



**Nottawasaga Institute**

P.O. Box 6511-00100 Nairobi, Kenya • Tel: +254 (20) 445-4077  
Email: info@nottawasaga.net • Web: www.nottawasaga.net

---

# **Adaptation Learning Program (ALP)**

# **Final Evaluation Report**

---

Submitted by Nottawasaga Institute 30 July 2015

---

# ALP Final Evaluation Report

---

## Contents

---

0. Executive Summary .....	1
1. Introduction .....	8
2. Profile of ALP .....	8
3. Evaluation Methodology .....	9
4. Activities undertaken .....	12
5. Evaluation Findings .....	14
a. Accountability: Cross-country findings on ALP's domains of change .....	14
b. Accountability: Purpose and Goal Level .....	20
c. Findings related to learning .....	24
6. Analysis of Accountability Results .....	27
a. Relevance .....	28
b. Effectiveness .....	29
c. Efficiency .....	35
d. Impact .....	38
e. Sustainability .....	47
7. Analysis of Learning Processes .....	50
a. Relevance of ALP's support for Learning .....	50
b. Effectiveness of ALP's support for Learning .....	51
c. Efficiency of ALP's support for Learning .....	53
d. Impact of ALP's support for Learning .....	54
e. Sustainability .....	55
8. Conclusions and Recommendations .....	56
9. Annexes .....	60
I. Key Informant interview guidelines	
II. Evidence tables	
III. List of people interviewed	
IV. List of documents reviewed	
V. Communication Plan	
VI. ALP Logical Framework	
VII. ToRs of the evaluation	

## Acronyms

AACES	Australia Africa Community Engagement Scheme
AC	adaptive capacity
ACT	Act Change Transform
AENA	National Association for Rural Extension (Mozambique)
AF	Adaptation Fund
ALAD	Association de Lutte pour l'Autosuffisance et le Developpement
ALIN	Arid Lands Information Network
ALP	Adaptation Learning Program
AMCEN	Africa Ministerial Conference on the Environment
ASDSP	Agriculture Sector Development Support Program (Kenya)
BRACED	Building Resilience and Adaptation to Climate Extremes and Disasters
CAAP	community adaptation action plans
CAN	Climate Action Network
CARE	Cooperative for Assistance and Relief Everywhere
CBA	community-based adaptation
CBO	community-based organization
CC	climate change
CCA	climate change adaptation
CCAFS	climate change agriculture and food security
CFTC	Canadian Feed the Children
CHF	Canadian Hunger Foundation
CI	climate information
CIDP	County Integrated Development Plan
CIF	Climate Investment Funds
CoP	Conference of Parties (of UNFCCC)
CSA	climate-smart agriculture
CSO	civil society organization
CVCA	climate vulnerability and capacity assessment
DFID	The Department for International Development (UK)
DRR	Disaster Risk Reduction
EBA	Ecosystem-based adaptation
ECOWAS	The Economic Community of West African States
ENDA	Environment and Development Action in the Third World (Senegal)
EWS	early warning system
FAO	The Food and Agriculture Organization of the United Nations
FFS	farmer field school
GCF	Green Climate Fund
GCVCA	Gender-sensitive Climate Vulnerability and Capacity Analysis
GEF	Global Environment Facility
GGCA	Global Gender Climate Alliance
GIZ	Gesellschaft für Internationale Zusammenarbeit
GoK	Government of Kenya
GSL	Group Savings and Loans
IIED	International Institute for Environment and Development
IISD	International Institute for Sustainable Development
INGO	international non-governmental organization
JPA	joint principles for adaptation
KAP	Knowledge-attitude-practice
KI	key informant
KIIs	key informant interviews
KMS	Kenya Meteorological Services
LAP	local adaptation plan
LAC	local adaptive capacity (framework)
MICOA	Ministry of Environmental Coordination (Mozambique)
MET	meteorological services
M&E	monitoring and evaluation
MLGRD	Ministry of Local Government and Rural Development
MTDPs	medium-term development plans
MTR	mid-term review
NADMO	National Disaster Management Organisation
NAP	National Adaptation Plan
NAPA	National Adaptation Plan of Action

NCCAS	National Climate Change Adaptation Strategy
NCCP	The National Climate Change Policy
NDPC	The National Development Planning Commission
NEF	New Economics Foundation
NEMA	National Environment Management Authority
NGO	non-governmental organization
NIE	national implementing entity
PACJA	Pan-African Climate Justice Alliance
PASG	Presbyterian Agricultural Station, Garu
PCT	program coordination team (ALP)
PPCR	Pilot Program in Climate Resilience
PARED	Partnership for Rural Empowerment and Development
PRSP	Poverty Reduction Strategy Papers
PSP	participatory scenario planning
REDD+	Reducing emissions from deforestation and forest degradation
SIDA	Swedish International Development Cooperation Agency
STARCK+	Strengthening Adaptation and Resilience to Climate Change in Kenya
ToRs	terms of reference
TOT	Training of trainers
UNDP	United Nations Development Program
UNFCCC	United Nations Framework Convention on Climate Change
USAID	The United States Agency for International Development
VSLA	village savings and loans association
WA-WASH	West Africa Water Supply, Sanitation Hygiene Program
WOCAN	Women Organizing for Change in Agriculture & Natural Resource Management
WRI	World Resources Institute



# ALP Final Evaluation Report

---

## 0. Executive Summary

### Introduction

The Adaptation Learning Program (ALP) facilitates community-based adaptation (CBA) in a selection of climate-vulnerable communities in four countries across a range of livelihoods, agro-ecological zones and climates, particularly drylands. It uses a learning-by-doing approach to develop effective practical CBA models in an effort to strengthen adaptive capacity of vulnerable households in sub-Saharan Africa. At its core is a focus on learning, monitoring and generating lessons to inform CBA practice and policy in Africa and globally. It uses CBA concepts and grassroots evidence to advocate for enabling policy environments in Africa and beyond.

ALP has aimed to contribute to global learning and the impact of CBA through its practical work with communities and local governments, its engagement with policy makers and civil society advocates, generation of evidence, documentation and dissemination of successful approaches and impact, and convening multi-stakeholder learning events.

The purpose of this final evaluation is twofold:

- *to provide qualitative and quantitative evidence of program outcomes (e.g. purpose) and impacts (e.g. goals) against the ALP logframe;*
- *to assess the quality and value of ALP approaches to promote CBA through learning and influence at all levels of the program.*

### Methodology

Nottawasaga Institute (NI), Nairobi, was contracted to undertake the final evaluation, represented by a team of five international consultants. The evaluation has been carried out between January and April 2015.

The evaluation objectives related to accountability (project outcomes/impact and contribution ALP has made to CBA in Africa and globally) and learning (to inform replication of CBA and learning approaches at scale). In addressing accountability, the evaluation team used as a starting point the country level impact assessments and ALP annual reports, augmented with findings from site visits, key informant interviews and broad documentation review.

Assessment of learning in ALP required a strong characterization of the ALP approach to CBA, how it evolved over the course of the project, what ALP learned about it and about building evidence and promoting best practices for scaling up and out. Learning outcomes are not articulated in purpose and goal level indicators and targets; rather, evidence of learning should be reflected in how well the five outputs were achieved. This evidence, in turn, should provide an indication of how learning has contributed to purpose-level outcomes.

Secondly, we aimed to assess, at the purpose and goal level, the impact or influence ALP had on three key result areas, namely on **financing** for CBA, **policies and strategies** supportive of CBA up-scaling, and the significant uptake of CBA **practice** as developed and promoted by ALP.

In pursuing the above enquiry frameworks, the evaluation team reviewed a broad selection of internal and external documentation, visited project sites and interviewed key stakeholders in Ghana and Kenya, conducted 36 key informant interviews (beyond the country visit interviews), and conducted an on-line survey.



## Cross-country findings on ALP's domains of change

The consulting team undertook to validate and triangulate, as far as possible within the scope of the assignment, the data reported in both the country impact assessment reports and the various progress reports, to ascertain the validity of the data through gathering anecdotal evidence presented by the KIIs and community discussions. From the analysis it is evident that the overall program outputs were achieved above target; however, a few outputs were not optimally achieved in Mozambique. The evaluation summarizes the cross-country findings according to ALP's domains of change. In line with ALP's M&E system, each domain of change is subsequently mapped to an output area.

*Findings on climate resilient livelihoods (Output 1):* Evidence from all four ALP countries suggests that climate resilient livelihood strategies were introduced and adopted by participating communities. Both FFS and VSLA were valuable enablers in allowing participating community members to accept a level of risk associated with learning new skills or practicing new trades. Anecdotal evidence suggests that climate resilient practices have been adopted by non-ALP communities within the broader catchment area of radio programmes broadcasting agricultural and climate information.

*Findings on disaster risk reduction (Output 1):* Targets related to DRR/EWS plans were met with evidence suggesting that loss and damage as a result of extreme climate events have been reduced. In addition, government disaster risk departments were enabled to address disaster risk issues in a proactive rather than in a reactive manner in all the countries.

*Findings on adaptive capacity and organisational capacity (Outputs 1 and 2):* Overall, there is evidence that ALP has enhanced community adaptive capacity through provision of social and economic safety nets and building knowledge and skills among farming communities to employ adaptation strategies using climate information. At the CSO, local and national government levels capacity has been enhanced to monitor, analyze and disseminate climate information on climate risks, integration of climate change into policies and allocation of resources to various climate change interventions.

*Findings on policy environment and underlying causes of vulnerability (outputs 1, 2 and 4):* There is evidence of ALP's influence in the policy environment at various levels including the sub-national, national and regional levels. Influence on practice mainly among the CSO community was also evident especially in Ghana where most of the interviewed CSOs indicated having learned from and/or collaborated with ALP in their operations. All four countries reported positive results in addressing underlying drivers of vulnerability related to gender, with Niger reporting women's change in attitudes despite facing strong barriers.

## Accountability Findings – purpose and goal level

As stated, the evaluation has assessed the accountability results of the ALP program by focusing on its key areas of impact/influence related to: increasing financial resources available for CBA; the integration of CBA into policies and plans; and the practice of CBA as a highly-effective approach to adaptation. We pursued this enquiry by seeking evidence of impact/influence against the goal and purpose level indicators of the ALP logframe.

ALP's impact, or influence, on the **financial resources** available for CBA and adaptation has been strong at country level in three of the target countries. At global level resources have been increased for CBA, as well as policy guidance on approaches to addressing populations especially vulnerable to the impacts of climate change. At this level one cannot testimonial evidence suggests that the program has had considerable influence in this regard. On the other hand, at the African regional level, the evaluation sees much



clearer and direct evidence of ALP/CARE's role in strengthening the position of African governments in arguing for greater financing for adaptation and CBA in particular.

ALP's impact, or influence, on the integration of CBA into **policies and plans** has been strong at the country level in all of the target countries; at the regional level there is strong evidence that ALP support and facilitation has significantly strengthened the quality and results of CSO inputs to the development of the Africa Common Position for the UNFCCC process.

ALP's impact, or influence, on the **practice of CBA** as a highly-effective approach to adaptation has been strong at country level in all of the target countries. At global level ALP has gained recognition for its approaches through good visibility at the annual CBA conferences and presentations at UNFCCC CoPs. Practices are being adopted by CARE in a variety of countries in Africa and Asia, and they are being taken up by other organizations in Africa, such as in Malawi.

### **Findings related to learning**

Learning about CBA at community level focused on learning about the practice of CBA in all ALP countries, including learning about enablers and barriers to practicing CBA. ALP focused on assisting communities and people where there are supportive government structures including learning about how to build adaptation into local governance planning and budgeting processes.

Learning about effective ways to carry out national advocacy focused on advocacy strategies to upscale CBA into national policy, achieving, for example: in Ghana building CBA into the National Development Planning framework; in Kenya building new county-level systems to provide climate information to farming communities; in Niger hosting annual learning events related to Niger's NAPA and influencing one of the projects in the PPCR portfolio; in Mozambique supporting national preparedness for participation in international forums and negotiations. There is evidence across all ALP target countries that learning about the practice of CBA at the local level and that the pilots supporting the integration of CBA into local governance planning and budgeting helped to generate demand to upscale CBA into national policy.

ALP further focused on learning about advocacy and monitoring so that CBA moves "from national policy to national/local practice" with appropriate levels of financial support, and ensuring that CBA is integrated into national policies with finances available to support adaptation strategies and plans. There is strong evidence that national policies and strategies have embraced adaptation models, largely from the evidence of success of the models and the national level advocacy supported by ALP. There is some evidence that the scale-up and integration of adaptation into national policy and programs resulted in the loss of key elements of ALP's CBA approach.

A significant area of learning was about "learning forums" and "effective learning-oriented communications" focused on a wide range of learner-centred processes and formats that are well documented and focused on learning how to strengthen adaptive capacity in addition to the implementation of adaptation measures. Another focus was learning about design and delivery of Climate Information Services through Participatory Scenario Planning to collectively interpret the meaning of seasonal forecasts and foster an understanding of uncertainty at the farmer community level. Learning about gender dimensions of CBA practice, gender relationships in building adaptive capacity, gender issues in climate adaptation policy, and gender integration in climate change initiatives was observed.

### **Analysis of accountability**

Sustained growing interest in, financing for, and practice of CBA, and ALP's role, with CARE, in highlighting the importance of CBA in global forums and national agendas, is a good indicator of the **relevance** of the ALP approaches and strategies. This is further attested by ALP's responsiveness to community needs s relevance in future could



be maintained by building on these approaches to address identified knowledge gaps, such as strengthening tools for measuring adaptive capacity or for better sustaining the integrity of models as they are scaled up and out.

The **effectiveness** of ALP was assessed in terms of the extent to which the intended impact of the program was met, articulated in the logframe as “The capacity of vulnerable households in sub-Saharan Africa to adapt to climate variability and change increased.” The ALP M&E system was able to track and document strong quantitative and qualitative data on program results across all 4 countries, including the real differences experienced by direct beneficiaries as a result of ALP. However, without a more systematic approach to evaluating its impact on adaptive capacity, it is difficult to say how the full package of ALP results and achievements say anything about adaptive capacity at the household- or community level. A systematic tracking of changes in vulnerability or adaptive capacity of households was limited.

