

Research to Policy for Adaptation: Linking African Researchers with Adaptation Policy Spaces

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Country/Region: **Kenya, Malawi, Tanzania**

Full Name of Research Institution: **Institute of Development Studies**

Address of Research Institution: **Brighton BN1 9RE, United Kingdom**

Name(s) of Researcher/Members of Research Team: **Lars Otto Naess** (project manager, IDS), **Moses Ikiara** (KIPPRA team leader, Kenya), **Blessings Chinsinga** (Chancellor College team leader, Malawi), **Kassim Kulindwa** (TanzaKesho team leader, Tanzania). See also Annex 2.

Contact Information of Researcher/Research Team members: **l.naess@ids.ac.uk**, **mmikiara@kippra.or.ke**, **kchinsinga@yahoo.co.uk**, **kulindwa@gmail.com**

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Acronyms and abbreviations

ASAL	Arid and Semi-Arid Lands
CCAA	Climate Change Adaption in Africa
DFID	UK Department for International Development
IDRC	International Development Research Centre
IDS	Institute of Development Studies
IK	Indigenous Knowledge
KIPPRA	Kenya Institute for Public Policy Research and Analysis
NCG	National Consultative Group
ODI	Overseas Development Institute
PAR	Participatory Action Research
RPA	Research to Policy for Adaptation
SUA	Sokoine University of Agriculture, Tanzania

Abstract

The Research to Policy for Adaptation (RPA) project has addressed the need to improve linkages between researchers studying adaptation and the emerging government adaptation policies in developing countries. In this lies an imperative of bringing the growing body of research from local level adaptation studies to bear on government policies, to support adaptation policy and practice. The project has addressed this gap through case studies and development of engagement strategies with client Climate Change Adaption in Africa (CCAA) project partners, shining a critical light on an under-researched area of climate change adaptation. The research has focused resources and expertise to reflect and enhance ongoing action research initiatives - a process that, while often called for, has rarely been carried out.

Through these activities, the RPA project has helped client CCAA PAR projects to better understand the role research can play in understanding and engaging with adaptation policy processes. This report describes the key steps that were taken, and a synthesis of lessons learnt. For example, the project found that, in order to bridge the gap between research and policy, informal processes may be as important as the formal ones. One way of tapping into informal processes was demonstrated through the establishment of the National Consultative Group (NCG) in Malawi. Further, we have found that balancing the relationship between objective analysis and active engagement takes time and careful consideration of the researchers' own position and values. At the level of individual client CCAA projects, it is hoped the learning will continue through a relationship between client CCAA projects and RPA researchers, as well as related research efforts such as the Future Agricultures Consortium (FAC).

Keywords:

Climate change, adaptation, research, policy processes, narratives, actors

1. Introduction and research problem

This report outlines the activities, outputs and outcomes of the Research to Policy for Adaptation (RPA) project through its three main phases, starting in March 2009 and finalising February 2011. The project originated from a need to improve linkages between researchers studying adaptation and the emerging government adaptation policies in developing countries. With an increasing body of research from local level adaptation studies, it is important – from a donor as well as from a research perspective – to explore how these are informing and influencing government policies. Whilst national climate change strategies and adaptation action plans have been developed by governments with support from international institutional architecture and finance mechanisms, such as National Adaptation Programmes of Action (NAPAs) supported by the Least Developed Country Fund (LDCF), it is unclear what evidence and information is driving such strategies, and in turn the scope or space for research to inform future policies and strategies.

An increase in funding potential and pledges raises questions around the capacity of governments to effectively manage these additional funds, as well as how priorities are decided, by whom, and on what basis. It is clear that governments will have to make difficult choices between conflicting adaptation goals championed by different government sectors and departments. The role of the RPA project has been to help forge linkages between on the ground research and government level policy processes.

So far, much local- or community based climate adaptation research have been carried out without a thorough analysis of how adaptation policies are being shaped; including how problems are formulated and what actors are involved in policy processes. This lack of attention to policy processes matters as it is closely linked to the types of evidence that is emphasised or regarded as valid, and the types of strategies that are prioritised in adaptation policies. The first – and still common – approach to climate adaptation is one emphasising climate scenarios and the possible climate change impacts on natural and social systems, with response strategies focused around improved technical capability such as irrigation and improved crop varieties.

Over the past 10-15 years, increasing focus in adaptation studies has also been put on the structural and individual factors that determine vulnerability to stressors, including climate change, and a focus of actions to strengthening individual and institutional capacities to tackle uncertain future climates. These differences reflect that actors, including researchers, NGO representatives and policymakers, are drawn from an increasing range of disciplinary and professional backgrounds, and an increasing convergence between climate change and other areas, notably Disaster Risk Reduction (DRR). An indication of this is the increasing – yet still contested – role of local or indigenous knowledge for informing policy, and whether it is treated mainly as data inputs or also as a reflection of local people's values and worldviews.

The motivation for the RPA project goes beyond contested types of knowledge, however. Importantly, it builds on a notion that the development of adaptation policy and practice is not merely a managerial and technical exercise, but an inherently political endeavour (e.g. Eriksen and Lind, 2009)¹, reflecting interests attached to particular outcomes. Different actors will have an interest in seeing "their" adaptation options prioritised, and will draw on networks and political power to promote it in policy processes. High quality of research is necessary,

¹ Eriksen, S. and J. Lind, 2009. Adaptation as a Political Process: Adjusting to Drought and Conflict in Kenya's Drylands. *Environmental Management*, 43 (5): 817-835.

but not sufficient. Adaptation research that highlights potential for win-win opportunities may go unseen or be missed altogether. An important factor here is the question of understanding policy processes and engaging with policymakers.

The RPA project thus focused on the gaps in understanding on the processes that shape climate adaptation policies, and the ways in which this gap may be filled. It did so through analysis of policy processes related to Climate Change Adaptation in Africa (CCAA) programme Participatory Action Research (PAR) projects in the three study countries. In turn, it has helped develop approaches that may be replicated across (and beyond) Africa. The remainder of this report goes through the different aspects of the project. The next section (2) reports on achievement of objectives, followed by an overview of methodology and activities (section 3), project outputs (section 4), project outcomes (section 5), and finally, an overall assessment of the project (section 6).

2. Summary of project objectives and achievements

The overall goal of the RPA project has been to increase the ability of CCAA programme partners in Eastern Africa to understand climate change adaptation policy processes at local and national scales, in order to maximise the use of research results in the formulation of adaptation policies in Africa. As the report shows, the project has engaged with CCAA researchers through case study research analysing the policy context in which their projects operate, regular meetings and support, and strategies attempting to identify pathways for CCAA researchers working on adaptation to better engage with relevant policy processes. The project has followed an innovative and experimental process of capacity development amongst project participants.

In the following, project objectives and achievements are reviewed in brief. No significant changes have been made to the original goals of the project since its commencement.

Objective One: *To conduct a number of short policy-focused research projects, led by African policy researchers, which seek to better understand the complexities of adaptation policy processes in different countries*

A total of seven case studies were conducted by three research partners in East Africa, namely Kenya Institute for Public Policy Research and Analysis (KIPPRA) in Nairobi, Chancellor College at the University of Malawi in Zomba, and TanzaKesho Consult in Dar es Salaam, Tanzania. The case studies had a dual purpose: First, to help unpack the complexities of the policy processes that relate to the client project; second, to discuss how this analysis may contribute to identifying policy engagement strategies, which would enhance the achievement of PAR projects' policy influence goals. Each study was based on a thorough analysis of the policy areas relevant to the client CCAA projects.

Notwithstanding the common project goals, analytical framework and research phases, the research teams were given a free hand in designing the case studies in consultation with the CCAA partner projects. As a result, the case studies differ in their focus on emphasis, e.g. on formal versus informal policy processes, and national versus sub-national policy processes. Importantly, however, they all highlight the complexities of adaptation policy processes, and have through that added to the CCAA projects' understanding of why and how they may engage with the policy processes.

Objective Two: To use this knowledge to develop a range of methodological and practical tools and relationships to strengthen the capacity of CCAA Participatory Action Researchers (PARs) to build a policy engagement strategy in order to improve their ability to influence adaptation policy through their action research projects.

For each of the seven case studies, the RPA teams helped develop an engagement strategy with the client CCAA researchers. Each of the case studies identifies which methods for policy engagement have worked or may work in the future, examples of which are presented in Table 4. A common framework for the engagement strategies were discussed at a workshop in Lilongwe, April 2010. From there, however, teams were free to develop the engagement strategies with the client CCAA researchers in a format of their own choosing. This was in recognition of the differences between the case studies, and the need for engagement strategy formats that suit the CCAA partners' needs.

The process showed how engagement strategies could build the capacity of the client CCAA researchers. In several cases, additional steps were taken by the PARs to engage with policy actors in new and different ways. The engagement strategies were seen as a process rather than a product, and is best served as a living document that can be updated as the teams see fit. One of the challenges of developing an engagement strategy include finding the right balance between researcher as "objective analysts" while at the same time suggesting ways of improving its policy influence.

