



*The United Nations Economic Commission for Africa*

*An experimental approach to capacity and toolkit development for monitoring and evaluation within climate change adaptation initiatives*

*IDRC Grant No 104779-001*

*Component I: Harmonise approaches to Monitoring and Evaluation of climate change adaptation that are gender sensitive, through reflections within a core group of representatives of regional and sub-regional organizations, climate change adaptation initiatives and funding agencies*

*Final Technical Report*

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## List of Acronyms

ACPC	African Climate Policy Centre
AFF	African Forest Forum
AGRHYMET	Agriculture, Hydrology, Meteorology (Regional research center based in Niamey)
CCAA	Climate Change Adaptation in Africa
CCDA	Climate Change and Development in Africa
CoP	Community of Practice
CNSEE	Centre National de Surveillance Ecologique et Environnementale
CSE	Centre de Suivi Ecologique
CVCA	Climate Vulnerability and Capacity Assessment
DFID	Department for International Development
GWP	Global Water Partnership
ICLEI	International Council for Local Environmental Initiatives
ICPAC	IGAD Climate Prediction and Application Centre
IDRC	International Development and Research Centre
IGAD	Inter Governmental Authority on Development
ILWAC	Integrated Land and Water Management for Adaptation Variability and Change
IUCN	International Union for the Conservation of Nature
LFA	Logical Framework Approach
M&E	Monitoring and Evaluation
MECCA-Africa	Monitoring and Evaluation of Climate Change Adaptation in Africa
MSC	Most Significant Changes
OM	Outcome Mapping
OPM	Office of Strategic Planning and Programme Management of UNECA
OSS	Sahara and Sahel Observatory
PADESO	Programme d'Appui au Développement Durable de l'Élevage au Sahel Occidental
PAGEV	Project for Improving Water Governance in the Volta River Basin
PGIE	Projet Gestion Intrégrée des Ecosystèmes
PLCE	Projet de Lutte Contre l'Enselement du fleuve Niger
RECs	Regional Economic Communities
REDD+	Reduced Emission from Reforestation and Forest Degradation
STP/CIGQE	Secrétariat Technique Permanent/ Cadre Institutionnel chargé de la Gestion des Questions Environnementales
TOC	Theory of Change
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNECA	United Nations Economic Commission for Africa
WRI	World Resources Institute

## Executive Summary

The Project *An experimental approach to capacity and toolkit development for monitoring and evaluation within climate change adaptation initiatives* was implemented by the United Nations Economic Commission for Africa (ECA), the Sahara and Sahel Observatory (OSS), the AGRHYMET Regional Center, and the International Union for the Conservation of Nature (IUCN). The Project was funded through the Climate Change Adaptation in Africa Programme of the International Development Research Centre (IDRC) of Canada and the UK Department for International Development (DFID) and had the following four specific objectives:

1. To harmonise approaches to Monitoring and Evaluation of climate change adaptation
2. To test methodologies through case studies integrating different administrative levels
3. To develop, test and improve training materials on selected methodologies
4. To develop a strategy for outreach

During the period of project implementation, UNECA, in line with its stipulated task as the overall project coordinator and as the principal implementer of activities pertaining to the objectives 1 and 4 undertook the following main activities:

- Commissioned the preparation of a comprehensive study on existing M&E practices, methods, tools and the associated gaps by IUCN
- Provided inputs for improving and refining the main knowledge product developed by the project, namely the M&E toolkit and associated documentation (training manual and user's guide) for climate change adaptation initiatives in Africa
- Undertook extensive networking and knowledge dissemination activities through the M&E and climate change practitioners network, *the Monitoring and Evaluation of Climate Change Adaptation Initiatives in Africa (MECCA-Africa)*, established by the project team for this purpose
- Prepared several outputs of the project, notably the project's overall lessons learned report and outreach strategy
- Implemented activities aimed towards sustaining some of the achievements of the project by:
  - developing a concept note for implementing the activities stipulated in the project's outreach strategy, and thereby disseminating the project's achievements

- identifying and engaging with organizations that have interest in utilizing and owning the knowledge products developed in the context of the project
- Organized workshops and meetings of the project, including the project's inception and lessons learned workshops

In summary, the project was able to deliver the required outputs and to effect some changes within the project implementing partners. Furthermore, it was able to facilitate an increased understanding on M&E practices, methods and tools in the context of climate change adaptation and to instigate change in stakeholder organizations.

As the way forward and taking into account the comparative advantages of the project and lessons drawn in relation to addressing the project's research questions, it would be important if subsequent activities of the project implementing partners and donors focus on promoting the utilization and dissemination of the M&E toolkit and training manual at the regional, sub-regional and national level in Africa. In the regard, several stakeholder organizations in Africa have shown strong interests to serve as centers of excellence for the dissemination and use of the toolkit.

## **I. Research Problem**

Monitoring and evaluation is an activity that is carried-out in most public institutions, development programs and multi-country initiatives to assess their performance. In this context, the research problem was formulated on the hypothesis that M&E could also be used to improve climate change adaptation processes and to strengthen adaptive capacity. To this end, it was identified that programs such as CCAA, which aim at strengthening adaptive capacity to climate change, could reach a very large number of beneficiaries through M&E activities involving regional and sub-regional organisations and their partners. However, despite this potential, there were still several unknown factors with regard to the implementation of a large scale capacity development program focused on M&E. For example, it is still not yet clear how adaptation to climate change may be evaluated successfully. Moreover, although M&E is widely used, there are many factors that impede its contribution to adaptation processes. There are several methods and tools in use, and M&E frameworks recommended by various donors or utilized at different administrative levels are often incompatible.

Therefore, there was an identified need to create an inventory of M&E methodologies, and to review and develop a harmonized toolkit of frameworks and methods that could be used to guide M&E of climate change adaptation initiatives. The toolkit developed also needed 'on the ground' testing before being widely disseminated. There was also a need to test a capacity development approach before moving to a large scale capacity development program.

## **II. Objectives**

The Project's objectives were set so as to assist regional and sub-regional organisations to test, in collaboration with their national and local partners, ways to strengthen their capacity to monitor and evaluate adaptation to climate change, thereby moving towards the larger goal of improving adaptation through better informed decisions, planning and policy-making.

Specifically, the project has the following four specific objectives:

1. To attempt to harmonise approaches to Monitoring and Evaluation of climate change adaptation that are gender sensitive, through reflections within a core group of representatives of regional and sub-regional organizations, climate change adaptation initiatives and funding agencies
2. To test methodologies through case studies the integrate different administrative levels

3. To develop, test and improve training materials on selected methodologies
4. To develop a strategy for outreach, to strengthen capacity in Monitoring and Evaluation of climate change adaptation of other regional, sub-regional, national and local organisations across Africa

Against these objectives, the project implementing partners, namely UNECA, OSS, AGRHYMET and IUCN, successfully implemented the following activities:

- **Objective 1:** *Assist in the harmonization of the Monitoring and Evaluation approaches to climate change adaptation,*
  - ECA commissioned a comprehensive study on existing M&E practices, methods, tools and the associated gaps, including an assessment of capacity development needs, which was conducted by IUCN,
  - AGRHYMET and IUCN developed a customized M&E toolkit for climate change adaptation initiatives,
  - UNECA established a network of M&E and climate change practitioners, namely *the Monitoring and Evaluation of Climate Change Adaptation Initiatives in Africa (MECCA-Africa)*, as an experience sharing and discussion platform on the M&E and climate change adaptation,
  - ECA organized two workshops, namely the Project's inception and lessons learned workshops,
  - ECA also prepared the report on overall lessons learned.
- **Objective 2:** *Test M&E methodologies through case studies*
  - OSS coordinated the testing of the M&E Toolkit through case studies carried out in Burkina Faso/Ghana, Mali, Niger, Senegal and Kenya,
  - The project implementers undertook a pre-testing exercise in Burkina Faso, prior to the actual testing of the toolkit through the aforementioned case studies.
- **Objective 3:** *Develop, test and improve training materials*
  - AGRHYMET and IUCN jointly prepared a training manual for the M&E toolkit developed by the project,
  - OSS also developed a general methodological guide for supporting M&E in climate change adaptation projects, and a specific one for applying the aforementioned M&E toolkit,
  - AGRHYMET organized a training and evaluation workshop in August 2011, in Bamako, Mali, to review and finalize the Project's M&E toolkit and training manual.