ALP developed an ambitious gender-specific indicator to better track shifts in gender dynamics and gender-equitable implementation and benefits of adaptation. However, the indicator has proven challenging for countries to track, with only qualitative and testimonial evidence of such shifts. On the whole however, the evaluation notes that gender results under ALP are numerous and impressive.

With regard to accountability related to **efficiency**, the evaluation noted that, despite some variance between planned and actual expenses and activities, the program overall was cost-efficient in its implementation. ALP’s networked structure kept administrative costs down and their use of networks granted access to inexpensive vehicles to multiply their reach.

Delays in implementation and disbursement have occurred during the program and ALP has obtained a six month no-cost extension to consolidate cross-program learning and complete final reporting. Recruitment delays at start up across the board, staff turnover and downsizing are among the reasons for variances in delivering activities according to plan, especially in Mozambique.

Overall, ALP’s evidence of **impact** is strong. Recognizing that community-based adaptation is not just about communities, ALP has achieved considerable impact at each of the household, community, district and national levels. In terms of improving local institutions’ access to climate information, ALP’s focus was, for example, on the PSP process and improving access to seasonal forecasts and advisories. However, subsequent phases of ALP or any other CBA initiative would do well to improve knowledge, understanding and awareness of longer-term climate risks.

Regarding **sustainability**, some evidence exists of communities and households in ALP target area showing ownership over project activities, willingness and capacity to sustain program outcomes. ALP’s emphasis on capacity building and community mobilization to empower communities to address their own problems has in itself supported the sustainability of program outcomes. Without further interventions (ALP or otherwise), communities’ ability to sustain livelihood benefits and gains in gender equality could be at risk, however.

Successes in integration of CBA into local planning and working alongside CSO and local government partners, indicates likely. Contingent on policy and strategy implementation by governments, application of ALP practices could well scale out and continue over time.

Up-scaling of CBA principles and practices nationally is a common strategy to institutionalize CBA; the trade-offs in the process are rarely analyzed and discussed, however. The evaluation team did not find evidence of such a trade-off analysis in this case, either. The degree to which CBA principles and practices are made operational is likely to depend on training and capacity building as well as sustained advocacy, generation and dissemination of evidence to inform strategic choices.





## Analysis of learning

Learning in ALP has in **relevant** ways redefined and deepened the understanding and use – of CBA as an approach without being prescriptive, by providing adaptable or flexible models. However, the CBA framework and core principles need to be updated and more clearly communicated in the wider community of interest for ALP to be increasingly effective and relevant. CBA models also need to be aligned or mapped more explicitly to learning about and building adaptive capacity or resilience.

ALP **effectively** supported learning as the means to transfer what was learned at the local level up to national level, to advocate for policy change, and to emphasize the importance of this learning. ALP effectively used a wide variety of national, regional and global forums as learning forums, which were effective in promoting CBA approaches.

ALP could have benefited by having upfront learning objectives, tied to key target audiences, and a more rigorous selection of the types of knowledge products that could best serve these objectives and audiences. ALP's effectiveness in its support for learning and its impact on learning was weakened by insufficient use of measurement tools for the comprehensive monitoring of the impact of CBA.

**Efficiency** of learning is seen via the value of a 4-country program with a cross-country focus, including learning about the salient barriers and challenges. ALP promoted learning at the program level using internal Quarterly Reflection Sessions and cross-country semi-annual reflection sessions.

The program would have benefited from a clear statement of the learning objectives from the outset. ALP, as a learning program, did not focus enough on learning from failures, what doesn't work and why – i.e., examining and documenting its failures.

**Impact** of learning was compromised by under-utilization of the CBA framework as a guide to learning. No one model was ever designed or intended by ALP to address all the aspects of the CBA framework; it was the intention that the models would help to break down such a complex and comprehensive framework into practical approaches which covered at least one or more of the different aspects of the framework. ALP's impact could have been greater if it had a better articulated and a more systematic learning strategy

**Sustainability** of learning has been evidenced by ALP's support for innovation, including support for integration of climate information into local decision-making and advisories for communities and farmers/producers. There is sustainability in the medium term in the availability of and access to ALP publications; there is continued utilization of ALP's CBA approaches as more CARE programs, more INGOs, more bilateral and multilateral agencies and more national governments, particularly in Africa, adopt CBA. ALP must further its analysis and documentation of the limitations and challenges to building adaptive capacity (AC) which is ALP's key outcome.

## Conclusions and recommendations

year program is that it has successfully met its purpose and significantly contributed to the project goals. In some areas we can say it has exceeded the expectations of the original project design, for example through the development of specific CBA models such as PSP, and in the number of beneficiaries reached either through increased financing, country-level policy influence, or facilitating adoption of ALP-promoted practices by other agencies. A robust approach to learning has been a critical ingredient in these achievements.

The relevance and appropriateness of these and other achievements to future scaling-up and scaling out of CBA approaches that effectively build adaptive capacity in vulnerable communities and countries has been a major focus of our analysis, and thus informs the recommendations that we make to ALP, CARE, and the CBA sector generally. The



underlying question in this analysis has been whether ALP has proven the validity of its theory of change. In this regard, we have identified a number of aspects of the ALP design and implementation that may fall short of what will be needed in future, or that could benefit from particular improvements.

## **Recommendations**

### **Clarifying CBA (goals, definitions, frameworks)**

1. The CBA framework needs to be updated based on ALP learning and more clearly communicated in the wider community of interest for ALP to be increasingly effective.
2. The goal of CBA must be defined either through a set of principles as to what this would look like, or using a framework.
  - CBA models need to be aligned or mapped more explicitly and consistently to learning about how well they achieve the goal of CBA.
  - Caution is needed regarding the goal of resilient livelihoods and resilient development – resilience in the face of climate shocks and stressors yes, but resilience is a much broader term that has many frameworks of its own.
  - ALP would do well to consider hiring a CBA Advisor as part of its ongoing efforts.

### **Learning systems**

3. While ALP has been successful in designing and implementing effective learning mechanisms for fostering internal learning and promoting learning by external stakeholders, evidence of ALP's capacity to learn from others is not strong.

An internal reflection should be conducted on whether and how ALP is learning from others, and how this can be improved.

  - Follow-up calls, emails, surveys to participants in ALP training can support ALP in systematically building what others have learned into ALP's own knowledge. It is important to track how the organization has strengthened practices and approaches as a result of learning from others.
4. CARE should work with organizations with strong methods and complementary approaches, specifically on community engagement and climate information services and managing uncertainty as well as bringing this to engagement processes at the national level in specific countries; and on an enhanced cost/benefits analysis of CBA in various contexts.
5. ALP could have benefitted from a focused learning strategy, identifying high level learning objectives, target audiences and a more systematic approach to the generation of knowledge products based on the intended purpose or audience. Furthermore, a learning strategy can identify and systematize evaluation methods to assess how well learning objectives are being.

ALP should develop a comprehensive learning strategy to address the above issues and also include the following:

- Monitoring and analysis of challenges and failures, which is equally critical for looking closely at both enablers and barriers to adaptive capacity.
  - Monitoring learning outcomes from training activities, learning events, 'learning routes'
6. Systematic data collection on impact of PSP on increased resilience as well as agricultural productivity and improved livelihoods has not been undertaken. Resources need to be applied to track these gains and support the evidence base for the economic and social value of local utilization of climate information through PSP.



## **Monitoring and evaluation innovation**

7. Traditional M&E approaches based on log frames, results matrices, formative and summative evaluations are ill-suited to more socially-innovative and complex interventions such as ALP. Developing an outcome monitoring tool based on either the CVCA process or the LAC Framework would be an innovative attempt to track changes in these dynamics from baseline. A program of ALP's nature presents unique opportunities to contribute to rapidly growing interest in the M&E of adaptation.
8. The simplified analysis framework proposed in the Niger gender analysis should be explored further as an option for better tracking of the gender indicator.
9. ALP is in a good position to assist with, and advocate for, rigorous evaluation frameworks for those policies and programs that are built on ALP models (as in Kenya and Ghana) in order to measure the extent to which the integrity of CBA approaches have been maintained in the new government policies and programs, and to measure the effectiveness of what was put in place by governments, using the ALP pilots as comparators.

### **CBA models**

10. The PSP process has been successful in helping farmers understand seasonal variability, uncertainty, likelihood and risk. Where more work is needed is at the district-level and beyond to help decision-makers and planners understand climate risks at a landscape-level and along longer timescales.
11. VSLAs have been reported as one of the most significant changes brought about by ALP. In order to strengthen the VSLA model as a means to plan for, or respond to, climate-induced shocks and stressors, the VSLA model must be scaled-up and injected with additional capital. Building linkages between VSLA groups and microfinance institutions, and ensuring beneficiaries are spread across different risk profiles, may be one way to achieve this.
12. In the absence of more permanent gender resource persons, ALP could have benefited from a gender and diversity strategy to better systematize the integration of gender throughout ALP.



## 1. Introduction

The Adaptation Learning Program (ALP) facilitates community-based adaptation (CBA) in a selection of climate-vulnerable communities in four countries across a range of livelihoods, agro-ecological zones and climates, particularly drylands. It uses a learning-by-doing approach to develop effective practical CBA models in an effort to strengthen adaptive capacity of vulnerable households in sub-Saharan Africa. At its core is a focus on learning, monitoring and generating lessons to inform CBA practice and policy in Africa and globally. In particular, ALP has been sharing its grassroots experience in the application of CBA to advocate for adaptation financing that is available and accessible to those most vulnerable to climate change – the rural poor.

ALP has aimed to contribute to global learning and the impact of CBA through its practical work with communities and local governments, its engagement with policy makers and civil society advocates, generation of evidence, documentation and dissemination of successful approaches and impact, and convening multi-stakeholder learning events.

The purpose of this final evaluation is twofold:

- to provide qualitative and quantitative evidence of program outcomes (e.g. purpose) and impacts (e.g. goals) against the ALP logframe;
- to assess the quality and value of ALP approaches to promote CBA through learning and influence at all levels of the program.

Nottawasaga Institute (NI), Nairobi, was contracted to undertake the final evaluation, represented by a team of five international consultants. The evaluation has been carried out between January and April 2015.

## 2. Profile of ALP

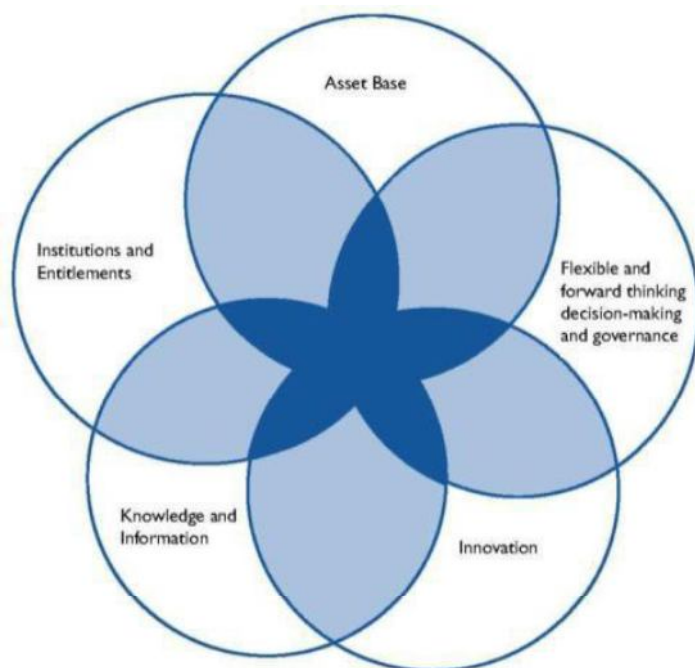
Since 2010, CARE International has been implementing the Adaptation Learning Program in Ghana, Kenya, Mozambique, and Niger. The \$13.5 million USD program has been supported by UKAid (DFID), the Danish Ministry of Foreign Affairs, Government of Finland and the Austrian Development Agency, and is due to wrap-up in June 2015. ALP works to promote CBA in practice and policy at all levels – from the household through to the national, regional and international - in order to increase the capacity of Africa's vulnerable communities to adapt to climate variability and climate change.

Community based adaptation in ALP has been premised on a theory of change and framework which assumes that effective adaptation is a result of a holistic, integrated and multi-level approach which supports strategies towards: climate resilient livelihoods, disaster risk reduction, adaptive and organizational capacity and addressing underlying causes of vulnerability and fostering an enabling policy environment as in the figure 1.



Figure 1 Community Based Adaptation

The approach is informed by an understanding and use of: climate knowledge and information, climate risks and uncertainty, differential vulnerability and gender relations and adaptive capacity as the combination of knowledge and information, assets, innovation, institutional entitlements, and flexible and forward-looking decision making and governance which together enables ongoing adaptation in a changing and uncertain climate, as in Figure 2.



**Figure 2: ACCRA Local Adaptive Capacity Framework**

ALP facilitates CBA in a small number of vulnerable communities in each of the four countries across a range of livelihood groups, agro-ecological zones and climates. It uses a learning-by-doing approach to develop effective practical CBA processes resulting in community adaptation plans and increased adaptive capacity, with a focus on monitoring and generating lessons for CBA practice and policy in Africa. ALP uses experiences from its own work and other Civil Society Organizations to generate lessons and disseminate good

practices for CBA. It uses CBA concepts and grassroots evidence to advocate for enabling policy environments in Africa and beyond.

ALP has contributed to global learning and impact of CBA through its practical work with communities and local governments, its engagement with policy makers and civil society advocates, its generation of evidence, documentation and dissemination of successful approaches and impact, and convening multi-stakeholder learning events.

### 3. Evaluation Methodology

As per the terms of reference for this assignment, the evaluation objectives relate to accountability (project outcomes/impact and contribution ALP has made to CBA in Africa and globally) and learning (to inform replication of CBA and learning approaches at scale):

**Accountability:** *to provide qualitative and quantitative evidence of program outcomes (e.g. purpose) and impacts (e.g. goals) against the ALP logframe through identifying and documenting the range of significant changes (positive or negative, intended and unintended) which have occurred in relation to CBA in each of the four ALP countries, other African countries and regionally.*

**Learning:** *to assess the quality and value of ALP approaches to promote CBA through learning and influence at all levels of the program. This will involve synthesis and analysis: of similarities and differences, success factors and barriers to change; of the contribution of ALP to the broader context of adaptation and resilience approaches in Africa and in relation to learning by other actors on CBA; and identification of criteria and good practice examples for successful adoption and up-scaling of community-based adaptation in practice and policy in different contexts.*

In our interpretation, the learning objective required a strong characterization of the ALP approach to CBA, how it evolved over the course of the project, what ALP learned about it and about building evidence and promoting best practices for scaling up and out.