Objective Three: To build capacity for further development of policy research in Eastern Africa through academic partners.

Through training of researchers, mentoring case study analysis and engagement strategy development, the RPA project presents a new approach to adaptation policy research in Africa, and has helped facilitate new alliances among new and often 'unlikely' partners such as agriculture and development-oriented institutions and policy research institutes. For example, one of the client CCAA partners in Kenya expressed interest in increased work with KIPPRA in their future policy work, to understand the constraints and policy spaces that would facilitate their goals.

Another important learning experience has been the development of cross-border experiences and alliances across the three countries, through regular meetings and research across the three countries. Through this, researchers were gaining expertise on each others' countries, an opportunity that is often difficult in research projects.

The capacity built through the project is held with the RPA and client CCAA project researchers. Much of this will remain in institutions, while carried forward by individuals. In some of the teams, there has been a significant shift of researchers throughout the project life. While this has been a concern for the project implementation, they also form part of an expanding network of researchers and institutions with interest and experience in research on climate change, agriculture and policy processes, and can transfer their experience to future projects.

Follow-up research has already been commissioned through the Climate Change theme of the DFID-funded Future Agricultures Consortium (FAC).² Through work under FAC, many of the ideas from the project have been carried forward, exemplified by a joint FAC/RPA roundtable

² See www.future-agricultures.org

to launch the FAC Climate Change work in Kenya in September, 2010. Through its long term goal of moving its base from IDS to an African institution, FAC provide an avenue for possible institutionalisation of research in this area.

Objective Four: *To develop a clear and accessible analytical framework for investigating climate change adaptation policy processes in Africa.*

The analytical framework that were developed and tested through the project has been shown to be a powerful and enlightening, if also challenging, tool for conducting policy process analysis and engagement. The application of the framework to case studies has shown a number of research-policy linkages for adaptation characteristics, and helped researchers identify suitable policy spaces for the policy engagement strategies. The framework has proved intuitive and immediately easy to understand, with its focus on networks of partners, political processes and narratives. In a joint meeting of RPA research teams and client CCAA researchers in Lilongwe, participants highlighted the framework's strength in unpacking complex interactions, bringing out the key players in policy processes (and showing interactions between them), and helping them to understand where and how they can engage. The use of the framework has not been without challenges, however. In particular, the concept of narratives has been challenging, both to RPA project teams not previously familiar with the term, but also to client CCAA project partners. At the same time, a better understanding of policy narratives has also been of use to the CCAA partners. Feedback from CCAA partners suggests that the PAR project has helped them improve their understanding of other actors' point of views of relevance to their projects.

Objective Five: *To create mentoring relationship between the PARs and academic partners.*

Mentoring relationships were created between RPA researchers and CCAA partner projects, helping the CCAA projects identify policy gaps and spaces through policy engagement strategies, and ways of doing so. For example, in Malawi, a National Consultative Group (NCG) was established and the RPA project has helped facilitate policy engagement through the NCG. Of particular importance was the way this group, while semi-formal in nature, created an informal space for exchange of views on crop diversification. While it is clear that these engagement processes cannot be sustained in the long run without financial support, important research-policy networks have been created through this process, which in turn help build a critical mass of researchers in this area. For further discussion of lessons on the building of mentoring relationships between the RPA project and CCAA partners, see section 6.

3. Methodology and project activities

3.1 Methodology

The project's analytical framework draws upon approaches to analysing policy processes by the Institute of Development Studies (IDS) (Keeley and Scoones, 2003)³, lessons from the Overseas Development Institute's (ODI) RAPID Programme (ODI, 2004)⁴, and analysis of power and policy spaces by Gaventa (2006)⁵. The framework represents policy processes as a complex mesh of competing interests and negotiations. Power and politics are central, and this has been recognised as applying equally to adaptation. Elsewhere, policy processes are sometimes seen, or implicitly treated as, linear progressions where researchers' role are limited to providing objective scientific evidence at the end of the research processes. Likewise, adaptation is still seen by many as a technical process and a challenge to be 'managed' through responses targeted at specific future risks.

From a provisional guiding framework analysing policy processes and indentifying policy spaces (according to the categorisation by Gaventa (2006) of spaces as places, areas, locations and gaps where policy can be influenced, the framework was reviewed and discussed collectively at a series of workshops, and in parallel applied to case studies by the research teams. Drawing on the work of the STEPS Centre and the RAPID programme, the RPA process considered characteristics of forms of 'engagement in policy', and through these the identification of pathways to adaptation policy influence. The framework is shown in its simplest form in Figure 1 below.

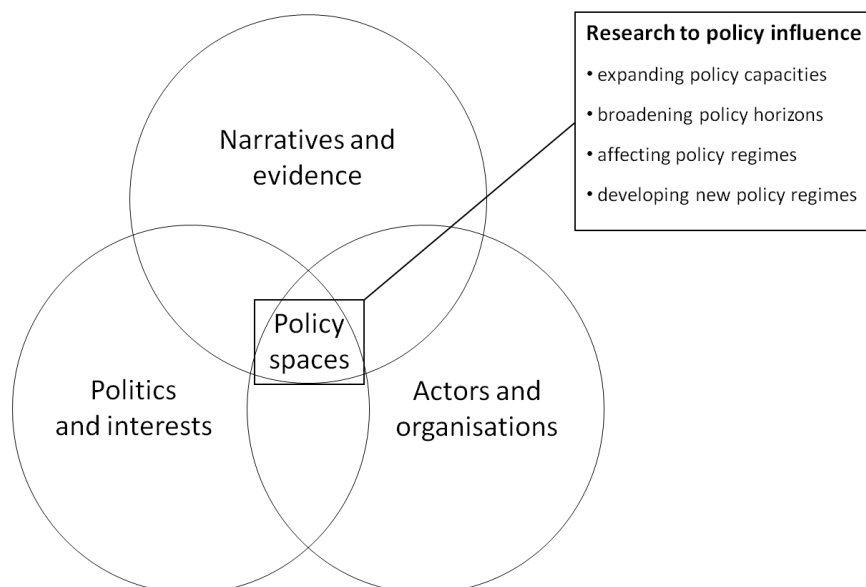


Figure 1. The policy processes analytical framework as applied to policy analysis case studies of CCAA projects. Adapted from Keeley and Scoones (2003) and Gaventa (2006)

³ Keeley, J., and I. Scoones (2003). Understanding environmental policy processes: Cases from Africa. Earthscan.

⁴ Gaventa, J. (2006). Finding the Spaces for Change: a power analysis. IDS Bulletin (37) 6. IDS, Brighton.

⁵ ODI, 2004. Bridging Research and Policy in International Development: An analytical and practical framework. ODI/RAPID Briefing Paper, ODI, London.

At the research review workshop in Lilongwe in April, 2010, the framework was reviewed for strengths and weaknesses, summarised in Table 1 below. Key perceived strengths included unpacking and simplifying complex interactions, and enabling mapping of key actors in policy processes, and their relations. For example, CCAA partner projects have emphasised the usefulness of the framework in assisting them to target the right actors in their efforts to apply their findings. As mentioned above, narratives proved a particular challenge, but feedback suggests that the focus on narratives has been an eye-opener to many, and that the linking of narratives to actors and politics has been a useful exercise.

Perceived weaknesses include the view that while the framework is good at explaining linkages and in framing questions, it has less to say about what to do to change status quo. Also, it does not in itself capture the role of informal spaces, which is very important in an African context, and is seen to pay less attention to the dynamic and changing relationships between actors, the politics/interests, and narratives.

Table 1. Perceived strengths and weaknesses of analytical framework, RPA country teams

Strengths	Weaknesses
<ul style="list-style-type: none"> • The conceptual theory unpacks complex interactions very well. • It brings out main key players in policy processes. • It represents complex policy interaction. • It provides a useful conceptual framework for addressing/analysing policy problems. • It shows interaction between different actors in the policy processes. • "It can be used to explain anything" (both a perceived strength and weakness) • It assists in thinking about the narratives, identifying the actors associated with each narrative. Matching each narrative to the actor and the interest helps us identify the convergence point. It is only at the point of convergence that we can start influencing policy. • It indicates the policy direction on which actors can engage. 	<ul style="list-style-type: none"> • The conceptual framework does not explain causality. • It does not provide information on how to change the components of the framework, e.g. how to change narratives or power relations. • It is not in itself able to capture or explain complex latent relations. Institutional politics/interest may differ from those of departments or individuals within it (though this is captured through the actors/networks dimensions). • May not be dynamic enough to capture changing relationships between actors, the politics/interests, narratives, and moving targets • Identifying/separating individual interests from those of the institution consumes time and financial resources. • The interaction between formal and informal policy processes is not well captured by the conceptual framework. • Leaves out the role of institutions as rules of the game • Fails to capture a whole range of policy spaces particularly those bordering on informality.

