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Adaptation Learning Programme (ALP)
CARE International
Mid-term Review
Final Report

Submitted by Nottawasaga Institute
November 2012



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ACRONYMS

| | |
|----------|--|
| AAP | Africa Adapt Programme (UNDP) |
| ACDEP | Akuapem Community Development Programme |
| AENA | National Association for Rural Extension (Mozambique) |
| ALP | Adaptation Learning Programme |
| AMCEN | African Ministerial Conference on the Environment |
| AYICC | Africa Youth Initiative on Climate Change |
| CAAPs | Community Adaptation Action Plans |
| CAN | Climate Adaptation Network |
| CBA | community-based adaptation |
| CBOs | community-based organizations |
| CC | climate change |
| CCAFS | Climate Change Agriculture and Food Security |
| CMDRR | Community Managed Disaster Risk Reduction |
| CNEDD | Le Conseil National de l'Environnement pour un Développement Durable (Niger) |
| CO | country office |
| CSDI | Centre for Sustainable Development (Kenya) |
| CSO | civil society organization |
| COMESA | Common Market of Eastern and Southern Africa |
| CONGAFEN | Coordination des ONG et Associations Feminimes Nigeriennes |
| COP | Conference of Parties |
| CVCA | Climate Vulnerability and Capacity Analysis |
| DI | Development Institute (Ghana) |
| DRR | disaster risk reduction |
| DfID | Department for International Development (UK) |
| DMO | Drought Management Office |
| ELLA | Evidence and Learning from Latin America |
| EWS | Environmental Water System |
| GIZ | Gesellschaft für Internationale Zusammenarbeit |
| GoK | Government of Kenya |
| GoM | Government of Mozambique |
| GMET | Ghana Meteorological Agency |
| HHLS | household livelihood survey |
| ICCO | Inter-church Organization for Development Co-operation |
| IGA | income generation activities |
| INGC | Institut National des Grandes Cultures |
| KCCWG | Kenya Climate Change Working Group |
| KMD | Kenya Meteorological Department |
| LG | Local Government |
| M & E | Monitoring and Evaluation |
| MEST | Ministry of Environment Science and Technology (Ghana) |
| MICOA | Ministry of Environmental Coordination (Mozambique) |
| MOFA | Ministry of Food and Agriculture (Ghana) |
| MSC | most significant change |
| MTR | mid-term review |
| NAP | National Adaptation Plan |
| NAPA | National Adaptation Programmes of Action |
| NCCRS | National CC Response Strategy |
| NI | Nottawasaga Institute |
| NGOs | non-governmental organizations |
| NRM | natural resource management |
| OSV | Observatories for Monitoring Vulnerability |
| PACJA | Pan-African Climate Justice Alliance |
| PCT | Programme Coordination Team |
| PDC | Council Development Plans |

| | |
|----------|---|
| PFAG | Peasant Farmers Association of Ghana |
| PPCR | Pilot Programme for Climate Resilience |
| PSP | participatory scenario planning |
| RELBONET | Religious Body Network on Climate Change |
| REGLAP | Regional Learning and Advocacy Programme |
| SADA | Savannah Accelerated Development Agency (Ghana) |
| SARI | Savannah Agricultural Research Institute (Ghana) |
| UNFCCC T | United Nations Framework Convention On Climate Change |
| VSLA | Village Savings and Loan Associations |
| WRI | Water Resource Institute |



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0 Executive Summary

The Adaptation Learning Programme in Africa (ALP) seeks to increase the capacity of vulnerable households in sub-Saharan Africa to adapt to climate variability and change with a particular focus on gender equality and diversity. The four-country programme covers Ghana, Niger, Kenya and Mozambique aiming to pioneer, deepen practical understanding of and document Community-Based Adaptation (CBA) over five years from 2010 with a particular emphasis on understanding and addressing the differential vulnerability of poor rural women.

ALP is embedded in the CARE International strategy for adaptation and is supported by the United Kingdom's Department for International Development, The Ministry of Foreign Affairs of Denmark, The Ministry of Foreign Affairs of Finland and the Austrian Development Cooperation.

This mid-term review (MTR) of ALP assessed progress towards meeting the outputs and early milestones articulated for ALP. It is formative in nature with a focus on the learning process, including the relevance and performance of implementation strategies, approaches and methods utilized, as well as early achievements and lessons learned in implementation that can guide future years. Nottawasaga Institute was contracted to undertake the MTR, represented by a team of three international consultants, and supported by a national consultant in each of the ALP countries. All four countries were visited at national and local levels by members of the team.

CARE launched the Adaptation Learning Programme (ALP) for Africa in 2010, which is designed to respond to the challenges through the following outputs:

- Developing and applying innovative approaches for community-based adaptation;
- Supporting local civil society organizations to have a voice in decision making on adaptation;
- Evaluating and refining models for CBA to make recommendations for policy and practice;
- Disseminating lessons learned to influence policies and programmes nationally, regionally and internationally; and
- Disseminating lessons learned to enhance the capacity of adaptation practitioners nationally, regionally and globally.

ALP facilitates CBA in a small number of vulnerable communities in each country across a range of livelihood groups (including pastoralists, agro-pastoralists, subsistence farmers, small traders and fishing communities) and agro-ecological zones. Gender equality/equity and diversity constitute a particular focus for ALP.

ALP has committed to contributing to the knowledge and practice of CBA in five domains of change: climate-resilient livelihood strategies, disaster risk reduction strategies, adaptive capacity and organizational capacity development, underlying causes of vulnerability and policy environment, and learning. Towards these five domains of change, the MTR had to respond to five M&E questions:

- What are communities, local and national governments doing differently and why?
- What happened which was unexpected and what was the impact?
- What difference are the changes from Q1 and Q2 making, for whom and why?
- What impact do these changes have on equality, rights and relations within and between gender, community groups, livelihood groups, local government and other actors and why?
- What can we learn from these to inform future ALP actions/CBA?

The MTR strategy aimed to review ALP in line with the programme logical framework, addressing four focus areas stipulated in the MTR terms of reference: i) results achieved and progress made towards achieving expected impacts; ii) effectiveness of strategies and methods employed; iii) contribution, relevance and 'added value' of alp; iv) effectiveness and efficiency of delivery.

Findings and Analysis

Output 1 – Innovative approaches to community-based adaptation (CBA) developed and implemented by communities and local partners

CBA was understood, adapted and applied differently in the four countries and, therefore, produced varied results. In Kenya, Niger and Ghana, people were supported to diversify their livelihoods, while in Mozambique interventions addressed improving agricultural productivity. In all countries these interventions emerged as 'quick-wins' that could provide tangible results for the communities, while the more structured CBA process had yet to result in community adaptation action plans.

The 'quick-win' strategy proved to be an effective response that consolidated community engagement and will enable the intent of the CBA approach to eventually be realized.

Three of the four countries used weather information in planning with positive results, engaging the wider community, district governments and the meteorological agencies. There is evidence that facilitating communities to incorporate seasonal forecasts and daily weather/rainfall monitoring into their livelihood decision making can evolve into a greater appreciation of the need for longer-term climate risk management strategies.

Output 2 - Communities and local civil society organizations supported to voice their concerns on climate change and to influence future allocation of resources for adaptation

All four countries have made progress in district-level stakeholder engagements, fostering dialogue platforms in various forms that bring together local government, line ministries, CSOs, local communities and, to some extent, private sector actors, to engage in joint development planning for enhanced climate resilience. The Participatory Scenarios Planning (PSP) process in Kenya, SCAP/RU in Niger, the District CSO platform in Angoche, Mozambique, and local government adaptation mainstreaming efforts in Ghana, though all different in nature, are all evidence of progress in achieving Output 2.

Output 3 - Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organizations

Models have not yet been adequately documented or evaluated, with the exception of the PSP and photo-stories; consequently advocacy efforts are constrained by the absence of evidence needed for policy change. The MTR team



recognizes, however, that effective, evidence-based models cannot be documented and disseminated until achievements are visible on the ground, so tangible results cannot be expected early in the programme's life-span. The MTR focus, therefore, has been on identifying ALP experiences so far that have good potential to develop into CBA models in the future.

Output 4 - CBA approaches promoted to influence the policies and plans of governments, regional and international organizations

Good results have been seen in supporting CSO engagement in climate change (CC) policy advocacy. ALP in all four countries is recognized as a leading advocate and practitioner of CBA. As illustrated in the country findings, significant input has been made into government adaptation policy development.

Strategic support has been provided to CSO national CC platforms in all countries. ALP advocacy managers have responded to specific opportunities for effective advocacy related to moving the climate change adaptation agenda forward. This has proved an expedient strategy during the first phase of ALP, when local evidence of CBA approaches has not yet been consolidated and documented to use in targeted advocacy strategies. The important result, in terms of the ALP programme logic, is that ALP has succeeded in identifying and opening the channels for policy influence through which such evidence, once available, can have optimal effect. ALP has done this very much on a cooperative basis with other NGOs/CSOs, although ALP is unique in having resources for advocacy.

One immediate challenge under Output 4 is that national advocacy strategies have not been articulated that have identified targeted messages, based on evidence from the ground - evidence that is crucial to positively effect government policy change and mobilize financial resources for adaptation.

Output 5 - CBA promoted to governments and NGOs in the countries and across Africa to encourage wide adoption

CBA and ALP are visible at international, national, and district levels. National learning processes have catalyzed the visibility of CBA and ALP, as has participation in international forums focused on CBA.

Specific ALP knowledge products have a strong potential to contribute to learning and become mechanisms to promote CBA to other stakeholders and in other forums. These include the PSP and the Economics of Adaptation Study.

ALP has created demand for training and capacity building in CBA and gender links to CBA. In the four countries, there has been good progress in fostering an interest in the uptake of CBA approaches by both governments and CSOs. In some cases this interest is expressed in policy terms. There is less evidence of this outside the four countries.

ALP's communications strategy is not sufficiently well developed for conveying or promoting ALP accomplishments horizontally within ALP target countries and across Africa.

ALP has strategic links to key actors in the climate change adaptation community. Strategic links to key drivers of change in agriculture/food security in Africa are less apparent.

Purpose:

The ALP strategy has not yet been validated as targeted evidence is not yet available for effective advocacy. Nonetheless, at the level of all five outputs the strategic components have shown sufficient progress to anticipate potential



validation over the next two years. The strategy has shown sufficient flexibility; there has been no serious indication of the non-validity of the programme logic.

Basing CBA models on ALP-run initiatives alone may not be sufficient to achieve the anticipated impact. ALP needs to involve its CSO partners more and learn from them, collect the evidence they can add and factor this into models being developed.

The critical issue under 'relevance' and 'value added' for achieving the ALP programme purpose is to clearly identify what messages are needed from ALP to influence policy and resource allocations for CBA, and what knowledge tools and models can and must be built in order to significantly accelerate uptake of CBA approaches across Africa.

The foundation has been established to develop models and evidence for policy change and scaling out CBA approaches – robust measures are required now to build on these. Implementation of community adaptation action plans (CAAPs) is in varying stages and has yet to serve as a source of evidence for advocacy.

Inadequate coherence between local experience and efforts at national/international advocacy needs to be addressed. Enhanced collaboration among ALP country teams is needed now to achieve programme targets. Consolidating experiences in the four participating countries will provide CBA information across a range of livelihood options in a range of agro-ecological zones.

There is evidence of progress towards gender equity at community level, but more clear and scaled-up evidence needs to be documented by ALP to inform learning and sharing about gender differential vulnerability and responses for CBA and to be able to support advocacy for integrating gender issues in CC policy making.

The *ALP Operational Theory of Change* has evolved on the ground. It appears to be functioning now by building on the premise that planning with a backdrop of seasonal projections will enable an improvement in food security and reduce vulnerability to the impact of climate variability in the short term and that longer-term strategies require shorter-term learning successes and confidence in new approaches. Longer-term climate projections and scenario planning will build on models for advancing community-based adaptation and will impact all levels - from household, to local governments and stakeholders and beyond.

By experiencing the usefulness of seasonal forecasts and climate variability information in decision-making on livelihood issues, communities are incorporating risk management into planning, and are becoming more sensitive to longer-term risks. This emerging process provides an opportunity to strengthen the PSP to support such shifts in the modalities of decision-making. Ultimately, these experiences will provide the required evidence and models to inform policy makers, planners, implementers and practitioners on adaptation interventions at the national level, and build the case for increased investment in adaptation at all levels.

This MTR report asserts that there are immediate and compelling opportunities for ALP to move forward if it is able to 'harvest' its experience to date and the experience of partners to show achievement towards its programme purpose and goal. However, to realize these opportunities, ALP needs to acknowledge the challenges and implement some specific changes that have emerged from this mid-term review and which are articulated in the Recommendations section.



Core recommendations

1. ALP must **focus on providing targeted evidence and models** that use climate information and assist local or district level government to develop climate-linked budgets and anticipate adaptation costs.
2. ALP must **revise the terms of engagement with its partners** to ensure these relationships strengthen ALP's ability to achieve its purpose.
3. ALP must **develop strong advocacy strategies**, linking its national and local advocacy efforts; work more closely with partners and use its targeted evidence and its new models, while increasing the uptake of CBA.
4. ALP needs a **stronger framework, gender skills, planning, review and analysis tools, and resource persons** to strengthen activities in outputs 1 and 2. Specifically:
 - 4.1 ALP must increase its focus on gender dynamics within the process of collecting targeted evidence, in building up its models, and in reporting.
 - 4.2 ALP must focus more rigorously on 'learning' in its reporting and in project documentation - and simplify other reporting.
 - 4.3 ALP must develop simplified yet strong tools for gathering targeted evidence on adaptation outcomes and building models related to local government planning, including the PSP; these tools must also support increased adoption/use of CBA.
 - 4.4 ALP must allocate more funds at community and local/district government level, including more funds to implementing partners, to achieve recommendations related to outputs 1 and 2.
 - 4.5 Communication is key to learning. In addition to addressing language barriers, ALP needs to take into consideration the prevailing low literacy levels, where verbal and pictorial messages have more meaning than the written word.
 - 4.6 ALP must clarify staff responsibility for implementing the MTR recommendations, including some changes in staff assignments.

Conclusion

The Adaptation Learning Programme has made significant progress towards its milestone targets, and has in essence created the foundation needed to move forward towards achieving its purpose. This foundation is composed of, *inter alia*:

- A series of marginalized communities engaged in new ways of planning that incorporate weather cognisant risk management and participatory decision-making;
- Local government structures ready to work with civil society and community partners, and anxious to improve their own capacity for incorporating CBA in planning processes;
- A selection of tools that are effective for enabling the above;
- A host of partners and platforms already built that can provide the basis for influencing government decision makers based on credible evidence of successful CBA experiences;
- A demand from governments and policy makers for evidence that can convince them to increase support to adaptation initiatives, and a



demand for decision-making tools for allocating resources to CBA efficiently and effectively.

Having built the above pieces of the foundation, however, ALP has yet to put in place the catalytic ingredients needed to make them work together in order to accelerate the achievement of targets to reach the purpose level results. The recommendations provided by this MTR aim to assist ALP to address this critical challenge.



Adaptation Learning Programme (ALP) CARE International

ALP Mid-term Review

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1 Introduction

The Adaptation Learning Programme in Africa (ALP) seeks to increase the capacity of vulnerable households in sub-Saharan Africa to adapt to climate variability and change with a particular focus on gender equality and diversity. The four-country programme covers Ghana, Niger, Kenya and Mozambique aiming to pioneer, deepen practical understanding of and document Community-Based Adaptation (CBA) over five years from 2010 with a particular emphasis on understanding and addressing the differential vulnerability of poor rural women.

A mid-term review of the programme was called for to assess progress towards meeting the outputs and early milestones articulated for ALP (as per indicators in the Log-Frame 2012). As a mid-term evaluation, it is formative in nature with a focus on the learning process, including the relevance and performance of implementation strategies, approaches and methods utilized, as well as early achievements and lessons learned in implementation that can guide future years. The result aims to provide good practices and lessons that can be shared and used to inform the final years of ALP and beyond in other programmes.

As noted in the Mid-Term Evaluation (MTR) Terms of Reference, *"The purpose of the mid-term evaluation is to provide...an external analysis of ALP strategies, achievements and relevance which can be used to inform planning and decision making for the future of ALP and beyond. In particular, the mid-term evaluation will **analyze and make recommendations on the ways and degree to which ALP is achieving learning among its external stakeholders.**"*

Nottawasaga Institute (NI), Nairobi, was contracted to undertake the MTR, represented by a team of three international consultants, and supported by a national consultant in each of the four ALP countries – Niger, Ghana, Kenya and Mozambique. All four countries were visited at national and local levels by members of the team. The enquiry framework was built around assessing the programme's results, strategy effectiveness, relevance and value added, and overall effectiveness and efficiency.

2 Profile of ALP

Response to climate change is a growing area of work in CARE. Its overall objectives are to empower poor and marginalised people to take action on climate change (CC) at all levels, and to build knowledge for action on tackling global climate change. CARE is focusing its efforts on integrating adaptation to climate change into new and existing projects in climate-sensitive sectors and areas, and on designing new programmes which specifically aim to address climate change impacts through a community-based adaptation (CBA) approach.

While CBA is increasingly recognized as part of a sustainable and effective response to climate change, there are limited tools and methodologies to move CBA forward. There is widespread agreement on the need to increase the resilience of the lives and livelihoods of the most vulnerable people, but little knowledge of how best to do this. Poverty and marginalization are key



determinants of vulnerability to climate change; however, the voices of the poor and marginalized are rarely heard in decision making on adaptation. Community-level research conducted by CARE in Africa indicates that climate change is already having a significant impact on food and income security among the most vulnerable and in other economic groups as well. In response, CARE launched the Adaptation Learning Programme (ALP) for Africa in 2010, which is designed to respond to the challenges through the following outputs:

- Developing and applying innovative approaches for community-based adaptation;
- Supporting local civil society organizations to have a voice in decision making on adaptation;
- Evaluating and refining models for CBA to make recommendations for policy and practice;
- Disseminating lessons learned to influence policies and programmes nationally, regionally and internationally; and
- Disseminating lessons learned to enhance the capacity of adaptation practitioners nationally, regionally and globally.

ALP Operational Theory of Change: As stated in the proposal submitted to the donors, ALP's operational theory was built on the following:

- i. ALP will incorporate detailed Climate Vulnerability and Capacity Analyses (CVCAs) for target communities to deepen the existing analysis to better understand both climate hazards and existing adaptive capacity;
- ii. Analysis will be conducted at all three levels – individual/household, local government/community, and national. For the household/individual level, Focus Group Discussions will be conducted separately for men and women, as well as for other marginalized or particularly vulnerable groups in the target communities. This will allow the understanding of differences in vulnerability, and facilitate the targeting of appropriate activities to the most vulnerable groups. The results of the assessment will be validated by communities and shared with local stakeholders, and will provide the baseline scenario for the programme indicators;
- iii. Using the results of the CVCAs, CARE will work with its government and civil society partners to design a package of activities to reduce the vulnerability of target groups to the impacts of climate change. The adaptation strategies promoted will be screened for feasibility, climate resilience and benefits/harms, using CARE's CBA project standards.

However, upon implementation, the process was compromised by the fact the communities were not able to make the connection between activities and climate change and quick-wins had to be applied to maintain their interest to achieve the desired long-term shift in thinking and planning.

ALP is firmly embedded in the CARE International strategy for adaptation and is supported by the United Kingdom's Department for International Development (DfID), The Ministry of Foreign Affairs of Denmark, The Ministry of Foreign Affairs of Finland and the Austrian Development Cooperation. The four-country programme covers Ghana, Niger, Kenya and Mozambique.

CARE Niger was established in 1974 in response to famine and has worked on several food security projects since then. The programme currently focuses on women and girls' leadership, food security and nutrition, natural resources management, and emergency preparedness and response. Adaptation to climate



change and to disaster risk reduction (DRR) are seen as cross-cutting issues. In Niger, the ALP project works in the department of Dakoro in 20 communities, and intends to affect nearly 12,000 direct and another 552,000 indirect beneficiaries during the five years of its running. CARE has specifically targeted vulnerable households in Dakoro area since 1999, and ALP has built on this experience. The project has facilitated close partnerships with local non-governmental organizations (NGOs) and community-based organizations (CBOs), who work directly with vulnerable groups to support them in implementing household-level adaptation strategies, including new agricultural techniques and livelihood diversification strategies.

CARE began operations in Mozambique in 1986 with emergency assistance and food distribution for people who were affected by the protracted war between government and rebel forces. From 1990 to 1994, CARE expanded its portfolio to include disaster recovery and development activities. Following the end of the war in 1992, CARE focused on implementing long-term development projects in the areas of agriculture and natural resource management, water, sanitation and hygiene, economic development including community-based micro-finance (VSL), and maternal, sexual and reproductive health. In Mozambique, ALP has focused its interventions with 18,000 direct and 186,000 indirect beneficiaries in 6-10 rural communities in the coastal area of the Nampula Province. Activities include building the capacity of communities in disaster risk reduction and climate change adaptation, local level advocacy, facilitation of the participation of vulnerable groups in local planning processes, building the capacity of NGOs in climate change and establishment of learning networks.

CARE began operations in Ghana in 1994. CARE Ghana's projects are primarily implemented through partnerships with local and civil society organizations. This enables CARE to further engage with government and the private sector, and work effectively in coalitions for enhanced impact. ALP in Ghana prioritizes the rural and vulnerable poor – women in particular and organizes its work around health, governance, and sustainable livelihoods. It intends to reach 14,000 direct beneficiaries in eight communities in two districts in northern Ghana, and 390,000 indirect beneficiaries. CARE Ghana has considerable experience in advocacy at the national level, related to issues of environment and natural resource management working with multi-stakeholder processes, particularly as a result of its KASA projects involving CSOs in a common platform monitoring EU sector-wide NRM funding to Ghana. It is anticipated that this experience and expertise will enable the promotion of CBA through the knowledge generated by ALP.

In Kenya, CARE has been operational since 1968. It currently carries out major initiatives in Refugee and Emergency Operations, with over 25 years experience in Dadaab and other projects outside Garissa District, Water and Sanitation and in HIV/AIDS. ALP works in six pastoralist and agro-pastoralist communities in Garissa District and the strategies employed are in line with those implemented in the other ALP countries and intend to target 15,000 direct and 138,000 indirect beneficiaries.

ALP facilitates CBA in a small number of vulnerable communities in each country across a range of livelihood groups (including pastoralists, agro-pastoralists, subsistence farmers, small traders and fishing communities) and agro-ecological zones. Gender equality/equity and diversity constitute a particular focus for ALP.

ALP is managed by a Programme Coordination Team (PCT) led by the Programme Coordinator, and supported by the Programme Accountant, and benefits from part-time contributions from CARE's Africa Adaptation and Gender Advisor, the



CBA Advisor, the Learning, Gender and Governance Advisor, the Monitoring and Evaluation Advisor, the Communications and Climate Officer, and the Programme Support Officer. CARE UK and CARE Denmark provide donor liaison and, with the Programme Coordinator, form a 'steering group' that provides programme oversight for ALP implementation.

The PCT supports four country teams comprised of a Country Project Manager, a National Advocacy and Strategic Partnerships Manager, Finance and Administration Officer, Information and Knowledge Management Officer, Livelihoods and DRR Officers and a Local Governance and Advocacy Officer. The country offices (COs) provide some support in terms of office space, finance and administration services, and staff recruitment, and are responsible for line management of the project manager and team and for financial management against the budget as approved by CDK, CARE UK and the PCT. The COs are also responsible for ensuring that the projects are in line with the country programme and are carried out in line with CARE International's quality programming principles. The Country Project managers, however, report directly to the Programme Coordinator in the PCT and the Information and Knowledge Management Officer reports directly to the Monitoring and Evaluation (M&E) Advisor in the PCT.

Each Country Programme works through implementing partners and Community Monitors. The monitors form the basic unit of the ALP data collection process. They are supposed to monitor CBA initiative implementation, facilitate community-level reflection meetings, and keep basic activity records. They are paid for their services by ALP through the implementing partner.

3 Evaluation Methodology and Activities

a) MTR Strategy

The purpose of this evaluation was to assess mid-term progress towards meeting the anticipated outputs and early milestones. As noted in the MTR Terms of Reference "*the mid-term evaluation will analyze and make recommendations on the ways and degree to which ALP is achieving learning among its external stakeholders*" As a mid-term evaluation, it is formative or developmental in nature with the focus being on the learning process rather than the outcomes/impacts. Nottawasaga Institute opted for a clear participatory approach, working closely with ALP teams and stakeholders in country and at programme level.

Evaluation issues and questions

ALP has committed to contributing to the knowledge and practice of CBA in five domains of change: climate-resilient livelihood strategies, disaster risk reduction strategies, adaptive capacity and organisational capacity development, the underlying causes of vulnerability and policy environment, and learning. Towards these five domains of change, the MTR had to respond to five M&E questions:

- i. What are communities, local and national governments doing differently and why?
- ii. What happened which was unexpected and what was the impact?
- iii. What difference are the changes from Q1 and Q2 making, for whom and why?

- iv. What impact do these changes (Q3) have on the equality, rights and relations within and between gender, community groups, livelihood groups, local governments and other relevant actors and why?
- v. What can we learn from these to inform future ALP actions/CBA?

To encompass the five domains of change, and answer the M&E questions, MTR strategy was aimed at reviewing ALP according to the log frame - goal, purpose and the five outputs – addressing the following focus areas as stipulated in the ToRs: i) Results achieved and progress made towards achieving expected impacts; ii) Effectiveness of strategies and methods employed; iii) Contribution, relevance and 'added value' of ALP; iv) Effectiveness and efficiency of delivery. A chart of enquiry guidelines with key questions in the four focus areas was designed, shared and refined (see Annex IV).

b) The MTR Team

Nottawasaga Institute (NI), Nairobi, contracted to undertake the evaluation and was represented by a team of three international consultants: Rob Sinclair (team leader, in charge of PCT, ALP international level, Mozambique field and national level and national level in Kenya); John van Mossel with CBA/CVCA expertise (national level Ghana, field level in Kenya), and Marie Monimart with gender expertise and French (Niger field and national levels, Ghana field level). They were supported by a seasoned national consultant in each of the four ALP countries – Marthe Diarra (Niger), Dr Joseph Abazaami (Ghana), Nishu Aggarwal (Kenya) and Angela Abdula (Mozambique). The team, composed of three men and four women of complementary backgrounds and field experience, was selected to address the wide diversity of ALP intervention areas, languages and CBA domains.

c) Activities

Duration: The MTR consisted of three main phases (see general schedule in Annex II):

- June – August: Preparation, collection of data and reading, elaboration of methodology and enquiry guidelines, exchange with ALP PCT and country teams, national consultants, schedule and inception report;
- September: all four in country-visits (two weeks per country with four different teams) and programme level in Nairobi;
- October: MTR international team working in Nairobi on draft report and debriefing delivery; document revisions and submission of final report end October.

The **protocol** followed in the four countries was the following:

- Three to four days at the national level - interviews with government ministries, CC-related CSOs, donors, research institutes; collection of data (especially on CC policies).
- Nine/ten days at the local level:
 - interviews in selected communities (four to five per country), with one day per community; two meetings held (circa two hours each): one with men only, one with women only (in order to facilitate their free expression), plus 'ad hoc' interviews with specific groups or individuals: community monitors (Ghana), members of SCAP/RU (Niger); visits to

tangible products such as demonstration fields, rain gauges, agro-forestry, etc.

- district level - interviews were conducted with members of the district administration and local government; traditional chiefs were interviewed. ALP team and implementing partners were interviewed separately, but participated in interviews and meetings (community, local government).
- One to two days for the final debriefing – generally at local level, with representatives of the communities and the local governments, partners and the ALP team. Main findings, analysis and above all recommendations per country were presented, amended and eventually validated by the participants, in terms of relevance and feasibility for the second term of ALP.
- The subject of a potential case study based on experience at country level was discussed with country ALP teams prior to the selection operated by the MTR team at the end of the field work.

Interviews were organized at four different levels: national, local government and authorities, communities, and ALP team and partners; a standard enquiry framework was observed, using the MTR team's interview guidelines (see Annex IV). The PCT and the international level were interviewed by the team leader.

Because ALP was focused on CBA, NI gave priority in time allowance to the local level (communities and local governments): 8/10 days out of 15. Two weeks were devoted to each country. Ghana benefited with three weeks, due to agenda constraints in the overlapping of the two international consultants. Two countries benefited with this consultancy overlap: Ghana (Van Mossel (national) – Monimart (field)) and Kenya (Sinclair (national) – van Mossel (field)).

PCT in Nairobi and ALP teams in-country offered a constant support to the MTR consultants, helping with the collection of documentation and data, logistics for organizing meetings, field visits, debriefings and selecting communities. This support facilitated MTR work to optimize the limited time available. In Mozambique, an accident of the ALP national advocacy manager presented some difficulties for the MTR team, at national as well as field level, and an incomplete interview programme.

National consultants provided in-depth knowledge of the situation at national and local level, facilitating the selection of, and dialogue with, communities through the use of local languages – and this is especially valuable with women's meetings. They also participated actively in the elaboration and delivery of the debriefings, and of country reports.

Criteria for selecting site visits and interviews were largely proposed by CARE staff, and discussed with the MTR team. Diversity was the main criteria for selecting sites visits: livelihoods, area (district, agro-ecology), range of activities with ALP and degree of success, gender issues, organizational dynamics, and so on. With four-five communities per country, 50% of the communities were reviewed in Ghana, 25% in Niger, 33% in Kenya and 30% in Mozambique. Given the amount of work for farmers at this time of the year (harvest) and the expression of community fatigue about being available for a lot of meetings and 'talking', MTR focused the collective interviews on the first four M&E questions about change, plus recommendations at local level, resulting in information for the MTR to inform the future with ALP.

These site visits and interviews at national and local levels worked well and provided the MTR team with a mass of relevant information and data, informing on the wide diversity of situations at country level - e.g. political environment vs.



CC and CBA, involvement of CC related CSOs at national and local level, local government planning, community progress, gender dynamics, and so on. The critical challenge for ALP is to combine doing both 'tangibles' with communities and building learning models for CBA wider adoption at national and international levels, according to its ambitious goal and purpose. Communities affirm that "a lot of change" has already taken place, and are demanding more support to consolidate the progress and enhance resilience. The difference made by the awareness raised by ALP of CC as a global phenomenon, but also implying local accountability and change of behaviour, was a crucial observation at local level.

Programme-level interviews in Nairobi (PCT, international partners and donors): the MTR team leader maintained close contact with the programme coordinator and Programme Coordination Team throughout the duration of the MTR process from June to October. He interviewed a number of programme-level partners and donors in Nairobi and through teleconferencing.

Data: a significant amount (see Section 4 and Annex) of data was collected from June to October, from three different main sources: i) literature review (see Section 6 of this report); ii) ALP documents; and iii) in-country and site visits: policy documents at national level, notes from interviews and meetings with communities at different levels, providing answers per outputs and indicators. (See the four country reports in Annex I.)

Key observations on good practices and achievements were identified at country level with the key beneficiaries and partners. The main criteria were adoption and ownership, replicability and the demand for scaling up. A ranking exercise was practiced in most communities. (See sections 5 and 6, Findings and Analysis).

Five good practices were selected for the elaboration of MTR case studies, on their way to building models for learning and advocacy in CBA. The case studies are related to the ALP log frame (outputs) and to the four different countries. Their elaboration included MTR consultants and ALP teams.

In line with NI strategy of a formative and participatory approach for the MTR, the stakeholder validation was built at each step of the process. The crucial moments were the debriefings. The participation of local stakeholders (community, local authorities, implementing partners) allowed assessing the relevance and feasibility of the recommendations – derived from observations and contributions at different levels. The level of openness and participation between ALP PCT and MTR team on findings and recommendations allowed this MTR to be a meaningful learning process.

4 Literature review

Building on the knowledge and experience of the NI MTR team, especially in areas of evaluation, climate change adaptation, policies and programmes in Africa and the ALP countries, the team reviewed a considerable amount of literature. The complete list of documents received and reviewed is included in the Annex.

The material breaks into five categories:

Country information: the MTR team reviewed information on climate change in the four ALP countries, including information on policies and programmes from both government and non-government sources. Of particular benefit was information on national and sub-regional development plans, climate change policies and programmes and information on official channels for consideration and approval of climate change adaptation initiatives, including ministerial and district (local) government budgets and special projects.



Climate Change Adaptation: The MTR team reviewed the literature on current thinking and current approaches to community-based adaptation, especially material related to increasing the capacity of vulnerable households to adapt to climate variability, climate change adaptation in the developing world/Africa, adaptation strategies, livelihoods, gender, climate change/meteorology scenarios, among other topics.

CARE International and careclimatechange.com: The MTR team reviewed many elements of the considerable collection of material that has been prepared by CARE international over the last few years, most of which are particularly germane to the ALP project, including all the material on CVCA, CBA and Climate Change M&E.