In addressing accountability, the evaluation team used as a starting point the country level impact assessments and ALP annual reports, augmented with findings from site visits, key informant interviews and broad documentation review. The team first reviewed the output level results in the four countries and at the program level, in order



to triangulate the results being reported by ALP and by the various country-level impact assessments that have been undertaken. This part of the assessment aimed to determine not only whether the reported results had actually been achieved, but also to determine common challenges and enabling factors that contributed to or constrained the value added of ALP's specific approaches and the value added of the multi-country structure of the program. We further hoped to see how these collective outputs had contributed to achieving the purpose-level outcomes.

Secondly, in line with the purpose and goal of ALP, we aimed to assess the impact or influence ALP had on three key result areas, namely on **financing** for CBA, **policies and strategies** supportive of CBA up-scaling, and the uptake of CBA **practice** as developed and promoted by ALP.

The following table illustrates the evaluation framework we used to guide our assessment of impact areas against the goal and purpose outcome indicators.

**Table 1: Evaluation Framework - Impact Areas**

<b>Impact Type⇒ Indicator ↓</b>	<b>1. Evidence of impact on the financial resources available for CBA and adaptation.</b>	<b>2. Evidence of impact on integration of CBA into policies &amp; plans</b>	<b>3. Evidence of impact on practice of CBA</b>
<b>Indicator G1</b> # of people benefiting from investment in CBA through post-2012 adaptation financing	Increased adaptation financing available in post-2012 (fast track) period?	Design and implementation of strategies and programs for broad support to CBA initiatives	Government approaches to CBA that scale up # of beneficiaries and their capacity to implement sustainable CBA
<b>Indicator G2</b> Policy & implementation guidance for international adaptation finance enable investment in CBA	Provision of implementation guidance and know-how on the adoption of CBA by key multilateral adaptation funding mechanisms - specifically on the priority they put on CBA in allocation of resources.		Adoption of CBA by key multilateral adaptation funding mechanisms - AF, GEF, CIFs, GCF, etc? ...specifically on the recalibration of their expected results, i.e., the M&E systems they are now using.
<b>Indicator P1</b> CBA approaches integrated into policies, national plans (e.g. PRSP) and sectoral plans in Ghana, Kenya, Moz & Niger		Integration of CBA into government policies including national and sector strategies, plans and approaches? (ALP countries)	
<b>Indicator P2</b> # of climate-vulnerable individuals benefiting from adoption of CBA approaches and strategies promoted by ALP	Adoption of CBA by bilateral and multilateral donors in recent and/or current large-scale projects? P2 would also imply allocation of national government budgetary resources		Adoption of ALP-promoted CBA approaches and strategies in ALP and non-ALP communities and African countries?



Impact Type⇒  Indicator ↓	1. Evidence of impact on the financial resources available for CBA and adaptation.	2. Evidence of impact on integration of CBA into policies & plans	3. Evidence of impact on practice of CBA
<b>Indicator P3</b> African regional and/or non-target country policy frameworks and plans include CBA		Integration of CBA into regional or government, policies, frameworks or strategies? (non-ALP countries)	

In addressing the learning objective of the evaluation, the evaluation team noted that learning outcomes are not clearly articulated in the purpose and goal level indicators and targets. However, as articulated in the 2011 draft Learning Strategy, the learning objectives of ALP were to align with the five outputs. As such, evidence of learning should be reflected in how well the five outputs were achieved. This evidence, in turn, should provide an indication of how learning has contributed to purpose-level outcomes. One of the key challenges faced by the evaluation team included the separation of accountability and learning objectives (as included in the ToRs) when learning objectives were inherently tied to the accountability framework (the logframe).<sup>1</sup>

As such, the learning focus of this evaluation centred on assessing the value of ALP's learning mechanisms and approaches in contributing to achievement of higher level outcomes, particularly the functionality of learning processes in strengthening and modelling CBA practices and using these models as credible evidence to advocate for scaling up the models through financing, national policies and strategies, and broadening adoption of the models in practice.

A similar model to the above table was used as a framework for identifying evidence of the contribution of learning to the higher level outcomes, but in this case with reference to specific learning processes rather than impacts, as outlined under the Findings section.

Based on these two enquiry frameworks, interview and enquiry guidelines were designed to elicit evidence, through key informant interviews as well as documentation review, on-line surveys and site visits, to inform the evaluators' assessment of achievements of the project and lessons learned for future CBA practice. The interview guidelines are presented in Annex I. Each question in the guides is supported by a box outlining the type of evidence the question aims to elicit. The evidence types were linked where appropriate to the specific impact areas presented in Table 1, above, and a reference provided in square brackets in the guide. For example, after question 2 in Guide 1, the reference [#3 G1,2,P1,2] indicates that the answer to this question should provide evidence for impact area #3 (i.e. evidence of influence on *practice* of CBA), at the levels of Goal indicators 1 and 2, and Purpose indicators 1 and 2.

The principal methods used for carrying out the evaluation were document review (internal documentation provided by ALP as well as surveying external documentation referencing or influenced by ALP) and key informant interviews (KIIs). The evaluation team visited selected project sites in Ghana, and met with local stakeholders in Kenya. Ghana was selected for the main country visit in consultation with ALP PCT largely due to the perceived relative progress in the project there, and the availability of the local staff for the proposed timing of the visit.

<sup>1</sup> It should be noted that the 2011 Learning Strategy was never completed nor was there evidence of its implementation.



## Limitations

The evaluation process was limited by the high emphasis on documentation review over on-site visits, which reduced the access of the evaluators to local-level project beneficiaries and physical outputs. This, in turn, limited the comprehensiveness of our validation or otherwise the findings and claims of the earlier country level assessments.

The evaluation team used triangulation to mitigate any potential bias or conflict of interest on the part of KIIs, beneficiaries or ALP personnel. It should also be noted that certain questions in the interview guides were designed to provide evidence of potential bias on the part of the key informant. A specific limitation in this regard was during the field visits in Ghana, where we had planned to visit a non-ALP community as a counter-factual sample, but it turned out that the proposed community had actually received training from ALP, and the short time available in the field did not permit re-scheduling the mission towards an alternative counter-factual community.

## 4. Activities undertaken

### Summary of Literature Review

As outlined in the Terms of Reference for this evaluation, secondary sources were instrumental to this assignment. Indeed data collection from key informant interviews and an online evaluation survey were complementary approaches to our review of internal (e.g., ALP reports, program files and outputs) and external (e.g., publications by advocacy organizations, think tanks, donors) sources. Table 2 lists the main sources that we reviewed, but we consulted many more (e.g., CARE submissions to the UNFCCC, communiqués from learning events, various PACJA documents, PSP advisories). To facilitate access to ALP documentation, the ALP Program Coordination Team set up Dropbox folders with program-wide and country-specific documents for use by the evaluation team. Our search strategy for relevant documentation external to ALP and CARE relied on keyword searches in web browsers for exploratory purposes<sup>2</sup>, targeted searches for the purpose of triangulation<sup>3</sup> and suggestions from key informants (refer to List of Documents Reviewed in Annex IV).

Two limitations are worth noting in our search and review of relevant documentation, with implications for evaluation findings. One is the inconsistency in the interpretation of objectives and terms of reference when undertaking country impact assessments. The variance in approaches taken was a hindrance to meaningful comparative analysis and aggregation of results. The other limitation was the distinction between CARE's influence and ALP's influence. Beyond ALP's immediate spheres of influence, particularly beyond Africa, ALP did not achieve brand recognition; the distinction between CARE and ALP was rare thereby limiting the traceability of ALP's influence as such.

### Report on site visits in two ALP countries

#### Ghana visit 2-6 February 2015

Samantha Boardley and Vindele Chokera visited Ghana and held interviews with national, regional and community-level stakeholders. They included government ministries and departments, local and international civil society organizations (CSOs), consultants and private media practitioners who had interacted with the ALP project. A total of 16 KIIs were interviewed at the national and regional level, and four ALP

---

<sup>2</sup> Key words included “community-based adaptation”, “CARE”, “ALP”, “participatory scenario planning” (as a flagship CBA model commonly attributed to CARE); their use allowed us to learn that World Vision and Oxfam are both referencing CARE documentation, for example.

<sup>3</sup> For example, to verify claims in ALP documentation on the programme's role in developing a UNDP proposal for a project in Ghana presented to the Adaptation Fund, we examined the proposal





communities were visited and discussions held with community members and monitors on their perception of the ALP interventions.

The consultants visited one irrigation site, where ALP had supported the community with water pumps and a local Climate Information Centre, to discuss their effects on the community. The team also met with community members involved in VSLAs and bulking cassava multiplication. Interviews with the local partners were done in the two districts of East Mamprusi and Garu-Tempene. The list of interviewees is attached as Annex III the interviews generated useful information related to the defining features of the ALP approach, awareness of other CBA approaches in the country, effectiveness and impact of the ALP approaches, challenges and lessons learned from their implementation, interaction and/or collaboration with ALP in Ghana.

#### Kenya – Garissa visit 16-17 March 2015

Rob Sinclair and Vindele Chokera visited Garissa to interview key project stakeholders at the county level. These included project staff, officers of the county government, local representatives of national ministries/agencies, and two community-level representatives who had been actively engaged in initiatives at that level. Interviews elicited useful information on local-level outcomes of the project, perspectives on uptake of ALP approaches within government plans and policies, and challenges particularly related to the transition to newly devolved governing structures.

#### **Key Informant Interviews**

Key informants (KIs) were selected initially from an extensive list of stakeholders prepared by PCT. The evaluation team prioritized KIs to target from this list with an aim to gain perceptions of understanding, at different levels and between various stakeholders inside and outside the ALP program, of concepts such as successful adaptation, resilience/adaptive capacity, change (time scale short/long term), sustainability, gender and generational equity, more/less vulnerable, etc. Subsequently names were added to our KII target list as a result of referrals during interviews, or to address specific information gaps that emerged during the process of the evaluation.

Our selection tried to cover a range of types of informants, using the following categorization:

- Networks (to explore ALP contribution and learning, and overall policy influence)
- ALP country government policy-makers and local government officials (for policy implementation status, linkage of policy and practice, institutional change)  
Gender and CC experts and practitioners
- CSO CBA practitioners (what ALP tools are they using?)
- Inter-governmental negotiators and policy-makers (re shift in thinking re adaptation approaches)
- Learning forum participants
- ALP consultants (value-added of ALP and influence across development agencies)  
Donors (purpose and goal level progress)
- ALP staff

A total of 74<sup>4</sup> KIs were contacted for interviews, out of which 36 (50%) KIIs were completed. The remaining requested interviews did not happen either because a convenient time could not be arranged or the KI did not respond.

KIIs were conducted through phone interviews, as well as face-to-face discussions where possible (e.g. in Nairobi and Accra). A list of interviewees is provided in Annex III.

---

<sup>4</sup> This number does not include interviews requested or conducted during site visits in Garissa, Kenya, or in Ghana.



## On-line Survey

In order to assess ALP's influence globally, the evaluators deployed an online survey. The objective of the survey was two-fold: (i) to better understand the broader global CBA landscape within which ALP operates (who are the key actors, financiers, and what are the major challenges and barriers to the field); and (ii) to assess ALP's, or CARE's, visibility in this global dialogue.

The target audience for the survey included global CBA practitioners and was distributed through IISD's Climate-L, Adaptability, and Climate-Eval networks. The survey purposely withheld the name of the program under evaluation and was not distributed through CARE or ALP-based networks in order to minimize potential for bias from CARE or ALP staff. Challenges in getting strong response rates (e.g. competing demands for limited time, information/email overload, and survey saturation) were anticipated and the online survey was meant as a secondary data collection tool, to support and complement data from key informant interviews, document reviews and field visits.

## 5. Evaluation Findings

The evaluation was tasked with assessing the achievements of ALP with respect to accountability in meeting its logframe targets and progress in learning at multiple levels. We have examined the evidence available to validate or not what actual results have been reported by the program. To do this we have structured the findings from three perspectives:

Accountability viewed from a cross-country focus: What has been achieved at output level across the four countries plus the program level activities undertaken mostly by the Program Coordination Team (PCT); how do these contribute to the overall purpose of the program; what is the value-added of the multi-country approach and what are the common challenges and enabling factors that we can deduce from this perspective?

Accountability viewed from purpose and goal level targets: What evidence do we have to validate ALP's statements of progress towards achieving goal and purpose level indicator targets? At this level we are looking for credible outcomes that indicate ALP's impact or influence on **financing** for CBA, **policies and strategies** supportive of CBA up-scaling, and significant uptake of CBA **practice** as promoted by ALP. How robust is this evidence and does it in fact provide credibility to results as they have been reported by the program? Are there un-anticipated results that add or diminish value beyond what was foreseen in the logframe?

Findings related to learning: ALP was designed as a 'learning program' whereby activities and outputs would generate knowledge that will foster up-take and up-scaling of better approaches to building adaptive capacity. The evaluation has looked for evidence that ALP's learning approaches and activities have, in fact, supported project outcomes in terms of practice, policy and finance. To this end we have examined how ALP pursued learning through: learning about CBA practice and about effective national and international advocacy; learning about moving from national policy to national/local practice; building learning-oriented communications; delivery of climate information services; learning about gender and CBA; and learning within ALP from other approaches/collaborations.

### **a. Accountability: Cross-country findings on change**

**of**

The consulting team undertook to validate and triangulate, as far as possible within the scope of the assignment, the data reported in both the country impact assessment reports and the various progress reports, to ascertain the validity of the data through gathering anecdotal evidence presented by the KIIs and community discussions. From the analysis it is evident that the overall program outputs were achieved above target; however, a few outputs were not optimally achieved in Mozambique for various reasons



including, among others, high staff turnover and political marginalization of the Angoche region.