Source: Research Review Workshop, Lilongwe, 26-28 April 2010

The research set-up was based on joint discussions between the RPA researchers and the client CCAA projects to discuss suitable research questions and interviewees. A methodological challenge was to overcome some initial perceptions of the RPA project as aiming to influence research directly, rather than what was the dual objective of analysing the policy context in with the CCAA projects operate, and to help equip them with knowledge and

tools to improve their own policy influence. The role of the RPA project and its relationship with CCAA projects is illustrated in Figure 2 below.

The research relied on qualitative approaches, based on national and local level interviews and focus group discussions. The local aspect was added after it became clear that interviews at the national level would be insufficient for understanding the CCAA projects' objectives, working modes and constraints to policy influence.

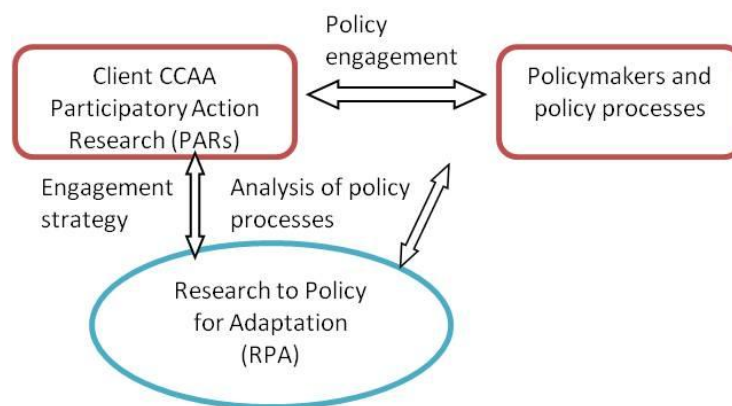


Figure 2. Schematic set-up of relationship between the RPA project, client CCAA programme partners and the policy context. Adapted from Mashindano and Odame (Forthcoming)

3.2 Activities

Project activities were implemented in a stepwise manner, and focused on building relationships between RPA researchers and client CCAA project partners. As Table 2 shows, progression on the three main areas of case study development, training on the analytical framework and development of engagement strategies, were centred on four key project meetings, held between April 2009 and April 2010.

The first phase (April-September 2009) started with the project inception meeting in Nairobi, April 2009, and focused on establishment of project teams, introduction to the analytical framework and research approach, and development case study outlines by the RPA project teams in collaboration with client CCAA partners. The training workshop in Brighton, June 2009, focused in particular on training RPA team members in stakeholder network mapping, and understanding the thinking around policy processes. Phase I concluded with a co-ordination meeting between the RPA teams and the client CCAA projects in Dar es Salaam, September 2009. The workshop focused on reviewing draft case study outlines and finalising research design. The project teams, in collaboration with their client CCAA projects, also developed sets of outcome mapping indicators for their case studies. This was a simplified version of the outcome mapping methodology (a full scale outcome mapping was not intended due to the relatively short duration of the project). The mapping indicators were used among others to identify interviewees, monitor impacts and help design engagement strategies.

The project's second phase (October 2009-April 2010) was the main research period. After the Dar es Salaam workshop, the teams finalised their research design, and most teams

commenced fieldwork between November and December 2009 after feedback on their research design during and after the workshop. The Malawi team was delayed in this phase due to problems with funds transfer (as reported in earlier technical reports) and logistical and other challenges with their planned case study in Tanzania, which was later abandoned. Phase II finalised with the research review workshop in Lilongwe, 26-28 April 2010 (see Figure 3). The workshop's main focus was to review all draft case study reports, discuss the application of the analytical framework, and develop a broad outline for the engagement strategies.



Figure 3. Research review workshop, Lilongwe, April 2010

The third and final phase of the project (May 2010-February 2011) has focused on revision of case studies, development of engagement strategies with client CCAA projects as well as sharing findings in various fora. A project extension was granted after it became clear that project teams needed longer time to finalise their outputs, brought on by delays in funds transfer to Malawi, numerous changes in the team leadership in Kenya, delays in start up of the project in Tanzania, and challenges in working cross-country.⁶ The initial delays also had some knock-on effect in team members' scheduled commitments after the original end date, which, along with further changes in the team composition in Kenya, hindered the finalisation of outputs. Nevertheless, a range of outputs have been finalised or are in their final stages (see also section 4). A number of outreach and communication activities have been carried out through Phase III, including four learning events between November and February 2011, bringing together the RPA teams, CCAA partners and key policymakers.

Case studies

RPA researchers worked closely with the CCAA projects to conduct a number of activities guided by the framework and following four key steps: (1) Understanding the adaptation policy context (including a review of relevant literature and national policy documents); (2) Mapping policy processes and actors (including stakeholder mapping); (3) Identifying policy spaces for change (including outcome mapping); (4) Designing strategies for policy influence (including trialling new methods of engagement and developing engagement strategies). Table 2 illustrates how the different components of the project developed through a series of research workshops and training events.

⁶ Further discussion on these points is given in the 2nd technical report (April 2010).

Table 2. Development of project activities

Project meeting	Analytical framework	Case studies	Policy engagement strategies
Project inception meeting, Nairobi (April 2009)	Introduction of the analytical framework to the research teams	Overview of client CCAA projects	Introduction of the idea of engagement strategy and the principles of outcome mapping
Training workshop, Brighton (June 2009)	Initial conceptualization and training on 'policy processes' and 'policy space' analysis	Training on actor mapping Identification of case studies	
Research team coordination workshop, Dar es Salaam (September 2009)	Introducing framework to client CCAA projects	Review of connections made with key actors	Training on outcome mapping
Research review workshop, Lilongwe (April 2010)	Framework review: experiences, pros and cons, limitations	Drafts circulated, presentation and feedback; starting to consolidate lessons	Common framework for strategy development

The RPA research teams worked with a total of seven client CCAA project teams over the project period to understand the policy processes relevant to each project and explore routes to strengthening the project through identifying policy spaces and engagement tools (see Table 3 below). In some cases processes related to an entire PAR project were considered (e.g. Mashindano, Forthcoming), whereas in others a single component was analysed (e.g. crop diversification research in the context of a wider programme; Chinsinga et al., Forthcoming).

The research involved several key steps based around the application of the analytical framework with the assistance of policy review and forms of stakeholder analysis. Literature reviews were the starting point for understanding the policy context. An example of mapping of actors, interests and policy spaces in the Malawi case study (Chinsinga et al. Forthcoming) can be seen in Annex 1.

Engagement strategies

Policy engagement strategies were developed for each of the seven case studies in collaboration with the CCAA partner projects. The engagement strategies were based upon a common outline and some commonly agreed 'principles of engagement', but adapted to the specific case studies. The teams developed outcome mapping indicators as a basis for developing engagement strategies. Outcome mapping training enabled the teams to work together to develop their vision mission and monitoring priorities, as well as identifying boundary partners, outcome challenges and progress markers. From this 'engagement strategies' have been developed, with the aim that, at the end of the process, the strategies are owned and used by the CCAA partners themselves.

Recognising that there is no 'one size fits all' method for policy engagement, the teams created their own plans on basis of a loose set of guidelines, setting out the purpose and

rationale for engagement strategies, as well as providing a broad outline with (1) introduction, followed by (2) objectives and rationale, identification of policy spaces, (3) principles for policy engagement, as well as (4) key questions, methods and tools. It was emphasised to all teams that they were free to alter this outline as they wished, as all projects are different. Thus, the length and format of the engagement strategies differ, and their format also vary slightly. They generally include general guidance as well as project-specific guidance. The engagement strategies are currently in final drafts, due to be edited before finalisation as 'living documents' to be shared with the client PAR researchers and posted on the RPA project website.

Table 3. Overview of case studies and countries

Client CCAA PAR project title	RPA case study working title(s) and author(s)	Kenya	Tanza- nia	Malawi
Integrating Indigenous Knowledge in Climate Risk Management in support of Community Based Adaptation	Meteorologists meeting rain makers: Indigenous knowledge and climate risk policy processes in Kenya (Guthiga and Newsham, Forthcoming)	X		
Enhancing Adaptation to Climate Change among Pastoralists in Northern Kenya	Policy processes and adaptation among pastoralists in Northern Kenya: The case of water and land use in Turkana District' (Ndirangu and Kamande, Forthcoming)	X		
Transferring the Malaria Epidemic Prediction Model to Users in East Africa	1. Adoption of the Malaria Epidemic Prediction Model (MEPM) for climate adaptation in Kenya: Analysis of policy processes (Mashindano and Odame, Forthcoming) 2. Transferring the climate based Malaria Epidemic Prediction Model (MEPM) to Tanzania: policy considerations (Mwamba, Forthcoming)	X	X	
Managing Risk, Reducing Vulnerability and Enhancing Productivity under a Changing Climate	1. Agrometeorological advisory services and national agricultural policy in Kenya: an analysis of policy processes (Laichena and Mwakubo, Forthcoming) 2. Weather information use for risk management, vulnerability reduction and agricultural productivity improvement in Tanzania: An analysis of policy processes (Kulindwa, Forthcoming)	X	X	
Strengthening Local Agricultural Innovation Systems in Less Favourable and High-Potential Areas of Tanzania and Malawi	Policy Processes, Climate Change and Agriculture in Malawi (Chinsinga, Mangani and Mvula, Forthcoming)			X

4. Project outputs

The following provides an account of the project outputs, which include the publications and reports (published and unpublished) related to case studies, capacity building activities and other engagement with the client CCAA projects.