- **Objective 4:** *Develop a strategy for outreach, to strengthen capacity in M&E of climate change adaptation*
  - UNECA developed a strategy for outreach

In light of the objective-specific activities implemented, the main challenges encountered were:

- **Delays in personnel recruitment:** There were delays in the recruitment of a Consultant to coordinate the implementation of the project. However, despite these delays, the ECA Programme Management Officer (PMO), who was the delegated lead focal person for the project, was able to cover the gap during the recruitment phase. Moreover, the implementation of the UNECA-led activities, particularly activities pertaining to **Objective 1**, were fast-tracked after the recruitment of the aforementioned Consultant, ultimately ensuring that the stipulated activities were undertaken and desired outcomes were attained.
- **Resource Transfer:** Within the project implementing partners there was a challenge in the timely transfer of the required resources. In particular, in the context of **Objective 2**, institutions that were involved in implemented the case studies ‘on the ground’ complained of delays in getting the required funds on time. This had a chain-reaction effect, whereby the deliverables from the case studies were consequently delayed. However, despite these challenges, the case studies were ultimately completed in a timely manner due to the proactive interventions of the institution coordinating them.
- **Communication between the project implementing partners:** Similarly in the context of **Objective 2**, communication was identified as a challenge by the institutions that implemented the case studies ‘on the ground’. This challenge was highlighted during the lessons learned workshop on 20-22 June, 2011, held in Addis Ababa. Ultimately, this improved following the delegation of a focal person at the institution that was coordinating the case studies implementation.
- **Language Barriers:** As a project that was implemented by regional institutions that were French and/or English speaking, the project’s outputs were to be available bilingually. However, this was not consistently done as the project implementing institutions did not have enough bilingual experts to avail the outputs of their components in both languages. Particularly, in the context of **Objective 3**, there were substantive delays in availing the final English version of the M&E toolkit and training manual. Consequently, this had implications on activity pertaining to



**Objective 4**, delaying the dissemination of the aforementioned knowledge product to a wider audience.

### III. Methodology

The project used an experimental process to test and improve a capacity development approach and to develop a toolkit of M&E tools and approaches. The multi-faceted capacity development approach included three types of capacity development activities: a) training around the toolkit, b) practical implementation (learning by doing) and c) reflection activities (workshops and fora). Moreover, case studies were used to test the toolkit of M&E tools and approaches, with technical workshops serving as a platform for defining the contents of the toolkit and for improving its design.

The capacity development approach was tested with a limited number of organizations and initiatives. These organizations received training on the selected tools and approaches, and reflected on and exchanged views on the lessons learned from the utilization of the toolkit through case studies on the ground. A subset of these organisations (five in total) were selected through a competitive process to implement the toolkit through case studies in Mali, Niger, Burkina Faso/Ghana, Kenya and Senegal.

The main project implementing partners were responsible for leading and coordinating the following activities:

- **UNECA**, in addition to coordinating the overall project, coordinated activities related to methodological harmonization (specific objective 1), including two reflection workshops and the development of a strategy for outreach (specific objective 4).
- **OSS** coordinated the testing of methodologies through case studies (specific objective 2) and
- **AGRHYMET**, in collaboration with **IUCN**, coordinated the development of the training materials and toolkits, as well as the training activities (specific objective 3).

The methodological approach for the UNECA led activities is highlighted below:

- Diagnosis of existing M&E practices, methods, tools and gaps in them and assessment of capacity development needs of participating organisations: This diagnosis study, which was conducted by IUCN under the coordination of UNECA reviewed the existing methodologies and gaps through an evaluation done using an electronic survey of organizations involved in climate change and M&E and surveys undertaken during the project's inception workshop. The inventory of M&E approaches utilized literature

review and internet search. Moreover, the results from a research support project within CCAA, number 104689 'Supporting CCAA Project Teams and Program Staff in Monitoring and Evaluation' was also utilized in this diagnosis study. This study, among others, included a literature review on approaches to evaluate adaptive capacity in general and to climate change in particular. This initial diagnosis was used to define the baseline of the project.

- Network among regional and sub-regional and donors about M&E maintained and public awareness materials shared: A knowledge sharing platform, encompassing the project implementing partners and other like minded organizations was established. To this end, UNECA used this platform to disseminate the outputs of the project. Moreover, public awareness documents were developed and disseminated, and an e-newsletter was prepared on a monthly basis. UNECA also established and maintained the project's website which is linked to an online discussion forum on M&E and climate change adaptation. This online discussion forum is created and maintained on the UN system-wide knowledge management and sharing platform (Teamworks).
- Workshop on lessons learned from the case studies: This workshop took place between 20 and 22 June 2011 at the UNECA headquarters in Addis Ababa. During the workshop, presentations were made by case study implementers, followed by reflections about difficulties encountered and successes attained during the case studies. Participants also discussed shortcomings of methodologies and adjustments that required to be made to the toolkit and the capacity development approach. This provided the necessary inputs for improving and further refining the M&E toolkit.
- Document on overall lessons learned from the project: This document was a collaborative synthesis of lessons learned from activities in the three specific objectives. It capitalized on the results attained from the lessons learned workshops, case studies, toolkit development and training activities. It synthesized the reflections during the above-mentioned lessons learned workshop held between 20 and 22 June 2011 in Addis Ababa, as well as the bi-annual (every six month) technical synthesis documents that were prepared by each project implementing partner on the specific project objectives. In order to draw out the lessons learned, a mission was undertaken to Niamey and Tunis to:
  - Assess/verify the outcomes and opportunities that resulted from the implementation of the project
  - Review the activities undertaken to address the recommendations from the Project's Lessons Learned Workshop organized in Addis Ababa in June 2011

- Obtain the information required for consolidating the lessons learned document
  - Visit the Projet Gestion Intrégrée des Ecosystèmes (PGIE) and the Projet de Lutte Contre l'Ensamblage du fleuve Niger (PLCE) offices in Niamey which were involved in the implementation of the case studies for testing the Project's M&E toolkit
  - Brainstorm on the sustainability of the project's achievements and its knowledge based products
- Development of the strategy for outreach: This strategy was developed by UNECA, in collaboration with participating organizations and with the inputs from the representatives of other donors and climate change initiatives. In order to obtain the reflections of the implementing partners a mission was undertaken to Dakar and Ouagadougou to:
    - Discuss with IDRC program officer overseeing the project and the IUCN communication officer, how to disseminate and mainstream the knowledge based products,
    - Review the preliminary outreach strategy, and
    - Brainstorm on the next steps and the way forward

#### **IV. Project Activities**

During the period of project implementation, UNECA, in line with its role as the overall project coordinator and as the principal implementer of activities pertaining to the objectives on the harmonization of approaches and the development of an outreach strategy, undertook the following main activities:

- Commissioned the preparation of a comprehensive study on existing M&E practices, methods, tools and the associated gaps conducted by IUCN
- Provided inputs for improving and refining the main knowledge product developed by the project, namely the M&E toolkit and training manual for climate change adaptation initiatives in Africa
- Undertook extensive networking and knowledge dissemination activities through the M&E and climate change practitioners network, *the Monitoring and Evaluation of Climate Change Adaptation Initiatives in Africa (MECCA-Africa)*, established under the project
- Prepared several outputs of the project, notably the project's overall lessons learned report and outreach strategy

- Implemented activities aimed towards sustaining some of the achievements of the project by:
  - developing a concept note for implementing the activities stipulated in the project's outreach strategy and through this disseminating the project's achievements
  - identifying and engaging with organizations that have interest in utilizing and owning the knowledge products developed in the context of the project
- Organized several workshops and meetings of the project, including the project's inception and lessons learned workshops

**i. Study on existing M&E practices, methods, tools and the associated gaps**

This study, which was conducted by IUCN under the coordination of UNECA, identified and analysed through the project and programme management cycle the following four major M&E frameworks, namely the Logical Framework Approach (LFA), Outcome Mapping (OM), Climate Vulnerability and Capacity Assessment (CVCA) and Theory of Change (ToC). Selected methods and tools used for implementing each of these M&E frameworks were critically reviewed with respect to their effectiveness to integrate climate change and gender in their processes. The findings of this review were threefold:

- Although the three frameworks, namely the Logical Framework Approach, the Outcome Mapping and the Theory of Change do not currently integrate aspects of climate change and gender, they can easily be adapted to integrate these aspects throughout the project and programme cycle.
- Although the framework Climate Vulnerability and Capacity Assessment (CVCA) integrates aspects of climate change and gender, the framework is limited to the design/planning stage of the project and programme cycle.
- The four major M&E frameworks can complement one another in order to optimise their strengths and opportunities. This can be done by the combination of methods and tools giving particular attention to climate and gender indicators.