The following section presents a summary of cross-country findings according to ALP's domains of change. In line with ALP's M&E system, each domain of change is

domain of change on learning is the subject of a separate section, Section 5c.

### **Climate resilient livelihoods (Output 1)**

For output 1, which relates to ALP community sites, it was evident that the number of individuals benefiting from the adoption of CBA exceeded targets in both Ghana and Kenya: in Ghana by more than double from 390,000 to 806,402 and in Kenya from 138,000 to 420,029. In Mozambique and Niger, however, the targets were not met for various reasons. Some of the reasons advanced included the fact that in Mozambique there has been high staff turnover with all the current staff having joined the program in the 3<sup>rd</sup> and 4<sup>th</sup> year, resulting in a clear lack of consistent implementation and follow up. The political environment (electioneering process) in the country also negatively affected achievement of the outputs. Staffing issues were previously noted in the Mid-term Review in 2012, observing the need for higher level competencies at the community-level. Community activities were slow to get off the ground for this and other reasons, including political marginalization of the Angoche region. Thus, when turnover happened mid-way through the project, new staff had to start from a low trajectory challenged by the demand for a high learning curve. Understandably, progress in Mozambique has not matched that in the other three countries.

It was noted that the ALP approaches are promoting adaptive capacity among the target communities, with communities adopting climate smart agriculture, dry season farming, contour ploughing, use of green manure, drought resistant crops and minimum tillage, climate-informed fishing and chicken farming in Mozambique, diversification of livelihood means such as livestock trading and climate-informed river bank farming in Kenya. Communities were pursuing climate-resilient livelihood strategies such as dry season farming and micro-enterprise rather than dependence on livestock farming or traditional food crops in Ghana. Such activities were facilitated through improved access to financial capital through village savings and loans agreements (VSLAs), participatory scenario planning, and farmer field schools (FFS), which were informed by climate information, have been particularly well received and widespread within the target communities.

The approaches are even reaching out to people beyond the project sites as was reported in Ghana where communities beyond ALP sites have adopted VSLAs, while others reported they were listening to weather/climate information shared through community radio stations. It was stated that during the twenty minute climate program time-slots there is a high listenership, judging from the number of call-ins, with many of these coming from outside the ALP sites. The radio program content is mainly on climate change issues such as type of seeds suitable for the area, and disaster related advisories. Climate Information Centres (CICs) pick out transmissions from the FM stations and transmit to communities via loudspeakers and respond to community member climate information queries. This promotes further discussion within homes on these issues.

#### ***Summary of findings on climate resilient livelihoods:***

Evidence from all four ALP countries suggests that climate resilient livelihood strategies were introduced and adopted by participating communities. Both FFS and VSLA were valuable enablers in allowing participating community members to accept a level of risk associated with learning new skills or practicing new trades. Anecdotal evidence suggests that climate resilient practices have been adopted by non-ALP communities within the broader catchment area of radio programmes broadcasting agricultural and climate information.



## **Disaster risk reduction (Output 1)**

The program clearly achieved its target of influencing local disaster risk reduction (DRR) plans and early warning systems (EWS) up to the community level. Niger was leading, having influenced a total of nine and almost meeting the four countries' target of ten by 2014. Activities in all four countries were able to influence a total of nineteen DRR/EWS plans.

As a result of seasonal weather advisories and PSP plans communities in Kenya were able to avoid losses from floods: salvaging their farming tools such as water pumps and pipes before they would be swept away by floods, and moving with their livestock to higher ground. In Ghana the National Disaster Management Organization (NADMO) reported that the Burkina Faso dam often claimed human lives during de-silting operations, but as a result of warnings provided by ALP and NADMO, communities were preventing loss of life from the flood effects of de-silting as well as from sudden thunderstorms.

In Mozambique, responding to climate information shared through the program, communities living along the coastline built fences around their houses to protect themselves from strong winds. However, although community adaptation action plans (CAAPs) were prepared in Mozambique, they had been completed after the government had finalized its adaptation plans, so the CAAPs had not been implemented. It was reported that they are now set to be included for implementation in the current 2015 Local Adaptation Plan.

Differing planning periods for CAAPs to correspond to county, district or commune planning periods, mainly in Mozambique and to some extent in other countries, inhibited integration of community plans into the government plans.

### ***Summary of findings on disaster risk reduction:***

Targets related to DRR/EWS plans were met with evidence suggesting that loss and damage as a result of extreme climate events have been reduced. In addition, government disaster risk departments were enabled to address disaster risk issues in a proactive rather than in a reactive manner in all the countries.

## **Adaptive Capacity and Organisational Capacity (Outputs 1 and 2)**

All four countries achieved success in influencing CSOs, local authorities, and government departments, with ALP-Ghana being referred to as the 'teacher of CC'. It was clear that the success registered in Ghana on this arose from a strategy of embracing the inclusion of climate change CSOs both at the national and regional level. Although it was reported that in Mozambique the program was able to create both district and national CSO platforms, the platforms were only marginally effective in influencing policy due to the fact that, although there were efforts to enhance CSO capacity, they nevertheless were still quite weak. Clearly a strong CSO community is a facilitating factor for influencing policy as was the case for Ghana and Kenya. This was policy.

Adaptive capacity was enhanced at the community level through such interventions as VSLAs, various climate-smart agricultural interventions which helped to cushion farmers and traders against stresses related to food shortages and other livelihood demands such as school fees, health needs and social contributions, such as funerals.

At the organizational and local authority level, various training and capacity building forums were organized which enabled both the partner organizations (PARED, PASG, AENA) and other CSO actors in climate change to provide appropriate climate-informed interventions for their target groups. Local authorities in Ghana (NADMO) and the Garissa county government (department of disaster management) for instance indicated



that the ALP enabled them to respond to disasters in a proactive rather than a reactive manner as had happened in the past.

CSOs such as OXFAM, and CFTC and WAWASH programs indicated that ALP provided technical support and capacity building to implement certain aspects of their programs including implementation of CVCAs, development of CAAPs and training of TOTs among others. The Met departments also gained from capacity-building interventions from the ALP program especially on how to effectively disseminate climate information to users in the four countries.

From the foregoing, it is evident that making the approaches highly participatory ensured that there was a strong 'buy-in' from stakeholders and contributed to the success of the ALP approaches. The Kenyan experience with PSP, which has been adopted across the whole country and is attracting financing from different parties, is a good example of the value of broad stakeholder inclusion.

Another facilitating factor was that the higher the presence and capacity of the CSO community dealing with climate change, the better the success of the CBA interventions. One of the reasons cited for the weak adoption of the CBA approaches in Ghana's Saamini community was low presence of NGOs and low literacy levels among community members. The strategy to influence gatekeepers such as chiefs, District Assembly members, NADMOs, MET, agriculture and livestock services, etc., indicates that receptive gatekeepers have the potential to enhance achievement of outputs as was the case in Kenya (Nanighi Chief), and the Zambulugu and Ankara communities in Ghana. The chiefs were reported to be quite supportive of the ALP activities and were in the forefront of mobilizing community members. The opposite was true in Mozambique where it was reported that the MICOA was not receptive especially at the national level, hence the inability to effectively influence national policy.

Other facilitating factors for capacity building to enhance effectiveness in ALP operations included: the identification of partner organizations with requisite capacity and commitment to partner with ALP in executing CBA programming; making a conscious effort to ensure partners understood and appreciated climate change issues as in Ghana where this created a pool of actors able to promote CBA responses; ensuring close collaboration with district level stakeholders – government and other CC actors – which fostered strong buy-in and support for the ALP models.

Specific challenges to organizational capacity were noted in Garissa from the rising insecurity in the region, and the high level of community dependency as noted in Angoche as well as the language barrier between Mozambique and the PCT which may have affected achievement of key milestones.

#### ***Summary of findings on adaptive capacity and organisational capacity:***

Overall, there is evidence that ALP has enhanced community adaptive capacity through provision of social and economic safety nets and building knowledge and skills among farming communities to employ adaptation strategies using climate information.

At the CSO, local authority and national government levels capacity has been enhanced to monitor, analyze and disseminate climate information on climate risks, integration of climate change into policies and allocation of resources to various climate change interventions.

#### **Policy Environment and Underlying Causes of Vulnerability (Outputs 1, 2 and 4)**

There is strong evidence that ALP has influenced the integration of adaptation in mainstream development plans in the four countries. In Kenya, the Agriculture Sector Development Support Program (ASDSP) is facilitating PSPs in all 47 counties of the country. This includes making the Kenya MET advisories more user-friendly and localized, and increasing utilization of seasonal forecasts.



In Ghana PSPs, CVCAs, Community Disaster Preparedness Plans and CAAPs have been incorporated into the district plans (Medium-Term Development Plans for 2014 -2017) of the two districts where ALP is operating. Prior to ALP, it was reported that Community Action Plans (CAPs) had been developed but that they were not necessarily climate informed. With ALP's support, CAPs were revised to include adaptation considerations – thus becoming CAAPs. As a result of these CAAPs and their subsequent integration into district plans, it was reported that some communities received improved government services including, for example, Community-based Health Planning and Service (CHPS) centres in Akara and Kugri communities and a clinic in Farfar.

In Mozambique ALP supported the formation of the National Civil Society platform on CC, but MICOA did not fully embrace the program's approach mainly because of the ministry's expectation that its FFS activities would be funded by ALP, which was not forthcoming. It was reported that in Niger the commune development plan process is utilizing community-based adaptation.

With regard to output 4 on influencing policies and programs at national, regional and international levels, the program has made a significant contribution in this area. At the national level various policy documents have included CBA approaches arising from the advocacy and collaboration of the ALP program with other networks in influencing policy statements. In Ghana, ALP facilitated the process of influencing the integration of CBA into the National Climate Change Adaptation Strategy (NCCAS 2010-2020 – see pages 26-29 and 33- 35 of the strategy document for evidence of strategies touching on the CBA framework and Ghana's Climate Change Policy Master Plan 2014-2020). ALP also influenced the integration of CBA into medium-term development plans (MTDPs) of two districts in which it works and in the strategic plans of local partner organizations PAS-G and PARED.

In Kenya, the program has influenced the inclusion of CBA in the Kenya climate change draft policy and in the Garissa MTDP. At the regional level the program has made a contribution in various regional-level policy forums such as the ECOWAS workshop on concepts for climate-smart agriculture prepared in early 2014, inclusion of CBA principles in the West African Development Bank Strategic Plan for the period 2015–2019, a PSP proposal for inclusion in the draft Malawi meteorology policy, the Adaptation Fund (AF) proposal by Kenya's NEMA, the CC Action Plan, the Kenya country, agriculture and gender positions submitted to the UNFCCC, and it also contributed to the Africa Ministerial Conference on the Environment (AMCEN) position to COP 19.

Regarding output 5, contributing to the knowledge base on CBA, and in particular in relation to climate information and communication, the program has positively affected the communities and the MET Services in the four countries. MET services in Kenya for example indicated that ALP has made it possible to effectively disseminate climate information to local people and increase its access, uptake and interpretation. This, in turn, increased the MET service's realization of the benefits of working with the consumers of the information and therefore making the service relevant. ALP has been a source of CBA/adaptation learning for many climate change actors including OXFAM, World Vision, GIZ and CHF in Ghana, STARCK+ and NEMA in Kenya, ACT, ADLHIMMA and ALAD in Niger and in Mozambique AENA and MICOA among others.

However, the four countries reported challenges in accessing timely, down-scaled climate information, especially in Mozambique, and also lack of long-term climate information that would be in line with the government planning cycles. In Kenya, although the devolved county governance structures offered a good opportunity for ALP to promote its agenda, the fact that the new structures were not fully developed led to delayed implementation of activities in some cases as well as loss of community engagement skills developed under the former governance system.

resources being committed to CBA was quite limited. However, in some districts that the



project operates (namely in Kenya and Ghana); CAAPs have been included in mainstream government plans which are utilized for budgeting. Whether these will eventually attract budget allocations depends on their priority in government appropriations and therefore is not guaranteed for funding.

In Kenya, however, PSPs have attracted significant resources, enabling up-scaling of the model across the whole country through the ASDSP, with a 20% government contribution against 80% donor contributions. PSP is now being taken up not only by CC actors in the counties but is also being incorporated in official county plans, with some county governments reported to be funding close to 90% of the cost of the PSP (Kisumu and Nyamira counties). It was further reported that the ASDSP contribution to PSP within the counties has been reduced from the initial 100% to the current 47% while other stakeholders within the counties are contributing 53% of the total cost of conducting PSPs.

In Ghana it was reported that the CSO network on climate change of which ALP is a member has been advocating for climate-sensitive budgeting which has resulted in the allocation of resources for climate change within the country.

Achievement of the outputs has been different in the four countries, with Mozambique having had the lowest level of achievement due to various reasons mentioned earlier. Other challenges included: there was limited access to climate information at the district level given that the MET services are based at the provincial level; and lack of a consolidated and focused source of information mitigated access to timely climate information because these issues are dealt with by different ministries (climate information by Ministry of Transport and climate change by Ministry of Environment). While this is also true in Ghana, the proactive engagement of the MET services there, their enthusiastic dissemination of climate information and the individual interest of the MET staff may have contributed to greater success in Ghana compared to Mozambique.

Analysis of evidence from the four countries indicates that ALP makes extensive use of PSP, VSLA and FFS in the ALP countries and that the approaches are promoting resilience and expanding beyond the ALP target communities, especially in Kenya and Ghana. The evaluation has found that there is value addition in the program working in a multi-country set-up through generating and sharing lessons in different countries and different livelihood backgrounds and ecological zones. Through this, countries learn, adapt and implement what is working and avoid mistakes committed by others. A good example of this is the recognition by different countries of the need to mix both indigenous and scientific climate information in providing useful and practical advisories to communities. This was learned by Mozambique, which enhanced its climate information acceptability within the communities.

With regard to influencing underlying drivers of vulnerability related to gender, all four countries reported positive results from ALP interventions. Ghana reported that women's increased access to farmland increased their participation in family decisions and ownership of family assets. Higher levels of confidence among women were reported.