Outputs are in three categories: research, capacity building, and outreach. By research outputs we mean outputs coming out from the seven case studies, capacity building relates to training and mentoring between the RPA project and client CCAA projects, including engagement strategies, and outreach involves activities and presentations outside the group of RPA and client CCAA researchers, including media reports, briefings and presentations.

For each, it is specified where and when it has been or will be posted or published. All outputs will in due course be posted at the project website (www.policyadapt.org, currently hosted under the AfricaAdapt website, www.africa-adapt.net).

4.1 Research outputs

A total of seven case studies were carried out. Initially, eight case studies were planned. However, due to logistical and other challenges, a decision was made early 2010 to discontinue a case study in Tanzania that had been initiated a few months earlier, but not started due to funds transfer delays. A replacement case study was attempted on a different CCAA project in Malawi, but not carried out due to delays in the start up of the CCAA project. All case studies were set up as a partnership between the RPA project and the client CCAA project. Owing to delays in the finalisation of the case study outputs, the research reports are not yet published. However, they are all at the stage of final drafts, currently being edited on basis of comments from reviewers. This also includes the review and analysis of the conceptual framework, which will be based on the final case study findings. From these, funding will be sought for a special issue of a journal or an edited book, in collaboration with the Climate Change Theme of the Future Agricultures Consortium. This will be planned for publication in 2012 or 2013, to coincide with the finalisation of the second phase of the Future Agricultures Consortium (2010-2013). Research outputs include the following:

Chinsinga, B., Mangani, R. and Mvula, P. Forthcoming. *The political economy of adaptation through crop diversification in Malawi*. IDS Bulletin, May 2011

Chinsinga, B., Mvula, P. and R. Mangani. Forthcoming. *Crop diversification to reduce farmers' vulnerability to climate change in Malawi – analysis of policy processes*, RPA Working Paper, IDS/Chancellor College.

Guthiga, P. and A. Newsham. Forthcoming. *Meteorologists meeting rain makers: Indigenous knowledge and climate risk policy processes in Kenya*. RPA Working Paper, IDS/KIPPRA.

Guthiga, P. and A. Newsham. Forthcoming. *Meteorologists meeting rain makers: Indigenous knowledge and climate risk policy processes in Kenya* IDS Bulletin, May 2011

KIPPRA, 2009 *Enhancing adaptation to climate change among pastoralists in northern Kenya: Literature review*. (Unpubl.) KIPPRA, Nairobi

KIPPRA, 2009. *Climate change policies in Kenya: Literature review* (unpubl.). KIPPRA, Nairobi

KIPPRA, 2009. *Exploring policy interplay across different levels in water and land use management among pastoralists in northern Kenya: Literature review*. (Unpubl.) KIPPRA, Nairobi

- Kulindwa, K. Forthcoming. *The adoption of weather information generation, packaging and dissemination approach for managing risk, reduction of vulnerability and promote agricultural productivity in Tanzania* RPA Working Paper, IDS/TanzaKesho, Dar es Salaam.
- Kulindwa, K., Mashindano, O. and Mwamba, N. Literature review for the RPA project, TanzaKesho, Dar es Salaam (unpubl.)
- Laichena, J. Forthcoming. Agrometeorological advisory services and national agricultural policy in Kenya: an analysis of policy processes. RPA Working Paper, IDS/KIPPRA.
- Mashindano, O. and H. Odame, Forthcoming. *Adoption of malaria epidemic prediction model (MEP) for reducing malaria incidence in Kenya*. RPA project Working Paper, IDS/TanzaKesho.
- Mwamba, N. Forthcoming. *Adoption of malaria epidemic prediction model (MEP) for reducing malaria incidence in Tanzania* TanzaKesho consult, Dar es Salaam. RPA project Working Paper, IDS/TanzaKesho.
- Naess, L.O. Forthcoming. Lessons from policy analysis of CCAA projects in Africa. A synthesis note summarising findings from case studies and engagement strategies, outlining lessons for future research and policy engagement beyond the case study countries.
- Naess, L.O., Polack, E., and Chinsinga, B. Forthcoming. *Bridging research and policy processes for climate change adaptation* IDS Bulletin, May 2011
- Ndirangu, L and P. Kamande, Forthcoming. *Policy processes and adaptation among pastoralists in Northern Kenya: The case of water and land use in Turkana District*. RPA project Working Paper, IDS/KIPPRA.
- Polack, E. and Naess, L.O. Forthcoming. *Closing the research-policy gap on adaptation: Lessons from case studies in Kenya, Malawi and Tanzania*. This is a discussion paper based on the seven case studies, with a discussion of the application of the analytical framework, and also including an overview of possible research tools for assessing climate change adaptation policy processes.

4.2. Capacity building and mentoring

The project's capacity building has focused on the RPA teams' use and application of the project's theory framework in case study research, and the use of outcome mapping indicators. The project has also built the capacities of CCAA partner projects for policy analysis and engagement, through workshops, case study research and regular meetings. RPA researchers report benefitting considerably during the implementation of the study, particularly the opportunity it has presented to learn new theoretical approaches for understanding policy development processes. This has allowed researchers to find ways into how to effectively influence change. Outputs here relate to trainings undertaken by the project, roundtables and learning events as well as development of policy engagement strategies.

Training events

Training of RPA and client CCAA projects include the following:

Policy processes research methods, stakeholder network mapping and analysis of policy processes. The nine core RPA project researchers in the three countries were trained in the use of the analytical framework at a training workshop in Brighton, June 2009 (photo). Ahead of the training, a training needs questionnaire was developed and used to develop the training programme (questionnaire to be posted on the website).



Outcome mapping training. A total of 19 RPA and client CCAA project researchers (9 and 10, respectively) were trained on a simplified outcome mapping journal development for the project, at the research planning workshop in Dar es Salaam, September 2009. Outcome mapping had already been introduced to RPA project researchers at the inception meeting in Nairobi, April 2009, and a note on goals and methods for outcome mapping was circulated in July, 2009.

Training and mentoring on the analytical framework. A number of meetings were held between RPA researchers and client CCAA researchers across the seven case studies and three countries, to introduce them to the project's analytical framework and its use. For example, a dialogue session was held with the PAR (Malawi) to discuss the project's political economy policy processes framework. This provided an opportunity for the PARs to re-evaluate their experiences, and to identify relevant policy issues and possible policy spaces that could have been used more successfully were they to have been equipped with such knowledge from the outset. Since the dialogue session, the client CCAA researchers were found to be in a much better position to apply policy relevant language to various elements of their work.

Facilitation of discussions under a National Consultative Group (NCG) in Malawi: The client CCAA researchers asked the RPA project for assistance on how to turn some of the key issues emerging from their work into policy briefs that would have impact on the policy processes. The NCG is also keen on understanding the dynamics of the analytical framework for the policy processes. The interest was ignited at the inaugural meeting of the NCG where they were being briefed on the scope of their mandate. The group strongly felt that the framework was relevant to a wide range, if not all, policy issues.

Learning events: Four learning events were held in the three countries: two in Malawi (35 and 38 participants, respectively), one each in Kenya (20 participants), and one in Tanzania (16 participants). The events, held towards the end of the project life, aimed to review and validate findings, as well as develop engagement plans further. The learning events brought together client CCAA project partners, RPA researchers and key policymakers. The second learning event in Malawi was held with staff and students at the Chancellor College, with the aim of bringing the project approach and findings across to students, in turn help bringing it into the teaching programme at the University.

Related presentations and reports include:

Bywaters, H. 2009. Minutes from training workshop, Brighton, IDS, 24-26 June 2009.

Chasukwa, M. 2011. Report from RPA learning event, Chancellor College, Zomba, January 2011.