The study made four recommendations to improve the design and implementation of the M&E frameworks, methods and tools that integrate climate change and gender in their processes:

1. **Conduct a high quality situation analysis** which requires a multidisciplinary team with (a) expertise in climate change and vulnerability analysis, and (b) the proactive involvement of a range of stakeholders, including men and women
2. **Ensure a high quality initiative design process** which includes a meaningful involvement of all stakeholders in project/programme design to incorporate a clear and achievable goal for increasing adaptive capacity of target groups to climate change taking into account the differential vulnerability based on gender and marginalization;
3. **Ensure a high quality implementation of an initiative**, which requires ongoing capacity development for staff and partners on climate change impact assessment and adaptation;
4. **Ensure high quality information and knowledge management**, which implies the design of the information and knowledge management system (sensitive to women and marginalized groups) to meet information needs of a project and its stakeholders.

#### ii. **Inputs for improving and refining the M&E toolkit and training manual**

Given its role as the overall coordinator of the Project, UNECA was represented at the workshops that were organized to pre-test and review the M&E toolkit and training manual. In this regard, the Commission was not only expected to participate in and lead the proceedings, but also to provide its views on the quality and relevance of the toolkit and training manual.

To this end, during the workshop that was held:

- In Bamako (17-20 August 2011) to review and validate the training manual on the M&E toolkit, UNECA was able to provide substantive inputs to the participatory working sessions and exchanges which assessed the aforementioned knowledge product and concluded that:
  - the tools incorporated in the manual were relevant to identify, plan, monitor and evaluate activities, projects and programmes dealing with climate change adaptation
  - the user guide developed to go with the manual and which gives a step-by-step *modus operandi* for each tool was user-friendly.
- In Tenkodogo, Burkina Faso (24 and 27 August 2010) to pre-test the tools incorporated in the M&E toolkit, UNECA was able to make substantive contributions towards the selection and assessment of the appropriate tools incorporated in the toolkit.

### iii. Networking and Knowledge dissemination activities through the MECCA-Africa network

UNECA established a network of M&E and climate change practitioners, *the Monitoring and Evaluation of Climate Change Adaptation Initiatives in Africa (MECCA-Africa)* and undertook several networking, partnership building and dissemination activities. In this regard, the main activities were:

- The preparation and dissemination of the monthly MECCA-Africa newsletter: Although the initial project design stipulated that this newsletter was to be produced on a quarterly basis, the project team, with the intention of better enhancing the visibility of the project, took the initiative of producing MECCA-Africa monthly. To this end, the project team is successfully producing the newsletter, which is disseminated to over 500 M&E and climate change experts from around the world and for which the articles were contributed by reputed practitioners in M&E and climate change. The articles contributed in this newsletter have been from a range of practitioners in climate change adaptation and M&E disciplines and have focused on topics such as:
  - The similarities and differences between
    - climate change adaptation and mitigation
    - 'Business as usual' development undertakings and climate change adaptation
  - Water resource management and the M&E practice in climate change adaptation
  - The nexus between climate change adaptation, M&E and African forests
  - M&E approaches for climate change adaptation at the grassroots level
  - M&E framework of selected adaptation programmes in Africa, and
  - the climate change planning, and M&E experience of African countries

The newsletter is available on the MECCA-Africa website at the following link:  
<http://www.uneca.org/mecca/publications.html>

- Participation in and organization of dissemination activities: Although not included in the project document as an intended activity of the project, UNECA took the initiative to promote and disseminate the project's knowledge products. To this end, the UNECA project team prepared several promotional materials on the M&E toolkit and training manual and the MECCA-Africa practitioners' network for dissemination. In particular during the Climate Change and Development Africa (CCDA-I) conference that was held from 17 to 19 October 2011 at the UN Conference Centre in Addis Ababa and which attracted over 400 practitioners and specialists on climate change, UNECA was able to secure an exhibition booth and disseminate the related knowledge products.

During the conference the MECCA-Africa booth was visited by around 80 registered users, some of whom have become members of the network and active participants.

- Establishment, upkeep and update the project's website and online discussion forum:

In this regard, the UNECA project team led:

- The establishment and upkeep of the Project's website, which is serving as the main platform for electronic discussions and exchange of views and experiences within the Network. The website is also the key tool that is used to reach out to the broader community. The link for the project website is: <http://www.uneca.org/mecca/index.html>
- The establishment and upkeep of an online discussion forum which is linked to the project website. This online discussion forum is serving as a platform for discussion as well as the exchange of views and experiences on M&E tools and methods (including on current utilization and possible improvements) on the following thematic areas/clusters: (i) water, (ii) forestry, (iii) energy, (iv) agriculture and (v) urban management. Furthermore, a "Global Monitor" cluster has been set-up for discussions and the exchange of views on overarching pertinent issues. In this regard, the UNECA team is:
  - coordinating the thematic discussion windows, which have managed to bring on board strategic and specialized regional institutions, namely Global Water Partnership (GWP), the African Forest Forum (AFF), and AGRHYMET, as volunteer moderators of the thematic discussions on water, forestry, and agriculture, respectively
  - facilitating the 'global monitor' cluster on a range of topics focusing on pertinent climate change adaptation and M&E issues in Africa, including on:
    - how to judge the success of adaptation interventions?
    - the role of M&E in informing future investments in adaptation
  - actively promoting the network and recruiting members, currently over 55 M&E and/or climate change adaptation professionals have joined the online discussion platform from regional and sub-regional organizations like AFF, CARE International, GWP, ICLEI, UNDP, and WRI.

The link to the online discussion forum is: <https://eca.unteamworks.org/node/110515>

- Collaboration and strategic partnership building: The UNECA project team has managed to collaborate with global and regional Community of Practices (COP) on the M&E and Climate Change Adaptation nexus. In this regard MECCA-Africa has built strategic partnerships with the GEF Evaluation Group, a global COP on the M&E and climate change adaptation nexus, and with SEA change, a South East Asia wide network working in the same thematic area.

#### **iv. Preparation of the Project's overall lessons learned report**

This document was a collaborative synthesis of lessons learned from activities pertaining to the three specific objectives of the project. In order to draw out the lessons learned, a mission was undertaken to Niamey and Tunis between 4 and 10 September 2011 to collect the required data for the preparation of the report. This mission involved visits to the head offices of the two main implementing partners of the project, namely the Sahara and Sahel Observatory (OSS) in Tunis, and the AGRHYMET Regional Centre in Niamey to specifically:

- Assess/verify the outcomes and opportunities resulting from the implementation of the project
- Review the activities undertaken to address the recommendations from the Project's Lessons Learned Workshop organized in Addis Ababa in June 2011
- Obtain the information required for consolidating the lessons learned document
- Visit project offices in Niamey which were involved in implementation of the case studies for testing the Project's M&E toolkit
- Brainstorm on the sustainability of the achievements of the project and its knowledge based products.

The mission successfully organized joint working sessions to review the lessons learned from the implementation of the project. As planned, fruitful discussions were also held with the experts of two projects in Niger under which the case studies for testing the M&E toolkit were implemented.

The lesson learned report highlights that in order to strengthen the knowledge on climate change adaptation and sustain the important outcomes of the project, the project implementing partners (UNECA, AGRHYMET, OSS and IUCN) should:

- maintain the existing multi-stakeholder partnership
- ensure the transfer the knowledge products and other important outputs of the project



- implement the Project's outreach strategy

Moreover, given the identified need and the demonstrated commitment of implementing partners to disseminate the Project's knowledge based products, and particularly the M&E toolkit and training manual, it is recommended that the project donors should avail resources for a shorter-term extension during which the dissemination activities stipulated in the outreach strategy will be implemented.

