collection:

*Task 1.1: (a) Gather and create environmental variability datasets from meteorological and hydrological observations for the time period (1910-2010) for both the Mississippi River and the Nile River. Meteorological data over the research areas will be gathered from Global Historical Climatology Network (GHCN) maintained by NOAA, 14th Operational Weather Squadron, the National Climatic Data Center (NCDC), along with the additional data sources listed in Table 3 and other data sources as provided by CCAPS. Data will then be combined from these sources to create a comprehensive database for each research area. **The CSIR will assist with the data gathering, specifically for the Nile Basin and selected sub-region.***

Task 1.1: (b) Depending upon the database created, a partnership may be formed within ERDC, DoD, or academic community in order to facilitate provision of or creation of a reanalysis dataset. Use of a re-analysis dataset will depend upon information gathered in Task 1.2.

*Task 1.2: Build a composite human security indicator dataset from the Global Human Security Index in conjunction with the other socio-economic and general population data tabulated above from 1910-2010 for both the Mississippi River and the Nile River. **The CSIR team will contribute data to this task, which will be integrated into the dataset. All data will be combined and assessed using a mixed methods approach composed of both a historical analysis and a longitudinal study.***

2.2 Progress

Task 1.1a

The CSIR team conducted a broad survey of qualitative and quantitative data for the Nile and Mississippi case areas. Hydrological data was acquired from the Global Runoff Data Centre. The data includes average daily and monthly flow for the Mississippi River and Monthly average flows for the Nile River. The available data is summarised as follows:

| River | Station | lat | long | d_start | d_end |
|---------------------------------------|---------------------|--------|--------|---------|-------|
| ST. CROIX RIVER (TRIB. MISSISSIPPI) | ST. CROIX FALLS, WI | 45.407 | -92.65 | 1902 | 2013 |
| MISSISSIPPI RIVER | ST.PAUL, MN | 44.934 | -93.11 | 1892 | 2012 |
| MISSISSIPPI RIVER | AITKIN, MN | 46.541 | -93.71 | 1945 | 2013 |
| GREEN RIVER (TRIB. UPPER MISSISSIPPI) | NEAR GENESEO, IL | 41.489 | -90.16 | 1936 | 2013 |
| CEDAR RIVER (TRIB. MISSISSIPPI) | CEDAR RAPIDS, IA | 41.971 | -91.67 | 1902 | 2013 |
| CEDAR RIVER (TRIB. MISSISSIPPI) | WATERLOO, IA | 42.496 | -92.33 | 1940 | 2013 |
| CEDAR RIVER (TRIB. MISSISSIPPI) | JANESVILLE, IA | 42.648 | -92.47 | 1904 | 2013 |
| CEDAR RIVER (TRIB. MISSISSIPPI) | CHARLES CITY, IA | 43.063 | -92.67 | 1964 | 2013 |
| CEDAR RIVER (TRIB. MISSISSIPPI) | NEAR CONESVILLE, IA | 41.41 | -91.29 | 1939 | 2013 |
| SALT RIVER (TRIB. MISSISSIPPI) | NEAR NEW LONDON, MO | 39.612 | -91.41 | 1922 | 2013 |
| MISSISSIPPI RIVER | KEOKUK, IA | 40.394 | -91.37 | 1878 | 2013 |