- Chinsinga, B. Presentation at RPA Learning Event, Chancellor College, Malawi, January 2011.
- Chinsinga, B., Mangani, R. and P. Mvula, 2010. Agriculture and Climate Change in Malawi: Politics of Policy Processes through the Lens of Crop Diversification. Presentation at RPA-PAR Learning Event, Hotel Masongola, Zomba, Malawi, 12 November 2010.
- Laichena, J. 2011. Mainstreaming Agromet Advisory Services into National Agricultural Policy-Findings from the Case study. Presentation at RPA learning event, Fairview Hotel, 4 February 2011
- Mashindano, O. Presentation at RPA Learning Event, Millennium Towers, Dar es Salaam, 31 January 2011.
- Mwamba, N. Presentation at RPA Learning Event, Millennium Towers, Dar es Salaam, 31 January 2011.
- Naess, L.O. [et al.] Inception meeting proceedings for CCAA Project: Linking African Researchers with Adaptation Policy Spaces, Nairobi, Fairview Hotel, Nairobi, 7-9 April 2009 (Unpubl.)
- Naess, L.O. and B. Mshale, 2009. Research Review and Planning Workshop, 28-30 September, 2009. Belinda Ocean Resort, Dar es Salaam, Tanzania.
- Naess, L.O. and M. Chasukwa, 2010. Report from research review workshop, Lilongwe Hotel, Lilongwe, Malawi, 26-28 April 2010.
- Nyukuri, E. 2011. Report from RPA learning event, Fairview Hotel, 4 February 2011.
- Tanner, T. (2009) *Outline for Outcome Mapping* (unpubl.)
- TanzaKesho, 2011. Report from RPA learning event, Millennium Towers, Dar es Salaam, 31 January 2011.

Development of engagement strategies

Seven engagement strategies were developed with the client CCAA PAR partners. Engagement strategies were discussed from the commencement of the project, and concretised at the research review workshop in Lilongwe, April 2010. On basis of the agreed principles from this discussion, a short note on the goals, principles and broad outline for an engagement strategy was circulated in June 2010, to guide the teams forward. The outcome mapping tables developed by the teams (see above) were used to help guide the engagement strategy development. Engagement strategies are currently shared between the RPA project and the client CCAA projects, and to be posted at the project website upon completion as 'living documents'. Engagement strategies include:

- Chinsinga, B., Mvula, P. and R. Mangani. Forthcoming. Policy engagement strategy for CCAA project "Strengthening Local Agricultural Innovation Systems in Less Favourable and High-Potential Areas of Tanzania and Malawi" Chancellor College, University of Malawi, Zomba, Malawi.
- Guthiga, P. Forthcoming. Policy engagement strategy for CCAA project "Integrating Indigenous Knowledge in Climate Risk Management in support of Community Based Adaptation". KIPPRA, Nairobi, Kenya.
- Kulindwa, K. Forthcoming. Policy engagement strategy for CCAA project "Managing Risk, Reducing Vulnerability and Enhancing Productivity under a Changing Climate" (Tanzania focus). TanzaKesho consult, Dar es Salaam.

Laichena, J. Forthcoming. *Policy engagement strategy for CCAA project "Managing Risk, Reducing Vulnerability and Enhancing Productivity under a Changing Climate"* (Kenya focus). KIPPRA, Nairobi.

Mashindano, O. Forthcoming. *Policy engagement strategy for CCAA project "Transferring the Malaria Epidemic Prediction Model to Users in East Africa"* (Kenya focus). TanzaKesho, Dar es Salaam.

Mwamba, N. Forthcoming. *Policy engagement strategy for CCAA project "Transferring the Malaria Epidemic Prediction Model to Users in East Africa"* (Tanzania focus). TanzaKesho, Dar es Salaam.

4.3. Outreach and policy briefs, presentations and media reports

Outputs here include reports, briefs and media reports related to policy events, presentations and workshops. Key events and outputs include:

Policy roundtable on agriculture and climate change, Nairobi, 30 September 2010 (figure 4). The roundtable was organised by KIPPRA, as a joint effort between the RPA project and the Future Agricultures Consortium. The roundtable was attended by policy makers, NGO representatives and researchers involved in work on climate change and agriculture in Kenya. The meeting drew on findings from case studies under the RPA project in Kenya, and represented the launch of the Climate Change Theme of Future Agricultures Consortium (FAC) in Kenya. The meeting explored how the increasing international attention to agriculture and the potential impacts of climate change may play out in a Kenyan context through questions such as: How climate change goals are negotiated in the agricultural sector? And, how can research better engage with and inform national level policies?



Figure 4. Policy roundtable, Nairobi, 30 September 2010

Side event at the Global Conference on Agriculture, Food Security and Climate Change, The Hague, The Netherlands, 1 November 2010. The side event, entitled "Policy processes on climate change and agriculture: case studies from Africa", was jointly organised by the RPA project and the Future Agricultures Consortium, with contributions also by the IDS-led STEPS centre. The side event was well attended (25-30 people), and led to a number of questions. RPA and FAC researchers presented findings and lessons from RPA and FAC climate change case studies in East Africa (Kenya, Malawi, Tanzania and Ethiopia). The conference was among the first major international conferences linking agriculture, food security and climate change,

and was attended by senior policymakers, development organisations and academics. The side event related to theme 2 of the conference (understanding the effects of different policy measures), as well as sessions 3 (analysis of policy processes for adaptation and mitigation), and 6 (mobilising new resources for policy shifts to support climate smart agriculture). For further information about the conference, see <http://afconference.com/>.

Presentation for the Minister of Development of Northern Kenya and other Arid Lands Kenya. Lydia Ndirangu, KIPPRA, presented preliminary case study findings to a roundtable in Nairobi, 7-8 July, 2010. Participants included, among others, senior representatives from Practical Action, National Environmental and Management Agency (NEMA), IDRC, Coordination Unit on Climate Change at the Prime Minister's Office and Senior Government officials from Ministries of Agriculture, Livestock Development, Irrigation and Water and the Kenya Meteorological Department (see Figure 5).

Briefing for the President of Malawi (2010). The RPA team in Malawi worked with the client CCAA project to write a 1-page input into a presidential briefing on climate change. The project has attracted attention from the higher levels due sustained media publicity about its activities. Very good working relationships exist between the project and media houses.



Presentation at the "Ideas Marketplace", Agriculture and Rural Development Day, COP-16, Cancun (December 2010). The poster presentation (see facsimile at the left hand side) focused on two aspects: first, a synthesis of some key preliminary findings from the RPA project, presented by Lars Otto Naess, and second, examples from the Malawi case study, presented by Blessings Chinsinga. The event was well attended and created two news stories, in The Standard, Zimbabwe, and IRIN News (see below). The side event was co-funded by the RPA project and the Future Agricultures Consortium (FAC) Climate Change Theme. For further details, see: <http://www.agricultureday.org/marketplace-and-exhibition#1>

Presentation at Development and Climate Days, COP-14, Poznan, 7 December 2008. Lars Otto Naess presented the project ideas and plans during a panel entitled "Policy Formation in a Changing Climate".

Policy briefs. A policy brief (see example next page) is being developed for each of the RPA case studies, reflecting on the key findings and the lessons that may be of use for other research projects.

Related reports, presentations and publications include:

Chasukwa, M and B. Chinsinga, 2010. Agriculture and Climate Change in Malawi: Politics of Policy Processes through the Lens of Crop Diversification. Presentation at RPA/FAC side event, Global Conference on Agriculture, Food Security and Climate Change, The Hague, The Netherlands, 1 November 2010

Chinsinga, B. [et al.] *Crop diversification, policy processes and adaptation*. Policy brief, Chancellor College, Zomba

Chinsinga, B. (2009/2010) Presentations to CCAA for a and workshops, Malawi. Lesson sharing session of the CCAA project thus far. This brought together stakeholders from all the stakeholders in the four project sites including the community members. Presentations were made by community members, NGOs, Media, extension workers, researchers and policy makers from relevant ministries focusing on how the project has impacted on their activities.