ALP material from both country and programme levels: The MTR team reviewed the material provided by the ALP programme coordination team and ALP country teams. This included quarterly, semi-annual and annual reports, primary documents including the log frame, the approved ALP proposal, the ALP M&E framework, baseline reports, plus all special reports and workshop reports. A considerable number of reports were provided about the ALP communities, about the ALP assessment of capacities, vulnerabilities and coping strategies of the target communities and reports on the key stakeholders involved at the local level in the ALP communities. This material was the largest set of information sources reviewed, and provides evidence that the ALP staff have been working very hard to document ALP activities and include such documentation in progress reports.

Other relevant information: The ALP team reviewed other material and brought into the review information on CBA in other countries (e.g., Rwanda, Nigeria), other relevant programmes (e.g. on Farm Radio International, CTA), on climate change finance (e.g. from UNFCCC sources, both pre- and post-Durban COP), evaluation of advocacy, learning mechanisms and capacity building (e.g. ODI "Guide to monitoring and evaluating policy influence", GIZ-WRI's "Making Adaptation Count: Concepts and Options for Monitoring and Evaluation of Climate Change Adaptation").

Some references are made to specific reports in our MTR findings, and reference is also made in this MTR report to the extent, kind and focus of reporting/number of reports and documents being prepared by the ALP.

5 Findings

See also country reports in Annex 1.

a) Niger findings

| Output | Results |
|--|--|
| Output 1. Innovative approaches to community-based adaptation (CBA) developed and implemented by communities and local partners. | ALP Niger intervenes in 1 district (Dakoro), 4 councils, 20 communities, in a context of agro-pastoral drylands (Tarka Valley) marked by repeated droughts and food crisis (2005, 2009, 2011) and herder-farmer conflicts. CVCA was adapted to Dakoro context, ALP team building on previous CARE interventions and local partners' experience in Household Livelihood Security (HHLS) and vulnerability alleviation, resulting in a quicker identification, planning, implementation of CBA activities in the 4 communes and 20 communities (about 2000 individuals, 63% women). |

| Output | Results |
|--|---|
| | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ 'Quick-win' activities to address hunger gap (early maturing seeds, VSLA); ▫ Seven strategies validated earlier than in other ALP countries (March 2011) after CVCA process adapted; ▫ DRR: EWS/ER committees (SCAP/RU) at community level, linking with council OSV, district (CSR/PGCA) and national EWS/RE system, now formally acknowledged at national level DNP/GCA (national mechanism for food crisis prevention and management); ▫ Twenty CAAPs completed in 2 versions: French and local language and symbols, with ownership built at community level. <p><u>Gender:</u> Women and men were supported to diversify their livelihoods (agriculture, livestock, IGA); women empowered at community level through commitment and success in new activities (economic trees, irrigated gardens, diversified IGA). Limitation: no female community monitors (because of a misunderstanding of a requirement for literacy).</p> <p><u>Behaviour change:</u> Most significant is the awareness raised of impacts of climate change on livelihoods: long-term vs. seasonal, irreversible and global, local accountability inducing bush and tree protection, defence of the pastoral vocation of Tarka valley, acceptance of necessary changes/shifts in men's and women's roles and responsibilities, and generational aspects (youth innovative, off-farm strategies).</p> <p>Weather consciousness and monitoring capacity at local level foster innovation and response: use of rain gauges for decision making and planning, empowerment of SCAP/RUs (council, district meteorological service) and community engagement.</p> |
| <p>Output 2. Communities and local civil society organizations supported to voice their concerns on climate change and to influence future allocations of resources for adaptation.</p> | <p>Local CSO partners are more in implementation than in CBA learning, but AREN (strong herders' association) is engaged in advocacy and scaling up CBA in other areas; HIMMA is engaged in gender proactive activities and young CSO local network ReLACC is involved in advocacy for the protection of Tarka Valley against agriculturalist occupation. But there is a general lack of collaboration between local and national level (CSOs, ALP, and Government).</p> <p>Local Government is including adaptation in participatory planning processes.</p> <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ All CSO partners and LA were trained in CC analysis and DRR planning at council level; ▫ Integration of CAAPs in the next council development plans (PDC) - to be revised for CC integration: not yet effective, but there is a strong demand from the four councils for ALP intervention and support; ▫ DRR: 1 PUC (Emergency communal plan) + guidelines - being adopted in the national mechanism EWS/ER; ▫ DRR: 2 OSV (observatories for monitoring vulnerability) established at council level; ▫ Strong demand for scaling up number of ALP communities and CAAPs in the 4 councils (critical mass); ▫ CAAPs and ALP activities are integrated as council implemented actions and inscribed at the council budget; ▫ LA are lobbying on CSOs to increase the number of beneficiaries |

| Output | Results |
|---|---|
| | <p>Limitations: Cost of implementation of CAAPs in non-ALP communities, since most councils/communes do not provide technical services.</p> |
| <p>Output 3. Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practices of government and other development organizations</p> | <p>Results:</p> <ul style="list-style-type: none"> ▫ Quarterly meetings held alternatively at 4 councils: innovation, sharing and budget transparency highly appreciated by local authorities and communities, but in need of documentation; ▫ Adaptation of CVCA tools in response to strong demand for action at local level: validation and budgeting of 7 strategies through a combined gender and feasibility assessment (see case study) linked with related training and capacity building; ▫ CVCA applied and shared by other CSOs but no real CBA model developed so far; ▫ Foundations for models being built (SCAP/RU, gender and feasibility assessment), but in need of elaboration and refinement for learning and advocacy purposes; ▫ Radio, radio debates: some initiatives, including information of rainfalls by rain gauge persons, but to be scaled up with radio networks. <p>Limitations:</p> <ul style="list-style-type: none"> ▫ M&E system is perceived by ALP team as ambitious, repetitive, and too demanding (frequency and complexity of items to inform) and does not encourage identification, monitoring and learning from significant changes happening at community level, e.g. gender dynamics, new behaviours, empowerment (see indicators); ▫ Abundant production of reports, documents, photo-stories, community stories, but some are too success-oriented for credibility and learning; problems of language (English, French, local), communication with PCT (Anglophone) and editing for publication. |
| <p>Output 4. CBA approaches promoted to influence the policies and plans of governments, regional and international organizations</p> | <p>Results:</p> <ul style="list-style-type: none"> ▫ ALP Niger supports CSO participation in key Climate Change and related events, and the creation of a national CSO-CC platform; CC CSO network still weak or just emerging at national or regional levels; ▫ Relevant strategy of 'pushing the doors' through capacity building and representation of CSOs, e.g. Youth CSO (AYICC) with a voice on CC and climate debt; strategy of empowering CSOs to play their role in the national machinery of CNEDD; ▫ Gender: collaboration and training at the demand of the strong national women CSO network CONGAFEN; ▫ Challenge starting to be addressed: Urban CSO voice in CC starts being heard, but rural/local CSOs are still voiceless: a gap to be bridged. There has been input into government adaptation policy development. <p>Limitations:</p> <ul style="list-style-type: none"> ▫ No evidence of influencing national policies towards CBA, in a difficult political context, important (US\$110 M) PPCR adopted by Government with climate debt, but more visible progress at local level; ▫ No evidence so far of change in decision-maker attitudes, but active presence and visibility of ALP in national and international/global forums. |
| <p>Output 5. CBA promoted to government and NGOs in the countries and</p> | <p>Results:</p> <ul style="list-style-type: none"> ▫ ALP Niger has adopted a strategic profile sensitive to the prevailing socio-political environment; ▫ ALP has created a demand for training and capacity building in CBA and |

| Output | Results |
|--|----------------|
| across Africa to encourage wide adoption | CBA in gender. |

b) Ghana findings

| Output | Results |
|--|--|
| <p>Output 1. Innovative approaches to community-based adaptation (CBA) developed and implemented by communities and local partners.</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ Community Adaptation Action Plans (CAAPs) are due to be out soon, based on the use of CVCA tools by the ALP team and input from participants in the ALP target communities; ▫ Interim experience with community-based adaptation was gained from 'early actions' or quick-wins (e.g. seed multiplication, FFS, conservation agriculture practices, micro-financing initiatives-VSLAs) selected from preliminary analysis of information gathered using the CVCA tools; ▫ Visioning has been done successfully with the ALP communities; ▫ The 2 districts were supported to develop Disaster Preparedness Plans (DPPs); ▫ Some useful work using radio broadcasting has been undertaken and leads the way to more such endeavours for out-scaling in Ghana and across Africa. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ ALP partners have requested simplified CVCA tools or a simpler CBA approach; ▫ Targeted monitoring of adaptation measures in communities, gathering evidence of effective adaptation strategies/measures plus costs/benefits have not yet occurred; ▫ Gender dynamics are captured in the CVCA/CBA tools but all male composition of staff and implementing partner teams do not compare favourably with better gender balance of project monitors at community level. |
| <p>Output 2. Communities and local civil society organizations supported to voice their concerns on climate change and to influence future allocations of resources for adaptation.</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ There are 6 community-based project monitors for each of the 8 ALP target communities, with a good gender balance; this provides a model for other ALP countries; ▫ ALP districts are ready for planning and budgeting related to adaptation, and they are eager to add communities; good links exist with all line ministries. Local government structures have recently started mainstreaming adaptation in their medium-term plans and annual action plans and making budget allocations for implementation of climate change adaptation actions; ▫ Weather info/seasonal forecasts were used in one PSP exercise – this shows promise; GMET is involved, which is good; local knowledge has been respected. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ Challenge of changing the orientation of long-standing agencies such as GMET; ▫ There is a lack of clarity about respective roles among CARE ALP staff, staff of implementing partners and community-based projects; |

| Output | Results |
|--|---|
| | <ul style="list-style-type: none"> ▫ Concerning ALP’s relationship with implementing partners, ALP needs more oversight on staffing, budget, role and capacity to understand gender dynamics and differentiated impacts of climate change; ▫ There should be a reduction in duplication between ALP, implementing partners and project monitors. |
| <p>Output 3. Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organizations</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ ALP community participants developed digital photo-stories; proved effective in educating illiterate community members about the importance of VSLA and the demerits of deforestation and other adaptation-related measures; ▫ The capacity of ALP’s M&E system to absorb quarterly continuation of plans and budgets is innovative and allows for flexibility; ▫ The quarterly reflection meetings create opportunity for input from all stakeholders, enhancing stakeholder ownership of ALP; ▫ Photo stories have been prepared at community level, although they appear too much like promotional material. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ Need to strengthen the development of PSPs as a potential multi-stakeholder DRR model and document it; ▫ More concerted work on climate change adaptation planning and budgeting with district Assemblies and staff of the districts should occur as a high priority. ALP has been asked for its input on the development of CC risk management budgets at district level in Ghana; ▫ Need to document district engagement and responses; more evidence-based efforts must be employed as a model for district budgeting; ▫ Need to encourage scaling-up of partners’ advocacy of CBA in other districts. |
| <p>Output 4. CBA approaches promoted to influence the policies and plans of governments, regional and international organizations</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ National advocacy activities have established effective links with many ministries; ▫ A new CSO-based climate adaptation network has been established (Climate Adaptation Network - CAN) involving development and environment groups; ▫ Policy influence of ALP is already felt - CARE ALP is widely known for CBA advocacy and ALP is known for collaboration. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ ALP should revise its national advocacy and communications strategies to be more strongly and clearly linked to ALP’s work regarding CBA/adaptation measures, district budgets, PSPs and use documented evidence throughout; ▫ National NGOs need to be encouraged to take up a larger role in national advocacy; ▫ Support is still very much required at the local level to elicit evidence to feed into the national level advocacy. Even for communities where ALP works, sufficient action has not yet taken place to expose issues, define lessons and point to good practices that can be linked to national level advocacy. |
| <p>Output 5. CBA promoted to government and NGOs in the</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ ALP is ready to make a concerted effort to enable more CBA-sensitive programming by national coordination units of MOFA; |

| Output | Results |
|--|---|
| countries and across Africa to encourage wide adoption | <ul style="list-style-type: none"> ▫ ALP has worked effectively with other CARE projects, other INGOs, with national and local CSOs and networks to engage government to recognize and adopt CBA at policy level in policy documents, and in climate change financing; ▫ National CSOs are asking ALP for funding or help to get funding to implement CBA within the communities where they work; ▫ ALP has the opportunity to spread the CBA approach horizontally across Africa through networks that support radio broadcasters who target programmes to small scale farmers and involve farmers 'voices'. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ ALP needs CSO partners to out-scale CBA and to show CSOs that CBA can be taken up by groups other than large INGOs. |

c) Kenya findings

| Output | Results |
|--|---|
| <p>Output 1. Innovative approaches to community-based adaptation (CBA) developed and implemented by communities and local partners.</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ The 9-step CBA process is in various stages of implementation across the communities; 1 community-based monitor has been identified and hired; ▫ ALP responded with quick-wins, including livelihood diversification and capacity building. A short-term community adaptation action plan has been developed and partly implemented in group savings and loans; ▫ ALP intervention has been applied in a sensitive and culturally appropriate manner, such that community members, men and women alike are acknowledging the existence of climate change, and planning for anticipated weather; ▫ The Participatory Scenario Planning (PSP) has provided an innovative approach to address weather-conscious planning in a culturally sensitive manner that includes all key stakeholders and community groups; ▫ Training in financial management has increased resilience, and the women especially have learned credit management; ▫ Business skills have enabled livelihood diversification and have mostly been taken up by women, thereby giving them a heightened standing at home and in the community. Gender-based violence has been reported to have been reduced; ▫ De-stocking as a management option (as opposed to a survival option) has been better implemented; ▫ The number of men who have bank accounts is reported to have increased. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ Delays due to the complexity of CVCA and CRiSTAL tools, severe drought at time of initiation, community fatigue; maintaining community interest became a challenge; ▫ The CBA process is a 'software' process: when applied to a community used to donor handouts the dialogue has to demonstrate the future added value of the process; ▫ The implementing partner has been identified but no work has begun with them due to financial flow constraints. |
| <p>Output 2.</p> | <p><u>Results:</u></p> |

| Output | Results |
|--|---|
| <p>Communities and local civil society organizations supported to voice their concerns on climate change and to influence future allocations of resources for adaptation.</p> | <ul style="list-style-type: none"> ▫ The PSP process has initiated a platform that brings together local government (all line ministries), community representatives including local chiefs and religious leaders, CSOs, women, youth and men. It has enabled the acknowledgement of climate change at all levels; ▫ The PSP approach is facilitating joint planning of responses to possible anticipated weather-related events and addresses all levels; ▫ Resources allocated by government are being reviewed as informed by the PSP; ▫ Linkages have been created and strengthened between the community and other service providers, such as the ministries of Livestock, Agriculture, and Gender and Social Services. |
| <p>Output 3. Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organizations</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ 4 quarterly review meetings have been held where the programme is reviewed guided by the 5 M&E questions; ▫ ALP has initiated the compilation and production of photo-stories. It is a tool for information sharing across communities and from local communities to other stakeholders; ▫ There is some evidence of cross-learning taking place between ALP communities. Community discussions revealed that the men had learned of a good maize variety grown by the Nanighi Community and had decided to try it themselves with good results through a shared photo-story. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ Review meeting outputs are captured in a matrix that measures the above questions across the 3 levels - community, local government and national processes. The information could be better understood and utilised if it could be processed into short narrative reports that demonstrate the change across each question area over a period of time; ▫ The innovations applied by ALP and challenges faced have not been adequately captured. The experience in the application of the CVCA and CRISTAL tools, and the quick-win strategies employed, have generated rich lessons to inform the review of the CBA process. |
| <p>Output 4. CBA approaches promoted to influence the policies and plans of governments, regional and international organizations</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ ALP has identified the key processes and nodes in the sector players' framework to target and engage in its advocacy efforts; ▫ The economic study makes a very compelling case for investment in adaptation, and needs to inform advocacy efforts; ▫ CARE/ALP is recognised as a key player. Its experience and expertise are sought after; ▫ ALP is a member of 2 task force groups (adaptation and gender) working on the action plan for the National CC Response Strategy (NCCRS), which in turn is feeding into GoK's Vision 2030; ▫ Quarterly, half annual and annual reports that compile information from all countries are prepared and distributed within CARE and to the donors. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ ALP supports CSO participation at key CC and related events. However, there is no evidence of targeted advocacy messages being provided to the individuals facilitated, and little evidence of follow-up post participation; |

| Output | Results |
|---|--|
| | <ul style="list-style-type: none"> ▫ PACJA and the other African lobby groups are not able to make a case for investment in advocacy and the messages being promoted do not clearly demonstrate African priorities; ▫ ALP's National Advocacy Manager role is covered by the Programme Manager; in a country with very active CSO work on national CC policy, this may be insufficient coverage. |
| <p>Output 5. CBA promoted to government and NGOs in the countries and across Africa to encourage wide adoption</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ CARE/ALP is recognised as the CSO focal point on adaptation by all sector players. It is considered a key source of information and materials. A number of the CSOs reported using the CVCA tools; ▫ GoK Ministries and agencies recognize ALP's work and see opportunities for adding value to their own work. The Arid Lands Secretariat sees the work with local government planning processes as a useful model that can be used to build capacity of the new County Councils. The Meteorological Department benefits from the ALP approaches to incorporating weather forecasting into local community planning; ▫ ALP is active in alliances such as KCCWG, Gender and CC, REGLAP, RREAD and CCAFS. KCCWG sees ALP as a key resource for assisting other CSOs in adopting CBA practices across Kenya; ▫ REGLAP has identified specific capacity-building needs in its network members that can be addressed through ALP approaches. CCAFS looks to ALP to assist in building case studies that can promote better climate resilient agricultural practices; ▫ Peacenet is a CSO with activities in all districts in Northern Kenya. It is in the process of mobilising resources to replicate ALP in the other districts where it has operations. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ Important lessons, being learned at local level, in particular through the PSP, are yet to be documented as a model for replication. |

d) Mozambique

| Output | Results |
|--|---|
| <p>Output 1. Innovative approaches to community-based adaptation (CBA) developed and implemented by communities and local partners.</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ Quick-wins (e.g. farmer field schools) are appreciated by communities; can be entry points for re-engaging communities, even though in Mozambique's case the idea for these interventions did not originate from the CVCA nor the communities; ▫ Implementing partner (AENA) has good local capacity and can be more engaged in design and implementation of community level activities; ▫ Local CSOs are adopting CBA approaches through ALP training. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ ALP Mozambique CVCA process not complete due to tools not being effectively applied; long delay has led to community process fatigue; ▫ No evidence that communities are incorporating climate knowledge into local decision-making; |

| Output | Results |
|--|--|
| | <ul style="list-style-type: none"> ▫ Implementing partner is under-utilized as a contractor when they have good insight into community needs and ideas on how to optimize results; ▫ GoM has established local DRR committees, but no evidence of ALP engagement in this process. (Save the Children is supporting them.) |
| <p>Output 2. Communities and local civil society organizations supported to voice their concerns on climate change and to influence future allocations of resources for adaptation.</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ District CSO platform engaged with local government, CSO activity plans included in District Development Plan; ▫ Many opportunities exist to engage government at local level and officials want to work with ALP, e.g. education, DRR, etc. This needs concentrated work by ALP. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ Water resources management cannot satisfactorily cope even with current climate variability, resulting in flood and drought damage. Communities claimed projects should aim at water-related management activities so that they can adapt to longer-term climate change impacts; ▫ Need for channels for community/vulnerable voice, such as farmer groups, to reach government; ▫ Women’s voices have not been enabled to channel their concerns and needs into local authority’s plans and ALP has not given attention to gender integration. |
| <p>Output 3. Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organizations</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ Good potential for building model of local government – CSO engagement around CC and development planning; ▫ Opportunity exists to document models of CBA by other CSOs. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ Review meetings happening, but evidence of learning outcomes weak. (One partner states that their input in quarterly meetings is not followed up on.) |
| <p>Output 4. CBA approaches promoted to influence the policies and plans of governments, regional and international organizations</p> | <p><u>Results:</u></p> <ul style="list-style-type: none"> ▫ Strong ALP contribution to catalyzing GoM-CSO collaboration on CoP-17 participation; CSOs participated as official delegation members; ▫ ALP recognized by GoM as lead actor on CC adaptation; ▫ ALP was at forefront in mobilizing CSOs to address CC issues; ▫ Established CSO CC platform; capacity is weak but ALP in position to provide capacity building; ▫ Mobilized CSO input to National CC Strategy at national and provincial levels; ▫ Facilitated CSO participation in CoP-17 and AMCEN preparatory meetings. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ Some political constraints to GoM-CSO engagement are not recognized by CSOs; critical need for an advocacy strategy taking such matters into account; ▫ There is a need for targeted evidence from local CBA practice to inform government policy. |
| <p>Output 5. CBA</p> | <p><u>Results:</u></p> |

| Output | Results |
|--|--|
| <p>promoted to government and NGOs in the countries and across Africa to encourage wide adoption</p> | <ul style="list-style-type: none"> ▫ ALP Mozambique recognized as lead resource for CBA – requested by Ministry of Environmental Coordination to train eight other districts; ▫ Several knowledge-sharing initiatives through CSO-CC platform members have been or are in the process of being established. <p><u>Limitations:</u></p> <ul style="list-style-type: none"> ▫ Although institutions play a critical role in supporting adaptation, external interventions in the form of new information and technology aimed at improving effective coping capacities, institutional coordination for better articulation (connections among institutions) and improved access (connections of institutions with social groups), and inflows of financial support for local leadership are critical. |

6 Analysis

The analysis addresses the following MTR assessment focus areas as defined in the terms of reference:

- i. Results achieved and progress made towards achieving expected impacts;
- ii. Effectiveness of strategies and methods employed;
- iii. Contribution, relevance and 'added value' of ALP;
- iv. Effectiveness and efficiency of delivery.

This is followed by an overview of challenges and opportunities at the programme level, to be addressed through the recommendations in the next section.

a) ALP's results to date and progress towards achieving expected impacts

Output 1 – Innovative approaches to community-based adaptation (CBA) developed and implemented by communities and local partners

CBA was understood, adapted and applied differently in the four countries and, therefore, produced varied results. In Kenya, Niger and Ghana, people were supported to diversify their livelihoods, while in Mozambique interventions addressed improving agricultural productivity. In all countries these interventions emerged as quick-wins that could provide tangible results for the communities while the more structured CBA process had yet to result in community adaptation action plans. Although the quick-win approach was a deviation from the original ALP plan, it proved to be an effective response that consolidated community engagement and will enable the intent of the CBA approach to eventually be realized.

Weather consciousness and monitoring capacity at local level foster innovation and response. Three of four countries used weather information in planning with positive results, engaging the wider community, district governments and the national meteorological agencies. There is evidence, particularly from Niger and Kenya, that facilitating communities to incorporate seasonal forecasts and daily weather/rainfall monitoring into their livelihood decision making, can evolve into a greater appreciation of the need for longer-term climate risk management strategies. The PSP process is a key innovation that needs to be built on, to



understand better how this behaviour shift occurs and can be promoted and to fine-tune the tools such as PSP to better facilitate this.

The above has led to increased local community demand for a more developed range of adaptive responses to cope with environmental risks to livelihoods. Such responses by women, youth, and the most vulnerable groups would typically help safeguard livelihoods, and have a strong economic character. Key interventions such as business training are being targeted at women, which is contributing to a shift in responsibilities and roles.

ALP should be in a position to expand the knowledge base on appropriate and effective responses that incorporate resilience to climate change in distinction from conventional development and especially DRR interventions.

In supporting communities to undertake identified response strategies, ALP is clearly limited in its access to the resources (human, technical, financial) that may be required. In this regard, mobilizing other actors from government, civil society and the private sector will be critical, and ALP's success in doing this has not always been optimal, such as in the case of Mozambique.

Output 2 - *Communities and local civil society organizations supported to voice their concerns on climate change and to influence future allocation of resources for adaptation*

All four countries have made progress in district level stakeholder engagement, fostering dialogue platforms of various forms that bring together local government, line ministries, CSOs, local communities and, to some extent, private sector actors, to engage in joint development planning for enhanced climate resilience. The PSP process in Kenya, SCAP/RU in Niger, the district CSO platform in Angoche, Mozambique, and local government adaptation mainstreaming efforts in Ghana, though all different in nature, are all evidence of progress in achieving Output 2.

It is the view of the MTR team that this achievement has not been fully recognized by ALP, but it was evident in all country visits that in ALP's target districts the programme has facilitated a new openness to collaboration, and that these mechanisms provide a model for scaling up and scaling out CBA approaches far beyond the target districts. The success of this output so far is likely attributable to the district level training activities that brought together multiple stakeholders and assisted them to see how, through understanding the real and potential impacts of climate change, they can address local development challenges in a new way.

This model is yet to be properly documented by ALP, however. There is a basis for a model that can be developed in four countries at once, working in collaboration with relevant government bodies. In Ghana and Kenya especially, government bodies have recognized the value of this model and have explicitly requested documentation on it.

One challenge with this output is the lack of synergy between ALP's national and local level advocacy staff, where there has been insufficient exploration of these opportunities and support for collaboration to move ALP forward on effective national advocacy.

Output 3 - *Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organizations*

Output 3 has perhaps seen the weakest results of all the intended ALP outputs. Models have not yet been adequately documented or evaluated, with the



exception of the PSP and photo-stories; consequently advocacy efforts are constrained by the absence of evidence needed for policy change.

The MTR team recognizes, however, that effective, evidence-based models cannot be documented and disseminated until achievements are visible on the ground, and so tangible results cannot be expected early in the programme's life-span. The MTR focus, therefore, has been on identifying ALP experiences so far that have good potential to further develop into CBA models. These would include local government engagement models for budgeting and planning, the PSP, and guidelines of appropriate local livelihood strategies that incorporate resilience to climate change.

Regarding internal learning mechanisms, the following results were noted:

- Quarterly review meetings are said to be useful in most countries, but they need to be better documented to track learning;
- Photo-stories have been developed by local community members who determine the theme and content of the stories themselves. It provides an avenue for experience sharing and information exchange;
- Radio: some initiatives have been started, but they need to be scaled up.

The M&E system is ambitious and repetitive, and its utility has been questioned by various country teams.

Output 4 - CBA approaches promoted to influence the policies and plans of governments, regional and international organizations

Good results have been seen in supporting CSO engagement in CC policy advocacy. ALP in all four countries is recognized as a leading advocate and practitioner of CBA. As illustrated in the country findings, significant input has been made into government adaptation policy development.

Strategic support has been provided to CSO national CC platforms (emerging or existing) in all countries. This role has varied according to the country context, facilitating the formation of new platforms as in Mozambique, carving out a distinct niche in existing platforms as in Kenya, helping to create the Climate Adaptation Network in Ghana or adopting a strategic profile sensitive to the prevailing socio-political environment as in Niger.

Specific opportunities have been responded to by ALP advocacy managers. This has proved an expedient strategy during the first phase of ALP, when local evidence of CBA approaches has not yet been consolidated and documented to use for targeted advocacy. The important result, in terms of the ALP programme logic, is that ALP has succeeded in opening the channels for policy influence through which such evidence, once available, can have optimal effect.

Although there is little evidence so far of change in decision-maker attitudes, the active presence and visibility of ALP in international forums has served to reinforce the efforts by some countries, as well as the African negotiators, to raise the emphasis on adaptation issues in global negotiations.

One immediate challenge under Output 4 is that advocacy strategies have not been articulated, including the identification of targeted messages, based on evidence from the ground, that are needed to effect policy change and mobilization of financial resources for adaptation.

Output 5 - CBA promoted to governments and NGOs in the countries and across Africa to encourage wide adoption



CBA and ALP are visible at global, national, and district levels. National learning processes have catalyzed visibility of CBA and ALP, as has participation in international forums focused on CBA.

Specific ALP knowledge products have strong potential to contribute to learning and become a mechanism to promote CBA to other stakeholders. These include the PSP and the Economics of Adaptation Study.

ALP has created a demand for training and capacity building in CBA and CBA in gender. The workshop training in Ghana on Climate Change and Gender (international meeting for ALP) raised the profile for the issue.

In the four countries, there has been good progress in fostering the uptake of CBA approaches by both governments and CSOs. There is less evidence of this outside the four countries.

The communications strategy is not sufficiently well developed for conveying or promoting ALP accomplishments horizontally within countries and across Africa.

ALP has strategic links to key actors in the climate change adaptation community; strategic links to key drivers of change in agriculture/food security in Africa are not as apparent.

Evidence of Successful CBA Advocacy in Ghana

Two and half years into implementation, some of the lessons emerging challenge national government thinking as reflected in key documents such as the first and second national communication to the UNFCCC. In particular, ALP learned from farmers in its operational communities that changes in rainfall pattern affected yields of millet, which is a staple food for thousands in northern Ghana. According to them, higher rainfall at times when the millet crop does not need water, makes it grow mouldy, subsequently lowering yield. In contrast, the first National Communication identifies millet as a crop that is very tolerant to drought and for that matter, would not be affected by the projected declines in rainfall caused by climate change. This situation reflected the uncertainty surrounding projections under climate change. The implications of the government view that millet is not affected by climate change, while ALP's community level evidence showed otherwise, were indeed disturbing. The government was addressing drought resistance while the problem was the timing and intensity of rain. If government, based on its own projects, did not put in place measures to address the effects of climate change on millet

the livelihood and food security of thousands would be at stake. In response, ALP raised concerns in the corridors of the EPA, the custodians of the NCs. ALP has been assured that the Third National Communication (TNC) will address the matter.

ALP has been quick to promote the incorporation of CBA into the National Climate Change Adaptation Strategy and has successfully advocated for its integration. This has been facilitated by the implementation framework of the National Climate Change Adaptation Strategy which is centred on the lowest governance structures at the community level namely the Area/Town Councils and Unit Committees. For ALP this fitted well into the philosophy behind the CBA; as a result the ALP in Ghana used verbal and written submissions as well as lobbying policy makers to ensure the integration of the CBA into the national strategy.

ALP has also been raising concerns about silence in the annual budget statement on climate change and is demanding a focus on climate change and associated budget allocations in the annual budget statements. This is fast gaining the attention and support of key ministries and agencies.



b) ALP strategies and methods

Output 1

In all four countries decisions have been driven by opportunities and circumstances and in most cases community interventions have been influenced by the need to achieve quick-wins to maintain community interest. While this fact may call into question the validity of the original ALP strategy, it can also be seen as illustrating the robustness of the strategy.

Pre-existing conditions, district choice, prior CARE work, prior CARE experience of staff, and staff turnover are all factors that have influenced approaches that were adopted in order to achieve the results.

Tools were complex and required community members to commit extensive hours of their time for abstract outcomes, and some tools were used literally without sufficient understanding. This has had an impact on the development of the CAAPs, which have only so far been fully developed in two countries. However, the tools are not the strategy, and the fact that significant results were achieved, as indicated above in section 6.b, attests to the robustness of the strategy.

It is important to note that in three of four countries, the quick-wins that were used to speed up implementation of tangible activities had been already identified as optional responses during the CVCA, and in all countries the initiatives were aimed at enhancing CC resilience, and hence could be said to accord with the ALP strategy.

Output 2

The strategy calls for "Communities and local civil society organizations [to be] supported to voice their concerns on climate change and to influence future allocation of resources for adaptation". While there are differing levels of progress on this, it is clear that the strategy is being addressed and is leading to important results in all countries. The district-level multi-stakeholder engagement mechanisms that ALP has supported all appear to be delivering, or have the potential to deliver, sustainable local planning outcomes that reflect local ownership and accountability.

As noted earlier, the validity of this component of the ALP strategy is now evident, and provides the basis for demonstrating models that should have strong resonance at national policy levels.

On the issue of sustainability, it is important to recognize that district governments are poorly resourced and require assistance from partners to mobilise the required additional resources. Nonetheless, within the decentralization programmes of most of these countries, new budgetary resources are becoming available to district governments (as in the case of Kenya under its new constitution), and ALP will need to take this into account in its next stage of strengthening these local governance processes.

Output 3

Documented evidence is required to make advocacy efforts targeted and relevant. As CAAPs are in varying stages of being implemented ALP is only starting to get a deep understanding of the situation on the ground - through interactions with stakeholders and the use of ALP tools. Consequently, the validity of this strategic component is yet to be proven.

What is evident, however, is that there is a strong and widespread demand for evidence of the efficacy of CBA approaches. This has been voiced by government



policy-makers, international policy negotiators, research bodies, local governments and CSO practitioners. It is the view of the MTR team that this demand can and must be addressed by ALP as soon as possible. Experience exists from some adaptation actions taken, but it is not yet properly captured and packaged for effective use.

Output 4

Platforms for dialogue and joint planning have been established, although so far this has been as a response to opportunities rather than targeted action; it needs to be assessed and strengthened. As with Output 1, ALP has addressed this strategic component pragmatically, and the results have rewarded this approach.

The essential theory behind the strategy is that evidence-based results in outputs 1 and 2 will be used to inform and influence national and global policy through mechanisms to be fostered under Outputs 4 and 5. The validity of this theory cannot be tested until all components are in place, and in this case the component now in place in all countries is the mechanism for policy influence, i.e. the national CSO platforms and the good linkages that ALP has fostered directly with policy-makers. The next – and crucial – step that ALP will need to take is to activate the link between local action and national policy. For this to work, national advocacy managers will need to clearly identify the kind of evidence that is needed at the policy level, and to work with the local level to ensure the needed messages are being generated.