#### **v. Preparation of the Project's Outreach/Dissemination Strategy**

The outreach strategy was developed by UNECA incorporating inputs of participating organizations, the wider donor community and like-minded climate change initiatives. The document incorporates the recommendations resulting from the experimentation of the capacity development approach and the project's M&E toolkit. The methodological approach for the outreach strategy was developed in line with the feedback from partner institutions that was solicited through a detailed questionnaire. Moreover, in order to further obtain the reflections of implementing partners, a mission was undertaken to Dakar and Ouagadougou respectively to the offices of IDRC and IUCN.

This strategy proposes a number of activities to be implemented by the main partners to the project (i.e. UNECA, OSS, AGHRYMET and IUCN) in order to disseminate the toolkit to the wider development community, especially to M&E and climate change practitioners. To this end, the strategy identifies the target audience including donors, CSOs, training and research institutions, climate change programmes, governments, etc. The strategy also highlights the need to get the M&E toolkit to the intended target audience while the need for such a product is still pertinent. In this context, the identified outreach activities include:

- Organizing trainings workshops, seminars, meetings and other events to present the toolkit,
- Use of the project's electronic/online resources, including the website, e-discussion platform and dissemination list (email list) and also the online resources of other communities with similar agenda,
- Produce and disseminate printed material (e.g. copies of the M&E toolkit),
- Facilitate strategic cooperation with existing networks.

The strategy also proposes measures for the efficient and timely implementation of dissemination activities that target donors, specifically the organization of seminars at the

headquarters of donor institutions, taking into account that this will be instrumental to solicit finance for:

- a post-experimental phase, during which the M&E toolkit will undergo further testing and improvement, and/or
- outreach activities as part of a full-fledged project.

#### **vi. Sustainability of the Achievements of the Project**

Currently the project implementing partners are working towards identifying climate change oriented partner organizations to host the project's knowledge based products and to sustain some of the achievements beyond the project's life-span. In this regard, the project implementing partners (namely UNECA, OSS, AGRHYMET and IUCN) have highlighted that there is a need for implementing some of the activities stipulated in the project's outreach strategy, prior to the phasing-out of CCAA, since this creates an opportunity to extensively promote the outcomes and products. Hence, the UNECA project team prepared a concept note for implementing in the shorter-term some of the activities stipulated in the outreach/ dissemination strategy. However, despite the acceptance of the concept note by the project donor, the identified activities could not be implemented due to the shortage of time. Nonetheless, the following two clusters of activities can be undertaken at a future time through subsequent climate change adaptation programmes of the project donors as core dissemination activities of the M&E toolkit developed by the project:

- **Training workshop:** A training workshop on the M&E toolkit will be important for disseminating this knowledge product to professionals and program managers working on climate change initiatives in Africa.
- **Documentary video:** In this context, the experience of the IUCN-PAGEV project in implementing the project's M&E toolkit had been identified as a strong storyline for disseminating this knowledge product to the broader climate change adaptation and M&E community.

As regards to the identification and selection of a climate change oriented partner organizations that would host the project's knowledge based products, UNECA has made efforts to present the project and its achievements, and to discuss with potential interested organizations on the modalities. To this end, the UNECA project team made a detailed

presentation to the African Climate Policy Centre (ACPC) of UNECA on 2 September 2011. Building up on this effort, discussions will continue further with ACPC.

### **vii. Organization of the project's workshops**

In the context of the project, UNECA led the organization of two important workshops. These were the Project's Inception Workshop and the Workshop on Lessons Learned, which were held in Addis Ababa at the Commission's headquarters, respectively on 5-7 July 2010 and 20-22 July 2011. Both workshops were attended by over 30 international M&E and climate change professionals.

- **The Inception workshop:** The project's inception workshop was held from 5 to 7 July 2010 at the United Nations Conference Centre in Addis Ababa, Ethiopia, under the auspices of UNECA. The workshop brought together representatives and experts from 20 regional and sub-regional organizations as well as donor agencies participating in CCAA. The participants reviewed and discussed the preliminary results of a baseline study on existing M&E practices and toolkits. The main recommendations of the workshop were the following:
  - **M&E: the role, scope, goals and results:** The participants observed that M&E was not being taken as a serious component of projects given the little or no budget allocated to it. To this end, it was agreed that this required a change of attitude, including bringing donors on board as they often set the terms of M&E
  - **M&E: indicators, data needs and linkages:** Provided that an M&E system should collect information to determine whether an intervention achieves its goal, it was agreed that the project M&E framework should be capable of providing at least the minimum set of indicators to cater for adequate and timely measurement of expected results and accomplishments
  - **Mitigation and Adaptation:** In this regard, it was agreed the project should go beyond forestry, water resources management or agriculture and involve other related sectors as energy given their strong inter-relationship with climate adaptation.
  - **Case studies and development of the toolkit:** In this regard, the participants agreed that a consolidated document on all case studies should be developed.

- **Networking and outreach:** The participants recommended that given the high demand for knowledge and exchange on this topic, an interface for sharing M&E experiences and good practices should be explored
- **The proposed toolkit (tools, methods and training manual):** It was agreed that the existing guidance documents were problematic due to length and jargon and, therefore, the project M&E tools and guidance documents should be short and simple and without jargon, and efforts should be made not to complicate the methodologies/techniques to be included in the toolkit. Moreover, it was recommended that the first module of the training manual should be on the concepts such as adaptation, coping and mitigation.
- **Lessons learned workshop:** The workshop on lessons learned was organized by UNECA and held from 20 to 22 June 2011 at the United Nations Conference Centre in Addis Ababa, Ethiopia. The workshop brought together representatives and experts from 24 regional and sub-regional organizations as well as donor agencies. The main recommendations of the workshop were the following:
  - i. Recommendations relating to the M&E toolkit for climate Change Adaptation Initiatives
    - Key concepts must be defined in local languages to facilitate the transfer of information from the technical teams to the communities and ensure ownership by the latter
    - Preparation of the multi-disciplinary teams of practitioners applying the M&E toolkit in community settings is crucial. This includes training and consequent mastery of each tool and related steps before going out to the field
    - The complementarities and synergies among institutions/projects (for instance between projects of CARE International and CCAA) should be sought and harnessed to ensure transferability of the lessons gained and to avoid the duplication of efforts
    - The project team should include pre-requirements for the utilization of the M&E toolkit in the guide
    - The project team should include a guideline section in the M&E toolkit on ethical consideration and the rules of engagement with communities during information gathering. This is due to the high opportunity cost to community

members in terms of time spent during information gathering without equivalent compensation, monetary or otherwise

- The project team should develop an agreed upon glossary of key M&E and climate change adaptation concepts to be included in the guide
  - Institutions using the M&E toolkit need to develop a systematic approach for applying it in a community setting, adequately planning and factoring in the overall time and expertise required. It is also essential for practitioners to determine the optimal length of time per day for engaging communities while applying the M&E toolkit (for example not exceeding three hours per day as stated in the Burkina Faso/Ghana case study)
  - Institutions that are planning the implementation of the M&E toolkit as part of their field projects should provide training sessions for their staffs and implementation partners on the use of different tools that constitute it. This will eventually result in a pool of trainers in every country that are capable of contributing to the transfer of skills
  - Institutions using the M&E toolkit should factor in the cost needed to implement it
  - Each institution using the M&E toolkit should endeavor to align it with its project cycle
  - Project stakeholders should make efforts to disseminate the M&E toolkit and make it available to other projects at the national and regional level
- ii. Recommendations relating to the networking activities
- The project team should align the different network activities undertaken by the project, linking up the information disseminated through the electronic discussion platform, website and monthly newsletter
  - The project team should make use of the electronic platform for remote discussion and technical review of the M&E toolkit
  - The project team should further look into the sustainability of the networking tools that are in place, particularly after the completion of the project. ACPC, as the mandated Centre within UNECA for Climate Change related work, should be engaged early to ensure the continuity of the ongoing networking activities at a later time
  - Partner institutions using the M&E toolkit should, through the network, share lessons learned on a regular basis. Similarly, difficulties in implementing these tools should be communicated to the MECCA-Africa community, trainers and other experts by way of sharing lessons learned

iii. Others

- The project team should look into the M&E practices in specific areas of climate change adaptation (for instance Reduced Emission from Deforestation and Forest Degradation (REDD)) and mitigation, as these issues are emerging as important for Africa. To this end, assessing the applicability of the M&E toolkit to climate change mitigation and the specific aspects of climate change adaptation is also important,
- The project team should well align the methodological guide to the outputs of the project, including the M&E toolkit and training manual, to further complement the knowledge products that were developed in the project context. This methodological guide should also be coherent with the intended purpose and objectives, as stipulated in the project document.