- Chinsinga, B. [et al.] (2010) Briefing for the President of Malawi on crop diversification (with the CCAA PAR).
- Chinsinga, B. and Naess, L.O. (2010) *Bridging research and policy on climate change and agriculture: lessons from case studies in Africa*. Poster Presentation, Agriculture and Rural Development Day, COP-16, Cancun, 4 December 2010 (jointly with Future Agricultures Consortium)
- Guthiga, P. [et al.] Forthcoming. *Meteorologists meeting rain makers: Indigenous knowledge and climate risk policy processes in Kenya* Policy brief. KIPPRA, Nairobi, Kenya.
- Guthiga, P. 2010. Integrating Indigenous Knowledge in Climate Risk Management In Kenya: Policy Perspectives. Presentation at Roundtable meeting on policy processes on climate change and agriculture, 30 September 2010 -Fairview Hotel, Nairobi, Kenya.
- IRIN News, 2010. Climate change: From research to strategy to policy. Report from RPA/FAC presentation at the Agriculture and Rural Development Day, COP-16, Cancun. Posted at <http://www.irinnews.org/PrintReport.aspx?ReportID=91309> and <http://www.preventionweb.net/english/professional/news/v.php?id=17087>
- Kulindwa [et al.] 2011. *Weather information generation, packaging and dissemination approach for managing risk, reduction of vulnerability and promote agricultural productivity in Tanzania*. Policy brief, TanzaKesho, Dar es Salaam.
- Kulindwa, K. 2010. Policy Process for Climate Change Adaptation in the Agricultural Sector: A case study of Tanzania. Presentation at UMB/Africa Network Norway seminar: "Adapting to climate change - challenges for Africa. NORAD, 14th December 2010.
- Laichena, J. [et al.] Forthcoming. *Mainstreaming agrometeorological advisory services into the national agricultural policy in Kenya* Policy brief. KIPPRA, Nairobi.
- Laichena, J., 2010. Mainstreaming Agrometeorological Advisory Services into the National Agricultural Policy. Presentation at Roundtable meeting on policy processes on climate change and agriculture, 30 September 2010 -Fairview Hotel, Nairobi, Kenya.
- Mashindano [et al.] 2011. *Malaria prediction model – policy processes*. Policy brief. TanzaKesho, Dar es Salaam.
- Mashindano, O., 2010. Policy Processes on Climate Change and Agriculture: The Case of Tanzania. Presentation at RPA/FAC side event, Global Conference on Agriculture, Food Security and Climate Change, The Hague, The Netherlands, 1 November 2010
- Mwamba, N. [et al.] Forthcoming. *Adoption of malaria epidemic prediction model (MEP) for reducing malaria incidence in Tanzania* Policy brief. TanzaKesho consult, Dar es Salaam.
- Naess, L.O. (2010) *Outline for policy engagement strategies*, RPA project, IDS, Brighton. 4 pp.
- Naess, L.O. 2010. Policy processes on climate change and agriculture: Background and aims for the day. Presentation at Roundtable meeting on policy processes on climate change and agriculture, 30 September 2010 -Fairview Hotel, Nairobi, Kenya.
- Naess, L.O. 2010. Presentation of key emerging findings from the RPA project. CCAA Roundtable Event, Harmony Hotel, Addis Ababa, 9th November 2010.

Naess, L.O. Adaptation policy processes (2008) *Development and climate days*, COP-14, Poznan,

Naess, L.O. and Chasukwa, M. (2010) *Research review workshop report*, Lilongwe. RPA project, IDS, Brighton. 34 pp. + Annexes.

Naess, L.O. and Chasukwa, M. *Lilongwe workshop report* RPA project, IDS, Brighton. 34 pp. + Annexes.

Naess, L.O. and Tanner, T. (2009) *Outline for analytical framework* (unpubl.)

Naess, L.O., 2010. Policy processes on climate change and agriculture:

Case studies from Africa. Presentation at RPA/FAC side event, Global Conference on Agriculture, Food Security and Climate Change, The Hague, The Netherlands, 1 November 2010

Ndirangu, L [et al.] Forthcoming. *Understanding policy processes in water and land use management among agro-pastoralists in Northern Kenya* Policy brief. KIPPR, Nairobi, Kenya.

Ndirangu, L., 2010. *Presentation of case study findings to a PAR workshop in Nairobi*, 7-8 July.

Ndirangu, L., 2010. Understanding policy processes in water and land use management among agro-pastoralists in Northern Kenya. Presentation at Roundtable meeting on policy processes on climate change and agriculture, 30 September 2010 -Fairview Hotel, Nairobi, Kenya.

RPA project (2009) *Project briefing for COP-15*, Copenhagen, 2 pp.

RPA project (2010) *Bridging research and policy on climate change and agriculture: lessons from case studies in Africa* Project briefing for COP-16, Cancun, 2 pp.

The Standard, Zimbabwe. 2010. Africa agriculture must adapt or perish. Report from RPA/FAC presentation at the Agriculture and Rural Development Day, COP-16, Cancun. Posted at <http://www.thestandard.co.zw/local/27625-africa-agriculture-must-adapt-or-perish.html>



1

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Meteorologists meet rainmakers: indigenous knowledge and climate risk policy processes in Kenya

- This brief examines the policy processes that arose when indigenous rain makers and meteorologists interacted in order to share climate information.
- The exchange was part of policy action research designed to increase the capacity of a local community to adapt to climate change.
- At the beginning of the project, the interaction between the meteorologists and rain makers was characterised by mutual scepticism. However, by negotiating modalities of working, the two groups successfully made joint seasonal weather forecasts that showed good convergence.
- Policy processes were analysed from the perspective of actors, narratives and interest. This enabled the study to tease out policy dynamics, which are often ignored in climate change mitigation studies. Understanding these dynamics has an important part to play in ensuring that climate change mitigation strategies are designed in congruence with local policy dynamics.

Climate change in Kenya



In Kenya, climate change is recognised as a serious threat and the push to address it is driven by both domestic concerns and international obligations. In April 2010, the country formalised and adopted a comprehensive National Climate Change Response Strategy (NCCRS), which makes bold recommendations on how to reduce the negative impacts of climate change and take advantage of existing opportunities.

In the context, in recent years, indigenous peoples have been recognised as powerful knowledge holders on climate change and key actors for developing policy to mitigate and cope with its effects. Indigenous knowledge (IK) – institutionalised local knowledge that has been built upon and passed on from one generation to the other by

word of mouth – is the basis for local-level decision-making in many rural communities.

Kenya's NCCRS states that the country will "revivify indigenous knowledge that has conventionally been used by local communities to cope with erratic climate". The ongoing formulation of policy on "traditional knowledge, genetic resources and traditional cultural expression" is another example of the promotion of IK at policy level. Despite this, it remains on the fringes of climate change policy debates.

The Kenyan community of rain makers in Western Kenya have a highly developed system of IK. This is critical to weather prediction and, by extension, mitigating the negative impacts of climate change. Using a Policy Action Research (PAR) project undertaken among the region's rain makers, this brief examines the opportunities and challenges of integrating IK and meteorological science. It focuses on understanding the underlying policy processes that arise from the interaction between the two sources of climate knowledge.

Policy Action Research (PAR)

The overall goal of the policy action research (PAR) was to bring together IK and meteorological science in order

to develop an effective warning and dissemination system that would improve the ability of local

communities to cope with climate variability. To reach this goal, the project set out to systematically document and highlight the relevance of the region's community IK for climate prediction and adaptation. It proceeded from the premise that modern meteorological science provides reasonably accurate seasonal climate forecasts but many local communities still rely on IK to measure climate risk and guide their planting, harvesting and agricultural activities and despite the availability of these two sources of climate

Box 1: Farmers' views

"We are reluctant to grow non-traditional crops for food which in our view is a great risk."

"Maize is food and if we do not grow it, we fear we will not have food."

Comments made by farmers during focus group discussions in Murangai and Chirokwa Districts

communities to cope with climate variability. To reach this goal, the project set out to systematically document and highlight the relevance of the region's community IK for climate prediction and adaptation. It proceeded from the premise that modern meteorological science provides reasonably accurate seasonal climate forecasts but many local communities still rely on IK to measure climate risk and guide their planting, harvesting and agricultural activities and despite the availability of these two sources of climate

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Figure 5. Meeting between PAR, RPA researchers and the Minister for Development of Northern Kenya and other Arid Lands, Nairobi, 2010.

5. Research contributions and outcomes

5.1 Research findings and impacts

The RPA project research has been carried out in an area with little other research so far. The project's key contributions to ways of working have been, among others, to apply lessons from other areas, notably environmental policy, to the emerging climate change area. Through this, it has highlighted the different narratives that exist (though often not clearly articulated), and how they relate to power structures that are often taken for granted.

By bringing together insights from different disciplines, the project offers some in-depth insights into, and exposure of, important work on adaptation in agriculture, and the processes of understanding the needs of politically marginalised groups of people and the contribution they make. Examples of important debates touched upon by the case studies include those around IK, pastoralism, and access to resources such as land, water, and information in the form of climate forecasts, agrometeorological information and malaria warnings.

Knowledge contributions include

- Insights into policy narratives and dynamics determining adaptation support in the three countries. The way problems are formulated and the proposed adaptation strategies reflect different starting points, political values, networks and alliances. The result may be alternative policies undermining each other (cf. Chinsinga et al., Forthcoming). A better understanding of competing narratives and where they come from can help improve policy coherence and avoid conflicts.
- The importance of bridging governance levels: Case studies have highlighted the need for working across different governance levels. Adaptation projects tend to focus on one level (national, local, or regional). By facilitating linkages across these levels, important policy spaces may be opened and mismatch of the scale of the problem and the scale of the solution may be avoided. For example, a CCAA pastoralist project in Kenya has been successful in gaining local support, but policy process analysis has shown that bringing in national level actors to engage meaningfully with local realities will be key for connecting local, autonomous adaptation with government adaptation policy and practice (cf. Ndirangu, Forthcoming).
- The importance of forging consensus among unlikely partners: Adaptation projects often work at the interface of strong national level policy narratives and local perceptions, beliefs and preferences. Policy engagement will often require developing a common understanding among very different stakeholders. For example, a key to the success of a CCAA project in Kenya, which tries to integrate indigenous knowledge (IK) of the Nganyji people with meteorological weather forecasting, has been the long-term engagement with a process that brought together local weather forecasters (or rainmakers) and national level Meteorological Department staff. This allowed both groups to gradually overcome mutual scepticism and mistrust.
- The need for using creative tools to create informal spaces: Several of the case studies have shown how the important parts of policymaking often take place outside formal processes. New tools can be an effective way of bringing researchers and policymakers together. An example of this is the Malawi CCAA project's use a National Consultative Group.