Perhaps the most striking results were recorded for Niger where women faced some of the strongest barriers yet reported some of the most significant changes in attitudes and behaviour [refer to *Gender and differential vulnerability, page 33*]. Increased collaboration between men and women to address family and community challenges was reported by KIIs. Access to critical livelihood resources, such as land or involvement in livestock trade, previously men's roles, were being taken up by women in the Kenyan ALP sites.

In Mozambique exposure to GCVCA and training on gender and agriculture, and gender and FFS in ALP communities increased women's participation, not only in numbers, but also in voicing their concerns and needs and taking a more proactive role in decision making,



opinions and taking leadership roles within FFS, hence ensuring their participation in the management of these schools, was reported.

One of the reasons advanced for weak/delayed achievement of outputs in Mozambique was the inability to coordinate activities in Angoche from Maputo; the same was reported for the Saamini community from Tamale in Ghana among others. Going forward, there is a need to explore coordination of activities from a close distance.

In Kenya, access to and use of climate-change responsive crops and drought-resistant seeds was said to be exclusive to men. However, climate change affects all community livelihoods and, out of necessity, communities were trying alternative livelihood options that were not consistent with their cultural and religious norms. Previously, women were not allowed to interact with non-family males, but they are now engaging in trade even beyond their locality, travelling and working outside the home which was not happening before ALP. Increased collaboration and close working relationships between men and women to address family and community challenges, access to critical livelihood resources such as land, involvement in livestock trade and increased contribution to family obligations, which were previously male roles, are being taken up by women in the Kenyan ALP sites.

### ***Summary of findings on policy environment and underlying causes of vulnerability:***

There is evidence of ALP's influence in the policy environment at various levels including the sub-national, national and regional levels. Influence on practice mainly among the CSO community was also quite evident especially in Ghana where most of the interviewed CSOs indicated having learned from and/or collaborated with ALP in their operations. All four countries reported positive results in addressing underlying drivers of vulnerability related to gender, with Niger reporting women's change in attitudes despite facing strong barriers.

### ***b. Accountability: Purpose and Goal Level***

The evaluation has assessed the accountability results of the ALP program by focusing on its key areas of impact/influence related to: increasing financial resources available for CBA; the integration of CBA into policies and plans; and the practice of CBA as a highly-effective approach to adaptation. We have further looked into the achievements of impact/influence against the goal and purpose level indicators of the ALP logframe. Following is a summary of highlights of findings in each of these areas.

Further data on evidence of influence/impact is provided in Annex II. While much of this data can already be seen in ALP documentation and reporting, the evaluation team attempted to triangulate ALP's reports with other data sources, including external documentation, interviews, site visits, etc. These are the primary sources of data presented in the impact tables and in the summary in this section.

### ***Impact Area I: What evidence do we have of ALP's impact, or influence, on the financial resources available for CBA and adaptation?***

Goal Indicator 1: Number of people benefiting from investment in CBA through post-2012 adaptation financing (target 2.5m by 2015)

At the level of Goal Indicator 1, ALP measures progress through quantitatively tracking mostly non-ALP projects and programs addressing CBA globally, and that adhere to international policies and strategies under the UNFCCC. this growth in numbers of people benefiting from CBA is through its support to advocacy for prioritizing CBA at the global policy level (working as part of CARE International, CAN and PACJA). This is a reasonable strategy for advocacy at the goal level. However, as will be discussed later in the analysis section, the evaluators view this approach to quantifying the growth in numbers of beneficiaries as problematic, given that it begs the





question of a systematic characterization of what constitutes CBA outcomes from ALP's perspective.

ALP contributes to this growth through influence on strategy and program development at country level. A salient example of this is the key role it played developing a UNDP proposal for a project in Ghana presented to the AF, which was approved in May 2013. The amount approved is US\$8,293,972, with 60,000 people as direct beneficiaries. Indirect beneficiaries are the entire population in the Volta River Basin, estimated at 8.5 million in 2010.

Other examples include Niger's Pilot Program in Climate Resilience (PPCR) project, which incorporates a community action project whose design and implementation draws on ALP experience, and ALP's contribution, through CARE, to design of the DFID Building Resilience and Adaptation to Climate Extremes and Disasters (BRACED) project in Niger.

Goal Indicator 2: Policy and implementation guidance for international adaptation finance enable investment in CBA (2015 target: AF and/or other financing mechanisms have approved projects in Africa which reflect CBA approaches)

ALP is unique as an INGO multi-country program working closely with governments and CSOs to influence and inform both national policies and country positions within the AMCEN-UNFCCC negotiation process. ALP staff have played a critical role in working with both sides in the advocacy theatre, and working this way appears to have been instrumental in getting governments to be more accommodating of civil society contributions, particularly in arguing for increased resources and programs targeting vulnerable populations.

A salient example of ALP's contribution towards this target is ALP's input to the adaptation section of the Kenya National Climate Change Action Plan (KNCCAP) on CBA as well as influencing national positions on international policy processes, such as the GoK position papers providing input to the AMCEN meetings preparatory to UNFCCC COPs.

At the global level, the joint principles for adaptation (JPAs) are provided on the UNFCCC website. The JPAs incorporate the key principles for effective CBA and were developed with ALP input. GCF guidance now allows for increased investments to adaptation (50% to adaptation and 50% to mitigation); CARE advocated for this through CAN International. The revised PPCR results framework (2012) includes indicators related to climate information and reaching the most vulnerable.

Purpose Indicator 2: Number of climate-vulnerable individuals benefiting from adoption of CBA approaches and strategies promoted by ALP - ALP countries (2014 target: 1.266 m)

ALP reports having reached 1.5m beneficiaries in the target countries, as well as 55,000 in other countries (projects in Benin, Togo, Nigeria and Ethiopia). As of the end of 2014, the reported number of beneficiaries reached in the target countries are:

Ghana: 806,402

Niger: 311,439

Mozambique: 28,048

Kenya: 420,029

These figures represent, in addition to the population of the communities directly targeted by ALP programming, a secondary target group, defined in the ALP project proposal as



society organizations and local government institutions in the four countries to better respond to the needs of communities with regards to community based adaptation<sup>5</sup>.”

Specific examples of this sort of scaling out noted by the evaluation include:

- Kenya NEMA requested PSP training for 11 implementing organizations under the Kenya AF project, potentially benefiting at least 15,000 farmers;
- West Africa Water Supply, Sanitation Hygiene Program, funded by USAID and operating in three countries (Niger, Ghana and Burkina Faso) received CVCA training from ALP Ghana.

### **Summary of Findings re Financial Resources**

ALP's impact, or influence, on the **financial resources** available for CBA and adaptation has been strong at country level in three of the target countries. At global level resources have been increased for CBA, as well as policy guidance on approaches to addressing populations especially vulnerable to the impacts of climate change. At this level one cannot attribute these developments to ALP's/CARE's advocacy work alone, but testimonial evidence suggests that the program has had considerable influence in this regard. On the other hand, at the African regional level, the evaluation sees much clearer and direct evidence of ALP/CARE's role in strengthening the position of African governments in arguing for greater financing for adaptation and CBA in particular.

### **Impact Area II: What evidence do we have of ALP's impact, or influence, on the integration of CBA into policies and plans?**

Goal Indicator 1: Number of people benefiting from investment in CBA through post-2012 adaptation financing (target 2.5m by 2015)

Evidence suggests that CARE ALP has had significant involvement with, and influence in, the work of the Pan-African Climate Justice Alliance (PACJA), the CSO network engaged in advocacy with AMCEN in formulation of the African Common Position with respect to the global UNFCCC process. ALP has been instrumental in capacity-building of the PACJA network to strengthen the participatory processes to ensure CSO consensus in the formulation of PACJA messages to AMCEN. According to KIIs, ALP has been a lead contributor to CSO advocacy promoting CBA in CSO statements.

Goal Indicator 2: Policy and implementation guidance for international adaptation finance enable investment in CBA (2015 target: AF and/or other financing mechanisms have approved projects in Africa which reflect CBA approaches)

Evidence of achievement of this indicator in the area of policies and plans is similar to our observations on this indicator with respect to the impact on financing, i.e. finance follows policy and ALP/CARE's experience-based advocacy for prioritizing CBA and vulnerable communities, and the promotion of specific approaches for this, has been seen to influence a number of policies and program plans, as noted above.

Purpose Indicator 1: CBA approaches integrated into policies, national plans (e.g. PRSP) and sectoral plans in Ghana, Kenya, Mozambique and Niger (2014 target: At least five relevant policies/plans in climate-sensitive sectors integrate CBA across the ALP countries)

ALP achieved its purpose in influencing the development and validation of:

- National Climate change mainstreaming guidelines for commune development plans in Niger;
- Kenya National Climate Change Action Plan;
- Ghana National Climate Change Adaptation Strategy (NCCAS, 2010-2020);
- Ghana's Climate Change Policy Master Plan (2014-2020).

---

<sup>5</sup> CARE, *Adaptation Learning Programme for Africa - Final Proposal* December 2009, p14  
Report ALP final evaluation final 050815.docx



Purpose Indicator 3: African regional and/or non-target country policy frameworks and plans include CBA (2014 target: four regional or non-target national frameworks/plans include CBA)

As noted under Impact Area I, CSO input to the AMCEN-led Africa Common Position has emphasized CBA and prioritizing vulnerable communities, strongly supported with ALP facilitation and technical input. African negotiators have noted the niche occupied by ALP in this process, as having practical experience with on-the-ground CBA approaches and the capacity to carry this voice to national and international policy forums. ALP's knowledge is valued by governments, and its experiential credibility allows it to ensure strong communication between government delegations and civil society advocates.

### **Summary of Findings on Policies and Plans**

ALP's impact, or influence, on the integration of CBA into **policies and plans** has been strong at the country level in all of the target countries; at the regional level there is strong evidence that ALP support and facilitation has significantly strengthened the quality and results of CSO inputs to the development of the Africa Common Position for the UNFCCC process.

### **Impact Area III: What evidence do we have of ALP's impact, or influence, on the *practice* of CBA as a highly-effective approach to adaptation?**

Goal Indicator 1: Number of people benefiting from investment in CBA through post-2012 adaptation financing (target 2.5m by 2015)

One of ALP's main methods of scaling-out CBA practice has been through training events and learning events, where participants in these events adopt ALP-promoted approaches and find or allocate independent resources. A lack of follow-up monitoring of training participants makes it difficult to quantify the number of people benefiting from this new investment, but testimonial documentation does exist in some cases.

For example, ALP presentations in regional learning events and ALP PSP training in Kenya and Malawi resulted in major buy-in from Malawi that has led to Malawi building PSP into a national approach, funded by Australia-Africa AACES program. CARE programs in southern and eastern Africa have adopted a focus on climate-smart agriculture (CSA), with 'CSA' largely meaning the incorporation of ALP's CBA approaches. CBA programs are under way now in Mozambique, Zimbabwe, Zambia, Ethiopia, Malawi, Kenya, Niger, Mali, and Ghana.

The evaluation notes, however, that for the larger numbers of beneficiaries reported by ALP under this indicator, there is no way of determining the degree to which they are actually benefitting from a community-driven approach to CBA as promoted by ALP.

Goal Indicator 2: Policy and implementation guidance for international adaptation finance enable investment in CBA (2015 target: AF and/or other financing mechanisms have approved projects in Africa which reflect CBA approaches)

UNFCCC documentation on National Adaptation Planning refers to Southern Voices' Joint Principles for Adaptation as part of the supplementary materials to the technical guidelines for the national adaptation plan process. CARE with lessons from ALP informed development and testing of these principles.

We can cite the PPCR program in Niger, and the AF projects developed in Ghana and Kenya, mentioned previously, as evidence that ALP-promoted practices are being integrated into international adaptation finance mechanisms.

Purpose Indicator 2: Number of climate-vulnerable individuals benefiting from adoption of CBA approaches and strategies promoted by ALP - ALP countries (2014 target: 1.266 m)

The actual number of beneficiaries beyond the target communities is difficult to verify. Although numbers are claimed by ALP, as mentioned earlier, there is limited follow-up tracking of up-take of practices by participants in ALP training events. For example, one



participant organization indicated that as a result of ALP training they have been training other organizations on PSP through a WOCAN project, but they are not aware of whether ALP is tracking this kind of result. Such testimonies indicate that uptake may be broader than reported.

Nonetheless, the evaluation found sufficient evidence of achievement against this indicator, for example where PSP training resulted in adoption of PSP by a CSO network in Malawi, and evidence of improved, climate-resilient, practices adopted by communities was observed during the Ghana field visit. In Mozambique, ALP worked with the Ministry of Environment to undertake CBA training in a number of new districts.

See also section 6d, Report of the Survey, for further findings related to this impact area.

### **Summary of Findings on Practice of CBA**

ALP's impact, or influence, on the **practice of CBA** as a highly-effective approach to adaptation has been strong at country level in all of the target countries. At global level ALP has gained recognition for its approaches through good visibility at the annual CBA conferences and presentations at UNFCCC CoPs. Practices are being adopted by CARE in a variety of countries in Africa and Asia, and they are being taken up by other organizations in Africa, such as in Malawi.

#### ***c. Findings related to learning***

The evaluation ToRs laid out a series of expectations in terms of learning. At the highest level it suggested that the key question of the evaluation is: how has CBA, as promoted by ALP, contributed to the achievement of a long-lasting impact in resilient-livelihood development, risk management, adaptive capacity and addressing the underlying causes of vulnerability in the context of knowledge and uncertainty about climate change? We can add to this the question: What impact has ALP's learning focus had on the capacity and actions/behaviour of CARE, its partners and other practitioners, and what has this achieved?

The evaluation, therefore, has examined ALP's most significant contribution to CBA knowledge, capacity, implementation, and to adaptation policy at national to global levels, and its overall effect in these areas.

ALP's learning objectives have focused on the application of ALP approaches to promote CBA using learning, practical adoption and policy influence. The evaluation therefore has explored the evidence base, value and quality of both CBA approaches and messages of ALP, and of the learning and advocacy approaches in use by ALP, in order to inform new program design, adaptation policy and finance priorities. The evaluation includes comparisons between ALP's work in the four countries, an analysis and synthesis of the CBA approaches themselves and a critique of the drivers and barriers to the success of CBA learning, adoption and up-scaling.