## V. Outputs

The following outputs were produced under the project components led by UNECA:

1) The MECCA-Africa Newsletter, Volume 1, Number 1, April 2011. *United Nations Economic Commission for Africa - Office of Strategic Planning and Programme Management. Addis Ababa, Ethiopia.*

2) The MECCA-Africa Newsletter, Volume 1, Number 2, May 2011. *United Nations Economic Commission for Africa - Office of Strategic Planning and Programme Management. Addis Ababa, Ethiopia.*

3) The MECCA-Africa Newsletter, Volume 1, Number 3, June 2011. *United Nations Economic Commission for Africa - Office of Strategic Planning and Programme Management. Addis Ababa, Ethiopia.*

4) The MECCA-Africa Newsletter, Volume 1, Number 4, July 2011. *United Nations Economic Commission for Africa - Office of Strategic Planning and Programme Management. Addis Ababa, Ethiopia, 4 pgs.*

5) The MECCA-Africa Newsletter, Volume 1, Number 5, August 2011. *United Nations Economic Commission for Africa - Office of Strategic Planning and Programme Management. Addis Ababa, Ethiopia, 4 pgs.*

6) The MECCA-Africa Newsletter, Volume 1, Number 6, September 2011. **United Nations Economic Commission for Africa – Office of Strategic Planning and Programme Management. Addis Ababa, Ethiopia.**

7) Overall Lessons Learned from the project ‘An experimental approach to capacity and toolkit development for monitoring and evaluation within climate change adaptation initiatives’. **United Nations Economic Commission for Africa – Office of Strategic Planning and Programme Management. 2011.**

8) Outreach Strategy for the project ‘An experimental approach to capacity and toolkit development for monitoring and evaluation within climate change adaptation initiatives’. **United Nations Economic Commission for Africa – Office of Strategic Planning and Programme Management. 2011.**

9) Report of the Lessons Learned Workshop. **United Nations Economic Commission for Africa – Office of Strategic Planning and Programme Management. 2011. Report of the workshop on lessons learned from the project titled ‘An Experimental Approach to Capacity and Toolkit Development for Monitoring and Evaluation within Climate Change Adaptation Initiatives’. Addis Ababa, Ethiopia**

10) The report of the study on existing M&E practices, methods, tools and gaps in them, including an assessment of capacity development needs: **Somda, J. 2011. Diagnosis on the use of M&E within climate change adaptation initiatives in the participating organizations. Ouagadougou, Burkina-Faso.**

11) Edited report of the inception workshop. **United Nations Economic Commission for Africa – Office of Strategic Planning and Programme Management. 2011. Report of the inception workshop on the project on an experimental approach to capacity and toolkit development for monitoring and evaluation within climate change adaptation initiatives. Addis Ababa, Ethiopia.**

12) Third Interim Technical Report. **United Nations Economic Commission for Africa – Office of Strategic Planning and Programme Management. 2011. Report on Component I: Harmonise approaches to Monitoring and Evaluation of climate change adaptation that are gender sensitive, through reflections within a core group of representatives of regional and sub-regional organizations, climate change adaptation initiatives and funding agencies for the project an experimental approach**

*to capacity and toolkit development for monitoring and evaluation within climate change adaptation initiatives. Addis Ababa, Ethiopia.*

13) Second Interim Technical Report. **United Nations Economic Commission for Africa - Office of Strategic Planning and Programme Management. 2011.** *Report on Component I: Harmonise approaches to Monitoring and Evaluation of climate change adaptation that are gender sensitive, through reflections within a core group of representatives of regional and sub-regional organizations, climate change adaptation initiatives and funding agencies for the project an experimental approach to capacity and toolkit development for monitoring and evaluation within climate change adaptation initiatives. Addis Ababa, Ethiopia.*

14) First Interim Technical Report. **United Nations Economic Commission for Africa - Office of Strategic Planning and Programme Management. 2010.** *Report on Component I: Harmonise approaches to Monitoring and Evaluation of climate change adaptation that are gender sensitive, through reflections within a core group of representatives of regional and sub-regional organizations, climate change adaptation initiatives and funding agencies for the project an experimental approach to capacity and toolkit development for monitoring and evaluation within climate change adaptation initiatives. Addis Ababa, Ethiopia.*

All the outputs related to the UNECA led component were produced in a timely manner. However, it is important to note that the MECCA-Africa newsletter will continue to be produced on a monthly basis.



## VI. Outcomes

The project was able to effect some changes in the mindset of stakeholder organizations. The main outcomes were:

- The increased collaborations between the project implementing partners and other stakeholders,
- The interest of the project implementing partners:
  - To utilize the M&E toolkit developed by this project in their ongoing and upcoming projects including:
    - In the World Bank financed project of OSS in Mali entitled: *Integrated Land and Water Management for Adaptation to Climate Variability and Change (ILWAC)*
    - In several projects of IUCN
  - To integrate and mainstream the M&E toolkit developed by this project namely,
    - In the curriculum of the academic Master's programme and other short-term trainings that AGRHYMET is providing to professionals from its member countries, and
    - In the Water Programme of OSS, particularly in the context of the ongoing work for updating groundwater vulnerability assessment indicators.
- The interest of the Office for Strategic Planning and Programme Management (OPM) of UNECA to replicate the approach to its other thematic areas of intervention
- The interest of the African Climate Policy Centre (ACPC) of UNECA in taking over the MECCA-Africa practitioners' network
- The interest of the Centre de Suivi Ecologique (CSE) to become a center of excellence for the use and dissemination of the toolkit in Senegal

Through its activities, the project also ensured that there was a better understanding on M&E practices, methods and tools in the context of climate change adaptation and the associated gaps. Moreover, the project was able to instigate change as observed from the keen interest of stakeholders in Niger and Mali, respectively the Centre National de Surveillance Ecologique et Environnementale (CNSEE) and Secrétariat Technique Permanent/ Cadre Institutionnel chargé de la Gestion des Questions Environnementales (STP/CIGQE), who asked for the dissemination of the M&E toolkit at the national level in the aforementioned countries.

## VII. Lessons Learned

The lessons learned in the context of the project are categorized into the following four areas namely (i) Lessons relating to project management, (ii) Lessons drawn from addressing the Project's research questions, and (iii) Lessons drawn from assessing the comparative advantage, 'niche', of the Project's M&E toolkit.

### *i. Project Management*

The following were the lessons in relation to project management:

- ***Overall Organization of the Project:*** The project was organized in such a way that its three main components were implemented by three different regional organizations working on climate change. Moreover, one of the three main components of the project required the involvement of other institutions to utilize and test the M&E toolkit on climate change adaptation on ongoing projects in Africa. Several other organizations were also part of the project, particularly as moderators and/or members of the project's knowledge sharing platform and practitioners' network. This diversity, in the range of organizations that participated in the project, created an opportunity to integrate the ideas of the various stakeholders and consequently to strengthen the outputs (knowledge products and practitioners network) developed under the project. Nonetheless, this also created several challenges, particularly in terms of communication and logistics. In fact this was an important challenge raised by the institutes that implemented the case studies 'on the ground', who indicated that better communication was required with the institute responsible for coordinating the case studies. The communication challenge was highlighted during the lessons learned workshop on 20-22 June, 2011, held in Addis Ababa, and subsequently the project implementing partners have indicated that this has improved by delegating a focal person at the institution that was coordinating the case studies implementation.
- ***Development of the Project's Knowledge Products:*** Three important knowledge products, namely an M&E toolkit, training manual and methodological guide, were developed under the project. In developing the main knowledge product, i.e. the M&E toolkit for climate change adaptation, a comprehensive review was undertaken on existing M&E methods and tools for climate change adaptation, with particular emphasis on their associated strength and gaps. This toolkit was also tested through case studies implemented in six countries in Africa. Moreover, several validation

workshops that involved the project implementing partners and selected stakeholder organizations were also undertaken to review these knowledge products. The ability of the project to successfully undertake these activities in a short timeframe was attributable to (i) the project design, which had clear hypothesis, objectives and expected results, (ii) the early identification and involvement, i.e. since the inception phases, of important stakeholder organizations that had both active and passive roles with regards to the implementation of the project, and (iii) clarity in terms of the roles and responsibilities of participating and stakeholder organizations. However, some important lessons can also be drawn from the challenges encountered during the development of the toolkit. For the most part these challenges were associated to the design of the project. Given that the project was disaggregated into components and that the knowledge products associated to these components were developed by different implementing partners that led the activities related to the component, the linkages between some knowledge products were not clear. For instance, while there was a clear relationship between the M&E toolkit and training manual, which were both products developed jointly by AGRHYMET and IUCN, the relationship between the M&E toolkit/training manual and the methodological guide, i.e. products that were respectively developed by AGRHYMET/IUCN and OSS, were rather unclear. The limited linkages between some components of the project and particularly between M&E toolkit/training manual and the methodological guide, was highlighted during the lessons learned workshop held between 20 and 22 June 2011, in Addis Ababa, and was consequently rectified, with OSS revisiting this output and developing a guide that was strongly linked to the M&E toolkit and training manual.