Output 5

As with Output 4, ALP has moved forward with this strategic component in a pragmatic way. It has visibility in international forums on CBA, and participates actively in collaborative learning mechanisms. Training and learning activities have been undertaken at national level. It is hard to gauge, however, the extent to which this strategy is resulting in the expanded uptake of CBA approaches across countries and in non-ALP countries.

As mentioned under results, ALP has created several important knowledge products that do have potential to support the implementation of this component, and the impact of future packaging and dissemination of these products will need to be assessed.

As with Output 4, again, ALP communication and capacity building strategies and methods need to be more targeted or strategic. ALP needs to identify and address knowledge gaps related to CBA in CSO networks across Africa to target communications aimed at up-scaling and increasing support for CBA. Under the recommendations section, a number of ideas are proposed to address this.

Purpose

The ALP Strategy has not yet been validated as targeted evidence is not yet available for effective advocacy. Nonetheless, at the level of all five outputs the strategic components have shown sufficient progress to anticipate potential validation over the coming two years. The strategy has shown sufficient flexibility and there has been no serious indication of the non-validity of the programme logic.

Reaching target numbers requires broad adoption of CBA approaches by other organizations and countries in the next two years; achieving this requires accelerating strategic approaches such as partnerships to facilitate broader adoption of CBA and documentation of targeted evidence and models.



Basing adaptation modelling on ALP-run CBA initiatives alone may not be able to achieve the above. ALP needs to also learn from its partners and factor this into models being developed.

The participatory Scenario Planning Process in Kenya

Just before the rains are anticipated, ALP in Garissa district under the aegis of the Drought Management Office (DMO) brings together the district officers from key ministries, the district meteorological department, chiefs and religious leaders from all the ALP communities, other community members including women and CSOs to discuss and formulate a response to the anticipated weather change. Participants are led through a process where first the traditional weather forecast and the scientific forecast are shared and compared. To date, there has been little variation between the two. They then, as a group, regardless of position, religion and gender, collectively paint different scenarios – what happens if the rainfall is higher than anticipated, what happens if the rainfall is lower than anticipated, and if all goes as anticipated what then. They then break into groups to plan a response to each scenario, and based on these discussions, the group prepares ‘advisories’ that are broadcast to the public at large through the religions’ leaders and chiefs, the ministry extension services and the CSO information distribution system.

The district is arid/semi-arid and drought prone, mostly inhabited by pastoralists and a fast growing agro-pastoralist community. Islam is the dominant religion in the region, and it prohibits the use of predictions in any form. While the community members noticed changes in weather conditions, the possibility of being able to anticipate and plan for these was not conceivable. At the government level, resources have been allocated, and the attention has been focused more on DRR.

Most government planning has been traditionally undertaken at the individual ministry level, and coordinated under the District Steering Committee managed by the DMO. The meteorological readings and forecasts in the past have been transmitted to the national and international level, with little use at the local level. Most CSOs working on livelihoods have also focused their efforts on DRR and relief interventions. Most interventions in the past have been reactive.

For the first time, the PSP process has allowed a proactive response, based on joint planning. It has proven to be inclusive, gender sensitive and culturally appropriate. In painting the different scenarios with the religious leaders and local chiefs, weather forecasts have been transformed from unacceptable predictions, to manageable possibilities. The government officers and CSOs feel they are better prepared and informed to apply their resources, and resources can also be consolidated. It has created a platform where local voices reach the government, and the government can forge partnerships and better apply its resources. The profile of the meteorology department has been raised and, from being a side-lined operation, it is at the centre of the planning.

The process now needs to be refined, not only to be held prior to the rains. It needs to be held periodically to review the impact of the ‘advisories’, and evolve into a learning and planning mechanism. Continued weather-based planning will enable the actors to build the case for longer-term climate change planning.

c) ALP’s contribution, relevance and ‘added value’

Output 1

The quick-wins initiatives undertaken in the four countries are certainly an illustration of how ALP has strived for relevance and added value at the local level. Over the first year of implementation, community fatigue with the CBA process was becoming apparent, and there was a need to show tangible results. All communities visited expressed satisfaction with the quick-win initiatives. There is good evidence of up-take of these interventions by local communities (adopting



new seed varieties, cultivation techniques, alternative businesses, use of rain gauges, etc.), indicating that they were relevant and adding value at the local livelihood level.

While some gains are being made at the local level, there is no clear learning mechanism evident between the local activity and national policy development processes. There is some discontinuity between local stakeholders and national policy activities/initiatives, as noted elsewhere in this report. This gap will tend to reduce relevance as national policy changes will be less influenced by local experience.

Output 2

The Stakeholders identified have been well engaged. However, private sector including local media and academia are missing. The local level linkages are limited to government and CSOs. In Mozambique, understanding of the local stakeholder environment is weak.

District governments and partners are receptive to CBA and CC response strategies. ALP is helping to differentiate between DRR and CC response planning. In all four countries, progress is being made in integrating CBA approaches in district planning, through multi-stakeholder engagement mechanisms, thus enhancing relevance and local ownership. Furthermore, these mechanisms appear to be raising awareness of gender dimensions of development, and improving gender equity in decision-making.

The progress made demonstrates the need for CBA. The lessons now need to be consolidated to help build the case for increased investment in CBA.

Output 3

The added value of ALP’s learning mechanisms has yet to be fully realized. There is much potential for ALP to add value and relevance through learning that addresses knowledge needs that have been identified by stakeholder interactions during this MTR.

Potential models for development (further elaborated under recommendations) include the following:

- Criteria for assessing sustainable resilience technologies/coping strategies in different eco-zones;
- Local governance: budgeting and development planning for CBA;
- Transition process tool from short-term or seasonal weather forecasts to long-term climate change risk management, as well as adaptation of the PSP tool for communication needs of non-farming livelihoods such as fishing;
- Analysis and development or elaboration of gender and CC strategy that also addresses implementation; suitable gender resource persons are needed to facilitate this process.

The following table provides a summary of adaptation measures and CBA models that ALP has already documented as well as more extensive list of new ones that can be developed.

Summary of ALP model documentation – existing and potential

| Documented | Potential Models |
|---|--|
| <ul style="list-style-type: none"> ▫ PSP & climate information and communications systems. ▫ Photo Stories at community | <ul style="list-style-type: none"> ▫ Building on CVCA methodology, develop simple, accessible, gendered, and more user-friendly CBA methods and tools. Output 1 |

| Documented | Potential Models |
|---|--|
| <p>level</p> <ul style="list-style-type: none"> ▫ Quarterly Review Process and 5 M&E questions ▫ Revised CBA framework (flower) which incorporates climate information, and risk and uncertainty assessments – which is now used across CARE ▫ ALP gender and adaptation brief ▫ ALP contributions to the PMERL Manual ▫ Economic Analysis of Community Based Adaptation (NEF) <p>Note: these could benefit from further development and refinement.</p> | <ul style="list-style-type: none"> ▫ Community monitors and institutions as agents for capacity development, learning and monitoring on CBA. Output 1 ▫ Community adaptation planning methodology and process that incorporate empowerment and resilience to climate change. Output 1 ▫ Local governance: participatory budgeting and climate risk reduction planning/CBA. Output 2 ▫ Strengthen and scale up community and CSO participation in local level decision-making on adaptation. Output 2 ▫ Elaborate, refine and document CBA models e.g. PSPs, SCAP/RUs, community monitors for CBA learning, long term climate adaptation planning and advocacy. O3 ▫ Lessons and evidence on CBA good practices and impacts based on ALP's and other organisations' experiences and learning. Output 3 ▫ Transition process tool from short-term weather forecasts to long-term climate risk management. Output 3 ▫ Analysis and development or elaboration of gender and CC strategy that also addresses implementation; suitable gender resource persons are needed to facilitate this process. Output 3 ▫ Criteria for assessing sustainable resilience technologies/coping strategies in different eco-zones. Output 3 ▫ Work with national NGOs to engage more strongly on evidence-based, demand-based and targeted CBA advocacy at national level, as well as strengthening and documenting models of effective collaboration. Output 4 ▫ Strengthen the communications strategy to enhance dissemination of ALP's accomplishments, existing and new lessons on CBA, including its distinction from, and added value to DRR and climate development planning for enhanced climate resilience, documenting how the communications strategy is effective as a model. Output 5 |

Output 4

While ALP has responded well to country priorities, it has informed country priorities in only some cases, such as Ghana. As well in Mozambique, ALP has been very proactive in catalyzing unprecedented levels of dialogue between government and civil society.

As mentioned under Output 1, the lack so far in providing local level evidence to inform policy advocacy reduces relevance as national policy changes will be less influenced by local experience.



Perhaps the best way to assess this for Output 4 is to say that ALP at the programme level is relevant – in responding to existing country policy initiatives and priorities – but not adding as much value to the level that it can.

Output 5

ALP's contribution to CBA dialogue in the broader Africa context is not optimal. Stakeholders (state and non-state) invite and seek out ALP to contribute to the dialogue, but strategic responses and delivery methods need better, more targeted planning: what are the critical knowledge gaps that ALP can appropriately address?.

The ALP-New Economics Foundation study, Economic Analysis of community-based adaptation, is clearly a relevant and value-adding contribution to these knowledge gaps, and an excellent model for other work that could be done by ALP. The modelling opportunities suggested under Output 3 could be pursued to similar success.

The capacity of ALP to make critical CBA information available across Africa is limited. Although a strategic alliance with an effective communication agency with specialized capacity to deliver to community level across Africa, such as via radio, would be a good option for addressing this need; so far this is not evident. A communication strategy for broader dissemination of results is needed.

Purpose

The critical issue under relevance and value adding for achieving the programme purpose is to clearly identify what messages are needed from ALP to influence policy and resource allocation for CBA, and what knowledge tools and models can and must be built in order to significantly accelerate uptake of CBA approaches across Africa.

National level advocacy supported by ALP has built bridges between CSOs and Government in Mozambique

ALP in Mozambique has built a bridge between civil society and government, the Ministry of Environmental Coordination (MICOA) in charge of the Climate Change National Strategy and the Ministry of Planning and Development.

ALP's initiative was timely: in 2011, the government was preparing for COP-17 while starting to design a country climate change strategy. A participatory and inclusive process, aimed at addressing the concerns and needs of the most affected and vulnerable, has brought together the two sectors. A series of meetings between MICOA and a group of national and international NGOs were facilitated by ALP, with the aim of establishing a platform of civil society organizations (CSOs) for Climate Change. While some of the NGOs were involved in the COP-17 dialogue with the government, another sub-set of

seven NGOs were preparing the formation of the CSO platform.

The CSO platform has engaged in policy dialogue with the government; it has also brought in, in the process, another important stakeholder – the private sector. A mailing list and its management have been an effective communication tool used for the purpose of sharing information among the nearly 50 members. A smaller group of around 15 have been playing a more active role, by preparing to give inputs in key meetings and events.

While CSOs and communities have largely played a limited role in the formulation of the National Adaptation Programmes of Action (NAPAs) in Mozambique, the government has recognized that active participation of empowered citizens, communities and other stakeholders is necessary for



successful implementation of their plans. Attention has been given to establishing a framework to engage meaningfully with these stakeholders on a continuing basis. At the same time, the limited resources set aside by ALP for raising awareness, building capacities and creating an enabling framework for citizen engagement and policy change is a challenge, which may result in intended objectives being unfulfilled.

The effects of climate change are experienced locally by communities, institutions and stakeholders who are best suited to addressing them. Active cooperation of local groups, communities, local institutions and stakeholders, increasing their capacities and empowering them as active participants in decision-making processes are a fundamental pre-condition for effective adaptation measures.

CSOs, being close to the constituent stakeholders, can help determine the extent of the impact of climate change on local communities as well as their response. Through the platform, CSOs have a unifying and learning forum and they have been able to present their concerns to government and other agencies. A challenge remains in the poor ability to build an evidence base for the policy formulation process.

ALP can support the strengthening of partnership between government,

academic institutions, public and private agencies (local, national and international) and NGOs, who can go a long way in preparing communities to face the challenges of climate change and facilitate adoption of climate smart adaptive strategies. They can help to target investments, technologies and institutional arrangements that can reduce vulnerability and risks, build resilience and mitigate the impacts of disasters and extreme events. The government recognizes the role played by ALP as a critical actor in ensuring effective adaptation in this country.

Civil society in Mozambique plays a fundamental role in governance and development, but its ability to participate in these processes is often hampered by limited human and financial resources. ALP can support a more informed and proactive bridging role for CSOs, leading to more direct dialogue among stakeholders. CSOs, through their platform, can ensure acknowledgment of the high vulnerability of community groups in public policy, through advocacy processes. Now that the platform is in place, a critical next step will be to develop and implement strategies that give voice to the most vulnerable groups, and provide the targeted evidence that will convince decision-makers of both the need for increasing support to community adaptation efforts, and the tools to plan effective CBA actions.

d) ALP's effectiveness and efficiency

Output 1

It has been noted that ALP has been pragmatic in its approach to strategy implementation, especially in the decision in each country to initiate quick-wins in order to maintain community buy-in to the CBA process. This approach has paid off and allowed time to follow through with the CBA process, including further developing and refining the tools (e.g. PSP, revised CBA process).

The community monitors are effective and well trained where they exist, but not gender balanced. The community monitor mechanism has the potential to significantly enhance the learning process within ALP, including between ALP countries.

High staff turn-over at local level has impeded the effectiveness and efficiency in delivery of the programme. The completely male staff composition in Niger and Ghana skews the decision-making processes and needs to be addressed.



There are considerable language capacity challenges, especially for local languages. (See under Output 3.)

While implementing partners have been identified and contracted, the oversight is weak and their use is not as efficient or effective as it could be and needs to be. In both Kenya and Mozambique, the contracting of implementing partners suffered long delays, consequently delaying implementation of the programme on the ground. The proportion of budget allocated to partners is small compared to the annual amount of the project per country, and the partners have minimal control over the use of the resources allocated to them. There are also complaints about delays in the transfer of funds from the CARE country offices that have in some cases slowed down implementation of planned activities.

Output 2

Innovations such as the PSP (in Kenya, Ghana, and most recently in Mozambique) and SCAP/RU (in Niger) have proven to be effective mechanisms for catalyzing multi-stakeholder, collective planning processes that incorporate weather forecasts and climate risk management. Case studies prepared under the MTR can provide a basis for further documentation of these mechanisms as models for advocacy and replication.

In Kenya and Ghana there have been suggestions that the ALP model should be expanded to other districts representing different environmental and socio-economic contexts. While these requests attest to the stakeholder credibility that ALP has gained, responding positively to them could reduce effectiveness and dilute resources away from the core ALP strategy, which involves concentrating on specific geographical areas to build models to assist in the uptake of CBA approaches elsewhere. In other words, ALP's concentration must remain focused internally in order to achieve its intended results in the time remaining.

Output 3

The MTR team's main observation about the efficiency and effectiveness of work on Output 3 – given that substantial results are yet to emerge – concerns the capacity for learning among ALP staff and partners. Outcomes in terms of learning with regard to the quarterly review meetings and reporting processes seem to be mixed. A core concern is that narrative reporting of these events does not capture well the lessons learned, nor show how this learning is building collective knowledge. Strategies for improving this reporting process are needed.

Communication is key to learning. Language differences and varying literacy levels constrain learning as well as operational efficiency: PCT has limited proficiency in French and none in Portuguese; professional translators are not routinely used; Niger and Mozambique staff have limited English proficiency. Local language fluency is absent among some front-line staff, such as in Mozambique. At the local level, literacy levels are particularly low and, especially in pastoral communities, communication is more verbal than written. This is not always taken into consideration when developing key messages for the community. For example, in Kenya the advisories from the PSP are distributed in the form of text in brochures for a community where literacy is low. Communities in Niger have overcome the literacy issue by using pictorial illustrations in their plans. It appears that the original ALP programme design did not adequately accommodate this issue.

Output 4

ALP National Advocacy Managers have taken appropriate action to map out their institutional environment to build platforms and open doors for engagement in



policy formulation. ALP has effectively gained recognition in all four countries as a lead actor in the area of climate adaptation (and in some cases for all climate change issues). This is an important milestone to have achieved in moving toward achievement of the programme's ultimate policy objectives.

The main shortfall in the efficient implementation of Output 4 has been the failure so far to develop either national or programme level advocacy strategies. This constraint has been recognized by ALP, and the MTR takes note of the fact that development of advocacy strategies is to be addressed prior to the annual meeting in November this year.

Output 5

Platforms for knowledge development have been supported and ALP has kept up the interest within CARE International for CBA, though few particular links to specific CARE programmes in Africa are evident. Contributing ALP's learning about CBA into high profile contexts in Africa has not been planned, aside from UNFCCC- and AMCEN-type opportunities. Even at these events, while CSO participation is facilitated, there is no influence over the participants' agenda at these events, and little follow-up thereafter.

Programme Management

ALP is a regional programme in Africa, intervening in four countries, whose PCT is based in Nairobi. The organizational chart shows the complexity of this set-up. It also shows that the ALP project managers in-country are directly connected to the ALP programme coordinator in Nairobi, and not to the CARE Country Directors, although the latter are their employers/supervisors.

ALP in all countries has to comply with all CARE country procedures (procurement, recruitment of staff and partner contracting, etc.). This situation is susceptible to creating tensions, especially in terms of competition for visibility or credit of the achievements, all the more at national level.

ALP – CARE Country Office relationships

The MTR did not observe tensions in Niger. The position of National Advocacy Manager is 100% paid by ALP; based in Niamey, his skills are also shared with CARE Niger SMT, and it works so far on the basis of mutual benefit. ALP is also embedded well in the CARE Niger Strategic Programme (PSP 2010-2015). This is especially so for ALP's contribution to the domain of change "NRM/CCA/PRC" (natural resource management, adaptation to climate change and rural conflict prevention). ALP-Niger provided other CARE projects with training on CC and CBA. This coherence and complementarity contributes to a good collaboration.

There are opportunities to increase contributions and complementarities between ALP and the Niger CO in the empowerment of women and girls initiative, where CARE Niger has had very good experience for more than 20 years, and which could benefit through integration of gender in CBA in ALP. Synergies can be reinforced in the other work of CARE Niger, especially the innovations in Maradi region (same region as Dakoro) to address the issues of gender differential vulnerability. Similarly, CARE's substantial experience with vulnerable pastoral livelihoods in Diffa region can link with advocacy for pastoralism and CBA in Dakoro.

The ALP programme is integrated well in the context of CARE Ghana programmes. ALP cooperates with other CARE projects to co-sponsor activities at the national and local levels. The ALP presence in Accra is the National Advocacy Manager. ALP has its main presence in Ghana in the CARE-Tamale sub-office where most ALP staff are located along with the Country Project Manager. ALP



staff in Tamale operate at an average of three hours distance from the target communities.

Direct collaboration among the ALP Country Project Manager, the ACD-P Ghana and the ALP Programme Coordinator (PCT) are not frequent and more opportunities for reflection and analysis, and for strategic planning will help strengthen the accomplishments and gains that ALP appears to be making in Ghana. This will be crucial as ALP partners in Ghana are asked to do more to help ALP achieve its outcomes and purpose, including collecting targeted evidence, integrating local and national advocacy and strengthening the role of evidence in advocacy directed toward three target ministries: finance, local government and agriculture. CARE Ghana's SMT needs to be engaged in assisting with revision of local implementing contracts, facilitating new contracts with ALP partners and facilitating solutions to administrative problems associated with the new accounting system.

In Mozambique, as in the other countries, the National Advocacy Manager is based in the capital in the CARE country office, while the ALP Country Project Manager and most staff are in the provincial capital, Nampula. The community sites are in Angoche on the coast, a three-hour drive from Nampula, and at present two staff are located there. The MTR has observed that the local government advocacy opportunities are more focused in Angoche, and the regional advocacy officer could be more effective if located there rather than in Nampula, as at present.

The Nampula sub-office of CARE Mozambique provides strong support to the ALP team, particularly in the design and implementation of the quick-win interventions. Other CARE programmes in the region have benefited from ALP training on CBA. There are good opportunities for more collaboration between these other CARE programmes and ALP, especially in sharing technical expertise for community interventions where the ALP team may lack specific capacity. The CARE Country Office also expressed a need to explore more opportunities for synergies between ALP and its other programmes, including national advocacy.

Nairobi, Kenya provides the operational base for the PCT, within the CARE Somalia office. The CARE Kenya office, also based in Nairobi, provides financial management support, and the Kenya Programme Officer operates from the same premises. The rest of the Kenya ALP team operates from the CARE Kenya Garissa sub-office.

In addition to office space, the CARE Garissa office provides some administration support, and assistance with recruitment. The CARE Garissa office coordinates several projects from their office including ALP. To enable coordination, regular management meetings are organised where all projects report on plans and progress. The ALP team participates in all these meetings and has benefited from, not only advice, but also other support in terms of logistics and technical assistance when required.

Being close to both the Ethiopian and Somali borders, one of the key challenges of working in Garissa is insecurity. The CARE Garissa team provides security assistance to the ALP team by monitoring the situation on the ground, and providing advisories as situations develop. The CARE Garissa office is very supportive of the ALP initiative and lends support in every way possible.

In Ghana, Mozambique, and Kenya the programme person is not on the ground. The location of the programme offices is not optimal in three of the four countries. This has implications on the time lag and turn-around time in decision



making and implementation. It also has implications on the linkages between the local and national levels.

Purpose

The foundation has been established to develop models and evidence for policy change and scaling out CBA approaches – robust measures are required now to build on these. Implementation of CAAPs is in varying stages and has yet to serve as a source of evidence for advocacy.

Inadequate coherence between local experience and efforts at national/international advocacy needs to be addressed.

Enhanced collaboration between country teams is needed to now achieve cross-country targets. Consolidating experiences in the four participating countries provides CBA information across a range of livelihood options in a range of agro-ecological zones.

External expertise needs to be mobilized to augment staff in achieving specific targets.

e) Learning in ALP

The core of ALP is learning from the implementation of the programme: horizontally, vertically, across sectors, from stakeholders and all levels of operation, and from the experiences of ALP, CARE and other organizations. The structures and processes in place to facilitate learning include:

- The reporting mechanisms: Staff are obliged to produce quarterly, half-annual and annual reports. These reports outline intended plans and achievements, challenges faced, unexpected results and future plans and use the log frame to monitor progress.
- Quarterly meetings: Mostly internal, these meetings call for ALP staff to prepare an analysis along the following five questions:
 - What are communities, local and national governments doing differently and why? (Capture practices and the attitude and knowledge that are the driver for the change.) What changed, for whom and why?
 - What happened which was unexpected and what was the impact? (positive and negative)
 - What difference are the changes from Q1 and Q2 making, for whom and why?
 - What impact do these changes (Q3) have on the equality, rights and relations within and between gender, community groups, livelihood groups, local governments and other relevant actors and why?
 - What can we learn from these to inform future ALP actions/CBA? Include both positive and negative lessons.

The information is captured in an excel-based matrix that measures the above questions across the three levels of operation – community, local government and national processes. While the information gathered is informative to the programme staff, it needs to be further analysed to extract lessons learned. It needs to inform a review of the CBA process, and also enable cross-country learning. This can be addressed by a short narrative analysis accompanying each excel presentation, that highlights what has worked and what has not, and

lessons learned and next steps. In following sessions, the performance of the proposed steps needs to be tracked and inform further model review/development. Minutes of the discussions would be another mechanism that could capture the essence of the brainstorming during discussions.

- An annual learning event that engages all practitioners and partners engaged in CBA and related activities. Participants determine the theme of each event and discussions are facilitated accordingly.
- The PSP can provide a learning platform at the local level that enables the capture of weather-based planning and makes the case for climate-based future planning. Cross-country experiences with the process needs to inform model development. The process is still young in its implementation across countries, and replication needs to take into account local realities – the strategy should be to adapt rather than adopt.

Essentially the learning can be perceived as a matrix that addresses levels (local, national, and international on one axis and internal) those players who have a direct impact on the implementation of the programme (ALP, ALP communities, and its implementing partners) and external groups – those players who do not have a direct influence on the way that the programme is implemented (CARE, other practitioners, CSO networks, governments, lobby groups, partners, donors, etc.). For the programme to achieve its goal and purpose, the critical points of learning need to be identified and addressed. A learning strategy needs to be thought through and articulated to enable the utilisation of existing processes and mechanisms with improved efficiency and effectiveness. The matrix below is an initial illustration of how this process can look.

| Goal: Capacity of vulnerable households in sub-Saharan Africa to adapt to climate variability and change increase | | | | | | | | |
|--|-----------------|-----------|-----------------------|-----------------|--------------|------|--------------|--------|
| Purpose: Community-based adaptation (CBA) approaches for vulnerable communities incorporated into development policies and programmes in Ghana, Kenya, Mozambique and Niger, with plans in place to replicate across Africa | | | | | | | | |
| Learning | Internal | | | External | | | | |
| | ALP staff | Community | Implementing partners | Government | CSO networks | CARE | Lobby groups | Donors |
| Local | | | | | | | | |
| National | | | | | | | | |
| Africa | | | | | | | | |
| International | | | | | | | | |

Key:

| | |
|--|--|
| | Most critical – learning needs to be focused, and strongly facilitated |
| | Critical - Learning needs to be focused and facilitated |
| | Extremely Important - Learning needs to be focused and inform advocacy |
| | Important – Learning needs to be targeted and also inform advocacy |
| | Desirable – Learning needs to inform advocacy |

Once the critical areas are identified, information needs for each of these will need to be defined and this, in turn, will inform the knowledge-generation tools and lines of inquiry employed.

f) ALP and gender equality and diversity

Gender equality and diversity is a cross-cutting element of the ALP programme strategy, consistent with CARE’s and CBA commitments and principles. ALP



rationale is based on an assumption that women are both more and differently vulnerable to climate impacts than men. Producing scaled up evidence of the differential vulnerability of men and women of different livelihoods, ethnicity, agro-ecological environments, etc. is highly relevant for CBA, as opposed to the global view of women as victims facing CC. The main challenge is to measure the impact of CBA responses aimed at bridging the gaps and seizing opportunities for change in gender dynamics in a short span of time (five years). However, there are no gender indicators to be found in the log frame, apart from one sex disaggregated indicator for Output 1.

When the CVCA process was fulfilled (as in Niger and Ghana), it resulted in community-validated strategies integrated in CAAPs and district level plans. (See case studies in annexes.) ALP used gender sensitive analysis tools (CVCA, gender matrix, PRA) which resulted in gender sensitive or proactive support for coping strategies integrated in local planning. Findings at community level show that positive actions have resulted in significant changes: women outnumber men in many quick-win activities (diversified livelihoods); women participated in trainings and PSP (Kenya); the visibility and voice of women, most of whom are vulnerable family mothers active in agriculture/livestock production or trade, was enhanced at community level, with a critical role of male and female community monitors in Ghana. (Country reports provide more details.) Evidence of this is shared through community and photo stories, and sex-disaggregated data in ALP reports. But this success is documented rather quantitatively by ALP. It is still to be informed in terms of change in gender dynamics: balance of voices in public arenas, change in roles and responsibilities, through gender indicators or Most Significant Change (MSC) assessment.

Pushing too hard or fast on gender equality issues may become detrimental to women during and after the project. Gender dynamics are evolving, partly due to climate change resulting in substantial shifts in livelihoods, such as pastoralists in Garissa. MTR visits to communities did not observe a backlash effect of the ALP proactive gender approach, such as the equality between female and male monitors in Ghana, women's outnumbering men in quick-win activities, involvement in farming where they were not supposed to be involved (North Ghana, Tuareg communities in Niger, irrigated production in Kenya). Participation of both women and men has been required for meetings, etc. which may appear basic but is almost revolutionary in some communities. MTR rather observed unexpected explicit male elders' and chiefs' support (Niger, Ghana), providing evidence of the accountability of the ALP approach. However, limits will be seen when more in-depth participation is needed, to ensure the sustainability of gender equitable actions in CBA, such as access/control to land and livestock, decision making, and representation at commune/district level. It will be all the more crucial if sensitive issues for resilience, raised by women at community level, are to find responses like birth control or food sovereignty.

ALP undertook activities for enhancing gender capacities among ALP staff and stakeholders, like the ALP Gender and CBA learning workshop (2011) and other training. There is a Learning, Gender and Governance advisor in PCT and a CARE adaptation gender expert (20% of her job), based in the UK. A methodological guideline for gender analysis adaptation to country contexts is being developed. Country gender analyses were conducted in 2012 in three countries (Ghana, Kenya and Mozambique), but they were perceived as repetitive and time consuming as they came after the lengthy process of CVCA analysis and despite expressed community fatigue about meetings and "talk". Enhancing the CVCA analysis with more in-depth gender sensitivity from the start is key to the status of gender and CBA. ALP is able to bring a significant contribution to learning in



this domain. Niger linked the validation of the feasibility analysis of the seven coping strategies with the gender analysis of these strategies: a good practice. (See case study.) When external gender expertise is required for gender analysis, it raises issues of quality control/relevance/efficiency of outputs for ALP (See Ghana, and Kenya gender analysis.)

In two countries (Niger and Ghana) ALP staff is 100% male, and so are the implementing partners. Without aiming at parity, more gender-balanced teams, and support by external expertise if needed (ALP teams and partners to identify their gaps and specific support in gender) would be welcome for more learning in gender and CBA issues. This is a challenge for ALP, which does not have much time to build gender capacities among its local staff.

Climate change does impact on gender roles and responsibilities. For instance, a sort of feminization of agriculture can be observed in North Ghana, and Niger. In Kenya, women have fallen into the role of produce marketers, while in other cases de-feminization of agriculture is the problem. In pastoral societies, women are either increasingly involved in cattle rearing or, on the contrary, excluded from livestock production. In adapting to climate change, women have been more willing to take on innovations like micro-businesses, which has shifted the responsibility for familial resource management. Communities interviewed through this process reported a reduction in gender-based domestic violence as a result of shifting roles and responsibilities in response to climate change. This is to be informed for CBA. ALP contributes to building the awareness at community level that the usual coping strategies, traditional gender and age relationships are no longer the sole appropriate response to CC challenges. This is a solid entry point, rather well managed so far: Ghanaian women are implementing their own farming production, explicitly recognized by men to help reduce the hunger gap, and are singing "*Women are not fools; they are just restricted by traditions*" (Farfar, August 2011).

There is evidence of progress towards gender equity at community level, but more clear and scaled-up evidence needs to be documented by ALP to inform learning and sharing about gender differential vulnerability and responses for CBA and to be able to support advocacy for integrating gender issues in CC policy making. There is a scope for innovation and learning for the second term, based on lessons learned at community level (participatory assessment) and evidence related to community-produced gender indicators, with the contribution of community monitors and the support of external expertise. (See recommendations.)

g) Analysis at Programme Level

Key Opportunities

Important adaptive changes at the community level have been made, and they present a basis for models to be built that will facilitate longer-term, systematic support for community-based adaptation. However, these models still need to be documented.

There are requests for *targeted policy inputs* from national level governments and there are opportunities for a variety of learning and policy-oriented partnerships that will bring ALP into association with groups that can provide a broader array of examples of community-based adaptation that can be documented. Working in partnership with groups can strengthen the evidenced-based policy advocacy efforts. There are openings for ALP to promote new practices to mainstream adaptation into national government ministries, departments and agencies, and



into the efforts of multi-lateral and bilateral development organizations. There are also concrete communication avenues available for effective horizontal out-scaling of CBA experience throughout Africa.

The *ALP Operational Theory of Change* has evolved on the ground from how it was originally envisioned in the programme funding document. (See ALP profile, section 2.) It appears to be functioning now by building on the premise that planning with a backdrop of weather projections will enable an improvement in food security and reduce vulnerability to weather impact in the short term and long term, based on the success and learning from the process. Longer-term weather projections and scenario planning will build on community-based adaptation impacting all levels from household, to local governments and stakeholders.

In other words, by experiencing the utility of using weather information – both self-generated and that provided by meteorological services – in livelihood decision-making, communities are incorporating risk management into planning, and, thus, become more sensitive to longer-term risks. This emerging process provides an opportunity to strengthen the PSP to support such shifts in modalities of decision-making. Ultimately, these experiences will provide the required evidence and models to inform policy makers, implementers, planners and practitioners on adaptation interventions at the national level, and build the case for increased investment in adaptation at all levels.

So, there are immediate and compelling opportunities for the ALP Programme Coordination Team to move forward if it is able to 'harvest' its experience to date and the experience of partners to show achievement toward its programme purpose and goal. However, to realize these opportunities, ALP needs to acknowledge the challenges and implement changes related to recommendations emerging from this mid-term review.

Key Problems and Gaps in ALP

ALP has already created a basic foundation for achieving its purpose and its key objectives, despite some uneven work across the four countries. However ALP has only two years left to run, and so, building on this foundation, ALP must accelerate the overall delivery of critical outputs with all eyes fixed on achieving its purpose.

There is some evidence that ALP is not sufficiently aware of its achievements, and many adaptive changes have yet to be documented. ALP needs to review its programme structure to better understand the performance of its methods. It requires more appropriate internal indicators to monitor advocacy efforts, and the effects on gender dynamics/gender equity. While ALP has produced a large number of written products, reports etc., evidence that ALP communities are thinking about the future and are 'anticipatory' related to climate/weather is lacking. As a result, ALP is not yet 'building the case' for CBA. ALP staff and partners are not sufficiently able to identify, assess, and then document critical evidence of adaptation outcomes that is available.