There are five fundamental messages emerging from the evaluation about ALP as a "learning program".

1. ALP undertook significant changes since the MTR in late 2012 and undertook to make learning a more central piece of the overall program – more focus on learning processes, more resources for learning, and more rigorous learning activities; the MTR recommended that ALP focus more rigorously on 'learning' in its reporting and in project documentation - and simplify other reporting, which it had done; the MTR recommended that ALP orient its communication products to support learning by people across an array of communities, including people with low literacy levels and by using more visual material which it has also done with the preparation of user-centred learning materials.
2. ALP overcame the fact that 'learning' is not explicitly included at the Goal and



output level' to have more prominence.<sup>6</sup> Output 3 suggests a systematic approach to learning, so that "Models for CBA (are) evaluated, refined and used to make recommendations for improvements in policies and practice of government and other development organizations." Output 5 suggests a systematic approach to learning, so that "CBA is promoted to governments and NGOs in the countries and across Africa to encourage widespread adoption (of CBA approaches)." While ALP's learning strategy could have been more strategic and better defined, allowing for easier monitoring and evaluation and for potentially more impact, ALP's output-driven, opportunity-driven approach to learning has been well documented and has had considerable impact on adoption of adaptation approaches, if not always 'full-suite' CBA approaches. While Output 3 suggests that models for CBA will be evaluated and refined, a consistent approach to testing any selected combination of models against counter-factual approaches to validate an approach or a theory of change was not apparent.

3. Being a learning program, ALP in all the four countries undertook to include various reflection and learning forums, evaluation studies, impact assessments, gender analysis, as well as a cost-benefit analysis in Niger and Kenya. In addition, various publications with lessons, evidence and recommendations on CBA practice and policy for targeted audiences were published in all four countries. All targets for 2014 had either been met or moderately exceeded. ALP undertook to make learning **relevant** through the application of lessons learned about community adaptation needs and responses to national advocacy processes, and **effective** through learning forums and reporting, and to support **efficient** learning initiatives adding learning steps into all project activities including national and international workshops so that there would be more **sustainability**, more documentation like learning briefs, more likelihood of achieving learning outcomes and impacts, and to link learning with innovation and the promotion of change in the understanding of adaptation at all levels of its programming. As well, within the country programs, through the use of various CBA models, there was evidence of cross model learning – for example, between CVCA (analysis) and CAAP (planning), between CAAPs (planning) and VSLAs (direct short term participation and direct community-level benefits), between CAAPs (planning) and FFSs (implementation of direct programs). The key methods of cross model learning was ALP's extensive documentation of its experiences which provided a solid basis for ALP to develop new guides for CBA practitioners, though this has yet to be completed. ALP Country programs produced various publications that were meant to share lessons on various CBA issues and practices; these were used primarily, in the first instance, to inform planning and implementation within the countries where they were produced.
4. ALP's country learning efforts had broader applications. All four countries have learned from one another. Mozambique, for example, indicated that: "*We have learned the importance of including indigenous climate information in the scientific information from the Kenyan experience which has positively enriched the FFS approach in the country. The information is being taken up by the MICOA, which is committed to start 1,240 FFSs, some of which are utilizing climate information.*"<sup>7</sup> Also, some very productive cross country learning involved ALP Kenya's learning from ALP-Ghana's experience with community adaptation monitors. In addition to in-country and cross-country learning, program-wide ALP activities captured and facilitated multi-country learning and shared experiences, while also going beyond to

---

<sup>6</sup> **Output 3 indicator** is "the number of reflection and learning meetings held (at the program level; both internally and with stakeholders) which propose improvements to ALP CBA models"; **Output 5 indicator** is "CBA (is) promoted to governments and NGOs in the (target) countries and across Africa to encourage its

<sup>7</sup> Evaluation interview with Key Respondent in Mozambique



support 'wider than ALP' learning activities to share significant ALP lessons and experiences with wider circulation and promote the use/application of CBA in non-ALP countries.

5. ALP attempted, throughout the whole of its operations, to stress innovation, adoption, scaling-up, institutional decisions and changes and the application of CBA to specific contexts, to the required scale, by continual planning and application/integration of learning across the ALP program. The learning that ALP pursued was linked to the goal and purpose level of the program with the learning approach designed around the program's outputs in order to support project **outcomes** in terms of "practice, policy and finance".

Specifically, the evaluators observed that ALP pursued learning in the following areas.

- i. **Learning about CBA at the community level** focused on learning about the practice of CBA at the local level in all ALP countries, including learning about enablers and barriers to practicing CBA in each context; ALP has focused on assisting communities and people where there are supportive government structures to understand what it takes to build adaptive capacity. However where government structures were not particularly supportive, as was the case in Mozambique, the learning was less emphasized, and in this case a real learning opportunity appears to have been missed – to learn from 'failure'. A key element of learning about CBA at the local level was learning about how to build adaptation into local governance planning and budgeting processes, and ways to ensure that adaptation is implemented and effective at the local level. However ALP might pursue more rigorous means to measure adaptive capacity requirements related to meeting adaptation demand on a larger scale.
- ii. **Learning about effective ways to carry out national advocacy** focused on effective advocacy strategies to upscale CBA into national policy, with different strategies pursued in each country depending on the national context, with significant success in Ghana building CBA into the National Development Planning framework, and the expectations and monitoring systems of the Ministry of Finance; with significant effect in Kenya building new county-level systems to provide climate information and seasonal advice (advisories) to rural/farming communities; with important effect in Niger hosting annual learning events related to GEF-UNDP projects originally proposed in Niger's NAPA and influencing one of the projects in the PPCR<sup>8</sup> portfolio which drew on ALP's CBA experience; with advocacy in Mozambique to support the Mozambique national preparedness for participation in international forums and negotiations, which included strengthening Mozambique's own policy positions on domestic adaptation issues. There is evidence across all ALP target countries that learning about the practice of CBA at the local level and the pilots supporting the integration of CBA into local governance planning and budgeting helped to generate demand to upscale CBA into national policy. This growth in demand through advocacy relied on the success of CBA work at the community level and was evident most in Ghana, Kenya and Niger. The local level CBA work was weaker in Mozambique but nonetheless encouraged MICOA to implement CBA initiatives in a number of other districts.
- iii. **Learning about advocacy and monitoring** so that CBA moves "from national policy to national/local practice" with appropriate levels of financial support, and ensuring that CBA is integrated into national policies with finances available to support adaptation strategies and plans; a key concern of ALP has been to ensure

---

<sup>8</sup> The PPCR is the adaptation-focused component of the Climate Investment Funds (CIF) being executed by the World Bank and the AfDB.



adaptation finance reaches communities that are widely-regarded as the most vulnerable.

- iv. There is strong evidence in Ghana and Kenya that national policies and strategies have embraced adaptation models, largely from the evidentiary reporting on the success of the models and on the national level advocacy for policy and strategy change based on ALP pilot projects. There is some evidence that the scale-up and integration of adaptation into national policy and programs resulted in the loss of key elements of ALP's CBA approach - community input, participation and empowerment. This loss might have been anticipated or expected as adaptation initiatives become bureaucratized. The scope of this evaluation did not include an evaluation of the work undertaken by national governments following the adoption of new climate-change adaptation policies. ALP, though, is in a good position to assist with, and advocate for, rigorous evaluation frameworks for those policies and programs in order to measure the extent to which the integrity of CBA approaches have been maintained in the new government policies and programs, and to measure the effectiveness of what was put in place by governments, using the CARE-ALP pilots as comparators.
- v. **Learning about "learning forums" and "effective learning-oriented communications"** focused on a wide range of learner-centred processes and formats that are well documented and focused on learning how to strengthen adaptive capacity in addition to the implementation of adaptation measures, i.e., meeting immediate adaptation needs; similarly ALP has been learning from others, often through collaboration to combine efforts to address knowledge gaps, although more work needs to be done, working collaboratively with a respected research entity to gather data on the economic impacts of PSP and presenting results in a way that has a high potential to influence decision-makers.
- vi. **Learning about design and delivery of Climate Information Services (CIS)** through the design and delivery of Participatory Scenario Planning (PSPs); PSPs use seasonal forecasts and combine knowledge sources – both community knowledge and scientific knowledge - to collectively interpret the meaning of seasonal forecasts; PSPs create advisories for rural communities that foster an understanding of uncertainty, and probability (likelihood). PSPs focus on a system for participatory 'learning by doing' that involves multi-level, multi-sector, multi-stakeholder (inclusive) collaboration, focused on preparing climate information that is most useful at the local level. PSPs facilitate learning that allows CBA to have a high level of meaning for a large proportion of participants and includes the engagement of meteorological services in all four ALP countries.
- vii. **Learning about gender and CBA** focused on gender dimensions of CBA practice, gender relationships in building adaptive capacity, gender issues in climate adaptation policy, and gender integration in climate change initiatives; ALP worked collaboratively with CCAFS and effectively used its methodology – tested in Ghana and Niger - to inform the development of a toolkit that provides gender-sensitive and socially-inclusive participatory action research tools for climate research and program development.

## 6. Analysis of Accountability Results

From the findings on accountability in sections 5a and 5b above we observe a high degree of achievement towards the purpose and goal level indicator targets. This conclusion is qualified in noting a varied degree of robustness in the evidence for these achievements, for example with respect to achieving gender outcomes, or whether the evidence for Purpose Indicator 2 (number of climate-vulnerable individuals benefiting



from adoption of CBA approaches and strategies promoted by ALP) attests to individuals benefitting from strengthened adaptive capacity or simply benefitting from a conventional development output (e.g. healthier chickens).

Building on these findings we endeavour to analyze the higher-level results of ALP as to the degree that they provide unmitigated or mitigated proof that ALP's theory of change is sufficiently sound that it provides a compelling incentive for financiers, policy makers and CBA practitioners to adopt ALP approaches in their own efforts to address climate adaptation needs.

ALP's Theory of Change is two-fold in that,

*Community-based adaptation to climate change is successful if the four elements of the CBA framework are addressed together and in ways that are informed by knowledge of climate change projections, risks and uncertainties; and*

*"Successful CBA is up-scaled through learning from successes."*

The four elements of the CBA framework are:

- climate-resilient livelihoods;
- DRR;
- local adaptive and organizational capacity;
- addressing underlying causes of vulnerability and policy environment.

In other words, the project set out to learn how to effectively operationalize the theoretical CBA framework, how to build the evidence that it works, and to use this evidence to up-scale through convincing financiers, policy-makers and practitioners that this was a best way to ensure climate adaptation among vulnerable populations.

Where our analysis concludes that this proof is in fact mitigated, we then look at whether or not this is due to a weakness in the project logic (i.e. the logframe), a weakness in project performance, or due to unanticipated externalities.

The evaluation analysis is structured on the DAC criteria of relevance, effectiveness, efficiency, impact and sustainability.

### ***a. Relevance***

Relevance is considered the extent to which the program is suited to the priorities and policies of the target group (beneficiaries), national governments, the recipient and/or the donor. For the purposes of this evaluation, given the TORs and proposed evaluation questions, we focus here on the relevance of ALP activities on beneficiaries, the extent to which program objectives are still valid and responsive to their needs and priorities.

At the time when ALP was being developed, a number of global studies were underway to cost out both climate change impacts and adaptation. In particular, major international finance institutions were just starting to commission economic studies to inform global efforts to develop adaptation financing mechanisms. In 2009, the World Bank's Economics of Adaptation to Climate Change Study calculated a cost of US\$100 billion per annum for developing countries to adapt to climate change. This figure was later adopted as a target in the Copenhagen Accord and became the basis for governments' contributions to fast start the financing of commitments and investments to reach this target by the year 2020. With general consensus on the cost of adaptation, the debate turned to how resources should be distributed and what types of interventions could deliver the most expedient and effective action on adaptation. NGOs in particular were concerned with climate justice – the idea that those who have contributed least to the problem would suffer most from its effects. As a result, the playground was ripe for evidence-based adaptation programming and a number of initiatives took off including in the areas of community-based, ecosystem-based, and rights-based approaches to adaptation. The timeliness of ALP was highly relevant to the





global discourse on adaptation and was well positioned to be a pioneer contributor in the area of CBA.

Today, there is strong evidence that the objectives of ALP are still highly valid. This is evidenced both by the external environment – the continuously growing number of national and international NGO's and CSO's programming in this space since ALP began – as well as the ongoing needs of communities to continue to respond and adapt to climate shocks and hazards.

Since the beginning of ALP, ALP communities have continued to face increasing climate shocks and extreme weather events. In Niger, for example, three food crises events as a result of severe drought and extreme temperatures were experienced in 2010, 2011 and 2014. In Kenya, flooding and drought conditions have continued while frequency and severity of cyclones in Mozambique continue. Given the long-time scale for climate change impacts to manifest themselves, it is anticipated that the objectives of ALP will be relevant and valid for years to come.

Externally, there continues to be a significant amount of interest in adaptation financing and planning as evidenced by the ever-growing number of initiatives in this space. During ALP's early days, a number of tools, frameworks, and knowledge sharing platforms were emerging to support conceptualization, assessment, collaboration and sharing of ideas on CBA.<sup>9</sup> At the same time, the Dhaka-born International Conference on CBA was gaining popularity and as a result of demand, hosted its first event outside of Bangladesh in 2010.<sup>10</sup> Other organizations interested in CBA approaches included ChristianAid, IIED, TearFund and UNDP, amongst other. Since these early days, the adaptation discourse has evolved into a broader, more complex conversation about resilience and resilient development – bringing into question the relationship between climate change adaptation and resilience. After a number of years of debate and discussion, the consensus has emerged that the ability to absorb and rebound from shocks caused by climate variability and change is a critical element of the resilience of a system.<sup>11</sup> With the growth of resilience literature and programs, interest in adaptation (including CBA) and DRR continued to mushroom. It is difficult to assess the number of CBA-related initiatives ongoing today, but the growth is most assuredly indicative of ALP's relevance today.