- ***Pilot Testing of the M&E Toolkit:*** One of the key validation exercises of the project was the testing of the M&E toolkit through case studies. This exercise, which was coordinated by OSS, involved the participation of several institutions with ongoing initiatives in Burkina Faso/Ghana, Kenya, Niger, Mali and Senegal. The overarching lessons learned from the case studies was that the tools incorporated in the M&E toolkit were in general relevant to identify, plan, monitor and evaluate adaptive capacities to climate change. Moreover, the following specific lessons were also drawn from the case studies exercise (i) a longer period of time was required to better test and apply such toolkits at the community level, (ii) a simplified glossary of M&E and climate change terminologies, and a simplified guide in local languages was required to better test and apply such toolkits at the community level, (iii) in applying such toolkits several operation aspects are of extreme importance, including team composition and the organization of questionnaires, and (iv) in such undertakings at the community level,

exercises should be carried out for an optimal span of time, which would otherwise make the exercise less fruitful and time consuming, as communities also have other pertinent engagements during the day. A summary of the country specific case studies and the associated findings are also highlighted below:

- ***Case study from Mali:*** The Mali case study was implemented by the Programme d'Appui au Développement Durable de l'Élevage au Sahel Occidental (PADESO), and revolved around i) capacity building, notably training on the M&E toolkit; and ii) data collection in local communities using the tools developed in the M&E toolkit. The implementation revealed that the proposed tools were relevant to identify, plan, monitor and evaluate adaptive capacities to climate change. The following challenges were also identified (i) the short implementation period, and (ii) the inaccessibility of climate change terminologies to professionals outside the field and to community members. The team involved in this exercise highlighted that there was a need to avail a glossary of climate change and M&E terminologies and a simplified guide for implementing the toolkit.
- ***Case study from Kenya:*** This case study was carried out by the IGAD Climate Prediction and Application Centre (ICPAC). In this exercise, the suitability of the developed M&E toolkit was assessed by customizing and using it in a case study that evaluated the activities of the AfricaAdapt knowledge sharing network. In this regard, the M&E tool Most Significant Changes (MSC), was given particular emphasis, with the questionnaire relating to this tool being customized to fit the intended purpose. The major lessons learnt were that (i) the composition of the team, (ii) the rapport established with respondents, and (iii) the sequencing of the questionnaire sets, were critical for isolating the most significant change stories.
- ***Case study from Senegal:*** The Senegal case study was carried out on the InfoClim project by the Centre de Suivi Ecologique (CSE). The case study implementation started with the formation of a multidisciplinary team and the establishment of a baseline. This was followed by the brainstorming workshop during which key concepts were translated into local languages. The overall implementation of the case study was facilitated by a team that was experienced in participatory approaches. While the relevance of the M&E toolkit was noted, the team highlighted the following challenges: i) the short implementation period; and (ii) the lack of a glossary in local languages.

- *Case study from Niger:* The Niger case study was jointly implemented by the Projet Gestion Intrégrée des Ecosystèmes (PGIE) and the Projet de Lutte Contre l'Enselement du fleuve Niger (PLCE) and involved several actors including experts, and local communities. Although the team suggested that the sequencing of the tools needed to be reviewed along with the timing required to apply the tools on the ground, the M&E toolkit was used without any major problems. The implementers of the case study pointed out the need to create an overarching approach to the M&E of climate change adaptation at the national level in Niger. They further pointed out that the tools developed were found to be relevant and applicable. However, the short implementation period of the project was noted as an important challenge.
- *Case study from Burkina Faso and Ghana:* The Burkina Faso and Ghana case study was conducted to test the Climate Change adaptation M&E tools in four selected communities involved in the activities of the Project for Improving Water Governance in the Volta River Basin (PAGEV). Data gathered from the communities were discussed at two national workshops with 80 participants in order to up-scale the learning process. A total of six tools (of eleven that were incorporated in the developed M&E toolkit) were tested and found to be effective in bringing out key indicators to climate change adaptation. The remaining tools, which related to monitoring, could not be applied. The M&E toolkit provided an integrated and participatory approach to link climate change adaptation and integrated water resources management. The implementers of the case studies also highlighted that women in the communities, actively participated and, in some cases, led the implementation of the project. It was found that engagement of communities for periods not exceeding three hours per day was optimal, as these communities had other activities to attend to.
- *Establishment of a Practitioners' Network and utilization of the Networking Tools:* One of the main activities of the project was the establishment and upkeep of a network of climate change adaptation and monitoring and evaluation professionals known as the Monitoring and Evaluation of Climate Change Adaptation initiatives in Africa (MECCA-Africa). The objectives of the Network were to (i) maintain regular communication among the Project's stakeholders; (ii) raise awareness on climate change adaptation and monitoring and evaluation; (iii) share materials and information on monitoring and evaluation (M&E) methods and tools for climate change adaptation initiatives, by tapping into collective experiences and knowledge on a range of issues related to climate change and M&E, (iv) provide a forum for discussion on climate

change adaptation and monitoring and evaluation; (v) peer review project documents, guidance notes, policy papers, etc.; and (vi) identify expertise for technical advice and support. MECCA-Africa also used different networking tools to disseminate knowledge on M&E and climate change adaptation, including:

- a website, which is serving as the main platform for electronic discussions and exchange of views and experiences within the Network. The website also served as the key tool to reach out to the broader community.
- an online discussion forum which was linked to the project website. This online discussion forum served a platform for discussion as well as for exchange of views and experiences on M&E tools and methods (e.g. current utilization and possible improvement, etc.).
- a newsletter of the same name (MECCA-Africa) to inform the network members on the recent developments in the M&E and climate change adaptation discipline.

As a voluntary network, MECCA had encountered challenges in attracting active participation. However, through strong efforts and commitment the project team was able to ensure the participation of moderators and members by capitalizing on the network's 'knowledge wealth' and its related benefits to all stakeholders, rather than focusing on an incentive based approach for facilitating participation. However, while MECCA-Africa has been able to engage partners and host information discussions it still needs to mature over time as a 'tested' community of practice and network where members will have a role in guiding its evolution and refining its directions. Moreover, while members continue to play a key role to this growth, it is important to note that the required evolution will not occur from within MECCA-Africa alone. To this end, linkages with other M&E and climate change networks and communities will be critical to further engage on the substantive issues surrounding the M&E of climate change adaptation and to refine the project's M&E toolkit as it needs to be continually adapted to fit the needs of climate change initiatives in Africa.

## *ii. Research Questions*

The main research questions of the project were the following:

- If we were to organize a large scale capacity development plan in relation to the M&E of climate change adaptation, how should we proceed?
- What is the best combination of M&E tools, how can they be adjusted in a way to become compatible?

- What are the organizational practices and arrangements, communication, facilitation, etc. that can allow organizations at different administrative levels to effectively use M&E to strengthen adaptive capacity.
- When organizations implement M&E of climate adaptive capacity, what obstacles do they encounter? What strategies do they come up with?

Taking these research questions into account, the following were the pertinent lessons learned:

- ***Organization of Large Scale Capacity Development Plan:*** One of the main research questions was on how a large scale development plan should be organized based on the experience gained from the project. In general the organization of a large scale development plan would require:
  - the development of comprehensive and pre-tested technical materials which will serve as a core document for building capacity and which can be refined on a need basis,
  - the interest of a host institution that has the capacity and interest to implement this large scale development plan, and
  - the interest of a donor institution to finance the implementation of a large capacity development plan.