Table 4 below summarises key narratives, policy spaces and tools from some of the case studies.

Table 4. Examples of narratives, policy spaces and tools for policy engagement

RPA project case study focus	Key narratives	Policy spaces and tools for engagement
Risk management, crop diversification and policy processes in Malawi (Chinsinga et al. Forthcoming)	<ul style="list-style-type: none"> • Food Security is equivalent to maize production, bolstered by coinciding interests of donors, government and seed companies • Alternative narrative on the need to promote crop diversification to support food security under climate change (promoted by CCAA project), but dominant narrative means lack of alternative seed and market for alternative crops 	<ul style="list-style-type: none"> • Informal expert consultations through a NCG used effectively to widen debate and policy spaces on topics such as 'what is food insecurity', creating informal spaces within otherwise formal processes • Tackling when, where and how inputs are needed through seasonal and ecological zoning approach
IK and policy processes on climate risk management in Kenya (Guthiga [et al.]. Forthcoming)	<ul style="list-style-type: none"> • Dominant narrative of powerful actors that local people's understanding of climate is unscientific, outdated and unreliable, coinciding with views of religious groups that IK is inappropriate and should be replaced with scientifically based forecasting • Alternative narrative that IK is key to understanding constraints and barriers, and that, even if parts of the knowledge is "outdated", the associated worldviews and institutions are still valid 	<ul style="list-style-type: none"> • Policy space opening up with changing views on IK among powerful actors on basis of the CCAA project • Learning centres have helped the project bring knowledge systems together • Working with institutional frameworks such as university curricula to integrate meteorological science and IKs
Land and water management amongst pastoralists in Kenya (Ndirangu, Forthcoming)	<ul style="list-style-type: none"> • Pastoralism, as an agent of land degradation has potential for increasing conflicts over resources in a changing climate, suggesting that pastoralists should diversify livelihoods or abandon livestock altogether • Pastoralism is an effective adaptive practice, but being threatened by extreme weather events and policies undermining pastoralists' ability to adapt, suggesting that a holistic approach to land and water management policy is required to support adaptive practices 	<ul style="list-style-type: none"> • Arid and Semi-Arid Lands (ASAL) strategy, as a policy window for support, promotes a stronger policy for transhumance and activities that promote sustainable land management • Civil education systems to promote the representation of pastoralists in particular policy spaces, and promotion of literacy amongst pastoralists
Model for predicting epidemics to	<ul style="list-style-type: none"> • Weak governance leading to poor infrastructure is the principal cause of malaria 	<ul style="list-style-type: none"> • Engaging wide set of actors from the outset, including health, climate change and

RPA project case study focus	Key narratives	Policy spaces and tools for engagement
manage increase malaria risk in Tanzania and Kenya (Mashindano [et al.] Forthcoming; Mwamba [et al.] Forthcoming)	<p>prevalence. Adaptation first and foremost requires this to be tackled</p> <ul style="list-style-type: none"> Robust epidemic prediction models are critical to reducing increased malaria risk under climate change (linked to delivering timely and targeted net treatment and spraying, and therefore perceived to be associated with commercial interests) 	<p>governance actors</p> <ul style="list-style-type: none"> Communicate the model in a way that steers the debate away from the robustness of the models but rather embraces and incorporates broad challenges and debates on tackling increased malaria prevalence under climate change

Source: Forthcoming RPA project case studies

5.2 Outcomes

Better understanding and engagement with policy processes by CCAA partners

The aim of the project has been to influence PAR researchers to better understand and engage with policy processes, not to change policy per se. Feedback from the client CCAA project researchers suggest a high degree of learning.

Undoubtedly, the analysis of policy processes was seen as an important and insightful process for the PAR and RPA researchers. For policy analysts, policy processes framework provides a new entry point for acknowledging and then unpacking the complexities of policy processes as it investigates the narratives behind policy documents and the interests at play that promote or hinder implementation. State or market forces working against adaptation projects can be better recognised while existing and new 'policy spaces' can present themselves. A wide variety of opportunities for engagement were identified across the seven projects. In some cases (e.g. district decision-making forum in Tanzania), existing processes were recognised as important and provided lessons on what processes could be particularly relevant to policy engagement on adaptation through action research. In others, new entry points were identified and processes trialled (e.g. forming a National Consultative Group in Malawi).

Examples of feedback from CCAA partners suggesting that the project has contributed to changes in understanding, skills and behaviour include:

- Expanding the range of collaborators: One CCAA partner suggested they wanted to increase their collaboration with policy researchers in their future work. They felt that some of the identified policy spaces and constraints are what get in the way of their activities. RPA researchers have been invited to advise on policy matters in high level foras, for example in Kenya (Ndirangu) and Malawi (Chinsinga).
- Helping to understand and navigate actors and processes: For example, CCAA partners have highlighted the benefit of the RPA project helping them understand the importance of identifying the right actors in order to influence policy, and also to help them understand how and where to channel their findings into policy processes.
- The RPA project was also shown to have helped demonstrated different perspectives in a debate, thereby opened up for engagement with different partners, as it has "...made it

clear to the scientist that the varieties developed for a specific ecological zone are not good for the same region in all seasons. This has prompted seed companies to collaborate with KARI and other stakeholders in developing seed varieties for each ecological zone" (CCAA partner, Kenya).

- Another CCAA partner stressed that the RPA project had demonstrated the importance of understanding other actors' point of view, establishing long term engagement and building trust.
- Building ownership to promote their research: one of the CCAA partners facing criticisms from policymakers had taken steps to include more of the opposing actors in the research and implementation. From that, the project leader said, "we have included the people from the [Ministry] (...) and they have been involved in all major stages of the fine tuning and validation (...) We hope that this time there will be no resistance ..." (CCAA partner, Kenya)

Thus, improving research-policy linkages may add value in making research more relevant and creating more ownership among policymakers, and it can help open up new spaces for debate, bridge barriers between "unlikely" partners with different views on problems and solutions.

Building a network of policy process researchers and RPA-CCAA relationships

The project took the RPA research teams through the following three main steps: First, understanding the complexities of research-policy linkages and the political nature of adaptation; Second, developing approaches and tools through which to examine policy spaces and develop effective engagement strategies that seek to open spaces and promote more equitable and effective solutions; And third, recognising challenges that can be faced by researchers and arenas that require more investigation.

Most of the RPA research team, while experts on policy related research had not previously worked with the policy processes framework used in the project. Project researchers point to the opportunity the project has given them in learning new theoretical approaches for understanding policy development processes. All three institutions involved (Chancellor College, KIPPRA and TanzaKesho) has built capacity that will be key for continuing this type of research in the region. As noted elsewhere, KIPPRA has through the project had a number of staff changes, but both the institution and the researchers that have been involved will be part of a network of researchers with expertise on agriculture, climate change and policy process analysis.

The continued engagement between RPA and CCAA partners will require resource inputs, but as also shown above, the project has also helped the CCAA partners better achieve their goals and shown that there is a demand for this type of research among adaptation researchers. Reported examples from the RPA project teams include:

- A keen interest by CCAA partners to understand available policy spaces for their findings (Kenya)
- A re-evaluating of the CCAA partners' implementation experiences as a result of gaining a better understanding of policy processes to the extent of identifying policy issues as well as policy spaces to be exploited (Malawi)
- There is an enthusiasm among the PARs to package some of their experiences into policy briefs in collaboration with the RPA researchers as a way of further stirring policy debate at district and national levels (Malawi)

- CCAA partner researchers asked the RPA project for assistance on how to turn some of the key issues emerging from their work into policy briefs that would have impact on the policy processes. The National Consultative Group (NCG) is also very keen on understanding the dynamics of the analytical framework for the policy processes. The interest was ignited at the inaugural meeting of the NCG where they were being briefed on the scope of their mandate. They strongly felt that the framework was quite relevant to wide range, if not all policy issues. (Malawi)
- After a meeting between the RPA team and the principal PAR researcher for the Malaria Prediction Model, the KEMRI Director was briefed about the project progress and the need for the policy makers to be made aware formally of its existence and progress, and subsequently met with the Minister responsible for Public health in Kenya to follow up on that particular point

6. Overall assessment and recommendations

The following reflect some of the key lessons from the project and are being presented with tentative recommendations.