ALP's internal monitoring system appears too quantitative and staff are substantially burdened with meeting these internal requirements. They prepare a wide range of reports and collect a lot of information, but are not analysing the information to build evidence of the changes that ALP initiatives are making. ALP has good ingredients, but does not yet have the product. It is achieving several quantitative targets or outputs (events, etc), but it is not yet able to grasp the impacts, the result or see the implications of action undertaken. ALP is too focused on meeting project quantitative outputs and reporting requirements, so



that it does not seem to be able to realize the progress that is being achieved. Cross-country and PCT communication is further impaired by language capacity which further impedes the implementation process. ALP needs assistance and support to observe and to understand the effects, the implications and the dynamics of its own initiatives and efforts.

ALP has to focus in and settle on a few learning mechanisms and make them work. It has to determine where it has emerging models for effective adaptation action and use these models, together with targeted evidence, to make the case for CBA.

ALP has to package its evidence to suit select audiences. ALP has to accelerate the pace of its strategic efforts at the national and programme levels. ALP must work strongly on new partnerships. Above all ALP needs to tell a simple, yet profound, story.

ALP needs to express an increased understanding of differentiated vulnerability and must be able to express how gender equity is crucial to sustainability. ALP must endeavour to show that gender equity is a resilience strategy.

It must acquire language translation skills to facilitate specific values learning across the four countries, and with the PCT.

7 Recommendations

a) Core recommendations

1. To reinforce ALP's core objective of enhancing the flow and support of activities and strategies from community-based adaptation, ALP must **focus on providing targeted evidence and models** that use climate information and assist local or district level government to develop climate-linked budgets and anticipate adaptation costs.
2. A core objective of ALP is that its partnerships must support learning about community-based adaptation, the development of tools and models, the collection of targeted evidence, advocacy and the wider adoption of CBA. ALP must, therefore, revise the terms of engagement with its partners to ensure these relationships strengthen ALP's ability to achieve its purpose.
3. ALP must **develop strong advocacy strategies**, linking its national and local advocacy efforts; work more closely with partners and use its targeted evidence and its new models, while increasing the uptake of CBA. Specifically:
 - 3.1 ALP must develop an overall advocacy strategy and country-specific advocacy strategies, building on the useful activities and mapping those undertaken to date;
 - 3.2 ALP must focus on advocacy using evidence and models that ALP and its partners have documented; and
 - 3.3 ALP must review its approach to working with national level CSOs under new partnership relations, with scope for more flexibility in the partnerships.
4. ALP needs a **stronger framework, gender skills, planning, review and analysis tools, and resource persons** to strengthen activities in outputs 1 and 2. Specifically:
 - 4.1 ALP must increase its focus on gender dynamics within the process of collecting targeted evidence, in building up its models, and in reporting. The

understanding of the dynamics of gender relations in communities is crucial in order to document the evidence and the models for change in the face of climate impacts; a basis exists for this, as the CBA tools being used are gender appropriate;

4.2 ALP must focus more rigorously on 'learning' in its reporting and in project documentation - and simplify other reporting. Quarterly reviews are a key learning activity for ALP staff and partners; the learning should be better documented to provide insight into the learning mechanisms and dynamics, and into the decisions ALP takes to strengthen learning; these decisions should be regularly reviewed;

4.3 ALP must develop simplified yet strong tools that support its work on gathering targeted evidence on adaptation measures and building models related to local government planning and budgeting, including the PSP; these tools must also support increased adoption/use of community-based adaptation (accelerate the uptake). ALP's CBA tools should be more flexible, accessible and easier for others to adopt and apply them (more user-friendly); ALP should engage current users of the CBA tools in the revision process to learn from experience.

4.4 ALP must increase its effectiveness by allocating more funds at community and local/district government level, including more funds to implementing partners (within a revised understanding of partnerships), to achieve recommendations related to outputs 1 and 2.

4.5 As stated above, communication is key to learning. In addition to addressing language barriers, ALP also needs to take into consideration the prevailing low literacy levels, especially in the local context, where verbal and pictorial messages have more meaning than the written word. This is a common problem that is faced by development agencies across sectors and across geographical divides. ALP can and should facilitate learning in communication where literacy levels are low. Progress made in simplifying climate information for the PSP process, and the use of pictorials in planning processes at the community level can be built upon.

4.6 ALP must make an early and clear statement of who has the responsibility within the staffing structure to implement the MTR recommendations, including some changes in staff assignments. Where necessary, ALP should bring in short-term support or expertise to assist it in making early adjustments - to hasten the implementation of these recommendations.

b) Elaboration on core recommendations

The following paragraphs elaborate on the top MTR recommendations:

1. ALP must provide substantial and credible evidence of specific sustainable adaptation measures, technologies or interventions linked to methodologies, strategies or approaches used at the district and community level, i.e., focus on targeted evidence of measures taken to build resilience. ALP must focus on building an 'evidence-based case' for adaptation that is derived from activities accomplished under outputs 1 and 2.

It is understood that the evidence on adaptation measures that ALP will provide has been derived from a review and assessment of current coping strategies (e.g. from CVCA and CBA processes), that these strategies have been revised to meet the requirements of increased climate risk, and that they include or relate to anticipatory information on climate scenarios or

weather forecasts. The evidence on sustainable adaptation measures and strategies should include the criteria used to select them and advice on their use, such as fitting them into different contexts.

It is anticipated that these measures and strategies will:

- cut across several sectors and disciplines;
- cut across livelihood types and eco-regional zones in Africa;
- require close monitoring/measurement to continually assess relevance (e.g. the PSP process);
- be subject to intense reflection by many stakeholders on how well they work;
- be durable, robust and sustainable in the context of longer-term climate information (scenario);
- be scaled up, or provide the opportunity to be scaled up; and
- be used effectively and efficiently by communities and households.

2. The key request to which ALP must respond is the demand for models of 'climate risk reduction planning and budgeting' useful at the district or local government level. Evidence of what resources are needed to support government responses at the local or district level is critical, specifically related to Output 3.

ALP must provide evidence of district budget planning and programmes that use the experience of ALP and show where there is revised or transformed action/responses to community needs (managing climate risks) and the funding required. The evidence is to be provided as a **case** or **model** for effective district budget planning that provides risk management benefits and supports adaptation, resilience, adaptive capacity within the communities and within the district (or commune or local government); the models must be robust across other districts. ALP needs to work together with government agencies in the process of developing the model or cases, to strengthen ownership by the intended users.

These opportunities exist in all four ALP countries:

Ghana - Ministry of Finance wants ministries and districts to provide climate change adaptation budgets and MEST/EPA are willing and able to support;

Kenya - Arid Lands and the Ministry of Northern Kenya together with the Ministry of Planning (Mid-Term Plan) are asking for district budgets to support effective climate adaptation strategies;

Niger - Ministry of Finance and Planning together with the Secretariat of the CC Commission (CNEDD) are soon to provide PPCR funding to one of the ALP-targeted communes, where ALP can lead on the budget development process;

Mozambique - Ministry of Planning and Development, the Ministry of Environmental Coordination, and INGC, the Disaster Management Agency, want district planning and budgeting tools.

To create, document and defend a model, ALP must:

- show the shift in the implementation of department or ministry programmes as a result of climate information;
- show what additional resources are necessary for these department or ministry programmes to do more/better to support community adaptation;

- show how much might be required over the next five years, assuming action is scaled up as a regular part of department or ministry programmes;
- show value of addressing CC as a cross-cutting issue – demonstrate the value of joint planning.

What has to be included in the model is the case for spending this money and that it does make a difference, that it can be monitored, that there are a range of specified indicators to show that adaptation is being supported, and that the level of activity is effective in terms of managing climate change. The case should answer these questions: What is the work to be done? What is the cost? What is the benefit or value or what is gained or achieved? What indicators will best monitor the value gained? What is an appropriate target for doing more? And what will that cost?

3. On issues related to ALP's core objective of **community-based adaptation**: ALP must promote actions and measures that aim to protect, strengthen or grow community assets that are critical to livelihoods and that utilize the capacities and experience within the community to manage environmental risks, particularly climate risks, and to address priority risks or issues, including advocacy for supportive responses from government, CSOs and the private sector to achieve the implementation of these measures with the community. Community-based adaptation is an evolving 'learning by doing' process that aims to acquire knowledge, skills, anticipatory information and change that will increase the sustainability of the community and its livelihood activities, especially as climate risks increase.
4. A core objective of ALP is that its partnerships must support learning about community-based adaptation, development of tools and models, collection of targeted evidence, advocacy and the wider adoption of CBA. ALP must, therefore, **revise the terms of engagement with its partners** to ensure these relationships strengthen ALP's ability to achieve its purpose.

Regarding ALP's work with partners to support or carry out activities related to all five outputs, there are serious issues that arose during the MTR that need to be resolved. Some relationships, while called 'partnerships', are not really partnerships and, in some cases, the relationships are not working well for ALP. The issues arose around the role of implementing partners at community level and the role of partners in national advocacy. The MTR analysis suggests that critical choices need to be made to move forward. ALP should consider the resolution of partnership issues a core objective of the second half of the project.

The options presented below are premised on the idea that collaboration between communities and community-based agencies (CSOs) on the one hand and external actors such as CARE ALP on the other hand is critical for ALP to achieve short- and long-term adaptive measures and to achieve its purpose.

A. Local CBA implementation options for outputs 1 and 2:

ALP's relationship with local CSO partners (usually called 'implementing partners') in Kenya and Ghana are weak and are not satisfactory in terms of producing results/achieving outputs or building long-term CSO capacity at the local level; in Mozambique local CSO partners are under-utilized, and in Niger the situation is mixed with some CSOs implementing CBA activities and others engaging in advocacy in areas other than at national level. In some cases, roles are confused between ALP staff, current 'implementing partners', project



or community monitors and even line-ministry officials; in some cases ALP has only a limited oversight role. It is a situation that needs to be addressed.

Preferably, ALP's local partners must support learning about community-based adaptation, the development of CBA tools and models, the collection of targeted evidence, be linked into national advocacy efforts and/or help widen the acceptance and use of CBA. ALP must **revise the terms of engagement with its local partners** to ensure these relationships strengthen ALP's ability to achieve its purpose.

ALP should consider supporting the development of local agencies/CSOs on the basis of substantive and effective partnership agreements. Where agreements to work together can be reached, ALP should work with agencies that are closely involved with the community to address the core objectives of community-based adaptation. This means ALP and prospective agency partners need to have a solid understanding and agreement on goals, means and terms.

ALP's goal in establishing these relationships should be to build the capacity of such agencies to effectively carry out vulnerability and assets/capacity assessment, monitoring activities to reduce or manage climate risks – i.e. reduce impacts that negatively affect the livelihoods of communities. These agencies should be enabled to work with communities to jointly design and implement community adaptation action plans, jointly assess the feasibility of adaptive strategies and measures, jointly advocate for resources and other responses from government and the private sector, jointly monitor efforts to put those strategies and measures into place, and work with communities to find alternatives when efforts or measures fail or when climate risks change. These efforts all aim to increase community empowerment so that communities are primary owners of their own adaptive responses and capacities. Agencies that fix this partnership model would normally also be involved in securing other resources for climate change adaptation from a variety of sources. This is particularly important where the community is economically marginalized and where development and climate risks are higher.

This is a partnership model that is multi-dimensional and integral, involving a longer-term collaboration aimed at achieving a shared or agreed vision. If it can be obtained, it is ideal.

Where this is possible, ALP must use all the tools at its disposal to construct these relationships in a timely manner so that the work can be efficient and effective, with ALP providing effective oversight. The contractual arrangements to allow for this and ensure it happens need to be determined within the scope of CARE contract options. If CARE's contracting options cannot support this relationship, alternatives are needed.

Where a suitable local agency cannot be found and engaged as above, CARE needs to select and engage implementing agencies to work more as consultants with very clear terms of reference, with ALP providing contract management and support. This is not a partnership model but may be necessary to achieve ALP outputs. The choice between partnership and consultant for ALP may be specific by country, district or activity type within a country.

B. National advocacy collaboration options:



A further application of 'partnership' is needed to help ALP achieve its purpose through activities under outputs 4 and 5. These are also substantive relationships where CSOs are enlisted by ALP to:

- i) confirm the evidence and the experience that underpins the ALP models;
- ii) show that the CBA models developed by ALP can be scaled up and out, and can inform adaptation project/programmes, policies/regulation, financing and new behaviour among government departments; and
- iii) advocate the model(s) at the national policy level based on the substantive experience of the partner.

At the present time ALP is able to identify many groups interested in collaboration on these objectives, but most of the groups do not have the resources to do more than plan a minimum role. However, ALP needs to collaborate with national CSO partners to achieve these objectives, and the MTR suggests more effective collaboration on these objectives is extremely critical for ALP. ALP must, therefore, find the way to negotiate with these agencies to acquire their input and assistance - either individually or collectively. This will enable ALP to achieve its purpose. ALP needs to choose the most effective contractual tools to acquire this support in a way that is timely, efficient and effective, with ALP adopting an oversight role.

In practical terms, an urgent and immediate effort is needed by ALP to ensure that in each country the issues concerning partnership and implementation relationships at the local and national level are resolved in a manner that effectively supports ALP's determination to achieve its results.

5. Communications and Profile of ALP in Africa:

Each ALP programme country should have an explicit communications strategy within six months that will be in effect to the end of the ALP programme. These strategies should include:

- media releases in ALP countries, and workshop opportunities for a wide range of media stakeholders in all ALP countries;
- the preparation and distribution of focused ALP learning products about effective ALP-supported CBA to the national media, to CSOs, plus ministries, departments and agencies;
- the preparation and distribution of focused write-ups on ALP learning experiences to radio broadcasters across Africa reaching out to small holder farmers - through channels made available through an agreement with, for example, Farm Radio International (FRI);
- ALP considering sponsoring a significant international workshop on CBA in Africa in 2014.

ALP should specifically reach out to CARE offices and projects in other countries in Africa, e.g. Zimbabwe, Zambia, Malawi, Rwanda, Mali, Ivory Coast, Sierra Leone and Tanzania, to engage them in an information exchange and to find opportunities for ALP to disseminate its information in those countries.

ALP should expand its efforts and create opportunities to provide ALP information to more CSO initiatives including networks in Africa. A target for such initiatives should be set within six months for action in the following two years, to the end of the ALP project.

As the Bill and Melina Gates Foundation is now the largest supporter of agricultural development initiatives in Africa, ALP should specifically initiate a



dialogue with the Foundation staff in charge of agriculture to find ways for their projects to be increasingly climate sensitive, adaptation oriented and appreciative of the experiences, models and lessons of ALP. Evidence of significant adaptation at community level should be at the centre of these exchanges.

ALP should explore ways to add its experience to that gained by initiatives supported in the past five years by IDRC's CCAA programme. At a minimum, ALP should reach out to all organizations supported by the CCAA to proactively share information on what ALP has learned.

c) Recommendations for changes to the logical framework

Under Output 1:

We were at first convinced Indicator 1.2 was misplaced and should be under Output 2, which remains a reasonable option. However, we have opted to recommend leaving it here as long as it is amended. We recommend revising Indicator 1.2 to involve a reference to community, to be consistent with the Output: to read as follows:

'Number of local governments with effective disaster preparedness plans including early warning systems *that involve community participation*'

Or

'Number of local governments with effective *community-based* disaster preparedness plans including early warning systems'

Under Output 3:

We did not find clarity or precision within ALP on the definition of "innovative methods for M&E", although some attempts at innovation in M&E have been made (e.g. photo stories). Further, the purpose of searching for innovative M&E indicators within the scope of ALP is not clear, nor exactly why several innovative methods are needed. However 'credible' M&E methods are needed to be able to convince a range of stakeholders on the validity of evidence related to CBA tools, approaches and methods. Indicator 3.2 should, therefore, be changed to read as follows:

'Number of evaluations of CBA carried out and validated using *credible* evaluation methods.'

Under Outputs 4 and 5:

We saw confusion within ALP on where to report activities relevant to these two outputs. In particular, there is overlap at the output level, which is reflected in the indicators. The indicators should be revised so that a clear distinction is made between policy advocacy (Output 4) and knowledge development and capacity building for implementation uptake (Output 5).

Gender-related Indicators:

There are no indicators that promote reporting about gender-differentiated vulnerability within CBA, or that measure gender dynamics in CBA. We recommend that this situation be changed by the inclusion of a new indicator. This indicator might complement the indicator for Purpose P2 or be added to existing indicators for Output 1.

'Number of households of different levels of vulnerability declaring increased resilience to CC where women members of households participated in at least two CBA strategies'

This indicator should be informed by questions asked yearly to men and women (separately) out of a sample of 20% of all HH in each country; this can be done through existing M&E methods such as Impact Monitoring system surveys as seen in Niger or community-monitor conducted surveys, under partners' and M&E in-country officers.

- Year one (end 2012) is the base for further milestones. for instance: 30% of HH end 2012; 50% end 2013, etc.;
- Declarations (male and female separate) should identify and rank the strategies;
- MSC method (most significant changes) can be applied to substantiate the declarations;
- Informing this indicator should help communities to identify their own gender equity indicators at community level, by women, men and youth.

d) Summary of recommendations by output

| |
|---|
| Output 1. Innovative approaches to community-based adaptation (CBA) developed and implemented by communities and local partners |
| Output 2. Communities and local civil society organizations supported to voice their concerns on climate change and to influence future allocations of resources for adaptation. |
| Output 3. Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organizations |
| Output 4. CBA approaches promoted to influence the policies and plans of governments, regional and international organizations |
| Output 5. CBA promoted to governments and NGOs in the countries and across Africa to encourage widespread adoption |

| Recommendation | Output # relevance |
|--|---|
| 1. ALP must focus on providing targeted evidence and models that use climate information and assist local or district level government to develop climate-linked budgets and anticipate adaptation costs. | <ul style="list-style-type: none"> ▫ 1 ▫ 2 (evidence) ▫ 3 (models) |
| 2. ALP must revise the terms of engagement with its partners to ensure these relationships strengthen ALP's ability to achieve its purpose. | All outputs |
| 3. ALP must develop strong advocacy strategies, linking its national and local advocacy efforts; work more closely with partners and use its targeted evidence and its new models, while increasing the uptake of CBA. Specifically: <ul style="list-style-type: none"> 3.1 ALP must develop an overall advocacy strategy and country-specific advocacy strategies, building on the useful activities and mapping those undertaken to date; 3.2 ALP must focus on advocacy using evidence and models that ALP and its partners have documented; and 3.3 ALP must review its approach to working with national | <ul style="list-style-type: none"> ▫ 2 ▫ 4 for local and national, ensure linkage |

| Recommendation | Output # relevance |
|---|--|
| level CSOs under new partnership relations, with scope for more flexibility in the partnerships. | |
| 4. ALP needs a stronger framework, gender skills, planning, review and analysis tools, and resource persons to strengthen activities in Outputs 1 and 2. | <ul style="list-style-type: none"> ▫ 1 ▫ 2 |
| 4.1 ALP must increase its focus on gender dynamics within the process of collecting targeted evidence, in building up its models, and in reporting. | ▫ 1 |
| 4.2 ALP must focus more rigorously on learning in its reporting and in project documentation, and simplify other reporting. | ▫ 3 |
| 4.3 ALP must develop simplified yet strong tools that support its work on gathering targeted evidence on adaptation measures and building models related to local government budgeting, including the PSP. | ▫ 3 |
| 4.4 ALP must increase its effectiveness by allocating more funds at community and local/district government level, including more funds to implementing partners. | <ul style="list-style-type: none"> ▫ 1 ▫ 2 |
| 4.5 In addition to addressing language barriers, ALP should facilitate learning in communication where literacy levels are low. | <ul style="list-style-type: none"> ▫ 1 ▫ 2 |
| 4.6 ALP must make an early and clear statement of who has the responsibility within the staffing structure to implement the MTR recommendations. Where necessary, ALP should bring in short-term support or expertise to assist. | Programme management |
| 5. ALP needs to strengthen its visibility and profile as follows: <ul style="list-style-type: none"> ▫ specifically reach out to CARE offices and projects in other countries to engage them in information exchange ▫ Each ALP programme country should have an explicit communications strategy within 6 months. ▫ Provide ALP information to more CSO initiatives including networks in Africa. A target for such initiatives should be set within 6 months. ▫ specifically initiate a dialogue with the Gates Foundation to find ways for their projects to be increasingly climate sensitive, adaptation oriented and appreciative of the experiences, models and lessons of ALP ▫ explore ways to add ALP experience to that gained by initiatives supported in the post 5 years by IDRC's CCAA programme. ▫ consider sponsoring a significant international workshop on CBA in Africa in 2014. | <ul style="list-style-type: none"> ▫ 4 ▫ 5 |

8 Conclusion

The Adaptation Learning Programme has made significant progress towards its milestone targets, and has in essence created the foundation needed to move forward towards achieving its purpose. This foundation is composed of, *inter alia*:

- a series of marginalized communities engaged in new ways of planning that incorporate weather cognisant risk management and participatory decision-making;



- local government structures ready to work with civil society and community partners, and anxious to improve their own capacity for incorporating CBA in planning processes;
- a selection of tools that are effective for enabling the above;
- a host of partners and platforms already built that can provide the basis for influencing government decision-makers based on credible evidence of successful CBA experiences;
- a demand from governments and policy makers for evidence that can convince them to increase support to adaptation initiatives, and a demand for decision-making tools for allocating resources to CBA efficiently and effectively.

Having built the above pieces of the foundation, however, ALP has yet to put in place the catalytic ingredients needed to make them work together in order to accelerate the achievement of targets to reach the purpose level results. The recommendations provided by this MTR aim to assist ALP to address this critical challenge.

9 Annexes

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Annex I – Country reports

a) Niger ALP-MTR Country Report

Adaptation Learning Programme Niger ALP-MTR Country Report

Introduction

ALP Niger is active in one district (*Département de Dakoro*), four councils (*communes*), and twenty communities, in a context of agro-pastoral drylands (Tarka Valley) marked by repeated droughts and food crisis (2005, 2009, 2011), and conflicts between herders and farmers.

The ALP MTR took place in Niger from September 3 to September 18, 2012. Three days were devoted, at the national level in Niamey, to interviews with ministries and CC national mechanisms, CSOs, research institutes and CARE senior management. Ten days were devoted to the local level (Maradi region and Dakoro) with local governments, CSOs partners, field visits to the four communes and five communities (25% of total). One debriefing was held at the local level, where the main findings and recommendations were shared, amended and validated. A final debriefing was presented to CARE SMT in Niamey (Sept 17, 2012).

The methodology used was clearly participative. The MTR consultants worked closely with the ALP team, CSO partners, local authorities, and women and men at community level. This resulted in a significant amount of information and a wide consensus on recommendations issued from the local level, embedded in a learning process (acknowledged at debriefing).

Main findings

General: CBA process was applied, and CVCA tools adapted to the Dakoro context, with the ALP team building on previous CARE interventions' and local partners' experience in HHLS and vulnerability alleviation, resulting in a quicker identification, planning, and implementation of CBA-related activities in September, 2010. The 20 CAAPs were validated in May 2011.

Gender: Women and men were supported in their efforts to diversify their livelihoods (agriculture, livestock, IGA); women were empowered at the community level through commitment and success in new activities (economic trees, irrigated gardens, diversified IGA). Limit: There are no female community monitors (because of a misunderstanding regarding the requirement for literacy).

Change in behaviour and vision: Most significant is the awareness raised of the scope of the impact of climate change on livelihoods, and the ownership of resilience-aimed strategies: long term vs. seasonal, irreversible and global, but local accountability, inducing bush and tree protection, defence of the pastoral vocation of Tarka valley, acceptance of necessary changes/shifts in men's and women's roles and responsibilities, and generation (youth innovative, off farm strategies, and so on).



Output 1

Beneficiaries affirm that ALP-supported strategies contributed to reinforcing the resilience of their livelihoods:

- 'quick win' activities to address hunger gap (early maturing seeds, VSLA);
- seven strategies validated earlier than in other ALP countries after adapted CVCA process;
- DRR: EWS/ER committees (SCAP/RU) at community level, linking with council OSV (Vulnerability observatory), district (CSR/PGCA) and national EWS/ER system, now formally acknowledged at national level DNP-GCA (National Machinery of Food Crisis Prevention and Management);
- 20 CAAPs in two versions: French and the local language and symbols, with ownership built at community level.

Weather consciousness and monitoring capacity at the local level foster innovation and response: rain gauges are used for decision making and planning, empowerment of SCAP/RUs (council, district meteorology service) and communities engaged.

Output 2:

Local CSO partners are in implementation rather than in CBA learning, but AREN (strong herders' association) is engaged in advocacy and scaling up CBA in other areas. HIMMA is engaged in gender proactive activities and the young CSO local network ReLACC is involved in advocacy for the protection of Tarka Valley against agricultural occupation. But there is a general lack of collaboration between the local and national levels (CSO, ALP, Government and so on). All CSO partners and LA were trained in CC analysis and DRR planning at the council level.

Local Government are including adaptation in participatory planning processes:

- Integration of CAAPs in the next council development plans (PDC) is to be revised for CC integration. It is not yet effective, but there is a strong demand from the four councils of ALP intervention and support;
- DRR: one PUC (Emergency communal plan) + guidelines is being adopted in the national machinery EWS/ER;
- DRR: two OSV (observatories for monitoring vulnerability) have been established at council level;
- Strong demand for scaling up the number of ALP communities and CAAPs in the four councils (to reach a critical mass of 30%);
- CAAPs and ALP activities are integrated as council has implemented actions and inscribed them in the council budget
- LA are lobbying on CSOs to increase the number of beneficiaries.

Limits: The cost of the implementation of CAAPs in non-ALP communities, because most councils do not have appointed technical services.

Output 3

- Adaptation of CVCA tools in response to the strong demand for action at the local level: validation and budgeting of seven strategies through a combined

gender and feasibility assessment (see case study), linked with related training and capacity building;

- CVCA applied and shared by other CSOs, but no real CBA **model** developed so far;
- Foundations for models being built (SCAP/RU, gender and feasibility assessment), but they are in need of elaboration and refinement for learning and advocacy purposes;
- Quarterly meetings held alternatively at four councils: innovation, sharing and budget transparency are highly appreciated by local authorities and communities, but all are in need of documentation;
- M&E system is ambitious and repetitive, and too demanding (frequency and complexity of items and does not encourage identification, monitoring and learning from significant changes happening at community level eg. Gender dynamics, new behaviours, empowerment (see indicators);
- There is an abundant production of reports, documents, photo stories and community stories, but some are too success-oriented for credibility and learning and the problems of language (English, French, local), communication with PCT (anglophone) and editing for publication continue;
- Radio, radio debates: some initiatives, including information about rainfalls by rain gauge persons, but to be scaled up with radio networks.

Output 4

- ALP Niger supports CSO participation at key Climate Change and related events, and the creation of a national CSO-CC platform. CC-CSO networks are still weak or are just emerging at the national or regional levels;
- No evidence of influencing national policies towards CBA, in a difficult political context, important (US\$110 M) PPCR adopted by government with climate debt, but more visible progress at local level;
- Relevant strategy of 'pushing the doors' through capacity building and representation of CSOs e.g. Youth CSO (AYICC) with a voice on CC and climate debt; strategy of empowering CSOs to play their role in the national machinery of CNEDD;
- Gender: collaboration and training at the demand of the powerful national women's CSO network CONGAFEN:

The challenge is starting to be addressed: Urban CSO voice in CC starts being heard, but rural/local CSOs are still voiceless: a gap to be bridged in the second term of ALP

Output 5

- ALP Niger has adopted a strategic profile sensitive to the prevailing socio-political environment;
- No evidence so far of change in the attitudes of decision-makers, but the active presence and visibility of ALP in international/global fora (or forums)
- ALP has created a demand for training and capacity building in CBA and CBA in gender.

Synthesis of observations in the five domains of change:

D1: Resilient livelihoods: ongoing, but communities are in a situation of rehabilitation close to emergency, threatening strategies of resilience;

D2: DRR: significant progress through SCAP/RU (see case study) but advocacy is to be informed by evidence to ensure adequate response to problems raised;

D3: Capacity development: significant changes in knowledge in CC, decision making linked to weather forecast, and local planning;

D4: Addressing underlying causes of vulnerability: the CVCA process resulted in relevant analysis of the root causes, but responses are just emerging vs. unequal access to natural resources, land and capital, gender inequities, general indebtedness, strong demographic pressure, illiteracy: more in depth and longer term work to be done;

Gender dynamics: integrated approach in planning, implementation and monitoring, in spite of a 100% male team; but community monitors should not be male only. At the community level, significant changes took place in the perception of women's roles in innovations for more resilient strategies. But evidence is still to be built to advocate gender integration in CBA.

D5: Learning: Much has been done in terms of adaptation and adoption of CBA tools, but good practices and lessons learned are not yet built into models to support advocacy. An action plan established by the M&E team will help demonstrate evidence.

Recommendations at country level

- Action and advocacy through CBA to safeguard Tarka Valley (resilient pastoralism and agro-pastoralist livelihoods, protection of ecosystem, peace and good governance);
- Planning: Integration of CAAPs in PDC revised (model to be developed) with more voice for the excluded (women, youth, mobile herders) and empowerment of the SCAP/RU: access to better weather information, adequate responses to problems;
- Linking field action and scientific research: Weather forecast, seeds, conservation agriculture (such as a network of producers of early maturing seed);
- Address differential vulnerability through support to gender dynamics, including sensitive and innovative issues, such as family planning, food sovereignty, land access (building on the CARE IFETE project's positive experience in Maradi) with the support of external gender expertise on an intermittent, but regular basis throughout ALP's second term;
- Address exclusion through basic literacy (SCAP/RU, women), and innovate methods in communication and access to information (cell phones, radio, etc.)
- Action research: renewable energies, especially solar, for improved stoves, and electricity at community level (a strong and explicit demand);
- Partnership and CSO: Thinking is needed about the type of partnership to be developed for the second term of ALP. Urban and rural CSOs – especially the youth – to cooperate in advocacy for CBA. Reinforce the current support to a CSO platform for CC and CBA advocacy with state and non-state actors (CNEDD, PPCR, NEPAD women project, etc.)



b) Ghana ALP-MTR Country Report

Adaptation Learning Programme

Ghana ALP-MTR Country Report

Introduction

Three levels of interviews and site visits were conducted between September 10 and 28, 2012, inclusive:

- National level: state and non-state actors including ALP national-level partners;
- District/Local level: East Mamprusi and Garu Tempane district meetings with District assembly and ALP local-level partners;
- Target communities (4 of the 8 ALP communities) - 2 per district.

Three (3) consultants were involved in Ghana: the national consultant, Dr Joseph Abazaami, was involved throughout the whole of the MTR process; John van Mossel, an international consultant, was involved primarily at the national level and Marie Monimart, a second international consultant, was involved primarily at the district/local/community level.

The international consultant working at the national level met at the start of the MTR with the Accra-based SMT on Monday September 10, and then again with the ACD-P in Accra on Friday September 14, at the end of the national-level interviews. A full day ALP staff team meeting was held on Wednesday September 19, in Tamale focusing on the MTR findings and involving all three consultants. Dr Joseph Abazaami, the national consultant, attended the meetings with SMT, with the ALP staff and was a presenter at the debriefing/verification meeting. In addition, Fiona Percy, ALP Coordinator was in Ghana from Tuesday September 18 to Monday September 25, and she participated in the all-day ALP staff meeting on September 19.

The international consultant working at the local government/community level provided a full day of reporting on the whole of the MTR in Ghana to ALP Ghana staff and local/district partners and participants in Tamale on Thursday September 28 at the end of the full MTR process. The report or validation workshop involved community members and District officials from the Upper East Region and Northern Region where ALP focuses its community-based adaptation efforts. A comprehensive power point presentation was used on that occasion and provided the basis for this country report.

Summary of Main Findings

- Community Adaptation Action Plans (CAAPs) are due to be out soon, based on the use of CVCA tools by the ALP team and participants in ALP target communities. Interim experience with community-based adaptation was gained from 'early actions' or 'quick wins' selected from the preliminary analysis of information gathered using the CVCA tools. Visioning also has been done successfully with the ALP communities.
- The use of community-based project monitors or facilitators at the community level in ALP target communities in Ghana provides a model for other ALP countries. There are six monitors for each of the communities and there is a good gender balance among the monitors; however, issues have emerged re. ALPS' relationship with its two CBA implementing partners.

- The districts where ALP is working are ready for planning and budgeting related to adaptation, and they are eager to add communities; good links exist with all line ministries. Weather information/seasonal forecasts were used in one PSP exercise – this shows promise; GMET is involved, which is good; local knowledge has been respected, but there are challenges.
- National advocacy activities have established effective links with many Ministries; a new CSO-based climate adaptation network has been established (Ghana Climate Adaptation Network (Ghana CAN)); the policy influence of ALP has already been felt – CARE ALP is widely known for CBA advocacy and ALP is known for collaboration; ALP is ready to make a concerted effort to enable more CBA-sensitive programming by national coordination units of MOFA.
- ALP has worked effectively with other CARE projects, other INGOs, national and local CSOs and networks to engage government in recognizing and adopting CBA at the policy level in policy documents, and in climate-change financing; significant gains are expected. ALP awaits release of Ghana's National CC Policy and Third National Communications to UNFCCC. National CSOs are asking ALP for funding or help to get funding to implement CBA within the communities where they work.