In this regard, the project was able to produce and test an M&E toolkit and training manual that can serve as the core technical document for the development and implementation of the capacity development plan. Moreover, stakeholders in Senegal, Niger and Mali, respectively the Centre du Suivi Ecologique (CSE), Centre National de Surveillance Ecologique et Environnementale (CNSEE) and the Secrétariat Technique Permanent/ Cadre Institutionnel chargé de la Gestion des Questions Environnementales (STP/CIGQE) have already shown interest to use the M&E toolkit and training manual for capacity building on M&E of climate change adaptation at the national level. Hence, provided that there is donor interest, the project has developed the necessary technical inputs and has also instigated the interest of stakeholders for the development and implementation of a large scale development plan.

- ***Optimal combination of tools and their compatibility for M&E of Climate Change Adaptation:*** The Project's M&E toolkit consists of four modules and eleven tools namely:
  - **Module II** which focuses on analyzing and identifying the abilities to adapt to climate change and comprises the following tools:

- **Tool 1:** Vulnerability analysis and assessment of ability to adapt to climate change,
- **Tool 2:** Community based Risk Screening Tool Adaptation and Livelihoods (CriSTAL)
- **Tool 3:** Participatory analysis of components of risk related to climate
- **Module III** which focuses on coping skills from local to global level and the associated linkages and comprises the tool:
  - **Tool 4:** Vision- Action- Partnerships
- **Module IV** which focuses on planning for the M&E of adaptation undertakings and consists of the following tools:
  - **Tool 5:** outcome challenges or targeted outcomes for each partner
  - **Tool 6:** Progress markers
  - **Tool 7:** Results Chain
  - **Tool 8:** Table of M&E data for the identified actions
- **Module V** which focuses on implementing the planned M&E of adaptation undertakings and consists of the tools:
  - **Tool 9:** Protocol for monitoring and evaluation of products, results and impacts
  - **Tool 10:** Most Significant Changes (MSC)
  - **Tool 11:** Outcome Journal

The M&E toolkit also embeds a training manual developed to simplify utilization. This manual is presented as **Module I** and elaborates on concepts associated to climate, climate change adaptation, and Monitoring and Evaluation. The selection of these M&E tools followed the recommendation of the study conducted by IUCN (under the coordination of UNECA) on existing M&E practices, methods, tools and the associated gaps. Through the project and programme management cycle, the aforementioned study identified and analyzed the following four major M&E frameworks, namely the Logical Framework Approach (LFA), Outcome Mapping (OM), Climate Vulnerability and Capacity Assessment (CVCA) and Theory of Change (ToC) and recommended that the combination of methods and tools incorporated in these frameworks, in a manner that gives particular emphasis to climate and gender indicators, can help enhance their complementarities and optimise their strengths and opportunities in this regard. This recommendation was further substantiated during the pilot testing of the resultant



M&E toolkit. To this end, the institutions/initiatives that tested the M&E toolkit on the ground have highlighted that the tools developed were relevant and applicable and were organized in a manner that well enhanced their complementarities and optimised their strength.

- ***Optimal organizational arrangements to strengthen M&E of Climate Change Adaptation:*** Regarding organizational arrangements, an important general recommendation that emanated from the implementation of the project was the need to establish a monitoring and evaluation unit in projects that focus on climate change adaptation. This recommendation was forwarded taking into account that adaptation is still new science and in this light should have a strong Research and Development (R&D) component to identify and improve the proposed interventions. Hence the establishment of such an M&E unit at the initiative level would provide substantive input to R&D work in climate change adaptation. The lessons drawn from the case studies implementation also showed that Vision-Action-Partnerships (VAP) tool was particularly adaptable to a range of contexts from local to national and sub-national levels.
- ***Obstacles encountered and rectification strategies:*** The following were the main challenges identified in the context of the M&E of climate change adaptation initiatives; (i) inherent uncertainty about the future climate, (ii) the long timescales involved to adapt, (iii) the aim to ‘mainstream’ adaptation into everyday risk management and decision making processes, (iv) differences in existing data supply systems (including the practicalities of who owns, funds, collects, and defines the features of useful data), and (v) the sheer breadth, scale and potential cost of the task. Although some of these challenges hold, the overarching obstacle observed in the context of the project is linked to the human resource capacity limitation in Africa. For instance, during the pilot testing of the M&E toolkit ‘on the ground’ limitations in human resource capacity had been observed at two levels:
  - In general the experts assigned to undertake M&E or to collect and analyze data in this regard did not have expertise and/or experience in M&E. Moreover the experts assigned were not only responsible to undertake M&E related tasks, but were also engaged in other activities diffusing their focus on M&E; and
  - Similarly, teams assigned to undertake M&E or to collect and analyses data in this regard were not multidisciplinary. For instance, although important for this type of work, sociologists and adult education specialist were not included in

such teams. Moreover, these teams did not have substantive expertise in database management and statistics.

Hence, there is a need to implement a large scale capacity development plan that sufficiently addresses the human resource capacity limitation in Africa and the associated training/capacity building needs. In general the project implementing partners were able to address the human resource issue through:

- Availing experts in areas of expertise gaps, for instance sociologists that were able to train and participate in the M&E teams that implemented the case studies 'on the ground', thereby ensuring that a multidisciplinary team was maintained, and
- Availing a simplified glossary of M&E and climate change terminologies and a simplified guide in local languages to better assist communities' efforts in testing and applying the toolkit.

### *iii. Comparative Advantages*

The study on existing M&E practices, methods, tools and the associated gaps conducted by IUCN comprehensively reviewed approaches and methods in the context of the monitoring and evaluation of climate change adaptation activities. Subsequently, the development of the M&E toolkit and training manual was based on the need that was identified by the aforementioned study. However, provided that climate change is a topic that is gaining broader recognition, several institutions have developed frameworks for the M&E of climate change adaptation interventions since the finalization of the Project's study on existing M&E practices and tools. These institutions and their respective publications are:

1. International Institute for Environment and Development (IIED)
  - Anderson, S. (2011). Assessing the effectiveness of climate adaptation. Opinion, lessons from adaptation in practice. IIED, 2p. <http://pubs.iied.org/pdfs/17104IIED.pdf>
  - Brooks, N., Anderson, S., Ayers, J., Burton, I., Tellam, I. (2011) Tracking Adaptation and Measuring Development. IIED working paper, 44p. <http://pubs.iied.org/pdfs/10031IIED.pdf>
2. World Resources Institute(WRI)
  - Spearman, M. and Mc Gray, H., (2011). Making adaptation count: Concepts and Options for Monitoring and Evaluation of Climate Change Adaptation. World Resources Institute, 62 p. [http://pdf.wri.org/making\\_adaptation\\_count.pdf](http://pdf.wri.org/making_adaptation_count.pdf)

3. United Kingdom Climate Impacts Programme (UKCIP)
  - Pringle, P. (2011). AdaptME: Adaptation monitoring and evaluation. UKCIP, Oxford, UK. <http://www.ukcip.org.uk/wordpress/wp-content/AdaptME/AdaptME.pdf>
4. Institute of Development Studies (IDS)
  - Silvia Villanueva, P. (2011) Re-thinking M&E practices in a changing climate: the ADAPT principles for M&E of climate change adaptation. IDS working paper. 39p. <http://community.eldis.org/.59d49a16/Learning-to-ADAPT.pdf>

Hence, taking these developments into account, it was found important to re-assess the comparative advantage, 'niche', of the project's M&E toolkit and training manual.

- ***Overview and comparative review of the different M&E frameworks for climate change adaptation***
  - The publications of the International Institute for Environment and Development (IIED): In 2011, IIED produced two publications on the Monitoring and Evaluation of Climate Change.
    - The first publication, *Tracking Adaptation and Measuring Development*, proposes an approach to the evaluation of adaptation 'success' which combines 'upstream' indicators, namely an assessment on how well climate risks to development are managed by institutions, and 'downstream' indicators, namely an assessment of how successful adaptation interventions are in reducing vulnerability and keeping development 'on track' in the face of changing climate risks. Rather than a 'toolkit' for monitoring and evaluation that prescribes particular indicators and methodological approaches, this publication provides a framework that defines indicators' categories or domains that can be tailored to specific contexts.
    - The second publication, *Assessing the effectiveness of climate adaptation*, specifically argues that M&E of adaptation has to measure how well climate risk management for development is done, and how well development performs under increasing climate challenges. The publication recommends that an inclusive and 'open source' approach to monitoring and evaluating adaptation should be developed based on dialogue and the sharing of knowledge is far more likely to be effective.