A second element of relevance is responsiveness to the current and ongoing needs of beneficiaries. To this effect, there is strong evidence that the unique CBA activities undertaken in each ALP community were in direct response to the needs and priorities of the community. In all four countries, adaptation strategies and priorities were identified by each community, using participatory methods, as part of the CBA planning process. Adaptation strategies were refined with ALP's support to better distinguish between short-term coping mechanisms that community members are more often familiar with, and more sustainable, forward-looking adaptation strategies. Adaptation strategies were further refined to ensure differential vulnerabilities and gender dimensions would be sufficiently addressed by the proposed actions.

### ***b. Effectiveness***

Assessing the effectiveness of a program is a measure of how well the program achieved what it set out to do. In other words, did the program meet its intended goals and objectives? In the context of ALP, the evaluation team has defined effectiveness as the

---

<sup>9</sup> weAdapt, CBA Exchange, the Africa Climate Change Resilience Alliance (ACCRA), UNDP's Adaptation Learning Mechanism (ALM)

<sup>10</sup> The 4<sup>th</sup> International Conference on CBA was hosted in Dar Es Salaam, Tanzania in February, 2010.

<sup>11</sup> <http://www.seachangecop.org/node/2695>



extent to which the intended goal (or impact) of the program was met, as articulated in the logframe:

The capacity of vulnerable households in sub-Saharan Africa to adapt to climate variability and change increased.

Measuring changes in adaptive capacity is an ongoing challenge for adaptation practitioners and decision-makers alike. Unlike mitigation, there is no single, universally accepted metric for adaptation (or adaptive capacity for that matter).<sup>12</sup> It is generally agreed (as it has been within ALP) that adaptation to climate change is a complex, multi-disciplinary and multi-variant process that cuts across scales from the individual to the global level. As such, most generally accepted indicators of adaptation and adaptive capacity are process indicators that attempt to characterize the enabling environment thought to be conducive for adaptation to occur. In general, this characterization includes ensuring that climate information (both historical and future) is recorded, available, accessible, and applied; that adaptation actions/measures are sufficiently resourced; and that, in general, there is evidence of strengthened stakeholder capacity to understand and plan for climate change while mitigating climate risks.<sup>13</sup> However, the field of adaptation is still relatively new as compared to the long-time scales associated with climate change. As such the evidence-base to support questions around 'what does successful adaptation look like' and 'how do we get there' is still limited.<sup>14</sup> Despite the complexity of these questions, there is still significant interest in measuring adaptation outcomes and effectiveness.<sup>15</sup>

The operationalization of major global climate finance instruments like the CIF (2008) and the AF (2009) translated to a significant interest in monitoring and evaluation for adaptation. However, the challenges of monitoring adaptation outcomes and effectiveness quickly became apparent. Incompatible time scales between projects, climate-change impacts, and adaptation, along with moving targets (e.g. what does adaptation actually look like?), context-specificity, uncertainty, attribution, and "shifting baselines"<sup>16</sup> all pose significant challenges to adaptation M&E. With a lack of evidence of

---

<sup>12</sup> Although efforts have been made to quantify adaptation benefits in terms of saved health and save wealth (see: GIZ, 2014. Saved health, saved wealth: an approach to quantifying the benefits of climate change adaptation. Available online: [https://gc21.giz.de/ibt/var/app/wp342deP/1443/wp-content/uploads/filebase/me/me-guides-manuals-reports/fact\\_SHSW\\_EN\\_140217.pdf](https://gc21.giz.de/ibt/var/app/wp342deP/1443/wp-content/uploads/filebase/me/me-guides-manuals-reports/fact_SHSW_EN_140217.pdf). A practical application of the methodology has been completed in Vietnam – see [https://gc21.giz.de/ibt/var/app/wp342deP/1443/wp-content/uploads/filebase/me/me-guides-manuals-reports/giz\\_2013\\_Saved\\_health\\_saved\\_wealth\\_-\\_an\\_approach\\_to\\_quantifying\\_the\\_benefits\\_of\\_climate\\_change\\_adaptation.pdf](https://gc21.giz.de/ibt/var/app/wp342deP/1443/wp-content/uploads/filebase/me/me-guides-manuals-reports/giz_2013_Saved_health_saved_wealth_-_an_approach_to_quantifying_the_benefits_of_climate_change_adaptation.pdf).

<sup>13</sup> See results frameworks from PPCR, AF, GCF and UKAID's International Climate Fund.

<sup>14</sup> IPCC, 2014: Summary for policymakers. In: Climate Change 2014: Impacts, Adaptation, and Vulnerability. Part A: Global and Sectoral Aspects. Contribution of Working Group II to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change [Field, C.B., V.R. Barros, D.J. Dokken, K.J. Mach, M.D. Mastrandrea, T.E. Bilir, M. Chatterjee, K.L. Ebi, Y.O. Estrada, R.C. Genova, B. Girma, E.S. Kissel, A.N. Levy, S. MacCracken, P.R. Mastrandrea, and L.L.White (eds.)]. Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA, pp. 1-32.

<sup>15</sup> See Dinshaw, A. *et al.* (2014), "Monitoring and Evaluation of Climate Change Adaptation: Methodological Approaches", *OECD Environment Working Papers*, No. 74, OECD Publishing. <http://dx.doi.org/10.1787/5jxrclr0ntjd-en>. See also, Leagnar, P. and D. Bours, 2014. Good practice study on principles for indicator development, selection and use in climate change adaptation M&E. Draft version 03<sup>rd</sup> November, 2014. And: Bours, D., McGinn, C. and Pringle, P. 2014. Monitoring & evaluation for climate change adaptation and resilience: A synthesis of tools, frameworks and approaches, 2nd edition. SEA Change CoP, Phnom Penh and UKCIP, Oxford.

<sup>16</sup>By definition, adaptation must take place against shifting climatic baselines. This presents a confounding factor in the evaluation of adaptation effectiveness as increasing intensity, severity and frequency of extreme climate events might mask the success of adaptation measures put in place. That is, without the adaptation measures in place, loss and damage may have been greater. For a



what constitutes adaptation and how it happens, the global community was in need of learning-centred programs like ALP to contribute experience in addressing some of these challenges. ALP was a timely initiative to contribute to this emerging dialogue and, with an adaptive management type approach proposed at the outset, was set to contribute significantly.

However, systematic tracking of changes in vulnerability or adaptive capacity of vulnerable households participating in ALP was limited by the logframe and the selected impact level indicators – particularly G1. Historically, and in response to the many challenges of monitoring adaptation, tracking the number of people benefitting from adaptation investments was generally accepted as a proxy for vulnerability reduction – the assumption being that people participating in adaptation programs will have access to the knowledge, assets and other resources (both ‘hard’ and ‘soft’) required to strengthen their adaptive capacity. It has been used by DFID’s International Climate Fund (ICF) as well as the AF and the CIF’s PPCR, amongst others. However this indicator has not come without its sceptics who argue both the output nature of the indicator (as opposed to impact) and the underlying assumptions that investment builds capacity (or reduces vulnerability) equitably across all beneficiaries. In fact, in the Initial Results Management Framework for the Green Climate Fund, this indicator no longer appears as a core indicator, let alone as part of the main results framework – indicative of its diminishing popularity<sup>17</sup>.

Over the years, the ALP Team went to considerable effort to track the number of beneficiaries – including primary, secondary and tertiary beneficiaries. Guidance notes provided definitions and calculation methods to ensure consistency and comparability across both time and space. Furthermore, the PCT’s M&E Advisor has remained with the program since 2010 reassuring the evaluators that data on this indicator has been collected systematically and consistently.

However, as in other uses of this indicator, it is not sufficient to capture changes in adaptive capacity at the household-level. Given the growing interest in this area over the years, ALP did not capitalize on either its unique position to contribute to this space (e.g. as a learning program), nor the advancements of others.<sup>18</sup> **Improved use of either the CVCA or the LAC Framework for outcome monitoring of changes in vulnerability (CVCA) or adaptive capacity (LAC Framework)** – as was the approach adopted for the impact assessment of CBA in Ghana<sup>19</sup> – **could have presented some valuable impact-level insights** (beyond Ghana and across country programs) and are perceived by the evaluators as a missed opportunity of the program<sup>20</sup> (see recommendation 7).

---

detailed discussion on shifting baselines and questions of attribution, see Brooks, et al. 2011. Tracking Adaptation and Measuring Development (TAMD). International Institute for Environment and Development (IIED) Working Paper No. 1: November 2011.

<sup>17</sup> Green Climate Fund, 2014. Initial Results Management Framework of the Fund. GCF/B.07/04, 07th May 2014. The equivalent indicator appears outside the main results framework as an ‘Additional tracking measure’.

<sup>18</sup> Participatory scorecards for example as used by the PPCR, or advancements made under the Tracking Adaptation and Measuring Development (TAMD) initiative of the International Institute for Environment and Development (IIED).

<sup>19</sup> Fenton, A., 2014, Assessing the impact of Community-based Adaptation in Building Resilient Livelihoods in Ghana.

<sup>20</sup>

type of analysis, however it would appear to have been a one-off activity with limited follow-up. Relevant pathways of inquiry following this type of analysis could have been: (1) what does this mean for the way we use CBA to build household-level adaptive capacity? Or (2) how can we optimize improvements in household-level adaptive capacity by combining and complementing models? A similar exercise of mapping CBA models to the CBA framework may have also been more relevant and could have provided deeper insights into how CBA models promote, support, or neglect each of



Similar to conclusions made about ALP's gender indicator and the advantages of a more qualitative, narrative analysis of changes in gender dynamics<sup>21</sup>, changes in adaptive capacity is another example where such a narrative analysis may have been more meaningful than the quantification of direct and indirect beneficiaries. See Box XX below for an analysis of ALP's programmatic effectiveness in building adaptive capacity using the LAC Framework.

Despite the above limitation to measuring adaptive capacity imposed by the logframe, and the under-utilization of ALP frameworks as outcome monitoring tools, the ALP M&E system was able to track and document strong quantitative and qualitative data on program results across all 4 countries, including the real differences experienced by direct beneficiaries as a result of ALP. Testimonial evidence of increased resilience to flooding and drought in Garissa (Kenya), 'waye kaye' in Niger (women expressing an awakening of the mind, awareness and knowledge attributable to ALP), improved community mobilization and reported improvements in access to a 'basket of collaborators' across all four countries are only a few examples of how ALP contributed positively to changes in knowledge, attitudes, and practices, empowerment of women, and access to institutions. They provide an indicative glimpse of how these achievements may contribute to building adaptive capacity based on the five components of adaptive capacity outlined in the LAC Framework. However, without a systematic analysis, or impact evaluation of adaptive capacity using this framework, it is difficult to say how the full package of ALP results and achievements combine to say anything about adaptive capacity at the household-level. See Box 1 for a more detailed analysis.

**Box 1: Increasing adaptive capacity of vulnerable households: A look at ALP's impact using the LAC Framework for adaptive capacity.**

The LAC Framework outlines five key characteristics of adaptive capacity: (i) the asset base; (ii) knowledge and information; (iii) institutions and entitlements; (iv) flexible, forward-thinking decision-making and governance; and (v) innovation<sup>22</sup>. Using this framework as an evaluative framework to assess how ALP activities have contributed (or not) to building local adaptive capacity – as was the approach to the impact assessment of CBA in Ghana - there is strong evidence to suggest that ALP has indeed contributed to building adaptive capacity, albeit the contribution in some areas may be stronger than in others.

ALP's contribution to (i), (ii) and (iii) are perhaps the most obvious with reported improvements in access to seed, post-harvest storage facilities, and financial resources, as well as access to training, extension support, new agricultural knowledge and climate information. Repeated accounts of the increased 'basket of collaborators' that ALP has introduced to communities suggests that beneficiaries are now confident in the institutions available to support and assist them – including local CBOs and NGOs, researchers and academic institutions, and local government agencies. Furthermore community adaptation action plans provide accountability between communities and their local representatives and a transparent and documented means to advocate for their interests within local assemblies.

Evidence of flexible and forward thinking decision-making is at the heart of the PSP process (at least on a seasonal scale) while CAAPs and the CBA planning process are

the 'pet  
of CBA

<sup>21</sup> See Gender Analysis and Community-based Adaptation in Niger, Final Report by Marthe Diarra Doka and Marie Monimart, July 2014. pp. 54-55.

<sup>22</sup> Ludi, E., Wiggins, S., Jones, L., Lofthouse, J. and S. Levine. 2014. Adapting development: How wider development interventions can support adaptive capacity at the community-level. In: Community-based Adaptation to Climate Change: Scaling it up. Eds: L. Schipper, J. Ayers, H. Reid, S. Huq and A. Rahman.



forward-looking by nature (although currently limited in flexibility). Improved awareness of climate risk beyond the seasonal scale could better support local government to understand potential risks to investments and assets over the longer-term, helping to prioritize community needs (from CAAPs) into local and district development plans in a manner that can optimize climate-resilient development gains. ALP's involvement and contribution to national-level climate change policies and adaptation planning through civil society platforms is also indicative of ALP's efforts to promote and foster forward-thinking planning processes.

Innovation is the area where more work and deeper analysis is most required to ascertain ALP's influence on beneficiaries' capacity to innovate in sustainable ways. While VSLA's have been credited with fostering livelihood diversification (through improved access to financial services)<sup>23</sup>, Farmer Field Schools and demonstration plots introduced ALP communities to the idea of experimentation and trying new seed varieties or practices. However, in the case of the latter, these activities also provided the safety net of a program accountable to international donors should such practices fail. In the absence of this safety net, many rural and vulnerable households would be unable to accept such risks. This is a common barrier to development activities in general. Other barriers to experimentation may include cultural barriers or lack of confidence.<sup>24</sup> The evaluators impressions from brief interactions with ALP communities suggests that beneficiaries do not yet have the capacity nor inclination for local innovation much beyond micro-enterprise, mostly in the form of petty trading. However, innovation and barriers to innovation are deeply complex and to date not well understood. More detailed analysis would be required to comment on ALP's true contribution to local innovation.