Findings by Output

OUTPUT 1: "Innovative approaches to community-based adaptation developed and implemented by communities and local partners."

Indicator 1: The number of individuals supported to diversify their livelihood strategies:

'Quick win' initiatives were supported and tested for sustainability. These include:

- Block farming: Community seed production of early maturing varieties of maize and soya beans;
- Adoption of 'conservation agriculture' practices (0 tillage, tied ridging, etc);
- Cassava cuttings are being used in adaptation trials;
- Village Savings and Loan Associations (VSLAs);
- Use of rain gauge and weather information to inform farming practices and engage farmers in weather monitoring.

What has changed?

- Food security: the hunger gap has been reduced by half through a combination of new agricultural practices, effects of VSLA, capacity building overall and changes in gender dynamics (women's farming);
- Rural credit: VSLA appears to have been the most successful of all ALP's initiatives at the community level. They address the urgent need for cash and help participants escape the vicious circle of indebtedness (100% interest!) – an underlying cause of vulnerability; VSLA members have used borrowed cash to buy National Health Insurance members cards to deal with sickness and injury, which are underlying causes of vulnerability;
- Learning and awareness about climate change: understanding both global and local level impacts on climate; the short and long term dimension of climate change; and accountability for changing behaviour (e.g. stop bush burning and felling trees);
- Improved awareness on gender issues: the increased communal role of women, visibility of new sharing of gender roles at community level; and



women dominant in most ALP activities (women beneficiaries are more numerous than men);

- Ownership and community vision: “community members know what they want”;
- More awareness of DRR: increased knowledge about the roles of duty bearers (MMDAs), including district assembly members and staff, and rights holder (communities) in managing responses to flood, outbreak of epidemics, etc.;
- Community confidence: community members are less likely ‘to sell themselves out’ (undermine their position; tell their secrets);
- Learning: Improved access to supplies, resources and information: involvement of locally-based ministry staff in all ALP activities supports delivery of extension services; women are less likely to plant late, due to conservation agriculture (*tariganga*) so they can plant during the rainy season;
- Reduced costs: adoption of conservation agriculture means lower costs for land preparation (ploughing, tractors) and inputs; seed sharing among community members;
- New orientation: Livestock production has become an income generating business, no longer just a way of life; improved diversification of activities away from agriculture through the use of VSLA;
- Reduced out-migration from communities: men and women see advantages of, and have local access to VSLA and block farming (cooperative production of food, seeds).

Re. Food Security at the household level:

- Accurate information on planting time, (weather information rain gauge);
- Less grain borrowing because of VSLA and block farming production;
- VSLA scheme has reduced the rate of interest (20% instead of 100%);
- Some community VSLA groups have opened bank accounts (and some individuals as well).

Re. Disaster Preparedness:

- CVCAs, community visions and adaptation action plans (CAAPs) in eight communities with MOFA, NADMO, GHS, DA participation;
- 48 community monitors selected, trained and are providing community services (50% women);
- Two District Preparedness Plans (DPP) developed, local government capacity built on early warning systems and dissemination of DPPs to community;
- Questions and Answers Meeting (QAM) in eight communities – government, service provider, community linkages built;
- Four workshops on mainstreaming climate change into policies, plans and strategies for District and Regional planning officers, directors and DCEs: 1) National; 2) Northern Ghana; 3) Western/Greater Accra/Central; and 4) Brong Ahafo/Ashanti.

Limits observed:

Re. conservation agriculture:

- Compost making and use: negotiations are conducted with men who control farming space; therefore, it is restricted for women who do not control farming space and livestock;
- Insufficient quantity of organic compost produced to address soil fertility and health;
- Water for compost is limited in the dry season;
- Herbicide use: impact of 'Round Up' which is frequently used ([glyphosate](#) and other agrochemicals);
- Gender: women have to work on family fields first, and the rainy season is far advanced when they start farming their fields;
- Land access issues: poor quality, size, location, tenure security of fields leased to women, especially from non-husband landlords (short; one-year lease); land shortage is emerging, especially for women from polygamous homes; farm land is a limited resource due to demographic pressure;
- Livestock: lack of knowledge in animal rearing (mortality); issue of control for women – they do not explicitly own livestock; limited time and location-specific experience with livestock production (especially on a large scale); currently systems are more crop-based (no integration of crop and livestock systems); lack of awareness of changes in production systems to come (e.g. sheep fattening, etc.)

Indicator 2: The number of target local governments with effective disaster preparedness plans, including early warning systems:

- Two ALP districts were supported in their development of DPPS, including EWS involving all heads of district decentralised departments, traditional authorities and members of DFSNs;
- Renewed interest and support from DAs for DRR – e.g., information vans, radio sensitization on disaster-prone areas, etc.

Participatory Scenario Planning commenced as a tool developed by ALP for DRR using weather information. It:

- combines local knowledge and innovation with climate science and seasonal forecasts through climate analysis and Participatory Scenario Planning (PSP);
- strengthens adaptive capacity including managing risk and uncertainty as the new norm and flexible decision making;
- involves collaboration with GMET - Ghana Meteorological services;
- installation of 8 rain gauges in ALP communities and 42 in non ALP communities in the Northern and Upper East Regions of the country, communicated community records to MoFA for onward submission to GMET (a slow process); GMET sees this as data collection not as a decision-making tool for farmers;
- improved awareness on thunder and lightning and precautionary measures;
- reduced bush burning, support to tree protection and planting resulting in more environment-friendly behaviours;
- identified local DRR strategies in CAAPs;
- disseminated forecasts through radio; efforts to engage more broadcasters can be increased.



Indicator 3: The number of target local organisations, which significantly improve their capacity to analyze climate risks and plan adaptation actions:

- Six organisations have received capacity building on CBA and then ALP supported communities to develop their CAAPs (Community Adaptation Action Plans);
- These organisations benefited from a Participatory Scenario Planning (PSP) workshop in 2012 and community visioning process leading to their CAAPs.

Strategy effectiveness:

- The CVCA process took place at the community, district, regional and national levels. The strategy proved quite useful, except that it was time consuming, but ultimately CVCA was effective.
- Gender disaggregation of data and appreciation for differential vulnerability informed the CVCA processes. This, by default, made equitable provision for the inclusion of women in all activities thereafter. In some instances, women gained dominance in numbers and patronage for activities emanating from these processes, e.g. VSLA, block farming, etc.;
- The strategy of ALP taking evidence from the community level for advocacy at the national level on policy has been most effective. Most other organisations are quickly seeing its effectiveness and have started emulating it, e.g. Oxfam;

Delivery efficiency:

- Assumptions: all were relevant;
- ALP methods are increasing capacities (community, LA, CSO), but more needs to be done in the next two years;
- Significant efforts have been made towards gender equity in CBA, but adequate indicators to measure these changes are unavailable in the log frame (only sex disaggregated data).

OUTPUT 2: “Communities and local civil society organizations supported to voice their concerns on climate change and to influence future allocations of resources for adaptation.”

Indicators:

- i. Number of target local civil society institutions advocating for the rights of vulnerable people to (have access to) livelihood resources necessary for adaptation;
- ii. Number of target local governments who have included adaptation in participatory planning processes;
- iii. Number of local civil society organizations representing vulnerable groups who report that their views have been taken up in local planning processes.

What has changed?

- Three CSOs (local implementing partners) (PARED, PAS-G and CBR) advocating for the rights of vulnerable people;
- PARED, through the Savannah Accelerated Development Authority (SADA) programme, has become an intermediary organisation providing agricultural inputs and tractor services;



- CBR has advocated for PLWD for appointment at DAs as government appointees.

Target local governments who have included adaptation in participatory planning processes:

- Two districts, Garu Tempane and East Mamprusi, have embraced adaptation in their participatory planning processes which has been reflected in the incorporation of community action plans in the MTDPs;
- ALP, working in collaboration with EPA through the GEMP, has supported the establishment of DEMCs and CEMCs (sustainability for the ALP initiative).

What has changed?

- Garu Tempane: *"ALP is an adaptation learning process for this assembly to work more closely with the communities"*. ALP is valued by the District Assembly;
- ALP did not do everything that has been achieved, nor everything it wanted to do, but ALP is helping to enrich the process of bottom-up planning in DAs;
- Radio phone-in programmes organised by PAS-G with the participation of community members and collaborating partners (NADMO, information services, two community members) provided 'voice'.

Gathering in the voice of women:

- Voices of rural women are heard more at community, district and regional levels through workshops, reflection sessions and meetings;
- This is helping the gender desk officers and the girl child education coordinators at the district level.

Limits:

- Information dissemination on CC and CBA is high, but the majority of partners and communities are not yet able to access resources which would enable them to implement CBA strategies;
- ALP has limited direct interventions to eight pilot communities so far: the scope of up scaling at district level is a challenge.

Strategy effectiveness:

- ALP has been working through District Gender desk officers and Girl Child Education coordinators to see how more effectively the concerns of women can be brought firmly on board the CC and adaptation agenda;
- Plans are afoot to support women in functional literacy in project communities;
- ALP strictly targets and insists that a particular number of women are reached when invitations are sent out for participants to workshops, reflection meetings and validation.

OUTPUT 3: "Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organizations."

Indicators:

- i. Number of reflection and learning meetings held;
- ii. Number of innovative methods for M&E re. CBA applied and validated;
- iii. Number of publications produced on CBA models.



What has changed?

- ALP community participants have developed digital 'photo stories' and 'voices'. These proved effective in educating illiterate community members about the importance of VSLA and the demerits of deforestation and other adaptation-related measures;
- They also helped to build the capacity of the ALP team and local journalists on photography and participatory M&E;
- The capacity of ALP's M&E system to absorb the quarterly continuation of plans and budgets is especially innovative and allows for flexibility in an important way;
- The quarterly reflection meetings create opportunity for input from all stakeholders, enhancing stakeholder ownership of ALP.

Strategy effectiveness and limits:

- The M&E templates provided by the project are overly ambitious. There is a need to create room for more innovative approaches to M&E without compromising the core indicators for the various outputs of the project;
- The use of photo stories or voices for M&E is innovative (pictures speak louder than numbers and figures). This innovation, however, needs to be handled with caution without falling into the trap of describing only 'success stories' in a promotional style.
- Project indicator tracking systems could be incorporated into the M&E system to support traceability of information.

OUTPUT 4: "CBA approaches promoted to influence the policies and plans of governments, regional and international organizations."

Indicators:

- i. Evidence from CBA and CVCA informs local and national adaptation priorities and plans in key sectors;
- ii. Percentage of ALP national-level partners engaged in regional/international networks and alliances to undertake advocacy on CC adaptation;
- iii. Evidence from CBA demonstration projects is used in CARE's regional and international advocacy on adaptation.

What has changed?

- Established platforms for Civil Society groups to have input into national climate change policy and government's position at CoP 17 – CSO interaction with Ghana policy makers and parliamentarians, regional climate networks (CAN and PACJA) and UNFCCC process;
- Held CSO/government/universities learning/sharing forum in Dec 2011;
- Formed the Ghana Climate Adaptation Network (Ghana CAN) with 40 CSO members for learning among practitioners and coordinated advocacy. (links to KASA, University of Ghana, B4C, AAP);
- Collaborated with government – with EPA and AAP in MEST to:
 - Raise awareness about climate change, climate knowledge and climate risk management at the local and national levels;

- Review the NCCPF and NCCAS (national and Northern Ghana), civil society input into the draft climate change policy through consultation workshops;
- Analysed the 2012 budget statement from a climate change perspective and dialogued with Ministries for budget allocations on CC in 2013 budget;
- Mainstreamed CBA into the NCCAS and maybe into national climate change policy; CBA popularized among government institutions and CSOs;
- Pushed for inclusion of CCA in FOAT criteria under the DDF for CCA integration in development planning process (with EPA);
- ALP became a member of AAP steering committee, EPA/MEST Technical Working Group on climate change and EPA's Adaptation working group for the third national communication;
- Influenced mainstreaming of vulnerability and gender issues in CC policy development as key issues;
- ALP participated at COPs (UNFCCC), supported government delegates on key CCA issues, links to CSO inputs, official delegate in COP17;
- In the SNC, millet was not included in the list of crops affected by CC. There is a concern from CSOs in the country that this should be reviewed given the recent ample evidence of the effects of CC on the crop through ALP's community level interventions (currently receiving attention in the TNC).
- ALP has been operational for the past two and a half years, but this is not translating into tangibles, especially in the southern part of Ghana. The project has focused more on process issues rather than pursuing tangibles at the partner level in southern Ghana

Strategy effectiveness:

- Due to prior work of CARE Ghana – Alp was able to build on the work of projects such as KASA, BoC, LEAD, etc. – i.e., it had several 'head start' opportunities. MEST, EPA (AAP and GEMP), B4C, Ghana, CAN Ghana etc. have all become prime opportunities and ALP made ample use of them for advocacy and to influence policy, e.g. NCCP (draft), TNC, etc.
- The vibrant civil society in Ghana has been very responsive to the project objectives of ALP and CSOs have, together with ALP, made a major impact on climate change policy due to sustained advocacy in Ghana and beyond.

OUTPUT 5: "CBA promoted to governments and NGOs in ALP countries and across Africa to encourage widespread adoption."

Indicators:

- i. Programme results promoted through learning networks within target countries and regionally;
- ii. Number of other organisations in Ghana, Kenya, Mozambique and Niger adopting CBA approaches developed by the project;
- iii. Number of other organisations in other African countries (including CARE's other country programmes) adopting CBA approaches developed by the project.

What has changed?

- In December 2011, the project "Building Capacity for the Climate Change Challenge" (B4C) Ghana, together with ALP, organized a workshop on climate change adaptation experiences in Ghana. It was organized in collaboration with MEST and targeted government agencies, decision makers, researchers, civil society and NGOs active in the CC adaptation sector;
- The workshop was to encourage information sharing and collaboration among CCA sector actors to ensure synergy and foster effective linkage between grass root adaptation practices and national adaptation policies and strategies. It was from this workshop that the Ghana Climate Change Adaptation Network (Ghana CAN) was formed.
- CARE, through ALP, organized a workshop on August 31, 2012 with 64 CSO stakeholders to have input into the draft National Climate Change Policy document. Concerns of CSOs have been well articulated in the draft policy. The ALP Ghana Team, for instance, is chairing the Committee of CSOs currently responsible for drafting the CSOs' component of the draft policy;
- CBA has received extensive attention in the draft policy and it is expected that CBA will soon be mainstreamed into policy and practice in Ghana's CC response initiatives. Participating in the workshop were seven participants from the Ministries and seven CARE staff, plus a representative from OXFAM and UNDP representatives. (T=80);
- There was financial and logistical support from ALP, MEST and KASA to organize a workshop for CSOs in Northern Ghana to make inputs in the NCCPF in Wa. Counterpart funding for common interest is gaining deeper meaning in the climate change and adaptation agenda;
- ALP is part of the national team preparing the Third National Communication to UNFCCC;
- MEST and EPA through the Africa Adaptation Project (AAP) have sought technical support from the ALP office on CBA to support the education outreach initiative of the project;
- KFW of Germany has been in consultation with the ALP office in Ghana to seek expert advice on how to implement an adaptation project in northern Ghana along similar lines as CBA;
- Partner organizations of ALP, such as RELBONET, Development Institute, and KASA project (related to the Natural Resources and Environmental Governance programme (NREG)) hosted by CARE Ghana, Christian Aid, Peasant Farmers' Association of Ghana (PFAG), NADMO, GMET, etc. have all received extensive sensitization and training on CBA;
- Christian Aid Ghana have requested training from ALP for its project partners on the CBA, as well as the CVCA process. Support was given to CARE Tanzania on CBA – training guides, manuals and reports were shared in this regard. World Vision Ghana is Collaborating with ALP on the DPPs and DRRs in Garu.

Strategy effectiveness and limits:

- The absence of grants has affected the level of cooperation from most local NGOs. For INGOs grants/monetary considerations are often not barriers to partnership and collaboration, but for most local NGOs, this is crucial; therefore, the ALP approach in this regard needs to be revisited;



- There has been a long-raging concern among local NGOs that, INGOs always identify them as partners as long as there are no resources to be shared. The question posed is, "If you, as a partner, can't provide grants, who should?"
- There is the need to watch closely how donor partners of ALP are pushing for its' profile at the expense of CARE Ghana's profile. CARE Ghana has a rich institutional authority, respect and 'clout' at various levels of government and civil society;

Towards achieving the Project Purpose in Ghana

- ALP Ghana is on the right path and is strongly committed to the implementation, diffusion and adoption of CBA;
- Evidence of more resilient livelihoods of vulnerable households are emerging, after a long, but necessary, phase of 'talking' and selection of strategies with diverse stakeholders: it is the learning process;
- Communities and local governments' strong involvement and ownership of CBA are observed and acknowledged;
- There is a clear influence on policies at the national level, putting Ghana in an advanced position regarding CC response and CBA approach.
- There have been several requests for ALP to consider other vulnerable communities in Southern Ghana such as farmers who have lately been devastated by drought and coastal erosion, farmers settling along river basins and mountainous areas, etc., in order to provide balanced evidence for CBA in Ghana as a whole. Resource within ALP will constrain its level of expansion. However, working through partners engaged in these different eco zones, with a focus on adaptation learning across the zones is an option that needs to be explored.

Most significant changes in the domains of CVCA

D1: Resilient Livelihoods:

Community priorities for adaptation strategies: a mix of quick win-win activities (reducing the hunger gap, immediate cash needs,) and longer-term activities (capacity building, CC sensitive planning, community organisation (see VSLA groups) training, and addressing gender inequities...).

D2: Disaster Risk Reduction:

Community Planning (CAAPs) and monitoring of risks with community monitors, DRR plans at DA level, use of agro-meteorology information, adoption of more friendly environment behaviours but responses to problems to be enhanced and PSPs started.

D3: Capacity building:

- Significant changes at community and district levels in knowledge of CC and integration into strategies and planning processes;
- Different levels of stakeholders benefited at the same time: leverage effect expected;
- ALP Ghana's approach to community monitors provides a model for ALP.

D4: Addressing underlying causes of vulnerability:

- Efforts are just starting and, in spite of progress, impacts cannot be measured after only two years;

- The vicious cycle of indebtedness, unequal access to natural resources (for women) and assets, demographic pressure (birth rates), food insecurity, gender persistent inequities, illiteracy, etc. remain, in varying degrees, despite progress.

D5: Gender dynamics:

- Integrated approach in practices and monitoring; visibility, dominant presence of women in most activities, gender equality among community monitors, voice of women heard in planning activities, workshops, training sessions (in spite of a 100% male ALP team!) – all indicate progress;
- At the community level, there has been a progressive change in the men's perception of women's roles to strengthen resilience (noticeably in farming and VSLA);
- But: much still needs to be done to address differential vulnerability to climate change and to go more in depth (access to land, control of assets, etc.).

D 6: Learning:

- Much has been done (tools, methodologies, training, workshops, photo stories) and the process is still ongoing;
- The benefits of the learning strategy are becoming more and more visible and acknowledged, but the time and skills required for CVCA seem a barrier to adoption and up-scaling to other communities at the district level. What shortcuts can be found without endangering quality and ownership?
- Good practices are being identified and are the basis for advocacy. However, beware of 'success stories': we learn also (and sometimes more) from failures and challenges.

Some lessons Learned

Innovation involves doing new things and doing things differently: this true for effective adaptation to the impacts of climate change. The strategies prioritized by the communities under the lens of climate change must be innovative because CC means long term, global changes in strategies and behaviours (including social relationships) and must be radical. The impact of climate change knowledge is monumental at the community level.

ALP is in a learning process of CBA, implying deep changes in practices, behaviours, gender dynamics. Some of these changes cannot be measured in two or even five years time. M&E (and milestones and indicators) in CBA should include ex-post milestones and evaluation and, from time to time, allow for changes, e.g. relevance of some items in quarterly reports.

Climate change and gender dynamics is to be viewed both as a **differential vulnerability** to CC and as **opportunities** for radical changes in visions and perceptions of gender roles. When old coping strategies are no longer efficient, ancient gender-based inequities may appear as inadequate and communities may be more prone to change.

Climate change is 'trendy' and many initiatives and much money is being funnelled into CC initiatives in sub-Saharan Africa. ALP Ghana has a major role to play in CBA adoption in Ghana and neighbouring countries for the good governance of funds allocated to CC initiatives, to ensure benefits to the communities.

Measuring the progress or success in CC adaptation is a challenge – both at the expert level and the community level. What indicators could be developed at the



local or community level to measure progress in resilience in the short, medium and long term?

Propositions and recommendations for the second half of ALP in Ghana

The following recommendations are based on the exchanges the evaluators have had with different stakeholders at different levels: communities, districts, local and national CSOs, ALP team, CARE International in Ghana, and including state and non-state actors. They do not concern ALP only, but are open to various partners and stakeholders.

Main recommendations:

- More implementation/monitoring of adaptation measures in communities; reorganize partner relationship; gather evidence of effective adaptation strategies/measures plus costs/benefits; document District engagement and responses;
- Develop CC risk management budgets for two Districts with Min of Local Government and Rural Development and MEST/EPA; apply functional assessment tools and indicators of benefits, with substantial community/CBO/local NGO input;
- Engage partners to explore developing joint plans and budgets in other Districts (number to be determined) (Ghana has 230 Districts); engage CAN members in this: e.g., CA/ICCO, DI, RELBONET, B4C, DI, Oxfam, ACDEP, PFAG, etc.;
- Develop more experience with the multi-stakeholder PSP process, including GMET, SARI, SADA, banks, traders, media, etc.; support community access to, and use of, weather forecasts; document it;
- Revise national advocacy and communications strategies linked to ALP's work regarding CBA measures, district budgets, PSPs; engage radio(s) so the 'farmers voice' can be heard on adaptation; use documented evidence throughout.

Summary of Specific Recommendations:

- Tackle food insecurity through addressing differential vulnerability;
- Integrate livestock rearing and production into adaptation efforts;
- Initiate research/use of more resilient conservation agriculture methods;
- Support stronger gender dynamics to increase resilience in CBA efforts;
- Assess functional literacy issue; address language barriers, exclusion; Depending on the level at which the communication barrier is identified, strategies that include improved translation and use of simplified communication mechanisms such as pictorial portrayal of messages may be employed.
- Enhance 'partnerships'; ensure more learning, oversight, more budget;
- Scale up partners' use of CBA at district level – focus on more CBA work in the two districts where ALP currently work
- Reinforce collaboration with Ministries and Agencies (MOFA, SARI, etc.) plus key actors at district level;
- Ghana-CAN platform to amplify the voices of local and national NGOs;
- Bring Ghana Federation of Agricultural Producers into national advocacy;



- Engage other CBA-related projects of NGOs for replication of CBA and speed up the effort to up-scale CBA across the country;
- Adopt appropriate, innovative media, such as radio programming with phone-in sessions, and community meetings with government officials using the Q&A format that has worked already;
- Advise EPA on education, training and planning for CC adaptation.

Details on Specific Recommendations - Primary recommendations (1-9);
Secondary Recommendations (10-17):

1. There is an increasing recognition among **INGOs that MMDAs are biased in their working relationships with local NGOs**. There is often the complaint of lack of capacity among local NGOs while increasingly, INGOs working in partnership with local NGOs rather than facilitating their visibility are quick to take credit for successes, further deepening the poor recognition for local NGOs at the top level of national governance. This is a crisis. The way forward is to use the Ghana CAN as a platform to move away from showcasing the achievements of INGOs and amplifying the voices of local NGOs to project their leveraging at the policy and decision-making levels of governance.

2. More appropriate and innovative media such as radio, phones and Q&A sessions are effective channels for making weather forecast information usable and relevant. The idea is to get experts and farmers to dialogue about how to interpret the data and to provide advisory messages to farmers on its implications, as well as the appropriate adaptive strategies to deploy to cushion themselves, e.g. Farm Radio International (an anticipatory approach).

3. Farmer groups that are formed in response to projects are very often unsustainable. There is a need for projects to conduct surveys on existing social or economic groups and to create ways in which Focus Groups could be formed from them. Bringing farmers from different backgrounds and setting them up as Figs results in a lack of group solidarity and easy disintegration due to a lack of familiarity and bonding. CARE's sustained and targeted interventions for CBEA groups, from which ALP is drawing to implement the CBA programme, is good and ought to be encouraged.

4. To widen the scope for networking and advocacy, it is imperative for **ALP to target national level farmer associations, federations and unions to raise CC awareness and adaptation issues for policy attention** and redress. Financial commitment from ALP to support the advocacy work of these bodies is fundamental to advocacy success.

5. If CBA is to gain national policy acceptance and uptake, working with other CBA-related NGO projects across the country is paramount. Some significant effort has already been made in this regard but more needs to be done to sustain this effort in order to **support replication and speed up the up-scaling efforts across the country**.

6. The **Peasant Farmers Association of Ghana (PFAG)** is a member of the Ghana Federation of Agricultural Producers (GFAP) which is composed of four agricultural apex bodies operational in the country. They comprise: Ghana National Association of Farmers and Fishermen (GNAFF), Apex Farmers Organization of Ghana (AFOG), Farmers Organization Network of Ghana (FONG) and PFAG. ALP could extend linkages to this federation to support its advocacy efforts.

7. The EPA anticipates that following legislative and presidential assent to the new National Climate Change Policy, there will be a need for sensitization efforts

on the policy to ensure that MMDAs comply with its provisions and prescriptions. **ALP could help this process by collaborating with EPA and the MEST in the design and monitoring of policy dissemination exercises**, especially if references to CBA and the value of CBA have found its way into the policy document.

8. There **are opportunities for joint education, training and planning for CC adaptation between ALP and EPA**. There can be collaboration for the preparation of common advisory papers, bringing together CC related stakeholders for the sharing of learning experiences in order to reshape, readjust and re-strategize for effective delivery. These reflection platforms can also be used to pre-appraise processes and strategies for identifying stakeholders who can continue ALP's efforts as the ALP project exits in the future.

9. Tackle food insecurity through efforts to understand and address differential vulnerability. The hunger gap is still important and is undermining household resilience strategies (indebtedness does the same). Women are the first to face hunger gaps with numerous children, women are seeking support to deal with family planning and there is growing demographic pressure on farm lands. A key barrier to change is that women have restricted access to land and, as a result, are limited in their ability to implement conservation agriculture and diversify with more economical plants and trees, etc. Action recommended: careful advocacy, pilot action research in some communities, support of external gender resource to the ALP team and partners, joint work with CARE's LEAD and BoC projects, and learning from CARE's LAW project.

10. Integrate livestock rearing into the production system:

- Livestock and agriculture: shifts in the proportional role in securing livelihoods due to climate change; opportunities in North Ghana for effective integration;
- Training in animal husbandry and health, technologies of fattening animals, animal food provision (fodder, cotton grains, and so on), and marketing;
- Gender issues in ownership and/or control of livestock and by products (manure for compost): ALP to provide space for discussions/negotiations on these issues.

11. Research and methods for more resilient conservation agriculture:

- Advocacy for millet as a CC vulnerable crop;
- Early maturing varieties of millet, beans. (See Niger and INRAN);
- Address soil poverty, striga, use of pesticides (e.g. glyphosate) with MOFA, SARI and so on;
- Seed multiplication: sustainability of quality, costs, and accessibility. (Action research, linked with ALP Niger).

12. Weather forecasts: community access to valuable information:

- Tailoring seasonal weather forecasts to needs of small-scale farmers;
- Enhancing impact of rain gauges in decision-making;
- Increasing access to and the dissemination of information (via radio, cell phones...)
- Ensuring the quality of data;
- Supporting learning about CC, debates and so on.

13. Support stronger gender dynamics that contribute to resilience by:



- Supporting the participation of women and men in VSLA (access to banking accounts, loans): provide external monitoring of the impact and governance of VSLA;
- Implementing non-farm activities, new effective income generating activities (action research);
- Focusing on young women and men to support changing behaviours;
- Building (upstream!), with local engendered indicators, a strategy to support resilience linked with differential vulnerabilities (gender, generation, poverty, production systems, etc.).

14. Functional literacy to address language barriers and exclusion:

- The most vulnerable are often illiterate: support demands for community access to training in Basic English. Find and use new methodologies?
- Capacity building in basic book-keeping, micro-credit management, leadership and group dynamics, grain banking etc. will complement the VSLA component of ALP and, thus, assist project communities to more effectively mobilise themselves for micro-credit support and mobilization.
- Use of new communication supports for literacy (such as cell phones)

15. Advocacy for climate change sensitive curricula in district schools:

- Climate change is a crucial issue for future generations;
- Work with districts for CCA in education, schools including an inter-school newsletter, drawings, photo competitions;
- Use radio to engage students;
- Work with partners and donors.

16. Renewable Energy:

- Action research and green energy initiatives at the community level: e.g. solar;
- Improved woodstoves: a demand from women in communities; action research to build on precedent experiences and knowledge in the Shale (in the 1980s!);
- Coherence with tree planting and protection.

17. Partnerships:

- Reflection: How to enhance existing partnerships? Determine which partnerships to strengthen.
- Scale up partners' use of CBA at the district level;
- Manage human resources: link partners and the ALP team; bridge gaps between Accra, Tamale and the communities;
- Community monitors: ensure sustainability; provide more training, increase their responsibilities; ask monitors to develop simplified, revised tools for capacity and vulnerability assessment (CVCA), help in selecting adaptation measures and setting adaptation priorities;
- Gender resources: acquire support of expertise in gender dynamics;
- Reinforce collaboration with state services (MOFA, SARI, SADA, etc.) and, specifically, actors at the district level.



The evaluators thank all interviewees for their availability, patience and for the high value of their contributions.

Special thanks go to community members who gave their time at the peak of the rainy season.

Based on Notes prepared for and presented at the verification meeting in Tamale on September 28, 2012. (Text edited October 2012.)



c) Kenya ALP-MTR Country Report

Adaptation Learning Programme

Kenya ALP-MTR Country Report

Introduction

CARE has been operational in Kenya since 1968. It currently carries out major initiatives in Refugee and Emergency Operations Water and Sanitation and in HIV/AIDS. CARE has over 25 years experience in working with refugees. It has a strong national and district level presence, and also hosts the CARE Somalia office in its complex.

The Programme Coordination Team (PCT) that coordinates and provides oversight to the Adaptation Learning Programme (ALP) has been based in Nairobi since 2010. ALP country level initiatives, however, took shape and have been implemented since 2011. In Kenya, the programme has interventions at three levels.

International Level: As the national and regional capital, Nairobi provides opportunities to engage various regional and international organisations and processes. ALP has used this opportunity to develop linkages aimed at improving advocacy and learning with institutions including COMESA, Climate Change Agriculture and Food Security (CCAFS) programme and the Pan-African Climate Justice Alliance (PACJA).

National Level: ALP has successfully identified the decision-making coordinates within the national state and non-state framework and participates in key policy processes. It is recognised as the CSO focal point on adaptation and sits on two (adaptation and gender) of six task forces set up to develop the National Climate Change Response Strategy, which is contributing to the development of an action plan for the Kenya Vision 2030. In addition, it has established strong linkages with networks, such as the Kenya Climate Change Working Group (KCCWG), Gender and Climate Change (CC), REGLAP and RREAD, and organisations such as CORDAID, Practical Action and the Norwegian Church Aid. With these initiatives, ALP facilitates events, participates in dialogue and shares information towards promoting community-based adaptation (CBA). Annual learning events have been held which have brought together people from the district to the national level to enable sharing and learning.

The District Level: ALP had intended to work in Mandera District, but owing to security concerns, opted instead to work in six pastoralist and agro-pastoralist communities in Nanighi, Balich, Saka, Kone, Shanta Abaq, and Fafi, across four districts – Garissa, Fafi, Lagdera and Mbalambala in the North Eastern part of the country, bordering Somalia.

Garissa district is arid. It is, however, blessed with one permanent river, the River Tana, which defines its eastern boundary and separates it from the Coast Province. It also has a semi-permanent river, the Ewaso North, which had been dammed upstream. The dam has been removed, and reports of the river resuming its old path have been received. The area is drought prone, and its proximity to the Somali and Ethiopian borders makes it vulnerable to conflicts and an influx of refugees. There is a wide variety of relief and development agencies that have worked in the area for at least three decades and, for some, the period of operation is even longer. The community in the area is familiar with development agencies, and tends to be donor dependant. The predominant religion practiced in the area is Islam.



ALP's ground operations are coordinated from a base in Garissa Town, which is the district headquarters. The programme has worked to establish a nine person task force chaired by the District Development Officer and composed of the District Drought Management Office, the community, the religious leader and CSO representatives whose purpose is to coordinate the PSP process. A series of workshops have been held with these stakeholders to initiate dialogue on climate change issues at the local level and promote CBA and related interventions.