6.1 The project's contribution to adaptation

The project's key contribution to adaptation is its focus on bringing adaptation research closer to the "real world" of policy engagement and influence. The case studies have demonstrated how the analysis of policy processes can make a difference in policy and practice by highlighting ways in which adaptation policy processes are being negotiated (through questions, tools and methods) and how research and enquiry can lead actors to think about the 'problem' in different ways and forge spaces for diverse voices and knowledges. As the case studies show, adaptation processes do not happen in a vacuum, but are populated by actors with a wide range of views, networks and political aims. By identifying policy spaces, such analysis can distil key considerations for improved success in policy engagement in adaptation research.

More broadly, policy processes research and engagement may improve the range of perspectives being considered on adaptation, and help questioning established beliefs and vested interests that are – or are likely to be – involved in adaptation planning processes. None of the separate areas of analytical inquiry are new, but the way of understanding policy processes through the three analytical lenses of actors, politics and narratives may help provide new perspectives and angles to existing adaptation research. For example, a number of the case studies have put the spotlight on the potential contributions of indigenous or local knowledge to adaptation, but also some of the obstacles, such as clashes with value systems, institutional bias towards scientific knowledge, and mutual scepticism between scientists and local people (Guthiga, Forthcoming).

Finally, through acknowledging that adaptation is inherently political, research design can be better shaped and made more relevant to key policy concerns and challenges by asking whether it understands the policy context, and the dynamic policy processes, and how and with whom the research might engage. Policy spaces can be closed down by strong political interests. An analysis of narratives and interests, with a view to creating more diverse spaces for diverse voices, is therefore important. Research institutes understand their role in opening

and closing policy spaces – including assumptions behind research questions and the actors involved.

Thus, research on policy processes research is critical, but will by its nature often challenge established truths about adaptation problems and solutions. A strength of the RPA project approach is that it brings such conflict to the front of the analysis.

6.2 Lessons from RPA – client CCAA project interaction

As shown above and in the previous section, the project has given significant contributions in forging linkages across countries and disciplinary boundaries, and opened avenues for collaboration among hitherto less likely research partners. Nevertheless, some lessons can be gleaned from the process. One key lesson from the interaction between RPA researchers and client CCAA projects have been that building these connections rely on mutual trust and understanding of the goals. The project had to overcome several types of initial perceptions by some CCAA projects that slowed down the collaboration between the project and CCAA partners. First, that the RPA project would 'do' the policy engagement. This would be problematic, and also more outside the scope of the project. The second was a perception by some that the project would evaluate its policy engagement, and not to assist in policy analysis and engagement strategies. The third – which to some extent reinforced the former perception, was a concern over duplication of work, as data collection would inevitably involve talking to many of the same people and institutions as the CCAA project were already working with. The joint meetings, notably the first one where all the RPA teams and CCAA partners were gathered together in Dar es Salaam, went some way towards changing these perceptions, as did bilateral follow up meetings.

Two aspects may have contributed to this, and both give lessons for similar future endeavours. First, the need to build a vision and understanding together. With hindsight, it seems clear that formalised involvement of the client CCAA projects should have started at the outset of the project. Given that most country RPA researchers were new to the analytical framework and the perspectives on policy process analysis it involved, it seemed sensible to 'get our own house in order first', i.e. to be clear from the project side on the analytical framework, goals and strategies. While contact with CCAA researchers were made shortly after the inception meeting, the first joint meeting came only several months later. Involving CCAA researchers from the start might have made the initial steps more complex and intensive, but also – and importantly - the involvement and ownership to the process.

The other aspect is the complexity of the RPA researchers to be in two different roles; first as an 'objective' researcher analysing the policy context in which the CCAA project operates. With the framework as a guide, this role is relatively unproblematic, and a question of mapping the actors, and placing the CCAA project within the policy landscape, made up of differing (and often conflicting) narratives, attached to different political actors and different political and professional networks. In the other role, namely advising the CCAA project on how to better engage with policymakers, the RPA researchers are no longer only outside observers, but take an active role that – as many case studies demonstrated – meant that researchers would sign up to and support the conclusions of the CCAA researchers. While in our cases this was not a real conflict (on the contrary), but it still raises questions about such relationships can be better formed for future endeavours. From the project experience, the lesson would seem to be to have policy research as an integrated effort within project teams from the outset. As a pilot effort to raise awareness of the importance of research on policy

processes this separation was inevitable, but future efforts would benefit from integrating policy processes research in research design and research teams from the outset.

In sum, analysis of policy processes should form an integrated part of adaptation research from the outset. Even if the analytical framework is easily accessible, it is easy to underestimate the effort and investment it takes to venture into – what is for many – unknown academic terrain.

6.3 Creating spaces for sustained reflection

A third, related point from the project work involves the need for greater reflection of such ‘multi-stakeholder processes,’ to ensure this takes a form that gives adequate time to create different forms of dialogue and to open up new opportunities and directions, rather than to remain locked into working within certain discourses or development pathways. This refers specifically to forms of collective learning and to facilitating the unpacking of politics and interests. In the case of the Malawi National Consultative Group, this concerns processes that enable participants to step outside their usual institutional interests in the interests of collective problem solving.

The policy roundtable held in Nairobi in September 2010 went some way in trying to create informal spaces for discussion, but it seems clear that to achieve this, sustained efforts over a longer period of time is needed. Maintaining the commitment of people in foras such as the NCG is resource-intensive, however, and need an independent broker to sustain it. So far, the Future Agricultures Consortium (FAC) has played such a role on issues of agricultural development in Ethiopia, Kenya and Malawi. Not being affiliated to a particular institution, it has been able to raise and facilitate important policy debate.

Thus, creating policy spaces for engagement requires sustained effort over time. The research has highlighted, among others, the key role of informal processes, and the commitment of an ‘independent broker’ is needed to ensure open dialogue.

Annex 1: Example of policy mapping, Malawi

ACTORS	INTEREST	POLICY SPACES
Ministry of Agriculture and Food Security (Head Quarters and District Agriculture Development Officer)	Food security Cushioning against climate change and vulnerability Profession/career Livelihood diversification (commercialisation)	ADP (living document) CAADAP processes Green Initiative DEC meeting/DDP process NCG
NGOs (Evangelical Association of Malawi, Africare)	Food security Cushioning against climate change and vulnerability Poverty reduction Impact for further funding	DEC meetings NCG meetings PAR/RPA meetings Media
Local communities (farmers, traditional leaders, religious leaders)	Food security Cushioning against climate change and vulnerability Livelihood diversification (commercialisation)	Stakeholder panels Village Action Plans (VAPs) and area meetings/DDP process Field days
Stakeholder panels (district, area, village)	Food security Cushioning against climate change and vulnerability Agricultural transformation	DEC meetings/DDP process VAPs and area meetings/DDP process
Researchers (PARs, Research Scientists)	Food security Cushioning against climate change and vulnerability Agricultural transformation Livelihood diversification (commercialisation) Capacity building (scholarship)	Conferences Publications Policy briefs NCG meetings
Politicians	Food security for votes	Parliamentary committee on agriculture and food security Ministry of Agriculture and Food Security through subsidy program, ADP & CAADAP Civil society advocacy Media NCG meetings
Local communities (farmers, traditional leaders, religious leaders)	Food security for subsistence	Stakeholder panels VAPs and area meetings/DDP process Field days

Source: Chinsinga et al. (Forthcoming)

Annex 2: Research teams and roles, by country

Country	Institution/name and role
UK	Lars Otto Naess, IDS (Project manager, mentoring, review) Thomas Tanner, IDS (Policy processes, mentoring, review) Blane Harvey, IDS (Outcome mapping support) Emily Polack, IDS (Review, policy processes and mentoring) Maggie Ibrahim, IDS (Mentoring, March-September 2009) Hester Phillips, IDS (Communications support, from November 2010) Marion Khamis, IDS (Communications support, to December 2010) Kimberly Gilmour, consultant (Communications support, October 2010-January 2011)
Kenya	Moses Ikiara (KIPPRA Director) Lydia Ndirangu, KIPPRA (Team Leader January-September 2010) Paul Guthiga, KIPPRA (Researcher, from June 2009) Joshua Laichena, KIPPRA (Researcher, from March 2010) Wilson Wasike, KIPPRA (Team Leader, March-May 2009) Samuel Mwakubo, KIPPRA (Team Leader, June-December 2009) Hannington Odame, CAFE (Review and editing) Elvin Nyukuri, ACTS (Review and editing) Hellen Osiolo, KIPPRA (Research Assistant) Kassim Were, KIPPRA (Research Assistant) Peter Kamande, KIPPRA (Research Assistant) Harun Maina Warui, Africa Adaptation Programme (Review)
Malawi	Blessings Chinsinga, Chancellor College (Team Leader) Ronald Mangani, Chancellor College (Researcher) Peter Mvula, Chancellor College (Researcher) Michael Chasukwa (Research Assistant)
Tanzania	Kassim Kulindwa, TanzaKesho (Team Leader) Natu Mwamba, TanzaKesho (Researcher) Oswald Mashindano, TanzaKesho (Researcher)