- The publication of the World Resources Institute (WRI): The WRI publication, *Making Adaptation Count*, provides adaptation and development practitioners with a framework for developing M&E systems that can track the success and failure of adaptation initiatives in the development context and it addresses the planning, design, and early implementation stages of the project cycle. Considering that adaptation in the development context can be broadly categorized by three types of efforts, namely community based adaptation, program and project-based adaptation and national policy initiatives, the study recommends the subsequent development of M&E systems that are tailored to meet the associated needs.
  
- United Kingdom Climate Impacts Programme (UKCIP): The UKCIP AdaptME Toolkit aims to help practitioners to think through and/or address factors that can make an evaluation of adaptation activities inherently challenges, thereby enabling them to design a robust evaluation. The toolkit is developed considering that climate adaptation may be just one aspect of a broader evaluation exercise and hence did not seek to provide a comprehensive '*one-size-fits-all*' evaluation framework. In specific the toolkit aims to help practitioners to (i) refine evaluation purpose and objectives, (ii) reflect on what is being evaluated and the logic behind this, (iii) understand how specific traits of climate adaptation can make evaluation challenging and how these challenges can be overcome, (iv) draw out, understand and re-evaluate assumptions, (v) consider how progress and performance might be best measured and evaluated, (vi) identify examples, good practice and techniques which may help ensure that the evaluation is robust in the context of climate change, and (vii) prioritize evaluation activities, recognizing that evaluations need to be proportionate to the investment and are resource limited.
  
- Institute of Development Studies (IDS): The IDS working paper, *Re-thinking M&E practices in a changing climate: the ADAPT principles for M&E of climate change adaptation*, situates the M&E discussion at the interface of climate change adaptation, disaster risk management and development. The paper further describes the key practical challenges for M&E in the context of climate change and examines the current efforts, comparing methodological aspects and the conceptual underpinnings of existing practice, pointing to gaps and limitations. To address the limitations, the paper presents a set of ADAPT principles

(Adaptive, Dynamic, Active, Participatory and Thorough) to facilitate the development of M&E frameworks for interventions that aim to contribute to integrated adaptation processes.

The recent '*clustering*' of efforts in addressing the M&E challenges in climate change adaptation clearly shows that given the scale of associated global investment there is an underlined need for a robust assessment framework to track the *expected* and *actual* returns of climate change adaptation investments. To this end, the methodological contribution of research institutions and development partners is testimonial to the broader recognition on the need to track the performance of climate change adaptation interventions. However, unless the comparative advantages of the different methodological frameworks and toolkits are not well assessed, there may be a repetition of efforts. In this context, the following are specific attributes of the project's M&E toolkit and training manual:

1. Almost all the above-reviewed work on the Monitoring and Evaluation of climate change adaptation has approached the issue from the 'demand-side', generally looking at *how M&E to climate change should be organized taking into account the dynamic nature of adaptation?* However, while this is also the core research question of the project, it also looks at the 'supply-side', identifying and combining existing M&E methods and tools in a manner that gives particular emphasis to climate indicators. In effect this supply-side approach makes the Project's M&E toolkit unique;
2. The M&E toolkit and training manual developed under the project has been tested 'on the ground', through case studies implemented in five African countries. Moreover, the inputs from these case studies are integrated into the toolkit, thereby further refining it;
3. The M&E toolkit and training manual is specifically customized to the African context, since it was:
  - a. developed by practitioner organizations in Africa, and
  - b. specifically tested on adaptation initiatives in Africa
4. The tools have specifically been selected and organised to allow to use the results of community-level planning and M&E in those of national or regional adaptation initiatives

5. A number of different approaches are used to feed into a general results-based management framework
6. The documentation of the toolkit (training handbook and user's guide) are very practical. Their audience encompasses facilitators of community processes as well as M&E officers of adaptation initiatives.

Hence, the comparative advantages of the project's M&E toolkit and training manual will be in its due consideration of these attributes in the implementation of subsequent activities. Taking these comparative advantages into account, subsequent activities should focus on the dissemination of the M&E toolkit and training manual at the regional and national level in Africa, in collaboration with partner climate change oriented focal institutions. In fact, this has already been identified as a 'niche', since the M&E toolkit has specific focus on Africa and the practitioner institutions in three African countries, namely Senegal, Mali and Niger, have shown strong interest in becoming the focal institutions for the dissemination and use of the M&E toolkit at the national level in their respective country.

## **VIII. Overall assessment and Recommendations**

Overall the project has been able to deliver the required outputs and was also to effect some changes within the project implementing partners. Furthermore, the project was able to facilitate an increased understanding on M&E practices, methods and tools in the context of climate change adaptation and to instigate change in stakeholder organizations. It also had clear rationale, objectives and expected results which facilitated an easier implementation of the stipulated activities.

At the strategic level, the enthusiasm observed around the project largely confirmed the initial hypothesis and approach, that there was indeed a need to harmonize the Monitoring and Evaluation approaches to climate change adaptation. The project was also timely, as several organizations including donors had identified the development of a reliable and effective M&E framework as a means for accountability for tracking delivery of results and as an avenue for accelerating knowledge, particularly in due consideration of the increased recognition and financial support for climate change adaptation initiatives at the present. At the operational level the project was well coordinated, with partner institutions exhibiting a high level of motivation to implement their components of responsibility.

In assessing the project, the perspective of partners was solicited and a summary of this is presented below:

- ***CCAA program management:*** Overall the project implementing partners were pleased with the outcomes and implementation aspects of the project. Although the program's management was initially concerned with the rate of implementation of the project, it was ultimately pleased with the implementation pace, particularly following the recruitment of personnel by UNECA. Furthermore, the key role played by ECA in coordinating the project and in sharing the experience and knowledge attained from the implementation of the project was well appreciated. Similarly the project donors have commended the coordination of activities and the good collaboration between the project implementing partners. They also provided positive feedback on the knowledge products developed and practitioners' network established by the project. Taking into account its success, CCAA management also considered the provision of subsequent support to implement the activities that are stipulated in the project's outreach strategy for the dissemination of the knowledge products developed. However, because of its conclusion in March 2012, the CCAA program cannot continue to support this initiative. IDRC's program on Climate Change and Water (CCW) started to disseminate the French version of the toolkit with its francophone projects.
- ***Project Implementing Partners:*** The project implementing partners well appreciated the extensive partnerships that resulted from this joint initiative. Moreover, they have internalized the project outcomes and intend to utilize the knowledge products of the project in their upcoming initiatives. They have also undertaken efforts to integrate and mainstream the M&E toolkit into their programmatic interventions. Overall the project implementing partners have highlighted the need to have follow-up operations in order to disseminate the project achievements. The project implementing partners are also in the process of identifying an appropriate entity for taking over and disseminating some of the achievements of the project, particularly its knowledge products.
- ***Other Stakeholders:*** No formal consultation of stakeholders was conducted. However, some stakeholders that have provided feedback have appreciated the project's effort to work closely and share experiences with relevant institutions working on climate change issues in Africa. They have also pointed out that this multi-stakeholder participation should be maintained even beyond the life span of this project, as it provides an important forum for validating subsequent initiatives of the project stakeholders.

Moreover, the recommendations forwarded highlight that in order to strengthen the climate change adaptation knowledge and sustain the important outcomes of the project, the project implementing partners (UNECA, AGRHYMET, OSS and IUCN) should:

- maintain the existing multi-stakeholder partnership to validate knowledge products (existing and new) in the area of monitoring and evaluation for climate change adaptation
- ensure the transfer the knowledge products and other important outputs of the project to focal institution(s) that can ensure the refinement and use of these knowledge products in a manner that supports the efforts of African countries in this regard
- independently and/or jointly put efforts towards implementing the Project's outreach strategy for the dissemination of the knowledge products

Moreover, taking into account the comparative advantages of the project and lessons drawn in relation to addressing the project's research questions, it would be important if subsequent activities of the project implementing partners and donors focus on promoting the utilization and dissemination of the M&E toolkit and training manual at the regional, sub-regional and national level in Africa. In that regard, several stakeholder organizations in Africa have shown strong interests to serve as centers of excellence for the dissemination and use of the toolkit.