In addition, a baseline survey, an institutional analysis and a gender analysis have been conducted for the project area. Climate Vulnerability and Capacity Assessments (CVCAs) have been done in all locations, with further discussions facilitating priority identification in Nanighi and Balich. The development of Community Adaptation Action Plans (CAAPs) are at varying degrees of development in all the communities, with the Kone community being furthest ahead. Through the CVCA process, priorities have been identified, on the basis of which there has been follow up with training on cultivating fodder for storage and sale, business skills and improved irrigation farming techniques, and supported by goat breed upgrades and destocking. An implementing partner has been identified to expand the breadth and depth of interventions at the community level and is set to begin ground level operations in the next quarter.

Staffing: The Kenya team is led by the Country Project Manager who is based in Nairobi and fulfils the role of the National Manager Advocacy and Strategic Networks, supported by the Project Officers of Local Governance and Advocacy, Livelihoods and Disaster Risk Reduction (DRR), Information and Knowledge Management, Finance and Administration and Administrative Assistant, all based in Garissa. A National Implementation Partner organisation, Centre for Sustainable development Initiatives (CSDI) has recently been recruited. One Community-Based Monitor has been recruited in Kone with plans to recruit at least one for each of the other communities under ALP. The Garissa team works from the CARE Garissa offices, and are well supported by that team.

The Kenya Country Office has the added advantage of being housed in the same location as the PCT, and enjoys considerable support from that team.

The baseline survey was conducted in October 2011 in the six community sites. The survey used the CVCA tool to gather information, and a household survey was also conducted, sampling 355 households using a multi-stage sampling with probability proportion to size design. The findings indicated that the most serious climate related hazard affected by climate change was drought. Of the interviewed households, 67% are pure pastoralists, 19% agro-pastoralists, 7% rely on providing unskilled labour to others, 4% depend on trade and commerce, 2% are salaried workers, while remittances and charcoal burning represent 1%; a majority of the households were poor. The major source of livelihood was found to be nomadic pastoralism, making pasture and farmland the most valued resource for sustenance. Land is communally owned and generally controlled by men.

Adaptation considerations

Agro-pastoral zone: mixed farming (crop production with improved livestock production), improved livestock breeds and crop cultivars, capacity building with support to farmers, and diversification of livelihoods. Establishment of disaster risk reduction initiatives through promotion of drought early warning systems, such as integrated local and scientific forecasts and the establishment of an information relay mechanism, the establishment of disaster risk reduction committees and capacity enhancement in Community Managed Disaster Risk Reduction (CMDRR)



Pure Pastoral zone: diversification of livelihoods, livestock related interventions, such as the provision of extension and veterinary services, solution to water problems, and improvement of the livestock marketing systems. Establishment of disaster risk reduction committees and training in CMDRR approaches. Early warning systems put in place through the creation of linkages with the Kenya Meteorological Department (KMD) and radio stations (local FMs).

Findings By Outputs

Output 1: Innovative Approaches to Community-Based Adaptation (CBA) developed and implemented by communities and local partners

Indicator: Number of individuals (men, women, vulnerable men and women) supported to diversify their livelihoods

Indicator: Number of target local governments with effective disaster preparedness plans, including early warning systems

Indicator: Number of target local organisations (civil society and district/commune governments) which significantly improve their capacity to analyse climate risks and plan adaptation actions

Activities undertaken:

As of the first quarter of 2012, ALP Kenya has:

- Been able to support 181 community members (99M; 82F). This translates to 1086¹ household members supported. The community members supported include two farm groups, two women's groups, and one youth group in the form of capacity building, provision of farm tools, and the creation of linkages with service providers, e.g. the Ministry of Agriculture, which provided drought-tolerant seed varieties to the communities. Three groups, i.e. Balich women's group, Abaqdera women's group and Nanighi women's group, were trained on business development skills to enable them to diversify their livelihoods. One of the farm groups (Al-alaf farm group) was provided with farm tools and was supplied with certified seeds for drought resistant crops (maize, sorghum, and cowpeas) by the Ministry of Agriculture in Fafi district, following a link created last quarter. The other farm group (Quaraley farm group) was linked with the Ministry of Water and Irrigation with a purpose of exploring ways for improving their irrigation system to ensure efficiency in irrigation water utilization.
- held a five-day staff and partners induction training on community-based adaptation (CBA) design in Garissa. The 15 people trained included four from local government departments (Ministry of Agriculture and Ministry of Livestock Development), six people from local CSOs, and five from CARE-Kenya.
- administered the ALP organisational capacity assessment scale to five institutions and a group of local four CSOs (Peacenet, WEED, PDO, and ALEDA). The five institutions are: Ministry of Planning, Ministry of Agriculture, Ministry of Livestock Development, CSDI, and CARE. This enabled the project to examine the ability of its partners to facilitate the CBA process. The results will be used to develop a capacity development plan and will serve as a bench mark to gauge improvements in the future

¹ According to ALP Kenya household survey a household is composed of an average of six members with a ratio of 66%;44% M:F

Findings:

- The CBA process intended for use included the application of the CVCA tools as an entry point to enable information gathering upon which to base the Community Adaptation Action Plans. The nine-step process described had to be stalled for a combination of reasons: at the time of initiation, the community was going through a severe drought and its priorities were for survival rather than forward planning. There was also community fatigue – too many sessions where people had to sit and answer many questions without knowing where it was all leading to; the original team trained for the CVCA were not available at the time of implementation and there were changes in staff composition at ALP, which meant that people had to be recruited from other programs, and others had to be trained to do the job. The team, nonetheless, tried to apply both the CRiSTAL and CVCA tools and found them to be too complex and extractive in nature. Maintaining community interest became a challenge. ALP chose to respond with 'quick wins' identified through the process to maintain community interest, which included the livelihood diversification and capacity-building interventions described above. A short-term community adaptation action plan has been developed, parts of which are already being implemented such as: group savings and loan and capacity building for farming. The six communities are at varying stages of the CBA process, and the actual steps towards a long-term community adaptation action plan are being developed as the process unfolds.
- The community is predominantly Islamic, and futuristic predictions of any nature are considered *Haram* (prohibited). Weather is considered the domain of God, and the concept of having any control over it is inconceivable to the community. The ALP intervention has been applied in a very sensitive and culturally appropriate manner, such that the community members, men and women alike are acknowledging the existence of climate change, and have been gently steered into planning for anticipated weather. The communities visited reported having taken precautionary measures in anticipation of drought, such as fodder storage, which has resulted in fodder stocks lasting longer and enabling the community to make it to the next rains.
- Training in financial management has increased resilience, and the women especially have learnt credit management, and are able to make their income last longer than in the past. Business skills have enabled livelihood diversification and have mostly been taken up by women, thereby giving them a heightened profile and standing, both at home and in the community. Gender-based violence has been reported to have been reduced as a result.
- Pastoralists traditionally measure individual wealth in livestock numbers, and livestock sales have been employed as a last resort to survival. Destocking, as a management option (as opposed to a survival option), has been better implemented. The number of men who have bank accounts is reported to have increased. Some men reported considering livestock fattening during the rains as a business option – which would not have been considered previously.
- As described in the ALP model, the programme is to be executed by an implementing agency and with the assistance of community-based monitors. While an implementing agency has been identified and contracted, work on the ground has been stalled, reportedly due to financial availability issues; thus far, only one community-based monitor has been identified and hired.
- The CBA process is a 'software' process where the engagement with the stakeholders does not necessarily yield tangible 'hardware', such as a borehole, a dispensary, a school and so on. Implementation is time consuming, requires



much patience and calls for strong expectation management skills. When applied to a community that is used to donor interventions, such as cash and food handouts at times of drought, and construction of utility facilities, the dialogue has to demonstrate the future added value of the process in succinct terms that resonate with long-term community goals. ALP is aimed at protecting, restoring and strengthening the dignity of the people by making them more self-reliant. For some community members, it is easier to receive relief and other assistance – there are plenty of donors around who are willing to invest in their livelihoods if they can prove their poverty – and the assumption that their aim is self-reliance is considered presumptuous.

- Linkages have been created and strengthened between the community and other service providers. ALP has supported the ministries of Livestock and Agriculture to reach pastoralist and agro-populations. The Ministry of Gender and Social Services has managed to reach many communities with the Women Enterprise Fund with ALP support.

Despite the challenges encountered, and in the span of a year, ALP has contributed to creating a shift in the mind set of the people and has enabled them to overcome long-embedded cultural beliefs and practices. While it may not have applied the CBA process as initially envisioned, and prescribed, in achieving this mind shift, it has demonstrated that the methodology used has had desired impact. This mode of application needs to be better documented.

Output 2: Communities and local civil society organisations supported to voice their concerns on climate change and to influence future allocations of resources for adaptation.

Indicator 1: Number of target local civil society institutions advocating for the rights of vulnerable people to livelihood resources necessary for adaptation

Indicator 2: Number of target local governments who have included adaptation in participatory planning processes

Indicator 3: Number of local civil society organisations representing vulnerable groups who report that their views have been taken up in local planning processes

Activities Undertaken

One participatory scenario planning (PSP) workshop was held in March 2012 and another in September 2012 and advisories from the workshop were broadcast to the community, as a way of promoting the use of climate information in planning and decision making. ALP Kenya facilitates PSP workshops through which the KMD, community members, local government departments and local NGOs share their knowledge about future climate forecasts, develop climate impact scenarios based on these forecasts, and use the scenarios to make recommendations or advisories for decision making on adaptation, livelihoods, development and disaster risk reduction (DRR).

ALP Kenya is working closely with five local CSOs (WEED, Peacenet, PIO, ALEDO, and Women Concern) which have established the Northern Kenya Climate Change Network. The network was intended to advocate community-based adaptation, and was expected to amplify the voice of the community in decision-making processes.

Findings

- The PSP process is a multi-sector, multi-stakeholder forum that engages participants in seasonal planning based on weather forecasts.
- The PSP process has initiated a platform that brings together local-level government offices, community representatives including local chiefs and religious leaders, CSOs, women, youth and men. It has enabled the acknowledgement of climate change at all levels, and instigated collective weather-conscious planning.
- The PSP approach has enabled the overcoming of cultural perceptions and is facilitating the joint planning of responses to possible anticipated weather-related events and addresses all levels.
- Resources allocated by the government are being reviewed and applied, as informed by the PSP process.
- The PSP process has enabled the creation of a platform for discussion that has, first and foremost, enabled complex climate information to be handled in a real and relevant manner.
- The PSP process has brought together different stakeholders from different educational, cultural and social backgrounds, and has facilitated discussions that have allowed the participants to accommodate the varying intellectual levels and overcome communication barriers, resulting in joint planning towards a common goal.

Output 3: Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organisations

Indicator 1: Number of reflection and learning meetings held (programme-level/internal/stakeholders)

Indicator 2: Number of innovative methods for monitoring and evaluating CBA applied and validated

Indicator 3: Number of publications produced on CBA models (practitioner-oriented/policy oriented)

Activities Undertaken

Apart from the quarterly review meetings, which are mostly internal meetings, ALP Kenya held its first annual review meeting in January 2012. The meeting was held with an objective of reflecting on the progress made towards the attainment of ALP deliverables, as well identification of opportunities, constraints and lessons learnt during the year. The meeting had participants from partner institutions, mainly government ministries (agriculture, livestock, environment, and irrigation), civil society organisations, and communities represented by their chiefs.

Findings

- Four quarterly review meetings have been held. These meetings mostly engage ALP Kenya programme staff and some members of the PCT. The programme is reviewed at these meetings and the team deliberations are guided by the five M&E questions:
 - What are communities, local and national governments doing differently and why? (Capture practices and the attitude and

knowledge that are the drivers for the change.) What changed for whom and why?

- What happened which was unexpected and what was the impact? (positive and negative)
- What difference are the changes from Q1 and Q2 making, for whom and why?
- What impact do these changes (Q3) have on the equality, rights and relations within and between gender, community groups, livelihood groups, local governments and other relevant actors and why?
- What can we learn from these to inform future ALP actions/CBA? Include both positive and negative lessons.

The information is captured in an Excel-based matrix that measures the above questions across the three levels of operation: community, local government and national processes. The information could be better understood and utilised if it could be processed into short narrative reports that demonstrate the change across each question area over a period of time.

- ALP has initiated the compilation and production of photo-stories. The theme and content of the stories are decided by the communities themselves, and therefore the stories are a “voice” from the community. It is a tool for information sharing across communities and from local communities to other stakeholders
- There is some evidence of “non-facilitated” cross-learning taking place between ALP communities. Community discussions during this review process in Shanta Abaq revealed that the men had learned of a good maize variety grown by the Nanighi Community and had decided to try it themselves with good results. This transfer of information was achieved when ALP shared a photo-story “*We saw it Happen*” from Nanighi to show the people in Shanta Abaq how a photo story could be compiled. The story is about shifting livelihoods from pastoralism to agro-pastoralism to cope with survival needs, and the intent of the demonstration had been to promote the development of photo stories, but the community in Shanta Abaq picked up the information on maize, sought further detail using their own resources, and applied it with positive results.
- Peacenet is a CSO with activities in all districts in Northern Kenya. Inspired by the ALP model and PSP process, it is in the process of mobilising resources to replicate ALP in the other districts where it has operations.
- The programme has faced numerous challenges in its implementation, and has deviated substantially from the process as envisioned at the point of inception. However, the innovations applied and challenges faced have not been adequately captured. The experience in the application of the CVCA and CRiSTAL tools, and the ‘quick win’ strategies employed have generated rich lessons that provide a strong basis to inform the review of the CBA process, and probably has the basis of developing a more flexible model. However, no models have been developed apart from the PSP. There is need to better document and analyse the experience to generate lessons and inform future planning.

Output 4: CBA approaches promoted to influence the policies and plans of governments, regional and international organizations



Indicator 1: Evidence from community-based adaptation projects and climate vulnerability assessments informs local and national adaptation priorities and plans in key sectors

Indicator 2: Percentage of ALP national-level partners engaged in regional/international networks and alliances to undertake advocacy on climate change adaptation

Indicator 3: Evidence from community-based adaptation demonstration projects is used in CARE's regional and international advocacy on adaptation

Activities undertaken

- Kenya is in the process of developing its National Adaptation Plan (NAP). ALP is represented in the adaptation thematic working group which comprises experts who provide technical support to the consultants charged with developing the NAP. To generate input from adaptation practitioners in the country into this process, ALP Kenya organised a two-day national adaptation practitioners learning event that generated rich information to share with the consultants preparing the national adaptation plan. The learning event was officially opened by the Director of the Climate Change Secretariat in the Ministry of Environment and Mineral Resources, who publicly supported the incorporation of CBA in planning and development processes in the country.
- ALP in collaboration with the Kenya Climate Justice Women Champions organised a two-day workshop on women and climate change, looking at the institutional framework that supports women's organising and engagement in the adaptation discourse in the country.
- ALP has provided financial support to PACJA members to enable them to attend key events around the UNFCCC and related processes and to pan-African events, such as AMCEN and the African Parliamentarians Network on Climate Change meetings, with the purpose of lobbying for increased investment of financial and non-financial resources into adaptation. ALP also facilitated the participation of CSOs in the Climate Caravan of Hope from Bujumbura to Durban.

Findings

- ALP has identified the key nodes in the sector players' framework to target and engage in its advocacy efforts. It has identified key processes to participate in, either directly or through other partner agencies.
- ALP supports CSO participation at key CC and related events. However, apart from the participation of these CSOs at the learning events, there is no evidence of targeted advocacy messages being provided to the individuals facilitated, and little evidence of follow-up post participation to determine results and outputs or outcomes. ALP has no influence over the agenda that the person promotes, nor does it have any mechanism to determine the level, nature, or impact of participation. There is no information provided to the participants and they are not obliged to report to the rest of their community on the activities at the events attended.
- PACJA and the other African lobby groups are not able to make a case for investment in advocacy and the messages being promoted do not clearly reflect the African experience, nor do they demonstrate African priorities.

- There is a greater interest in funding and investing in mitigation measures and the case for investment in adaptation needs to be strengthened. The economic study makes a very compelling case, and information from this study needs to be captured to inform advocacy efforts.
- CARE/ALP is recognised as a key player. It's experience and expertise is sought after. ALP is a member of two task force groups (adaptation and gender) working on the action plan for the National CC Response Strategy (NCCRS), which in turn is feeding into GoK's Vision 2030
- One of the objectives of the programme is to use national level information to feed into CARE International advocacy and practice. Quarterly, half annual and annual reports that compile information from all countries are prepared and distributed within CARE and to the donors

Output 5: *CBA promoted to governments and NGOs in the countries and across Africa to encourage widespread adoption*

Indicator 1: Programme results promoted through learning networks within target countries and regionally

Indicator 2: Number of other organisations in Ghana, Kenya, Mozambique and Niger adopting CBA approaches developed by the project

Indicator 3: Number of other organisations in other African countries (including CARE's other country programmes) adopting CBA approaches developed by the project

Activities Undertaken

One national learning event for CBA practitioners was held in January 2012. The learning event brought together national and local level CSOs, national level government representatives (including Kenya climate change secretariat), consultants for the Kenya CC National action plan, ALP PCT, AAP, and CARE Kenya.

ALP Kenya is promoting the use of PSP for communicating climate information in an understandable and acceptable way, but so far, there have been no reports on adoption.

ALP supported its implementing partner, the Centre for Sustainable Development Initiatives (CSDI) to participate in the Africa climate change market place in Bamenda Cameroon. The event was a trade fair for innovative adaptation strategies by grassroots organizations. CSDI used the event to share their experiences in working on innovative dry land management methods in Kenya such as management on *Prosopis Juliflora* and the use of *Groasis* box for rehabilitation of degraded landscapes in Northern Kenya.

ALP was invited to join the ELLA (Evidence and Learning from Latin America) national adaptation learning group that is hosted by Practical Action, with the aim of promoting learning among adaptation practitioners in the country.

Findings

- ALP/CARE is perceived as CBA leader among CSOs, and within the Kenya Climate Change Working Group (KCCWG);
- CARE/ALP is recognised as the CSO focal point on adaptation by all sector players. It is considered a key source of information and materials. A number of the CSOs interviewed through the process reported having used CARE

material accessed through the ALP team as reference and background materials, and some have used the CVCA tools, albeit with some modifications, in their own projects.

- Government of Kenya ministries and agencies recognize the importance of the work ALP is doing and see opportunities for adding value to their own work. The Arid Lands Secretariat sees the work with local government planning processes as a useful model that can be build the capacity of the new County Councils to be structured under the new constitution. The Meteorological Department benefits from the ALP approaches to incorporating weather forecasting into local community planning.
- ALP is active in alliances such as KCCWG, Gender and CC, REGLAP, RREAD and CCAFS. KCCWG sees ALP as a key resource for assisting other CSOs in adopting CBA practices across Kenya. REGLAP has identified specific capacity-building needs in its network members that can be addressed through ALP approaches. CCAFS looks to ALP to assist in building case studies that can promote better climate resilient agricultural practices.

Recommendations

1. The fact that the Country Programme Manager is based in Nairobi has reportedly had a negative impact on the efficiency in delivery due to communication requirements and resulting time lags in decision making and fund transfers. However, the Country Programme Manager also serves the national advocacy and networking function. The programme staff needs to determine a way to overcome this challenge. Some suggested options are; increased decision making authority at the Garissa Level, more frequent visits of the CPM to Garissa from Nairobi or separating the national advocacy function from the country programme manager and recruiting and positioning them accordingly.
2. The changes in strategies in the application of the CBA process as it unfolds need to be better captured, assessed and documented to inform future modelling and also to inform the review of the current CBA process.
3. With respect to recommendation 2, ALP-Kenya should particularly document the local governance process with respect to the multi-stakeholder engagement in the PSP mechanism. As observed by the Arid Lands Secretariat, this model could be very valuable for building capacity of the County Council governments under the new constitution, in providing them with tools for incorporating CC in local planning and budgeting.
4. Engaging communities in planning has traditionally involved the establishment of local level committees to anchor and assume responsibility of the process from planning to implementation and M&E. The ALP communities have been through a number of such planning processes, and have formed a number of such committees – some of which are even registered with line ministries. Before setting up yet another committee, it would be worthwhile to examine existing structures to see what worked and what didn't and why so that the ALP process builds on the existing experience and does not end up reinventing a much used, not very useful wheel.
5. The value of ALP lies in the fact that it intends to transform communities from being victims to "drivers"; it intends to restore and build dignity. This message needs to be better explained at the local level both as a way to overcome the fatigue and also to enable expectation management. It is



important that the community members see the value of this and own the purpose of the process.

6. While the implementing partner, CSDI, has been contracted on paper, no funds have been transferred and no activities have been initiated on the ground. This needs to be hastened, especially in light of the remaining duration of the ALP.
7. The community literacy levels are low. However, verbal communication has been very effectively developed and used. People within the community can be relied upon to pass on messages verbatim – without interpretation. This needs to be taken into account when preparing information broadcasts for the community. Brochures and flyers need to be more pictorial and less text oriented. This also underlines the importance of engaging media in enabling community information broadcasts.
8. There is need to develop targeted advocacy messages for the different levels where change is desired. These can be developed in conjunction with other practitioners and lobbyists to ensure that the messages are better taken up at all desired levels.
9. Lack of capacity and understanding of CC and adaptation issues within government is a key challenge to the development and implementation of CC plans and policy. ALP needs to work with other practitioners to address this capacity gap without which uptake of any lessons coming from the practitioners will be compromised.
10. The PSP process clearly demonstrates the value of joint, climate conscious planning across Ministries. This needs to be promoted from District to the National level. ALP should consider organising a field visit including participation within a PSP of key opinion leaders within line ministries at the national level (maybe start with the Ministry of Planning) for this purpose.
11. The DDO chairs the PSP and is also charged with the monitoring the budgets of all line ministries at the District level. ALP needs to work with this office to build in more CC Adaptation indicators for better mainstreaming of adaptation across all the local government initiatives.
12. Opportunities should be explored with KMD for designing and implementing innovative CC communication tools.



d) Mozambique Country Report

Adaptation Learning Programme (ALP) CARE International

ALP Mid-term Review (MTR)

Mozambique Country Report

Introduction

In Mozambique the District of Angoche in Nampula Province was selected as the programme area for ALP. It is as it has the typical characteristics of coastal areas in Mozambique and the east coast of Africa in general. This District has historically been subjected to climate stresses such as cyclones, coastal erosion and inundation, drought and floods. Historic livelihood stresses include limited access to freshwater due to the seasonal nature of the surface waters, poor soil fertility, plant and animal diseases, declining fisheries, low levels of education, high incidence of naturally occurring illnesses (e.g. malaria, cholera, etc.) and the more recent increase in incidence of HIV/AIDS. In addition alternative economic opportunities are limited due to non-existent formal employment and complete reliance on natural resource use.

CARE-Mozambique has been working in Nampula Province for over 20 years on developing sustainable livelihood strategies in the Province. The CARE-WWF alliance is working in Angoche District on an integrated programme known as the Primeiras and Segundas which focuses on the fisheries and agricultural sector, as well as group capacity building. ALP is seen as complementing the programme and providing a climate lens for the activities being undertaken in the District.

Nine communities were selected for ALP in 5 Administrative Posts and 7 localities in Angoche District. The total population in these communities is over 16,700 people. The communities are split into three ecological-livelihood categories: inland, coastal and islands. The categorisation of Gelo-Sede and Namupa posed the most difficulties both within 20 to 25km of the coast respectively. In the case of Gelo-Sede, the community has been categorised as coastal as there is a strong emphasis in the community on fishing, owning boats and in general the coastal area.

Angoche district is part of a pilot GoM/UNDP (Africa Adapt Programme) support project to integrate CC in district planning and budgeting.

MTR Visit to Mozambique

The MTR mission to Mozambique was from 02-15 September 2012 - Maputo 02-09 September, Nampula 09-15 September. The team consisted of Rob Sinclair (MTR Team Leader) and Angela Abdula (Mozambique national consultant). They were accompanied in Maputo by Ruth Mitei, ALP PCT Learning, Gender and Governance Advisor, and in Nampula/Angoche by Peterson Mucheke, ALP PCT Monitoring and Evaluation Advisor.

In Maputo the mission met with government officials, donors, UN and academic organizations, national CSOs and international CSO partners. There was an initial consultation with the CARE Country Office and then a de-briefing on the final work day (Friday 07 September was a national holiday, although two more

interviews were done). The Maputo leg of the mission was constrained by the unfortunate hospitalization of the National Advocacy Manager, who was thus not available to either brief the team or to supervise organization of the interviews. Aside from having to conduct interviews without background information on the informants' relationship to the programme, it also caused weak organizing of the meetings, a number of which were either cancelled or re-scheduled at the last minute, thus wasting valuable time and opportunities for the team. Despite these constraints, the team was able to conduct about 15 meetings at national level.

In Nampula the mission began with a half-day consultation with the ALP team, and then drove the three hours to Angoche, where three community visits were conducted over the next two days – to Sinhanhe, Gelo-Sede and Namupa. The team also conducted a number of interviews in both Angoche and Nampula, with district/provincial government officials and partner CSOs.

Findings by Output

Output 1: *Innovative approaches to community-based adaptation (CBA) developed and implemented by communities and local partners.*

Indicator: Number of individuals (men, women, vulnerable men and women) supported to diversify their livelihoods

Indicator: Number of target local governments with effective disaster preparedness plans, including early warning systems

Indicator: Number of target local organisations (civil society and district/commune governments) which significantly improve their capacity to analyse climate risks and plan adaptation actions

Activities undertaken:

The CBA process was started in mid-2011, but was not completed due a number of factors. Participatory consultations with the communities were deemed to be unsatisfactory, communities were not sufficiently engaged in determining priority adaptation actions and there was weak gender integration in the process. There were long delays in completing the consultant's report on the CVCA.

In order to secure continued community engagement, ALP and CARE Mozambique launched several quick-win interventions, focused on farmer field schools (FFSs) and poultry vaccination. The local implementing partner, AENA, implemented the FFS initiative with support from CARE Mozambique, although a long delay in finalizing the contract with AENA meant that they had to operate for several months without financial support. In several communities the FFS or vaccination interventions were unsuccessful, but for the most part they did succeed in achieving results in the initial phase.

Findings:

The lengthy and ultimately unsuccessful CBA process led to a community fatigue that threatened to de-rail the ALP programme in Angoche. Community members expressed their disappointment regarding a lot of talk but few deliverables. The quick-wins were, however, successful in alleviating the problem, and are appreciated by the communities. During the MTR visits community members attested to their increased knowledge on agricultural management.

The idea for the FFSs and vaccination activities did not emerge from the community consultation process, and it became clear in community consultations that, despite appreciation of these initiatives, community members had other priorities that they felt were more important than the training and technical support. Water supply (in all villages), schools, livestock and cyclone shelters



were some of the needs identified as top priorities in these discussions. Water resources management cannot satisfactorily cope even with current climate variability, resulting in flood and drought damage. Communities claimed projects should aim at water-related management activities so that they can adapt to longer-term climate change impacts. Clearly the quick-wins are only an interim measure and more needs to be done to identify and address community priorities.

On the positive side, the MTR team also heard from community members that more people wanted to participate in the FFSs (currently only a limited number have been involved, and including very few women farmers), and they were especially attracted by what they saw as increased collaboration and problem-solving in the FFS groups, including discussions these groups had been having with the village chiefs. This is a strong indication that the FFSs can be entry points for re-engaging communities at a broader level.

The implementing partner, AENA, has good local capacity and can be more engaged in design and implementation of community level activities. Their work has been constrained by long delays in contracting and subsequent problems in getting funds on time to undertake urgent activities – release of funds to hire a vehicle to deliver cassava sticks was cited. Discussions were held with AENA staff at local and headquarters levels, and the MTR team was impressed by their understanding of local issues and their perceptions on how to move forward.

It was also noted that a number of agencies and organizations working in the region, including several CARE projects, have technical capacity in areas that the communities expressed need for support. Local CSOs are adopting CBA approaches through ALP training. Better utilization of such resources could enhance ALP's ability to address expressed community priorities.

There is little evidence that communities are incorporating climate knowledge into local decision-making, other than a request for storm shelters. GoM has established local DRR committees, but there is no evidence of ALP engagement in this process (Save the Children is supporting them), as they were not once mentioned in community consultations. A local radio station had formerly been broadcasting weather and climate information provide by the meteorological agency, INAM, but this was discontinued when the local INAM official was transferred. ALP has an intention to support re-launching of the programme, but this has yet to be discussed with INAM.

Output 2: *Communities and local civil society organizations supported to voice their concerns on climate change and to influence future allocations of resources for adaptation.*

Indicator 1: Number of target local civil society institutions advocating for the rights of vulnerable people to livelihood resources necessary for adaptation

Indicator 2: Number of target local governments who have included adaptation in participatory planning processes

Indicator 3: Number of local civil society organisations representing vulnerable groups who report that their views have been taken up in local planning processes

Activities Undertaken

The main activity under Output 2 has been the establishment and coordination of a District CSO platform engaged with local government. It does not have an explicit climate adaptation mandate, but rather seeks to engage with the



government in planning on development initiatives generally, including a climate focus.

At the provincial level, ALP has been working with the existing civil society forum (UCODIN – Coordination Unit for Integrated Development of Nampula, created by the provincial government to interact and partner with CSOs and private sector), in particular facilitating the environmental theme group within the platform in formulating input to public consultations on a draft national climate change strategy.

Findings

The District CSO platform is engaged with local government; CSO activity plans are included in the District Development Plan. CSO members of the platform claim that this recognition by local government has facilitated easier access to communities, as the latter now see the CSO interventions as being endorsed by government, and therefore akin to official assistance.

The above achievement is mitigated by the fact that the voices of vulnerable groups, local communities, farmer and fisher groups and women, for example, as yet have not been given a channel through this forum to express their concerns and needs to local authority plans. In addition, ALP has not given much attention to gender integration. The Ministry of Environment in Maputo, however, has expressed a wish to work with ALP in Angoche to pilot initiatives to begin implementing their “Strategy and Action Plan for Gender, Environment and Climate Change” (MICOA 2010). This could be an excellent opportunity for ALP to strengthen its focus on gender in Mozambique.

The MTR team observed that many more opportunities exist to engage government at local level and government officials want to work with ALP, e.g. education department, DRR, planning Ministry, etc. in some cases these offices have participated in ALP CBA training, and all are aware of the ALP programme, but there has been little, if any, follow-up by ALP to explore opportunities for collaboration.

There is a substantial opportunity here that has not been adequately pursued. As mentioned, Angoche district is part of a pilot GoM/UNDP (Africa Adapt Programme) support project to integrate CC in district planning and budgeting. DANIDA has indicated an interest in supporting a cross-district proposal on building local government capacity to work with civil society on CC issues. The education department would like to work with ALP on FFSs and young farmer groups. The DRR agency, INGC, needs better community engagement in their work, and the meteorological agency is interested in working with ALP to improve climate communication at the local level.

Under the GoM decentralization process, district governments have established stakeholder consultative committees at local level throughout the district, to provide input to the planning process. There is also a district level consultative council. ALP has not been engaged with these bodies, and indeed the community consultations did not mention them as a viable channel for them to communicate with government. This may relate to the politics of the area, where most communities are in the opposition camp, while government appointments – such as these consultative committees – tend to be to governing party supporters. Nonetheless, the committees are an institutionalized governance mechanism that should have the potential for improving dialogue between government and local residents, if accorded the kind of institutional capacity building that a programme such as ALP is designed to provide. This is a challenge, but also a potentially strong opportunity for ALP in Angoche.



By contrast, the MTR team observed that the need for government engagement at provincial level in Nampula is minimal, despite the fact that the local advocacy officer concentrates much of his time there. The CSO platform is long-established in Nampula, and does not need the kind of support being provided to the platforms either in Angoche or at the national level in Maputo. Much more concerted effort needs to be focused on Angoche District. The potential for building a good model of local government engagement in CBA is good.

Output 3: Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organisations

Indicator 1: Number of reflection and learning meetings held (programme-level/internal/stakeholders)

Indicator 2: Number of innovative methods for monitoring and evaluating CBA applied and validated

Indicator 3: Number of publications produced on CBA models (practitioner-oriented/policy oriented)

Activities Undertaken

Given the delays and challenges experienced by ALP in implementing Outputs 1 and 2 so far, results are yet to be seen that can provide the evidence of CBA achievement that could be used to influence policy. The only tangible product has been one photo-story.

Findings

Review meetings have been happening on a regular basis, but evidence of learning outcomes is weak. For example, one partner stated that their input in quarterly meetings is not followed up on.

The issue of language and translation is a significant concern here. The PCT in Nairobi has no Portuguese language capacity, nor does it regularly use professional translators. The English language capacity of ALP's Mozambique staff is generally weak, and the MTR team also observed that the English-Portuguese-English translation services used in Nampula are sub-optimal. Given the priority of horizontal and vertical learning (inter- and intra-country) in ALP, this language problem poses a serious constraint on achieving learning outcomes *in* Mozambique, or *from* Mozambique for the rest of the ALP programme.

The opportunities for strengthening engagement of local government departments noted under Output 2, also present an opportunity for eventually building and documenting a local governance model, focused on CSO engagement around CC and development planning. Opportunities such as the DANIDA request for proposals could be an incentive to mobilize partners in this effort.