Defining Adaptive Capacity in the Context of Environmental Change

| | | | | | |
|--|---------------------------------|--------|--------|------|------|
| FOX RIVER (TRIB. MISSISSIPPI) | DAYTON, IL | 41.385 | -88.79 | 1914 | 2013 |
| VERMILION RIVER (TRIB. MISSISSIPPI) | NEAR LEONORE, IL | 41.208 | -88.93 | 1931 | 2013 |
| SALT CREEK (TRIB. MISSISSIPPI) | NEAR GREENVIEW, IL | 40.132 | -89.74 | 1941 | 2013 |
| ILLINOIS RIVER (TRIB. UPPER MISSISSIPPI) | VALLEY CITY | 39.703 | -90.65 | 1938 | 2013 |
| ILLINOIS RIVER (TRIB. UPPER MISSISSIPPI) | HENRY, IL | 41.107 | -89.36 | 1981 | 2013 |
| BLACK RIVER (TRIB. MISSISSIPPI) | NEAR GAILSVILLE, WI | 44.06 | -91.29 | 1931 | 2013 |
| BLACK RIVER (TRIB. MISSISSIPPI) | NEILLSVILLE, WI | 44.56 | -90.62 | 1905 | 2013 |
| CHIPPEWA RIVER (TRIB. MISSISSIPPI) | DURAND, WI | 44.628 | -91.97 | 1928 | 2013 |
| CHIPPEWA RIVER (TRIB. MISSISSIPPI) | CHIPPEWA FALLS, WI | 44.927 | -91.41 | 1888 | 2013 |
| CHIPPEWA RIVER (TRIB. MISSISSIPPI) | NEAR BRUCE, WI | 45.452 | -91.26 | 1913 | 2013 |
| MISSISSIPPI RIVER | CLINTON, IA | 41.781 | -90.25 | 1873 | 2013 |
| MISSISSIPPI RIVER | ALTON, ILL. | 38.885 | -90.18 | 1933 | 1987 |
| WHITE RIVER (TRIB. MISSISSIPPI) | DEVALLS BLUFF, AR | 34.79 | -91.45 | 1949 | 2013 |
| WHITE RIVER (TRIB. MISSISSIPPI) | NEWPORT, AR | 35.605 | -91.29 | 1927 | 2013 |
| WHITE RIVER (TRIB. MISSISSIPPI) | BATESVILLE, AR | 35.76 | -91.64 | 1937 | 2012 |
| WHITE RIVER (TRIB. MISSISSIPPI) | NEAR BRANSON, MO | 36.598 | -93.3 | 1951 | 2009 |
| WHITE RIVER (TRIB. MISSISSIPPI) | NEAR FAYETTEVILLE, AR | 36.073 | -94.08 | 1963 | 2013 |
| MISSISSIPPI RIVER | NEAR ARKANSAS CITY, ARK | 33.558 | -91.24 | 1928 | 1980 |
| MISSISSIPPI RIVER | THEBES, IL | 37.217 | -89.46 | 1933 | 2013 |
| MISSISSIPPI RIVER | CHESTER, IL | 37.903 | -89.84 | 1942 | 2013 |
| MISSISSIPPI RIVER | ST. LOUIS, MO | 38.629 | -90.18 | 1880 | 2013 |
| MISSISSIPPI RIVER | VICKSBURG, MS | 32.315 | -90.91 | 1931 | 2013 |
| MISSISSIPPI RIVER | TARBERT LANDING, MS | 31.009 | -91.62 | 1982 | 1991 |
| MISSISSIPPI RIVER | RED RIVER LANDING AT SIMMESPORT | 30.983 | -91.8 | 1928 | 1964 |

The data for the Nile River includes mean monthly flows, with the following details:

| river | station | lat | long | m_start | m_end |
|---------------|-------------------------------|-------|-------|---------|-------|
| NILE | EL EKHSASE | 29.7 | 31.28 | 1973 | 1984 |
| NILE | DONGOLA | 19.18 | 30.48 | 1912 | 1984 |
| NILE | HUDEIBA + HASSANAB | 17.65 | 33.65 | 1908 | 1982 |
| NILE | ASSIUT | 27.18 | 31.1 | 1973 | 1984 |
| NILE | NAG HAMMADI | 26.05 | 32.25 | 1973 | 1984 |
| NILE | ESNA | 25.32 | 32.56 | 1973 | 1984 |
| NILE | TAMANIAT | 15.95 | 32.63 | 1911 | 1982 |
| NILE | GAAFRA | 24.32 | 32.9 | 1973 | 1984 |
| NILE | ASWAN DAM | 23.96 | 32.9 | 1869 | 1984 |
| BLUE NILE | KHARTOUM | 15.62 | 32.55 | 1900 | 1982 |
| BLUE NILE | SUDAN BORDER | 11 | 35 | 1969 | 1975 |
| BLUE NILE | SENNAR | 13.55 | 33.47 | 1912 | 1982 |
| BLUE NILE | NEAR MERAWI | 11.37 | 37.03 | 1978 | 1980 |
| BLUE NILE | NEAR THE LAKE TANA | 10 | 37 | 1969 | 1975 |
| BLUE NILE | KESSIE | 11.07 | 38.18 | 1976 | 1979 |
| BLUE NILE | ROSEIRES DAM | 11.85 | 34.38 | 1912 | 1982 |
| VICTORIA NILE | PAARA | 2.28 | 31.57 | 1948 | 1970 |
| VICTORIA NILE | MBULAMUTI | 0.82 | 33.03 | 1973 | 1979 |
| VICTORIA NILE | OWEN RESERVOIR | 0.47 | 33.12 | 1973 | 1982 |
| VICTORIA NILE | JINJA | 0.43 | 33.2 | 1946 | 1970 |
| ALBERT NILE | PANYANGO | 2.65 | 31.65 | 1948 | 1970 |
| WHITE NILE | MOGREN | 15.6 | 32.55 | 1973 | 1982 |
| WHITE NILE | DOWNSTREAM OF JEBEL AULIA DAM | 15.23 | 32.5 | 1973 | 1982 |
| WHITE NILE | MELUT | 10.43 | 32.2 | 1973 | 1982 |

Defining Adaptive Capacity in the Context of Environmental Change

| | | | | | |
|------------|----------|------|-------|------|------|
| WHITE NILE | MALAKAL | 9.58 | 31.62 | 1912 | 1982 |
| WHITE NILE | ABU TONG | 9.46 | 31.12 | 1973 | 1982 |
| WHITE NILE | MALEK | 6.07 | 31.6 | 1973 | 1982 |
| WHITE NILE | MONGALLA | 5.2 | 31.77 | 1912 | 1982 |

Task 1.1b

The ERDC together with the CSIR developed a composite human security indicator dataset using the Global Human Security Index as a basis from which to work. The Global Human Security Index has at its core seven categories that are made up of a number of sub-categories. The main categories are: economic, health, personal, community, political food and environmental.

Taking the contextual nuances of the two case study areas, the Mississippi River and the Nile River, into consideration, the team (CSIR and ERDC) developed a new dataset which comprises of the following main categories: economic, health, personal, community, political, food, environmental, cultural/spiritual, physical infrastructure and livelihoods. Each of these categories also have sub-categories which are specifically linked to human adaptive capacity within the context of environmental change.

| ECONOMIC | HEALTH TRENDS | PERSONAL | COMMUNITY | POLITICAL | FOOD | ENVIRONMENTAL | CULTURAL/SPIRITUAL | PHYSICAL INFRASTRUCTURE | LIVELIHOODS |
|----------------------------|---|--|---|------------------------------|--|--|---------------------------|----------------------------------|--------------------------------|
| Status of financial system | Health trends | Fear of violence (physical torture, war, ethnic tension, suicide etc.) | Fear of multinational/multiregional conflicts | Type political institution | Availability food | Pollution rates | Cultural norms | Roads | Agricultural practises / norms |
| Level of Income | Access to safe water | Gender based discrimination | Fear of internal conflicts | Civil rights | Quality of nutrition | Status of environmental policies | Spiritual practises | Dams | Food for sale |
| Sufficiency of incomes | Access to housing : shelter from natural elements | Crime statistics | Conservation of traditional/ethnic cultures, languages and values | Human rights | Accessibility of food | Land conservation | Knowledge systems | Irrigation | Food for consumption |
| Types of employment | Accessibility to healthcare systems (physical and economic) | Illegal drugs | Ethnic/race relations | Regional/national governance | Access to food during natural/man-made disasters | Natural hazard mitigation (droughts , floods, cyclones or earthquakes) | Social network structures | Levees | |
| Employment rates | Accessibility to safe and affordable family | Local governance | In migration | | | | Support structure | Other storage facilities (silos) | |