Furthermore, a good opportunity exists to document models of CBA by other CSOs in the district, given that they have learned from ALP's CBA training and claim to be incorporating the learned approaches in their own work. ALP's Livelihoods and DRR officer, along with the new Monitoring officer, could extend their focus to a collaborative monitoring and learning initiative through the Angoche civil society platform, at little cost to ALP, particularly if AENA is given more responsibility for implementation at community level, as recommended already.

Output 4: CBA approaches promoted to influence the policies and plans of governments, regional and international organizations



Indicator 1: Evidence from community-based adaptation projects and climate vulnerability assessments informs local and national adaptation priorities and plans in key sectors

Indicator 2: Percentage of ALP national-level partners engaged in regional/international networks and alliances to undertake advocacy on climate change adaptation

Indicator 3: Evidence from community-based adaptation demonstration projects is used in CARE's regional and international advocacy on adaptation

Activities undertaken

In 2011 ALP played a lead role in bringing together government officials and CSOs to prepare for participation in the 17th Conference of the Parties of the UN Framework Convention on Climate Change, being held in Durban, South Africa, in December. Due to Maputo's proximity to the location of this important event, there was a lot of interest in Mozambique to take part. ALP, along with several CSO partners, facilitated a series of training events to raise awareness on the issues to be discussed in Durban and to prepare Mozambique's input to the African Common Position as well as several side events. In 2012 ALP has continued to support government and CSO input to the UNFCCC process, in particular facilitating participation of CSOs in the AMCEN preparatory meeting for CoP-18.

ALP also played an active role in the preparation of Mozambique's national climate strategy, which was due to be finalized by October 2012. ALP was a member of a national task force on the plan, and it also facilitated a CSO consultation on the draft strategy in Nampula, and substantive input was submitted through this activity.

A third important activity under Output 4 was the establishment of a national CSO platform on Climate Change. This emerged from the preparatory activities for CoP-17. In partnership with several other international CSOs (ACCRA, World Vision), a group of national CSOs were assisted to institutionalize a forum for on-going consultation and advocacy with government on CC issues. There are plans to assist the forum in developing a strategic plan and to provide capacity-building support.

Findings

There has clearly been a strong ALP contribution to catalyzing GoM-CSO collaboration on CoP-17 participation; CSOs participated as official delegation members and continue to engage with government in the UNFCCC process.

The establishment of the CSO CC platform was a singular achievement for ALP with its partners, especially considering that prior to this intervention there was little civil society action on climate change issues at the national level. The capacity of the fledgling platform is weak, but ALP is in position to provide capacity building support.

ALP is recognized by GoM as a lead actor on CC adaptation. ALP has positioned itself well in this regard, and is invited to sit on important committees/task forces and to provide training on CBA to officials. This positioning is critical for the future work of ALP, once targeted, evidence-based inputs to policy formulation have been developed by ALP (and by others).

The above raises a significant challenge for ALP in Mozambique, as in the other ALP countries. There is a need for targeted evidence from local CBA practice to



inform government policy. This means that ALP must clearly identify what messages are needed by policy-makers to convince them of the need for increasing support to CBA, and to support country negotiators to argue this case in international policy forums. Once these needs have been articulated, the ALP National Advocacy Manager will need to work closely with his team on the ground to determine how best to gather and articulate this evidence.

A further challenge is that some political constraints to GoM-CSO engagement are not fully recognized by CSOs; there is a critical need for an advocacy strategy taking such matters into account, as well as addressing the issue of targeted messaging.

Output 5: *CBA promoted to governments and NGOs in the countries and across Africa to encourage widespread adoption*

Indicator 1: Programme results promoted through learning networks within target countries and regionally

Indicator 2: Number of other organisations in Ghana, Kenya, Mozambique and Niger adopting CBA approaches developed by the project

Indicator 3: Number of other organisations in other African countries (including CARE's other country programmes) adopting CBA approaches developed by the project

Activities Undertaken

Several knowledge-sharing initiatives through the CSO-CC platform members have been or are in the process of being established. ALP provided or facilitated training of CSOs on adaptation issues at both national and local levels, and there is evidence of increased uptake of CBA approaches by a number of organizations as a result.

In addition, ALP has provided CBA training to other CARE projects in the northern region.

Findings

ALP Mozambique is recognized as a lead resource for CBA; it has been requested by the Ministry of Environmental Coordination to train eight other districts.

Although institutions play a critical role in supporting adaptation, external interventions in the form of new information and technology aimed at improving effective coping capacities, institutional coordination for better articulation (connections among institutions) and improved access (connections of institutions with social groups), and inflows of financial support for local leadership are critical.

The link between national advocacy work and local practice is weak. From discussions in Nampula with the provincial CSO forum, it appears that this gap is not unique to ALP, but is a problem faced by CSO forums working in a variety of sectors. If ALP were able to design a mechanism for effectively bringing local experience to inform national policy formulation – as it is intended to do – there could be an ancillary benefit of providing a model of national to local linkages for other CSO processes to learn from.

Recommendations for Mozambique



Output 1

- i. ALP should build on its Farmer Field School work as entry point for community re-engagement; this should include broadening community participation, incorporating weather forecasting and climate change risk management, and gradually extending participatory learning and planning activities to cover issues of concern to the communities.
- ii. Strengthen role of EANA: the local implementing partner needs to be given a broader mandate and clearer design and decision-making responsibility.
- iii. ALP should bring partner CSOs into its monitoring mechanism, in order to ensure the capturing of the quantity and quality of impact evidence needed for local and national advocacy.
- iv. ALP needs to explore partnerships for technical cooperation with other CSOs and CARE projects in the region.

Output 2

- i. ALP should significantly strengthen its focus on engaging with local government departments and agencies in Angoche.
- ii. ALP should re-locate the local advocacy officer from Nampula to Angoche to immediately begin working on the above, and the National Advocacy Manager needs to spend focused time in Angoche to assist in designing the actions to be taken.
- iii. ALP should develop a plan with MICOA to pilot initiatives on gender and CC in Angoche, and with DANIDA and District government to prepare a proposal on cross-district capacity building for government-civil society collaboration on CBA planning.
- iv. Work on Outputs 1 and 2 needs to increase focus on gender issues, and on strengthening voice of women and other vulnerable groups in governance processes.

Output 3

- i. ALP should acquire facilitation and documentation support for quarterly review meetings.
- ii. ALP Mozambique and the PCT need to improve Portuguese-English translation services in Nampula and Nairobi.
- iii. ALP should collaboratively document models of CBA by other CSOs in Angoche, to incorporate into ALP's learning process and to build models for national advocacy.

Output 4

ALP Mozambique needs to prioritize development of an advocacy strategy taking political realities into account, as well as addressing the issue of targeted messaging.

Output 5

ALP needs to strengthen communication and coordination between its national, provincial and local level advocacy work.

e) Case Study – Niger SCAP-RU

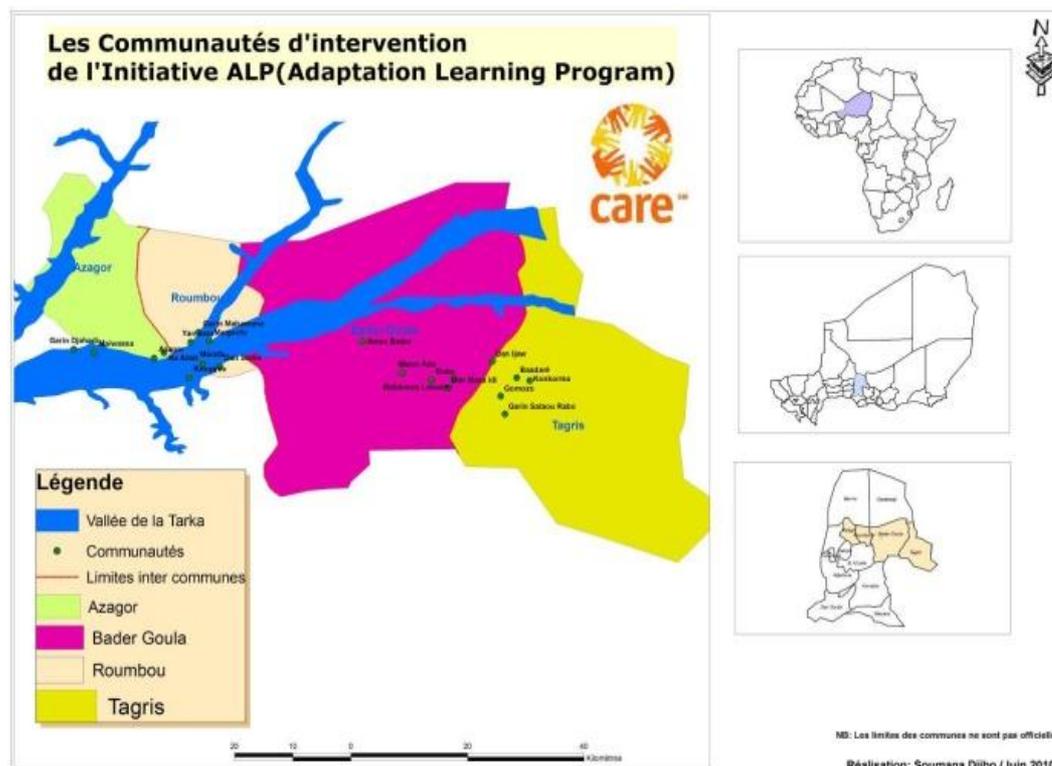
ALP NIGER Revue à mi-parcours : Etude de cas

Le Système Communautaire d’Alerte Précoce et de Réponses aux Urgences : un modèle d’adaptation à base communautaire pour la prévention des risques

1. Contexte :

A l’instar des autres pays du Sahel, le Niger est affecté par des facteurs de vulnérabilité persistants d’ordre naturel, anthropique et institutionnel. Les écosystèmes sont perturbés par des sécheresses récurrentes, la baisse de la fertilité des sols, l’exposition aux inondations, aux vents violents, à la pression parasitaire sur les cultures. Ces phénomènes sont aggravés par les facteurs anthropiques - dont une très forte croissance démographique - et la faiblesse institutionnelle.

ALP intervient dans le département de Dakoro, situé dans la région de Maradi (centre sud du Niger). Dakoro est confronté aux effets du changement climatique : dégradation des sols et du couvert arboré et herbacé, sécheresses et crises alimentaires rapprochées (2005, 2009, 2011) inondations affectant des populations déjà très vulnérables. Les modes d’exploitation du milieu – dont une remontée inexorable des zones de culture vers le nord empiétant sur la zone pastorale –aggravent la dégradation des ressources naturelles et la vulnérabilité des populations. Au plan national, le département de Dakoro fait partie des zones identifiées comme les plus vulnérables du pays.



ALP intervient dans vingt communautés relevant de quatre communes du département, centrées autour de la vallée de la Tarka, qui constitue un



écosystème particulier, sorte de « sas » stratégique entre la zone agro-pastorale au sud et la zone pastorale au nord.

Le programme ALP promeut l'approche adaptation à base communautaire (ABC) centrée sur l'identification des stratégies résilientes basées sur les besoins, priorités, ressources, savoirs et capacités des communautés. ALP a inscrit la réduction des risques et des catastrophes dans les axes stratégiques du processus d'identification des stratégies résilientes. C'est ainsi que l'activité de suivi communautaire d'alerte précoce a été retenue dans les stratégies

2. But de l'intervention

Le système communautaire d'alerte précoce (SCAP) vise à augmenter les capacités, les rôles et les responsabilités des communautés dans la prévision et la gestion des crises ou des catastrophes qui peuvent affecter les systèmes de vie de l'ensemble ou d'une très grande partie des ménages de la communauté.

- La prévision des crises ou des catastrophes constitue la fonction principale du processus de l'alerte précoce ;
- La gestion des crises ou des catastrophes constitue la fonction principale des processus de réponse aux urgences. Cette seconde fonction permet à la communauté de se préparer à la survenue des crises en déterminant, à l'avance, les types de réponses les plus appropriées à la crise et les mécanismes les plus efficaces de mise en œuvre de ces réponses.

Six conditions clefs détermineront le degré d'efficacité des réponses communautaires mises en œuvre en cas d'occurrence de crises ou de catastrophes :

1. L'accès et la génération de l'information pour les communautés et par les communautés elles-mêmes : prise de conscience de la nécessité d'un tel système, identification des indicateurs, identification des niveaux d'alerte et des types de réponses, collecte et analyse régulières des informations, utilisation adéquate des informations pour moduler les réponses et atténuer les impacts attendus de la manifestation d'un aléa ou plusieurs aléas générant une crise ou une catastrophe.
2. La définition d'une gamme d'actions à mettre en œuvre en fonction des types de crises probables et des niveaux d'alerte;
3. L'établissement d'alliances institutionnelles et de relations à tous les niveaux possibles de la communauté, de la sous-région, de la région ainsi que du niveau national et international ;
4. Le développement des capacités appropriées aux niveaux internes (surtout) et externes pour une exécution optimale des réponses ;
5. La création et l'entretien de la confiance entre le système formel et le système communautaire à travers des échanges d'informations ;
6. L'identification et l'organisation de la gestion de tous les types de crises ou catastrophes probables et la prise de mesures appropriées à temps au niveau de la communauté.

3. Principales activités et calendrier :

| Les étapes de mise en place | Activités | Période |
|---|--|--------------------------------------|
| Phase préparatoire | Elaboration des outils et modules de formation | 5 jours |
| | Formation des agents du projet ou de la structure d'intervention | 5 jours |
| | Identification des sites pilotes au niveau des sous-zones d'intervention en tenant compte de la représentativité agro écologique et humaine dans le choix des sites. | 7 jours (selon l'étendue de la zone) |
| | Conduite des séances d'animation, d'information et de sensibilisation sur le système d'alerte précoce | 10 jours |
| Collecte et analyse des données pour l'installation | Conduite de diagnostic SCAP/RU : compréhension du système, des concepts clés (aléas, risques), différents niveaux d'alerte, détermination des indicateurs locaux par niveau d'alerte et par secteur de Sécurité de Condition de Vie (SCV) en utilisant les outils MARP et la matrice d'analyse des indicateurs, classement préférentiel des indicateurs. ALP a mis un accent particulier sur les indicateurs liés au climat. Identification des réponses communautaires en fonction du calendrier saisonnier ; Classement des indicateurs et réponses en fonction de leur pertinence et faisabilité ; | 2 jours par communauté |
| Mise en place des comités | Deux personnes élues en AG par secteur retenu (5) 1. Climat, 2. Sécurité alimentaire, 3. Veille sanitaire, 4 Environnement et Gestion des Ressources Naturelles, 5 Relations sociales | 5 jours |
| | Définition des modalités de suivi selon un guide pour le bon fonctionnement du comité ; | |
| Elaboration d'une fiche de collecte des données | Réf (Fiche APCAN amendée) constituée des 5 secteurs SCV, des niveaux d'alerte, des indicateurs locaux d'alerte précoce et les stratégies communautaires en lien avec les indicateurs locaux signalés; Traduction de la fiche en langue locale pour une bonne compréhension et remplissage par les membres des structures ; | |
| Formation des membres | Formation des membres sur le remplissage de la fiche, la périodicité dans la transmission d'informations validées ; | 2 jours |
| Total | | |

4. Comment fonctionnent ces comités et quels sont les résultats atteints:

Un comité de SCAP/RU peut couvrir plusieurs villages ou grappes de villages (5 à 6 communautés). Ainsi dans la zone de ALP 4 SCAP/RU ont été mis en place,



certains couvrent 4 à 5 communautés constituées en grappe. Ces comités interviennent à différents niveaux :

Niveau intra-communautaire:

- Le comité SCAP-RU assure le suivi des indicateurs par secteur de vie et par niveau d'alerte ;
- Tenue de forum communautaire d'analyse des données collectées et de prise des mesures ou décisions d'atténuation ;
- Rapportage des informations (fiche SCAP-RU) ;

Niveau intercommunautaire:

- Orientation des structures communautaires d'alerte précoce et de réponses aux urgences vers la collecte des données ;
- Prise des mesures et décisions de concert avec les villages et hameaux concernés.

Niveau extracommunautaire plus ou moins large:

- Relation fonctionnelle avec les OSV (Observatoires de Suivi de Vulnérabilité au niveau communal où la structure est rattachée), avec appui conseils, partage des informations à travers les fiches de suivi, les visites terrain, etc.
- Le CSR/PGCA (le Comité Sous Régional de Prévention et Gestion des Crises qui assure : a) le cadrage institutionnel avec le niveau communal régional de l'échelle nationale ; b) la mobilisation des ressources et des acteurs nationaux et le suivi des activités d'alerte précoce et des réponses aux urgences. Les relations du CSR/PGCA avec le SCAP/RU concernent i) l'appui/formation ii) les échanges d'informations
- Relations avec le projet (ici, ALP) : i) Formations ; ii) Facilitation des contacts avec l'extérieur ; iii) Appui à la mobilisation des ressources externes additionnelles

Les principales activités menées par les SCAP/RU sont la collecte des informations par rapport au suivi de vulnérabilité communautaire dans les secteurs sécurité alimentaire, santé, environnement/gestion des ressources naturelles, relations sociales au sein des communautés et climat. ALP a intégré ce secteur pour permettre aux communautés d'apprécier et générer des informations, surtout sur les précipitations, avec l'installation des pluviomètres dans chaque communauté. Les SCAP/RU assurent aussi le relais entre le niveau communautaire et communal à travers la transmission des informations sur l'état de vulnérabilité des populations dans les domaines cités ci haut.

Les résultats observés de cette activité sont deux ordres :

- la prise en compte des informations communautaires dans le système d'alerte précoce au niveau départemental et même national
- les réponses aux urgences qui se sont traduites par des distributions de vivres, le cash for work, de food for work, etc.;
- une plus forte cohésion sociale au sein des communautés liée aux visites de concertation régulières pour la collecte et la validation des informations ;

- l'amélioration des connaissances communautaires sur le suivi de la vulnérabilité et l'alerte précoce,
- le rapportage communautaire
- la lecture et l'enregistrement des données pluviométriques au niveau communautaire, résultat le plus significatif (voir encadré).

Le pluviomètre communautaire : une petite révolution

L'introduction par ALP d'une vingtaine de pluviomètres au niveau des communautés a connu un succès inattendu. Le releveur de pluviomètre, formé à la lecture et à la transmission des données, est membre du SCAP/RU, dont il a renforcé l'image, et aussi la notoriété de la communauté. Les informations météorologiques sont transmises (par téléphone cellulaire) au service de météorologie départementale qui relaie l'information au niveau national : le nom du village est cité aux informations nationales de 13H !

La hauteur de pluie tombée au niveau de la communauté est une information clé – locale, précise- qui maintenant informe les décisions des paysans et des paysannes dans la mise en œuvre de leurs activités agricoles. La décision de semer ou non les semences améliorées vulgarisées par ALP - plus précoces, mais plus sensibles au niveau minimal de l'humidité du sol au moment du semis - est dorénavant liée au relevé pluviométrique communautaire. Une femme affirme : « *Moi, s'il n'est pas tombé 18mm, je ne sème pas !* » Cela a permis aux communautés de minimiser les risques liés à la perte des semences au début de la campagne agricole et d'intégrer concrètement les données météorologiques dans leurs stratégies.

5. Moments majeurs pour la réussite

- Pertinence de l'activité par rapport au contexte d'une zone très vulnérable et durement marquée par les crises récentes de 2005, 2009 et 2011
- La prise en compte de la dimension physico-matérielle a permis une meilleure protection des ressources des ménages en minimisant les impacts négatifs des crises ou des catastrophes : rôle du pluviomètre !
- L'implication et la responsabilisation du CSR/PGCA dans la mise en place des OSV, les formations des SCAP/RU et le suivi du fonctionnement des OSV et SCAP/RU;
- Le rapportage mensuel par les membres des structures communautaires a favorisé la transmission régulière des informations validées ;

6. Leçons apprises

En positif :

- Le mécanisme SCAP/RU renforce la responsabilisation communautaire en matière de suivi de vulnérabilité et d'alerte précoce ;
- La traduction en langue locale de la fiche communautaire favorise une large compréhension de la fiche, son remplissage par les membres des communautés, et l'appropriation de l'outil ;

- Le rôle prépondérant des autorités locales -le Comité sous régional d'alerte précoce, les communes- dans la mise en place et le fonctionnement des structures communautaires est un élément clé pour la pérennisation de l'activité (post ALP);
- Des technologies habituellement réservées aux « experts » - comme les pluviomètres - peuvent être rapidement appropriées et servir d'aide à la décision en milieu communautaire, lorsqu'elles sont perçues comme utiles

A améliorer : la durabilité et la répliation du système

- Les astreintes du bénévolat freinent à terme la motivation des membres.
- L'analyse communautaire : les populations ne dissocient pas encore facilement leurs contraintes courantes des catastrophes ou situations de crises, toujours référées au déficit structurel de la pluviométrie
- La mise en place du système est un processus long et itératif qui nécessite des efforts soutenus de formation/capacitation à plusieurs niveaux.

7. Recommandations pour la capitalisation (learning) et le suivi:

- Moderniser le système de transmission des informations avec les NTIC (Nouvelles Technologies de l'Information et la Communication) ;
- Minimiser l'effet de bénévolat de l'activité par des gratifications afin de motiver les membres qui parcourent des km pour la collecte des données et la participation aux Assemblées Générales communautaires de validation des informations;
- Mettre en place un mécanisme de proximité de réponses aux situations d'urgence afin de minimiser l'attentisme des communautés ;
- Restructurer les comités pour prendre en compte les changements intervenus comme les absentéismes aux réunions de validation, départs en exode rural... dans les communautés;
- Recycler les membres des structures communautaires pour une mise à niveau des membres, et assurer une représentation des femmes plus équilibrée.

Annex – Persons interviewed

Niger

Ghana

| S/N | Name | Organization/Institution |
|-----|--------------------------|--|
| 1 | Baba Tuahiru | CARE Ghana, Accra |
| 2 | Kwesi Asanti | Ministry of Finance and Economic Planning, Accra |
| 3 | Nana Darko | Christian Aid, Accra |
| 4 | Dominic and Charles | Ghana Meteorological Agency, Accra |
| 5 | Ken Kinney | Development Institute, Accra |
| 6 | Victoria Adongo | Peasant Farmers' Association of Ghana, Accra |
| 7 | Dr. Kingsford A. Asamoah | National Disaster Management Organization, Accra |
| 8 | Diana Boakye | National Disaster Management Organization, Accra |
| 9 | Charles | Religious Bodies Network of Ghana, Accra |
| 10 | Daniel Benefoh | Environmental Protection Agency, Accra |
| 11 | Winifred Nelson | Africa Adaptation Project (AAP, EPA), Accra |
| 12 | Kuuzegh | Ministry of Environment, Science and Technology, Accra |
| 13 | Dr. Abdulai Lansah | Savannah Agricultural Research Institute, Tamale |
| 14 | Jacob Lambong | Ghana Meteorological Agency, Tamale |
| 15 | Abu Iddrisu | Environmental Protection Agency, Tamale |
| 16 | Gyimah Lawri | Environmental Protection Agency, Tamale |
| 17 | Huria | Environmental Protection Agency, Tamale |
| 18 | Joseph Achana | Ghana Meteorological Agency, Bolgatanga |
| 19 | Rovers Abazaan and James | Presby Agricultural Station, Langbensi |
| 20 | Moses Tampuri | Partners for Rural Empowerment for Development (PARED), Nalerigu |
| 21 | Nindoo Musah | Partners for Rural Empowerment for Development (PARED), Nalerigu |
| 22 | Joseph Duut Yenukoa | Community Monitor, Farfar |
| 23 | Paul S. Ayagiba | Ministry of Food and Agriculture, Garu |
| 24 | Dennis Asampambilla | Ministry of Food and Agriculture, Garu |
| 25 | Attuley Isaac | District Assembly, Garu |
| 26 | Vincent Babantsi | District Assembly, Garu |
| 27 | Grace Nkor | NADMO, Garu |
| 27 | Moagri Josepg | District Assembly, Garu |
| 28 | Anyande Abraham | Information Service, Garu |
| 29 | Juliana Awiah | Social Welfare Department, Garu |
| 30 | Edward Dahamani | District Assembly, Garu |
| 31 | Gani Sharon-Florence | Rural Enterprises Project, Garu |
| 32 | Baseyi Eric | District Assembly, Garu |
| 33 | Romanus Gyang | CARE Ghana, Tamale |
| 34 | Thomas Ayamga | CARE Ghana, Tamale |
| 35 | Francis | CARE Ghana, Tamale |

| | | |
|----|----------------|-----------------------------------|
| 36 | Nuhu | CARE Ghana, Tamale |
| 37 | Agnes Loriba | CARE Ghana, Tamale |
| 38 | Solomon Atiiga | Presby Agricultural Station, Garu |
| 39 | Ben | Presby Agricultural Station, Garu |
| 39 | | |

Kenya

| Organization | Name |
|--|---------------------------|
| Ministry of Environment and Mineral Resources | Stephen Kinguyu |
| Peter Ambenje, Ezekial Muigai Njoroge | KMD - MET department |
| Ministry of Northern Kenya | Victor Orindi |
| NAPs consultant | Irene Karani |
| CORDAID | Mohamed Dida |
| COMESA | George Wamukoya |
| KCCWG – Kenya Climate Change Working Group | Joseph Ngondi and Cecilia |
| PACJA – Pan African Climate Justice Alliance | Mithika Mwendwa |
| Practical Action | Victor Esendi |
| Ministry of Agriculture | Esther Magambo |
| Gender and Climate Change Network | Annabell Waititu |
| Norwegian Church Aid (National youth Network) | Benson Ireri |
| AAP (Africa Adaptation Programme) | Harun Warui |
| WRMA – Water Resource Management Authority | Joseph Kinyua |
| CCAFS – Climate Change Agriculture and Food Security Programme | James Kinyangi |
| Member of Parliament | Hon. Otichillo |
| ALIN | Esther Lungahi |
| DFID Kenya | Virinder Sharma |
| Finland Embassy | Marjaana Pekkola |
| CARE Kenya | Gary, Doris |
| PREAD Coordinator | Hassan Hulufu |

| Consultations held at Garissa level Organisation | Name |
|---|-----------------|
| Ministry of Agriculture | Titus Utungo |
| Ministry of Agriculture | Pius Kitili |
| Ministry of state for national development, planning and vision 2030 | Silas Oure |
| Ministry of state for national development, planning and vision 2030 | Erastus Kariuki |
| Kenya Meteorological director | Simon Gachuri |
| Ministry of livestock development | Joel Okal |
| Ministry of livestock development | Adow Shalle |
| Ministry of water and irrigation | Chengo Safari |
| Peace and development network (PEACENET) | Shariff Mohamed |
| Agency for sustainable Pastoralists innovations and resilience (ASPIRE) | Mohammed Abbey |



| Organization | Name |
|--|----------------------|
| Woman Kind Kenya (WOKIKE) | Abdirahman Kuso |
| Centre for sustainable development initiative (CSDI) | Abdi Zeila |
| Women Concern | Fatuma Khaliff |
| Pastoralist initiative organization (PIO) | Abdullahi Dunto |
| Chief for Shanta Abaq | Mohammed Hassan Nuno |
| Community Monitor Balich | Omar Maalim Mohammed |
| District Gender and Social Development Officer | Abdulahi Idle Gure |
| District Development Officer Lagdera | Erastus Kariuki |
| Chief for Nanighi Location | Yusuf Abdi |
| ALP DRR Officer | Stanley Mutuma |
| ALP M&E | Joseph Nderitu |



Mozambique

10 Annex - Methodology – enquiry guideline

The scope of the evaluation is defined in the ToRs, with the following assessment focus areas used to review and assess ALP to-date:

- v. Results achieved and progress made towards achieving expected impacts;
- vi. Effectiveness of strategies and methods employed;
- vii. Contribution, relevance and 'added value' of ALP;
- viii. Effectiveness and efficiency of delivery.

Entry points for addressing the focus areas have been primarily identified from the following:

- ⇒ Outcomes of preliminary meetings with ALP staff in Nairobi.
- ⇒ Evaluation questions from the ToRs
- ⇒ ALP's "The 5 M&E Questions"
- ⇒ Five domains of change
- ⇒ ALP logframe

Proposed process for preparing the detailed methodology is to design enquiry points to address each of the assessment focus areas with respect to each of the ALP results areas, as illustrated in the following table.

| Output | Results | Strategy Effectiveness | Relevance | Delivery efficiency |
|--|---|--|--|--|
| <p>Purpose: Community-based adaptation (CBA) approaches for vulnerable communities incorporated into development policies and programmes in Ghana, Kenya, Mozambique and Niger, with plans in place to replicate across Africa.</p> | <p>This will essentially involve assessing the soundness of the overall project logic against the measured results achieved.</p> <p>How have assumptions and risks been addressed Including:</p> <ul style="list-style-type: none"> • Risk Mitigation strategies • Assumption adjustments | <p>How do the results, activities, outputs and immediate outcomes contribute to achieving ALP purpose and goal?</p> <p>How has ALP helped to understand and address differential vulnerability to CC of women?</p> | <p>How well has ALP kept up to date with and responded to emerging national and/or global adaptation and other relevant issues?</p> <p>How do differing interpretations of the ALP strategy in the 4 countries exhibit varying results in terms of governance, gender, land use, food security, livelihoods, socio-economic security and stability; how is this learning being captured and built on and</p> | <p>How effective, efficient and accountable is ALP organizational structure and ability to coordinate, manage and deliver a complex multi-layered programme?</p> |

| Output | Results | Strategy Effectiveness | Relevance | Delivery efficiency |
|--|---|--|--|---|
| | | | incorporated into ongoing project strategy? | |
| <p>Output 1. Innovative approaches to community-based adaptation (CBA) developed and implemented by communities and local partners.</p> | <p>What are communities, and local governments doing differently and why? What difference is this making? And to whom (men, women, most vulnerable)? Where? How is this attributable to ALP?</p> <p>What unexpected or additional outcomes have emerged; how has ALP taken advantage of or mitigated these?</p> | <p>To what extent are decisions and actions being taken governed by the ALP strategy addressing the 5 domains of change?</p> <p>To what extent are decisions driven by opportunities & circumstances?</p> <p>Is there a difference in results between these two rationales?</p> <p>Extent that ALP strategies are innovative; effectively fostering innovation & sustainability</p> <p>How gender dynamics have evolved.</p> | <p>Relevance of ALP's contribution to adaptation learning, practice and policy to needs at local level How is ALP engaging with local stakeholders and is this resulting in their ownership of CBA? Is there clear distinction between ALP (CARE) and national partners in the ownership?</p> <p>How have stakeholders been identified</p> <p>How does ALP's understanding of the context compare to the stakeholders' understanding of the context?</p> | <p>How have assumptions and risks been addressed?</p> <p>Are ALP methods increasing adaptive capacity?</p> <p>LA and CBO capacity to analyze climate risks and plan adaptation actions</p> <p>Are indicators in the log frame adequately engendered to monitor change in the relationship CC/GE (Gender Equality)</p> |
| <p>Output 2. Communities and local civil society organizations supported to voice their concerns on climate change and to influence future allocations of resources for adaptation.</p> | <p>How are local organizations voicing concerns? What has been achieved and how is this attributable to ALP?</p> <p>How much have these efforts contributed to LA inclusion of adaptation in planning processes and budgeting?</p> <p>How have gender dynamics been addressed by the LA and CSOs?</p> | <p>How are ALP strategies delivering sustainable LA policy and planning outcomes that reflect local ownership and accountability?</p> <p>What role is ALP playing in enabling women evolve into agents of change?</p> | <p>Relevance of ALP's contribution to adaptation learning, practice and policy at local level in terms of LA policy, planning and budgeting. Are there social, institutional, rights based, economic, environmental benefits from LA policy</p> | <p>How effective are ALP methodologies in building capacity and motivating local organizations in advocacy?</p> <p>What is the LA-CBO relationship and the role of ALP therein?</p> |

| Output | Results | Strategy Effectiveness | Relevance | Delivery efficiency |
|--|---|---|---|---|
| | | | changes? | |
| <p>Output 3. Models for CBA evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organizations</p> | <p>How is ALP contributing to CBA learning?</p> <p>What methods for monitoring and evaluating CBA been applied and validated? What changes have been made to the M&E methods as a result?</p> | <p>To what extent is the learning strategy prioritized as a component of the ALP approach at all levels?</p> <p>To what extent is the M&E strategy innovative and effectively fostering innovation by others?</p> | <p>Relevance of ALP's contribution to adaptation learning, practice and policy</p> <p>Where are gaps in learning; how can learning tools be strengthened to address gaps?</p> <p>How is gender equality in local national strategies perceived by LA, CSOs and Government</p> | <p>How well is ALP learning mechanism enabling local policy and programme change and the up-scaling of CBA?</p> <p>How well are learning mechanisms contributing to advocacy and improving methodologies? How effective is the reporting process?</p> |
| <p>Output 4. CBA approaches promoted to influence the policies and plans of governments, regional and international organizations</p> | <p>What is the evidence of uptake of advocacy messages into policy/plans of local and national governments, regional and international organizations?</p> <p>How is this attributable to ALP?</p> | <p>To what extent are decisions and actions being taken governed by the ALP strategy addressing the 5 domains of change?</p> <p>To what extent are decisions driven by opportunities & circumstances?</p> <p>How innovative are advocacy strategies in addressing gaps between local action and national and international policy?</p> <p>Were NAPAS, CSPR, gender policies influenced?</p> | <p>How are strategies delivering policy and planning outcomes that reflect local level and country priorities?</p> <p>To what extent is CBA practice by external CSOs and governments (organisational adaptation capacity) adopting ALP methodologies?</p> | <p>How well is ALP's engagement and influence in policy processes at national, regional and international levels reflecting southern/national perspectives?</p> <p>How well is the advocacy methodology fostering dialogue and receptivity between governments and civil society?</p> <p>To what extent are ALP knowledge products supporting advocacy efforts?</p> |
| <p>Output 5. CBA promoted to</p> | <p>What is the evidence of change in decision-</p> | <p>To what extent is ALP's strategy</p> | <p>To what extent are external</p> | <p>How well are learning</p> |

| Output | Results | Strategy Effectiveness | Relevance | Delivery efficiency |
|---|--|--|---|---|
| governments and NGOs in the countries and across Africa to encourage widespread adoption. | <p>maker attitudes towards climate change and recognition of need for adopting CBA? How is this attributable to ALP?</p> <p>What have learning networks achieved? How can they be strengthened?</p> <p>What linkages exist between ALP and the RECs and the AU</p> | <p>contributing to the national, African and global discourse on CBA learning and practice; to what extent is it recognized as successfully achieving results? By who? And for who?</p> <p>To what extent has ALP helped to improve understanding the importance of gender dynamics to CBA</p> | <p>CSOs and Governments adopting CBA practices and methodologies developed by ALP</p> <p>What is the evidence of ALP's contribution to the national, regional, African and global discourse on CBA learning and practice?</p> | <p>networks supporting advocacy and policy formulation at regional & international levels?</p> <p>To what extent are ALP methodologies influencing and changing practice throughout CARE as well as other organizations in Africa?</p> <p>What is the level of understanding about the climate policy environment among ALP participants? How are they strategically targeting policy gaps?</p> |

11 Annex - List of documents reviewed

| ALP Documents |
|---|
| ALP Annual Report, January-December 2011 |
| ALP Publications guide 2012 (May) |
| ALP Half-annual report Jan-June 2012 |
| ALP half annual report Jan-June 2010 |
| ALP Annual Report, January-December 2010 |
| ALP ME System June 12 2011 draft 2 |
| CARE ALP Proposal-FINAL-January 2010 |
| ALP Logical Framework Notes |
| ALP Master Plan priorities 2011 and beyond final |
| ALP ME System June 12 2011 draft 2 |
| ALP outputs with 2011 programme milestones - for ALP donor report |
| ALP Quarterly Reflection Meeting Guide - Revised March 2012 |
| ALP results and impacts table 2012 |

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|---|
| ALP Publications and Documents 2011 final |
| Brief on Participatory Scenario Planning ALP 2012 |
| CBA and Adaptive capacity (ppt) |
| Participatory CBA process – introduction, concept |
| Participatory CBA process steps updated table Aug 2012 |
| List of documents produced ALP 2010 |
| Photostories for M&E |
| ALP Quarterly Excel logframe reporting template FINAL |
| ALP Ghana Documents |
| 2011 ALP log frame report Ghana |
| ALP BASELINE FIRST DRAFT REPORT |
| ALP Ghana Periodic MEE survey |
| ALP Ghana half year report 2012 |
| Analysis and Interpretation of CVCA Data_National |
| Community visit briefs_Farfra; Kugri; Saamni; Zambulgu |
| CVCA DATA SUMMARY - GHANA |
| CVCA report national level |
| CVCA Report- Ghana Dist level |
| CVCA Report - Ghana |
| District Level CVCA |
| Final Copy of the National Climate Change Adaptation Strategy |
| Final CSOs Responses to MEST Questions |
| FINAL REPORT ON CS CONSULTATION ON NCCPF-page 1-9 |
| Ghana Analysis and Interpretation of CVCA Data_National |
| Ghana Climate Change Policy Mapping and Analysis |
| Ghana CVCA_ALP_Angoche_Final_Dec 2011 |
| Ghana Report on DRR & DPPs |
| Ghana-CARE_09 |
| National Level CVCA Report |
| Potential adaptation strategies_East Mamprusi |
| Potential Adaptation strategy_Garu Tempane. 9 and other places) doc |
| ALP Mozambique Documents |
| ALP Kenya Semi Annual Narrative Report - July 2012 |
| CARE FFS Guidelines |
| CVCA national report Draft |

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|--|
| Half Annual Report_ALP Mozambique_July2012_FINAL_MB |
| Mozambique CDCA national report and Annexes |
| CVCA_ALP_Angoche_Final_Dec 2011 |
| Moz CVCA national report |
| ALP Kenya Documents |
| ALP Kenya Baseline Report June 2012 |
| ALP Kenya Institutional Analysis Report June 2012 |
| ALP Kenya logframe based report - June 2012 |
| ALP Kenya Results and impact table August 2012 |
| ALP Kenya Semi Annual Narrative Report - July 2012 |
| ALP Results and Impacts ALP - Kenya 2011 |
| Balich - CVCA-f Results |
| Climate_Change_Bill_First_Draft |
| Edited Final Garisa Climate Hearing Report May 2011-1 |
| Info for MTR-Balich & Shanta Baq Communities |
| Kenya CVCA baseline survey |
| Kenya CVCA Questionnaire |
| Kenya Photostories for M&E |
| major issues found during Kenya CVCA |
| One Year On - KEN - Building resilience in NE Kenya doc 28th June |
| Shanta Abaq -CVCA Results-f.xls |
| ALP Niger Documents |
| ALP NIGER Baseline report English final_version 2010 |
| ALP Niger Draft00Rapport EDB_ALP 2010 |
| ALP Niger_Analyse Institutionnelle_FINAL |
| Approche expérimentale du renforcement des capacités et de la mise au point d'outils pour le suivi et l'évaluation des initiatives d'adaptation aux effets du changement climatique, Rapport final 2011, Etude de cas Niger; CNSSE/OSS/IDRC-DFID |
| Campagne des jeunes contre la dette climatique AYICC Niger 2012 |
| CARE I Niger : Plan Stratégique pluriannuel 2010-2015: Résumé |
| Community stories Niger |
| Description de la conduite du processus d'adaptation à base communautaire. ALP Niger 2012 |
| Echapper au cycle de la faim, les chemins de la résilience au Sahel. Groupe de travail sur le Sahel. Peter Gubbels ; 2011 |
| Etude diagnostic des communautés (2010) |



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| Guide de facilitation du Plan d'Urgence communal, Wadata pour ALP, 2012 |
| IALP Niger institutional analysis report 2010 |
| Institutional analysis final report EN 2011 |
| La COP 16 de Cancun (Mexique) : Abécédaire Rapide et Quelques Leçons Apprises pour le Niger. O. Tankari Conseiller en Plaidoyer ALP/CARE Niger, fév.2011 |
| PSRC_PPCR Niger_Final 19_October 2011 |
| Niger English report 30-07-2012 |
| Non ALP documents : |
| Photo stories Niger |
| Plan d'urgence communal (PUC) de BaderGoula, Wadata pour ALP, 2012 |
| Plans de développement Communaux (PDC): Azagor, Roumbou, Bader Goula, Soly Tagriss |
| Rapport COP17_société civile_FINAL O. Tankari pour CARE Mai 2012 |
| Rapport de l'analyse de faisabilité et Analyse genre des stratégies ABC, ALP, 2011 |
| Rapport de mise en place de l'Observatoire du suivi de la vulnérabilité de la commune de Bader Goula. ALP Niger, 2011 |
| Rapport du premier passage SSI / ALP, 2012 |
| Rapport évaluation des partenaires OACAT 2012 |
| Rapport semestriels 2010, 2011, 2012 ALP_Niger_VF |
| Rapports annuels 2010, 2011 |
| Rapports trimestriels 2010, 2011, 2012 |
| Stratégie en matière de genre. Guide. Programme Niger de Leadership des femmes et des filles, LEFF, 2009 |
| Stratégie opérationnelle OSC ALP/Southern Voices 2011 |
| Synthesis Niger Country report. O. Tankari for Southern Voices, 2011 |
| Gender |
| ALP GA Methodological Guideline (new V10) 2012 |
| ALP Gender & CBA Library |
| ALP Gender & CBA learning Workshop (All) Bolgatanga, August 2011 |
| ALP gender analysis Ghana (2012) |
| ALP gender analysis Kenya (2012) |
| ALP Gender in CARE's ALP for Africa (2011) |
| CARE Denmark Gender Strategy |
| CARE International Gender Policy 2009 |
| CARE International Gender Toll Kit |
| CARE_COP17_Gender_Brief |
| CARE_One Planet-One Future_Rio20_Jun2012 |

| |
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| Joto Afrika_Issues 6, 9, 2011 |
| Others |
| 10031IIED - Tracking adaptation and measuring development |
| ACCRA Local_Adaptive Policy |
| ACCRA_Executive_Summary |
| ACCRA-Rethinking-Support-Report |
| Adaptive Capacity matters ODI briefing 7532 |
| CARE_GWI_Project |
| CARE_PMERL_Manual_2012 |
| Counting on Uncertainty - Roundtable notes_31 08 12 |
| EIGE- Gender Equality and Climate Change Report |
| ELAN_IntegratedApproach_150412 |
| Enquiry Guidelines draft1- 290812 |
| Ghana-EACC-Social World Bank |
| IDS_Report_on_Evaluating_Adaptation_for_GE_publication_version |
| Monitoring and evaluation 2011_making_adaptation_count |
| Monitoring and evaluation 2011_making_adaptation_count |
| Principles for Sustainable Adaptation |
| The OECD DAC definition of evaluation |
| Why CBA makes economic sense_Final version |
| Notes: This list is not meant to be completely exhaustive of doc publications. This list does not indicate which docs the evaluators used more than compared to others. |



12 Annex - ToRs of the MTR

Terms of Reference (11 04 12)

Adaptation Learning Programme (ALP), CARE International

ALP Mid Term Evaluation, September 2012

1. Background

- a. **The Adaptation Learning Programme in Africa (ALP)** seeks to increase the capacity of vulnerable

households in Sub-Saharan Africa to adapt to climate variability and change with a particular focus on gender equality and diversity. The four-country programme covers Ghana, Niger, Kenya and Mozambique aiming to pioneer, deepen practical understanding of and document Community-Based Adaptation (CBA) over five years from 2010 with a particular emphasis on understanding and addressing the differential vulnerability of poor rural women. ALP facilitates CBA in a small number of vulnerable communities in each country across a range of livelihood groups, agro-ecological zones and climates. It uses a learning-by-doing approach to developing effective practical CBA processes resulting in community adaptation plans and increased adaptive capacity, with a focus on monitoring and generating lessons for CBA practice and policy in Africa. ALP uses experiences from its own work and other Civil Society Organisations (CSO) in the four countries to generate lessons and disseminate good practices for CBA. It uses CBA concepts and grassroots evidence to advocate for enabling policy environments in Africa and beyond. ALP's total 5 year budget is approximately \$13.5 million sourced from UKAid from DFID, Danish Ministry of Foreign Affairs, Government of Finland (2010 to 2013) and the Austrian Development Agency (2011 to 2013). Refer to ALP flyer, contact card, programme document, ALP organogram, ALP community descriptions and published materials on ALP web site for further information: <http://www.careclimatechange.org/adaptation-initiatives/alp>

ALP countries and locations of community CBA sites:

| Country | Province | Districts / Counties / Communes | Livelihood strategies |
|------------|-----------------------|--|---|
| Ghana | Upper East & Northern | GaruTempane, East Mamprusi 8 communities | Small scale rain fed farming plus livestock rearing, petty trading, agro processing |
| Kenya | Northern Kenya | Garissa: Fafi, Lagdera, Garissa, Balambala 6 communities | Pastoralist and agro-pastoralist livestock herders, rain fed crops |
| Mozambique | Nampula | Angoche 10 communities | Fishing and subsistence |

| Country | Province | Districts / Counties / Communes | Livelihood strategies |
|---------|----------|---|--|
| | | | agriculture |
| Niger | Maradi | Dakoro: Azagor, Roubou, Bader Goula, Soly Tagriss 20 communities | Pastoralist and agro-pastoralist livestock herders, rain fed crops petty trading |

- Total number of direct beneficiaries 59,000 vulnerable land users
- Other beneficiaries: Civil society partner organisations, networks and local governments with focus on learning and advocacy at local and national levels in each ALP country & beyond.

b. Monitoring and Evaluation in ALP. ALP places a high priority on systematic monitoring and

evaluation of the effectiveness of CBA approaches being developed and their impacts. This is evidenced in resources set aside for baseline, mid-term and final evaluations, standard ongoing monitoring for planning and reporting and an ALP output dedicated to learning, innovative monitoring and documentation. ALP output 3 provides for resources to embed M&E within good CBA practices and to ensure that information generated through M&E is used to inform learning, good practice and evidence for policy. ALP will focus not only on monitoring and evaluation of process, results and impact, but also on developing methodologies, indicators and tools for M&E which can be used by others in CBA initiatives. As well as measuring the social, institutional and political changes brought about at household, meso and macro levels as a result of CBA interventions, ALP aims to embed a strong environmental and economic analysis of benefits derived.

Periodic topical and annual evaluative exercises using a range of methods are employed in each country to generate knowledge that are shared with the other countries and with stakeholders across Africa and the CARE world including through specific knowledge management focused events. The M&E system and evaluative exercises focus on the effectiveness and sustainability of meeting ALP outputs as well as delivering effective CBA and processes for promoting positive change in communities and policy. Findings from ALP's M&E contribute information for learning events with broader stakeholders and to national and other learning networks as well as the CARE Adaptation Community of Practice. In other words, ALP's learning output allows for a strong correlation between the M&E aspects of ALP and knowledge management on CBA.

The programme also incorporates a midterm review and a final evaluation (in the last year of the programme) to allow for external evaluation with the involvement of ALP donors and broader CARE International stakeholders.

c. Outline of ALP outputs and strategies towards them

Output 1: Innovative approaches to community-based adaptation (CBA)



Innovative approaches to community-based adaptation (CBA) are developed, modified, tested and implemented by communities and local partners with facilitation by the ALP teams in each country. ALP has modified CARE's CBA framework² to present a clearer understanding of what is involved in CBA and is using this as the foundation for developing CBA approaches, building adaptive capacity and creating the theory of change for monitoring CBA results and impacts. The output includes strengthening organisational capacity for facilitating the CBA process and supporting implementation of CBA in practice, focusing on improvements to resilient livelihoods and disaster risk reduction (DRR) with communities and integration into planning processes by local government. In each country the livelihood groups among the selected pilot communities have been categorised to enable learning related to pastoralist, agro-pastoralist, farming and fishing livelihood systems. ALP is improving the methods for participatory community based adaptation to achieve sustainable planning and implementation of adaptation with community and local government ownership and organisation. This has included enabling some fast track adaptation interventions for early learning while a more in depth analysis and planning process continues. It also includes developing systems for accessing and using climate projection information and uncertainty, understanding interactions between gender dynamics and climate change and incorporating ACCRA³'s definition and framework of local adaptive capacity into the CBA framework.

Output 2: Strengthening local voices in decision-making on adaptation

Communities and local civil society organizations are supported to voice their concerns on climate change with an aim to influence future allocations of resources for adaptation at local level. ALP works directly with local governments coordination and planning processes to improve their responsiveness to community adaptation plans and strengthens local community groups and civil society organisations (CSOs) to identify and advocate for changes and systems which respond to underlying causes of vulnerability and requirements for effective adaptation. ALP facilitates platforms for dialogue between these actors, including within traditional festivals. Local level CSO networks to support adaptation issues are active in ALP countries. This output aims for local development planning processes which integrate adaptation and are developed with community participation.

Output 3: Good practice models for CBA

Models for CBA are evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organizations. The output focuses on establishing mechanisms, events and methods for effective learning, innovative monitoring and documentation. It provides for the information and knowledge management methodology and mechanisms needed to support the other 4 outputs. ALP chose to use existing forums for learning and dissemination of documents to the extent possible – presenting in a range of national, African and global adaptation events as well as hosting a programme level event on a key ALP topic, national events and publishing through the CARE climate change website⁴ as well as other external journals/newsletters. See next section for more details on ALP M&E system.

² see ALP contact card http://www.careclimatechange.org/files/adaptation/ALP_Contact_Card.pdf

³ ACCRA - Africa Climate Change Resilience Alliance (operational in Mozambique, Ethiopia and Uganda). see LAC framework at: <http://community.eldis.org/.59d669a8/research.html>

⁴ CARE CC website: <http://www.careclimatechange.org/adaptation-initiatives/alp>



Output 4: Influencing policies and programmes at national regional and international levels

ALP promotes CBA approaches to influence the policies and plans of government, regional and international organisations. All advocacy activities and results from national level upwards contribute to this output. Given that global and national policies and plans were being formulated from the time ALP started, ALP did not wait to gain lessons from its own community sites, but rather engaged from the start with national level stakeholders, in particular the government institutions charged with climate change, and promotion of the concept and framework for CBA within national policy processes. ALP has participated and supported CSO participation in key UNFCCC⁵ and related meetings (such as AMCEN⁶, CCDA-1⁷, PACJA⁸) contributing through CARE international and the INGO groups CARE works with. In addition, National ALP advocacy managers have participated as official delegates for their countries and ALP has contributed on gender and adaptation.

Output 5: Contributing to global knowledge base on CBA

CBA is promoted to governments and NGOs in the ALP countries and across Africa to encourage widespread adoption. The output focuses on strengthening CSO networks in relation to their adoption of and capacity for adaptation practice, and learning and dissemination of CBA approaches/ practice. This is done through close collaboration with existing networks and other adaptation programmes working at national level, (e.g. ACCRA, AAP⁹, GEF UNDP, PPCR¹⁰) including responding to demands to provide capacity building to their target audiences. Five learning levels and targets for learning have been defined: local, national, Africa wide and global CBA practitioners, regional African bodies and CARE international. ALP plans for thematic learning, documentation and dissemination are linked to output 4 advocacy work.

d. ALP strategies and principles focus on achieving equitable, sustainable and replicable processes and results. Strategies include:

- Developing and testing a participatory and community empowering process for CBA analysis, planning, implementation and monitoring which addresses all parts of CARE's CBA framework
- Capacity building of stakeholders' adaptive and organisational capacity (refer to adaptive capacity framework)
- Promoting inclusion of all vulnerable groups with recognition of their different but complementary adaptive capacity
- Integration of Gender equality, local knowledge, economic and environmental issues in CBA
- Collaboration and coordination with wide range of adaptation actors at multiple levels, facilitating linkages across levels and networking between stakeholders. These include: communities with climate information, local government and service delivery systems; local civil society organisation (CSOs) with local governments and national CSOs; national policy makers with CSOs and community realities; climate science with local users

⁵ UNFCCC - United Nations Framework Convention on Climate Change

⁶ AMCEN - African Ministerial Conference on the Environment

⁷ CCDA -1 - Climate Change and Development for Africa Conference

⁸ PACJA Pan Africa Climate Justice Alliance

⁹ Africa Adaptation Programme with UNDP and JICA

¹⁰ Pilot Programme for Climate Resilience – operational in Niger and Mozambique



- Facilitation of stakeholder dialogue, learning and communication on CBA at multiple levels
 - Advocacy for a policy environment favourable to CBA
 - Documentation of evidence and learning for external dissemination
 - Aim for sustainable results and systems beyond the programme life
- e. **The ALP Logframe** as at March 2012 is attached to this TOR to provide clarity on the logical flow and assumptions made.

f. **Status of ALP M&E in March 2012.**

M&E work responds to programme M&E requirements as well as the Output 3 focus on innovative monitoring.

Baseline studies have been completed in all 4 countries, using CARE International's Climate Vulnerability and Capacity Assessment (CVCA) for qualitative focus group discussions, mapping and key informant interviews at community, local and national level, a household (HH) survey in a sample of all ALP communities and national level institutional and policy mapping. Documentation of the baseline outcomes is available in two or more reports from each country. An economic analysis of adaptation versus no adaptation has been commissioned and completed based on work done in Kenya.

The ALP M&E system has been developed through an iterative process with inputs from the ALP country and coordination teams. It describes a theory of change which links the framework for Community Based Adaptation and the ALP outputs. The M&E system thereby combines project M&E with innovative M&E for effective and successful adaptation. It forms part of the ALP learning, information and knowledge management system which comprises operational project planning, budgeting and reporting guidelines and strategies for information storage, M&E, communications including publication and dissemination, and learning. CBA process guidelines, capacity building, networking and advocacy strategies are under development. Innovative M&E tools developed to date include: use of digital photostories for ALP communities to track change in key factors and to disseminate their experiences globally; use of quarterly reflection meetings with a structured set of questions to capture and analyse change on a regular basis. These tools have been published in a variety of media.

Donor reporting and reviews. Donors jointly agreed one programme wide report and a reporting schedule for all donors, with half yearly and annual narrative reports, quarterly financial reports and annual audits based on a calendar year cycle. In addition DFID conducts annual reviews as required for all DFID funded projects. ALP has developed a quarterly review and reporting system for country teams, designed to meet the multiple purposes of identifying progress, lessons and gaps, informing future plans, reflection to produce learning for dissemination, quality assurance and donor reporting.

2. Purpose of ALP Mid Term evaluation



The purpose of the mid-term evaluation is to provide CARE International, the ALP team and ALP donors with an external analysis of ALP strategies, achievements and relevance which can be used to inform planning and decision making for the future of ALP and beyond. In particular, the mid-term evaluation will **analyse and make recommendations on the ways and degree to which ALP is achieving learning among its external stakeholders**, as demonstrated in:

1. the difference ALP is making to the capacity of ALP communities and local governments to plan for and adapt to climate change,
2. ALP engagement and influence in policy processes and
3. ALP's contribution to the national, African and global discourse on CBA learning and practice

In line with donor requirements, an external mid-term evaluation of ALP is required to assess ALP progress towards the log frame outputs, purpose and goals as well as key implementation strategies and make recommendations for improvements. Recommendations, with reasons, for the remaining 2.5 years of ALP and beyond, will propose changes to improve: the log frame, ALP relevance and accountability, approaches and methods, sustainability, up-scaling, effectiveness and efficiency.

3. Scope of the evaluation

The evaluation aims to provide useful lessons, strategic direction and recommendations to guide ALP to successful delivery of its outputs, purpose and goal by end of 2014 and reflect on their relevance to adaptation to climate change in Africa. To do this it will use the following guiding evaluation questions to review and assess ALP against the programme logical framework and the evaluation purpose above. The questions will be refined together with the successful consultants:

3.1 ALP's results to date and progress towards achieving expected impacts

- What is the progress towards achievement of ALP outputs as outlined in the attached ALP logframe outputs, indicators and milestones?
- How have assumptions and risks been addressed?
- What unexpected or additional outcomes have emerged and how has ALP taken advantage of or mitigated these?
- How well do the results to date contribute to achieving ALP purpose and goal?
- What recommendations can be made for improving ALP achievement or the logframe and intervention logic?

3.2 ALP Strategies and methods

- How effective and coherent are the strategies, approaches and methods developed and used by ALP at community, local, national and global level? Refer to list of strategies in section 1d above and in the programme document
- To what extent are ALP strategies innovative and/or effectively fostering innovation by others?
- How well do ALP strategies lead to sustainable systems and outcomes which will exist beyond the programme and reflect local ownership, accountability and leveraging of higher level impact?

3.3 ALP's contribution, relevance and 'added value'

- Explore the relevance of ALP's contribution to adaptation learning, practice and policy in the 4 ALP countries and more broadly in Africa.

- What relationships has ALP built and how is ALP engaging with stakeholders at different levels? What have these relationships delivered?
- How are communities and other local stakeholders benefiting or are likely to benefit from ALP (social, institutional, rights based, economic, environmental etc)?
- How do national and international adaptation stakeholders perceive and benefit from ALP? (ie. in each ALP country, other adaptation programmes in Africa, CARE's PECCN and the wider adaptation arena (INGOs, donors etc)). How is ALP recognised in the adaptation arena and how is ALP contributing to CBA learning?

3.4 **Effectiveness and efficiency**

- How well has ALP kept up to date with and responded to emerging national and/or global adaptation and other relevant issues?
- To what extent are ALP methods, results and learning conducive for wider replication?
- How well is ALP enabling up-scaling of CBA eg. through learning and advocacy?
- How effective, efficient and accountable is the ALP organizational structure and ALP ability to coordinate, manage and deliver a complex multi-layered programme?
- What improvements could be made to the way ALP works organisationally and strategically?

4. **Proposed methodology and tasks**

1. Review of ALP documents in particular information produced through monitoring and evaluative exercises, major conference outputs donor reports and publications
2. Design detailed methodology and itinerary in consultation with ALP Coordinator and teams
3. Familiarisation with adaptation environment in each ALP country, adaptation policy and plans and with CARE's global advocacy on adaptation
4. Interviews with key internal stakeholders within the ALP teams, CARE Denmark and CARE UK
5. Visits to Niger, Ghana, Kenya and Mozambique: interviews with ALP teams, partners, key stakeholders at local and national level including ALP donors in each ALP country plus visits and interviews with a selection of ALP communities
6. Analysis and synthesis of findings and good practices in each country, and present initial findings to ALP country team, partners, local and national stakeholders, CARE and donors as available for validation and further analysis.
7. Meetings with the Programme Coordination Team to assess programme level results and value added and to share country findings for additional validation and analysis
8. Synthesis, analysis and development of findings and recommendations for ALP as a programme for the next years of ALP and discuss with coordination team
9. Draft complete report of findings, analysis and recommendations
10. Produce short case studies/stories useful for both evaluation and communication work.
11. Finalise report based on comments from ALP team
12. If required, in Europe or via skype/video conference call, present findings and discuss the implications of evaluation recommendations with CARE Denmark, CARE UK and European donors



The evaluation should be participative, involving the programme staff and partners, to allow for their contribution and to provide an opportunity for joint lesson learning on the results and impacts of the programme and its implications for the future of ALP. The evaluators are expected to use existing documentation to inform findings. They should develop criteria for taking a sample of ALP communities and collaborating organisations from across the 4 countries local to national levels. The design should aim to gather and analyse representative information into a concise report.

International evaluators are encouraged to identify a team-mate in each ALP country to support the evaluation, and a translator in Mozambique. ALP can offer advice in this area or source consultants if required. The selected evaluation team would then work collaboratively with ALP Coordination to refine the methodology and develop a detailed evaluation plan.

5. Consultancy Outputs

Outputs will be provided in English and include:

1. An evaluation plan
2. A presentation of initial evaluation findings for each country to be shared for validation by local stakeholders before leaving the country
3. An aide memoire/presentation of initial evaluation findings/first draft of the full evaluation and outline structure of the 3 deliverables below for face-to-face discussions with the programme coordinator, coordination team and available members of CARE Denmark and CARE UK
4. Executive Summary, stand alone, 'communicable', 4 pages maximum for sharing with donors and others interested
5. Full final evaluation report responding to the scope of work above, approx 45 pages, of publishable quality; contents to include:
 - Findings in relation to the requirements given in section 3: scope of work
 - Analysis of these findings in line with the MTR purpose: comparing achievements, effectiveness and challenges across countries and programme wide, reasons for these and overall assessment of the contribution ALP is making to Community Based Adaptation practice and policy
 - In relation to the analysis, give recommendations to ALP as a programme and individual ALP countries for the remaining years of ALP and beyond, in particular for any changes to the ALP design, strategies, approaches and methods
 - Annexes including: TOR, final itinerary, methodology used, list of persons met/interviews made, list documents reviewed, raw data
6. Short case studies or abstracts of potential case studies highlighting identified successes/good practices on different aspects of ALP's Community Based Adaptation, learning and advocacy work in individual ALP countries or the programme as a whole to be used by ALP for future ALP team learning and publications

6. Team composition, location, timeframe and reporting

A team of one or two international consultants working with national consultants in each country is sought. The team leader will be one of the international consultants and will be responsible for coordinating the team, delivering the outputs as required and ensuring quality of work done by the team. National consultants will assist with for example, connection with national level



organizations and individuals; national level literature research, providing information on local context and any specific delegated tasks. The ALP teams in each country and the coordination team will be involved to provide introductions to the ALP stakeholders, give explanations on ALP activities and results, provide information and documentation on results/methods, learn from the evaluation and organise logistics etc where necessary.

The evaluation team are expected to cover all 4 ALP countries both at community and national level with a maximum of 10 days including travel in each country, as well as programme wide achievements. The international consultants will be expected to split the ALP countries between them, ie. Niger with Ghana and Kenya with Mozambique so as to complete the work in a reasonable time. The in-country work for the evaluation is expected to take place in September to early October 2012, ending with programme level work and a debrief with the international consultants and the ALP coordination team in Nairobi, Kenya by early October. The final evaluation report should be completed by **26th October, 2012**.

The evaluation team leader will report to and liaise with the ALP Program Coordinator in Nairobi, fiona@careclimatechange.org. He/she will also liaise with the ALP Program leads in both CARE Danmark and CARE UK as needed.

Evaluation process proposed timeframes

| Action | By When | Who |
|---|---|-------------------------------|
| TOR reviewed by donors and CARE | 5 th April | CARE DK/UK |
| Terms of Reference out to tender | 11 th April | CARE UK |
| Tender bids received by | 7 th May | CARE UK |
| Review applications and decide on consultants | 8 th to 17 th May | CARE UK/DK & ALP PC |
| Inform consultants and start negotiation | 18 th May | CAREDK |
| Refine methodology, develop evaluation plan and agree contractual details and contract signed | By end June | Consultants/ALP PC/CARE DK |
| Begin desk research (depending on availability) | August | Consultants |
| Evaluation undertaken | September / October | Consultants |
| Presentation and discussion of initial findings/first draft | Early October | Consultants/ALP PCT |
| Meeting to review nearly final draft in detail (skype?) | Mid October | Consultants/ALP PC/CARE DK/UK |
| Final evaluation submitted | 26 th October | Consultants |
| ALP annual meeting discusses implications of evaluation findings | Early November | ALP teams/CARE DK/CARE UK |



| | | |
|--|----------------|-----------------|
| Write and issue management response | 30 November | ALP PC/CARE DK |
| Evaluation findings published online/ disseminated/ shared with donors | By end of year | CARE DK/CARE UK |

7. Expressions of interest

Potential consultants with a strong record in conducting evaluations and the experience to meet the outputs described above may express interest as an individual (state interest in team leadership or team member) or present all or some of a proposed team. Joint bids are welcome. Qualified national consultants may apply direct to work in their own ALP country, be sourced and presented by the applicant or may be sourced by CARE international, as required.

Tenders should include:

1. A 2 page cover letter introducing the evaluators/organisation and how the skills and competencies described above are met, with concrete examples. The applicant should explain why they are interested in the assignment.
2. A maximum 4-page outline of the proposed evaluation process including:
 - a. Proposed outline methodology and plan for addressing these TOR
 - b. Management arrangements, with the specific role each team member or individual applicant will contribute.
 - c. Comments to the TOR
3. A budget covering major costs for the evaluation or part of the assignment proposed. It is preferred to pay an agreed price for the totality of the work. The total budget for all consultant fees and per diems, international travel and translation required in country should not exceed \$60,000. Reasonable costs for in-country travel including domestic airfares and travel to community sites, accommodation in country and all costs of meetings and evaluation workshops, will be covered directly by ALP.
4. A 1-page CV for each evaluator.
5. One example of a previous evaluation (one each for joint bids)

Expressions of interest should be sent to alp@careclimatechange.org) by close of business on 7th May 2012. Only winning candidates will be contacted.

Criteria for selection will be:

- Clear, credible, structured proposed methodology within page limits indicated above
- Excellent track record and respect in the fields of evaluation and climate change adaptation.
- Demonstrable experience of conducting complex evaluations successfully and working with/evaluating NGO work in sub Saharan Africa.
- Familiarity with different methodologies for evaluation, in particular participatory and qualitative methods and the additional factors involved in evaluation of differential vulnerability, learning and advocacy.
- Experience of participatory and rights based community development, capacity building, gender sensitivity, monitoring for learning, accountability and advocacy / policy influencing work.
- Time available during the critical Aug-Oct period.



- Value for money.
- Knowledge of the 4 ALP countries
- Language skills among the team to be able to operate effectively in ALP countries (English and French, Portuguese desirable)
- For the team leader: wide credibility in the field, good ability to manage the totality of the evaluation, including logistics, recruiting and managing other team members where necessary. Excellent ability to write concise, readable and analytical reports in English, interpersonal skills and adaptability and understanding of public communications.

8. Further information

The ALP Programme Coordinator is coordinating the evaluation process. If you have further questions on this opportunity please refer to the ALP website and get in touch by email in the first instance.

ALP Web address: <http://www.careclimatechange.org/adaptation-initiatives/alp>

The ALP Logframe is attached. Descriptions of the programme and publications to date are available on ALP website. Other documents can be provided on request: eg ALP full programme document, ALP organogram, latest ALP annual report, ALP M&E system, ALP livelihood groups chart, ALP partnership table, etc.