Defining Adaptive Capacity in the Context of Environmental Change

| | | | | | | | | | |
|--------------------|--------------------|----------------------------|------------------------|--|--|--|-----------------------|--|--|
| | planning | | | | | | | | |
| Land tenure system | Medical care | Human trafficking | Out migration | | | | Kinship relationships | | |
| Division of labour | Type health system | Age based discrimination | Normal migration rates | | | | Social capital etc | | |
| | Infant mortality | Public awareness campaigns | | | | | | | |
| | Fertility rates | Literacy rates | | | | | | | |

These developed categories are currently being tested by using both qualitative and quantitative datasets as inputs.

2.3 What's next?

Following on from Task 1, the team will now focus on data fusion with a specific focus on the overlay of the environmental data set with the historic human indicator data.

Task 2: Data fusion

Task 2.1: Overlay the environmental dataset produced from the reanalysis with the historic human indicator data. This task will be done for both the Mississippi River and the Nile River. The CSIR will provide technical assistance with this task, which will be achieved through a joint workshop at ERDC.

3. COST AND PAYMENT SCHEDULE

3.1 Cost and Price



| | Tasks | Cost items | Units | Rate | Amount (US\$) | Due date |
|--|--|------------------------------|--------|------|---------------|---------------|
| | Datasets | Karen Nortje | 40 hrs | 69 | 2 760 | 31 Jan 2014 |
| | | Marius Claassen | 29 hrs | 146 | 4 220 | |
| | | Stationary & communication | | | 20 | |
| | | Task total | | | 7 000 | |
| | Data fusion (Data overlay) | Karen Nortje | 48 hrs | 69 | 3 312 | 31 March 2014 |
| | | Marius Claassen | 44 hrs | 146 | 6 402 | |
| | | Travel cost (visit to ERDC) | | | 3 286 | |
| | | Task total | | | 13 000 | |
| | Data fusion (Analysis and data collection) | Karen Nortje | 48 hrs | 74 | 3 544 | 30 Sept 2014 |
| | | Marius Claassen | 40 hrs | 156 | 6 227 | |
| | | Local travel & communication | | | 229 | |

Defining Adaptive Capacity in the Context of Environmental Change

| | | | | | | |
|----------------------------------|---|---|--------|-----|--------|------------------|
| | | | | | | |
| | | Task total | | | 10 000 | |
| | Correlation (Compare results) | Karen Nortje | 56 hrs | 74 | 4 134 | 30 Sept 2014 |
| | | Marius Claassen | 48 hrs | 156 | 7 473 | |
| | | Travel cost (visit to case study area) | | | 3 393 | |
| | | Task total | | | 15 000 | |
| Subtotal for year 1 | | | | | 45 000 | |
| | Metrics (Adaptive capacity metrics) | Karen Nortje | 48 hrs | 74 | 3 544 | 31 March 2015 |
| | | Marius Claassen | 40 hrs | 156 | 6 227 | |
| | | Local travel & communication | | | 229 | |
| | | Task total | | | 10 000 | |
| | Metrics (Areas of vulnerability) | Karen Nortje | 24 hrs | 74 | 1 772 | 30 June 2015 |
| | | Marius Claassen | 20 hrs | 156 | 3 114 | |
| | | Local travel & communication | | | 114 | |
| | | Task total | | | 5 000 | |
| Subtotal for year 2 | | | | | 15 000 | |
| Total amount requested from ERDC | | | | | 60 000 | |

3.2 Payment schedule

Invoices will be generated as per the deliverable dates based on approval of deliverables and transfers should be within 30 days of invoice receipt