### ***Gender and differential vulnerability***

*One of the key things underpinning our CBA approach is the analysis of differential vulnerability within communities, based on gender, marginalization, and inequalities in access to and control over resources. Addressing the underlying causes of vulnerability is a fundamental component of our framework for CBA*

Adaptation Learning Program for Africa (ALP), Proposal Document, Dec. 2009 (p. 6)

Despite some eventual and commendable gender achievements on ALP (described in Section 5a), gender results were slow to get off the ground with gender tools and guidance developed late and proving overly complex. Critical to this observation was the lack of more permanent gender resource persons to support understanding and awareness of the relationship between gender and climate change; cumbersome guidance and analytical tools that proved challenging for COs to implement; and lack of a comprehensive gender (or differential vulnerability) strategy from the outset. Despite these challenges to CO implementation of ALP activities, as a learning programme, experiences and lessons learned from ALP were used to inform some of CARE's broader advocacy and communication work in the area of climate change and gender.

In 2009, when ALP was designed, the relationship between gender, climate change and differential vulnerability was not yet well understood. The 'newness' of the gender and climate change discourse combined with the limited time for ALP's gender advisor<sup>25</sup>, and a lack of gender-based positions at the country level, meant that COs may not have had access to sufficient support to navigate this complex topic. Although ALP CO staff were

---

<sup>23</sup>Fenton, A. 2014.

<sup>24</sup> Ibid.

<sup>25</sup>



encouraged to consult CARE's in-country gender advisors, there is no evidence to suggest these staff were familiar with the evolving nexus between gender and climate change. By the end of the first year of implementation of ALP, it was noted that, "*ALP teams have had difficulty in fully understanding differential vulnerability and supporting women's participation and capacity development, partly due to the toolkit and CBA methods generally not having explicit methods to do this.*"<sup>26</sup>

With the CVCA at the heart of ALP's approach, it is the key entry point for the analysis of vulnerability, and differential vulnerability, within a community. However, the CVCA Handbook does not provide detailed guidance on how to analyse the data – including data concerning the drivers of gender and differential vulnerability.<sup>27</sup> As a result, gender considerations in the CVCA process are limited to the gender disaggregation of hazards, impacts, coping and adaptation strategies.<sup>28</sup> Despite a number of supporting resources developed<sup>29</sup>, learning events hosted<sup>30</sup>, and subsequent separate gender analyses performed in each country to better understand drivers of gender inequality as it relates to climate risks, the existing tools proved "*complex and cumbersome*"<sup>31</sup> and COs struggled to move from "*gender disaggregation to gender equality*".<sup>32</sup> These challenges may have been exacerbated by the lack of dedicated gender resource persons available to the ALP team, or the 'newness' of the gender and climate change thematic topic to in-country CARE gender advisors.

In 2012, the MTR concluded that still stronger gender skills, analysis tools and resource persons were required if transformative gender results were to be achieved. A commendable response was the development of an ambitious gender-specific indicator to better track shifts in gender dynamics and gender-equitable implementation and benefits of adaptation. However, the indicator has proven challenging for countries to track, with only qualitative and testimonial evidence of such shifts. In 2014, the independently commissioned Niger gender analysis proposed a simplified analysis framework (as compared to that employed earlier by ALP<sup>33</sup>) but it is unclear as yet **how, and if, such a streamlined framework can better support, or has supported, better tracking of the gender indicator. This option should be explored further** (see recommendation 8). Alternative means of 'quantifying' the qualitative observations emerging from ALP might be the use of gender scorecards in future.

In the absence of more permanent gender resource persons, **ALP could have benefited from a gender and diversity strategy to better systematize the integration of gender throughout ALP** (see recommendation #12). Three key objectives that could have been served by such a strategy could have been:

- *What is meant by differential vulnerability and where will ALP focus?* Although some may argue that differential vulnerability is grounded in gender

---

<sup>26</sup> ALP Annual Meeting Report, 2011 (p. 34)

<sup>27</sup> This is noted in the 2010 Annual Meeting Report based on experiences from Niger and Ghana – the first 2 countries to complete their CVCA.

<sup>28</sup> CVCA Data Cleaning process in Ghana in 2011; Niger CAPAs revised to identify adaptation strategies of women through Feasibility Analysis and Strategies Gender Analysis

<sup>29</sup> Including two guidance notes on "Integrating gender equality and women's empowerment in community-based adaptation to climate change" (2010), and a methodological guideline and field guide for completing a gender analysis (no date)

<sup>30</sup> A gender and climate change workshop hosted in 2011.

<sup>31</sup> Doka, M.D. and M. Monimart, 2014. Gender analysis and community based adaptation in Niger. Final report / Phases 1, 2 and 3, July 2014

<sup>32</sup> 2011 ALP Annual Meeting Report

<sup>33</sup> See ALP's Gender Analysis Methodological Guideline and supporting Field Guide



inequalities<sup>34</sup>, a number of other contributing factors exist (see Coirolo and Rahman, 2014). Although there is some evidence that ALP considered some of these other contributing factors (e.g. wealth, age and marital status), ALP's consideration of differential vulnerability was limited mainly to differential vulnerability as a gender construct. A gender and diversity strategy could have helped clarify or elaborate this focus;

*Clarification of ALP CO staff roles and responsibilities as they relate to gender integration;*

- ▭ *Identification of ALP tools and resources available to COs to support meeting gender objectives:* As the key entry point for analyzing community vulnerability to climate hazards, a strategic analysis of gender and existing ALP tools (namely CVCA), may have helped better streamline ALP tools and approaches that support similar objectives. The strength of the GCVCA piloted in Mozambique for example may have been realized earlier had a gender and diversity strategy for ALP tried to reconcile the CVCA process with the gender analysis tools and guidance later developed.

On the whole however, it must be noted that gender results under ALP are impressive given their slow start. Perhaps one of the strongest gender results has been recorded in Niger where women have reported '*waye kaye*' or an awakening of the mind as a result of ALP – leading to stronger participation of women in activities, meetings and management structures. In general in Niger, ALP was perceived as a "women's project" with activities specifically targeting women's economic empowerment and sense of free agency. This is particularly impressive given the strongly-cemented barriers to women's empowerment in Niger. Testimonial evidence from women in Mozambique, Ghana and Kenya further substantiate improved participation of women in decision-making at both the household and community-levels, and strengthened economic independence through access to land (Ghana) and financial capital (all countries through savings and loans mechanisms).

In addition, it should be recognized that although CO teams may not have had the direct mentoring, training, and/or support necessary from a more permanent gender advisor, the split role of this position did result in a unique sharing and cross-fertilization of learning between ALP and CARE activities. For example, it was noted that experiences and lessons learned from ALP were used to inform CARE country office work in Zimbabwe and Mozambique, as well as a set of CBA pilot projects in the Asia Pacific region (coordinated by CARE Australia). Similarly, ALP's collaboration with CCAFS on the gender and inclusion toolbox is a commendable attempt to consolidate ALP's experiences and achievements while refining participatory action research tools (like CVCA) used in ALP. In turn, through this split role, ALP was able to benefit more closely from some of CARE's organizational learning – through the CARE International Gender Network (CIGN) for example.

We conclude that although both CARE and ALP did well to maximize opportunities for sharing, learning, advocacy and external communications on gender and climate change at the PCT and the CARE organizational-level, the time available for direct in-country support and engagement and/or capacity building of ALP's country office staff was limited.

### ***c. Efficiency***

This criterion addresses the cost efficiency of project implementation and the value for money of implementing CBA. We assessed ALP's performance based on these three factors:

---

<sup>34</sup> Doka, M.D. and M. Monimart, 2014. Gender Analysis and Community-based Adaptation in Niger. Final Report, Phases 1, 2 and 3, July 2014.



- i. the degree to which program results were achieved on time and on budget;
- ii. the degree to which program management and delivery has leveraged networks and alignment with other institutions to extend reach;
- iii. the pursuit and promotion of credible information on the relative costs and benefits of CBA.

Findings and analysis below come from a review of documents provided by CARE and, to a less extent, from key informant interviews undertaken by the evaluation team.

Despite some variance between planned and actual expenses and activities (including a six month no-cost extension), the program overall was cost-efficient in its implementation. ALP's networked structure kept administrative costs down and their use of networks granted access to inexpensive vehicles to multiply their reach. ALP documented implementation delays hampering efficient program delivery and leveraging of experiences across the four countries but insufficient evidence exists to assess the relative merits of remedial options considered, from an efficiency perspective. Evidence of the economic merit of CBA as an option to build local resilience to climate change is now available due to ALP; advocacy organizations are referencing it with, as yet, unknown effects.

With a program value was \$13.5 million over five years and implementation in four countries, ALP management has made effective use of funds through its networked structure.<sup>35</sup> ALP's structure includes centralized financial reporting in CARE Denmark, a PCT in Nairobi, covering technical services such as knowledge management, four ALP country teams in Ghana, Kenya, Mozambique and Niger, several community-based organizations as implementation partners, government agencies as technical partners and collaborators like CCAFS and ENDA, with a shared goal of adaptation learning. This networked structure has kept administrative costs at 7%, which, according to DFID, "falls within the standard and acceptable ratio of administration costs to program costs."<sup>36</sup>

Delays in implementation and disbursement have occurred during the program and ALP has obtained a six month no-cost extension to consolidate cross-program learning and complete final reporting.<sup>37</sup> Recruitment delays at start up across the board, staff turnover and downsizing are among the reasons for variances in delivering activities according to plan, especially in Mozambique.<sup>38</sup> The rate of implementation relative to plan has varied; however, at times, Kenya, Niger and Ghana exceeded expectations in delivering on activities against planned timelines. The program experienced delays in putting in place systems, strategies and competencies (the ALP M&E system, late recruitment of a Learning, Gender and Governance advisor, weak performance of consultants and contracted implementation partners, design of learning and communication strategies) fundamental to meeting engagement and learning goals.<sup>39</sup> Early on, ALP recognized language barriers across countries, limited internet connectivity outside of large cities or national CARE offices (at least around 2010, 2011), and the expense and difficulties of travelling (to Niger especially) as barriers to cross-country sharing. The ALP Annual Report 2013 acknowledged that country offices were becoming specialized and recognized for their expertise on CBA in each country but that more could be done to leverage these capabilities and expertise across the program. The

---

<sup>35</sup> LTS International (2015). Evaluation of Denmark's Climate Change Funding to Developing Countries, Draft Final Report, April 3, 2015

<sup>36</sup> DFID CARE ALP Annual Review 2014

<sup>37</sup> DFID CARE ALP Annual Review 2014

<sup>38</sup> ALP Annual Report January – December 2010; ALP Impact Report Mozambique 2014

<sup>39</sup> ALP Annual Report 2010. With regard to inefficient use of contractors, the management response to the ALP Mid Term Review 2012 suggests that improved coordination between country offices and the program coordination team in deciding on and supervising contracts for short-term outputs was the solution adopted to address this inefficiency.





program held annual meetings for the specific purpose of reflecting on and sharing lessons. Reports from country offices on learning across ALP countries and related benefits are few (e.g. Kenya learning from Ghana about community monitors, Mozambique learning from Kenya on integration of indigenous and scientific knowledge), although this could have been a function of the reporting templates provided to them to use. What was apparent was the value ALP derived from learning on CBA across four countries for regional and international advocacy initiatives.

By design, ALP employed efficiencies in program delivery; it was effective using networks to extend its reach and made an effort to resource program-related activities by seeking institutional alignment. ALP's use of CSO and other advocacy networks, as well as their efforts to integrate CBA into policy and planning, are covered elsewhere. However, it is worth noting specific examples here:

- ALP's work with the Arid Lands Information Network (ALIN) to publish a *Joto Afrika* special issue that captured lessons from ALP in Ghana, Niger and Kenya on integrating adaptation in local government planning. Its release coincided with CBA8, achieving wide dissemination as a result. Further, by choosing to publish ALP's work through ALIN's *Joto Afrika* issues, ALP has reached a much wider practitioner audience than through CARE channels alone. Six issues of *Joto Afrika* are products of the ALP ALIN collaboration.
- In Kenya, ALP partnered with the KMS to promote the use of seasonal climate forecasts by farmers, pastoralists and others via announcements in the radio program "*Mali Shambani*". This radio program's listening audience is wide (7 million people).
- Instead of providing seed funding for adaptation actions identified through local adaptation plans, ALP's approach was to link community priorities with existing funding streams, such as local development budgets, micro-finance, community savings and loans or labour sharing-initiatives. Instances where this occurred include the VSLA in Ghana, GSL in Kenya, and linking to the Provincial Livestock office in Nampula, Mozambique, to negotiate reduced costs for chicken vaccinations.

ALP has made some effort to demonstrate the economic benefits of CBA as an approach to building capacity to adapt and foster resilience to climate change. ALP commissioned the New Economics Foundation (NEF) to undertake social cost benefit analyses of CBA with ALP communities in Kenya and Niger as study objects. Results of these studies suggest a positive benefit-cost ratio across all scenarios. Results in Kenya show that investing \$1 in CBA results in \$1.45 to \$3.03 of social, economic and environmental benefits to the community.<sup>40</sup> Results in Niger show that investing £1 in CBA results in £4.19 to £6.6 of community benefits.<sup>41</sup> Further, NEF's study pointed to the value of designing interventions meeting both DRR and longer-term adaptation objectives. "Returns on investment to community-based adaptation appear higher than returns on investment to interventions that focus on DRR only."<sup>42</sup> According to ALP's 2013 influence and adoption survey, the perceived costs of building local resilience are among the challenges in moving community-based adaptation forward. Therefore, the economic research commissioned by ALP addressed a clear evidence gap. Development organizations, advocacy and knowledge networks are referencing this work.<sup>43</sup> However, the salience and credibility of these results among decision-makers in Ministries of Finance and global climate finance circles (outside of the UK) is yet unclear.

---

<sup>40</sup> DFID CARE ALP Annual Review 2014

<sup>41</sup> NEF, *Managing Uncertainty*

<sup>42</sup> NEF, *Managing Uncertainty*

<sup>43</sup> Based on a Google search using keywords like managing uncertainty, NEF, costs, community based adaptation, the following organizations have referenced the work: CARE, ALIN, CELEP, Social Impact Analysts Association, CDKN and SEA Change community of practice.



#### ***d. Impact***

While effectiveness is a measure of how well a program meets its intended objectives, impact is a measure of the actual changes brought about by the program – directly or indirectly, intended or unintended. To assess ALP’s impact, we look at what has verifiably changed in the lives of beneficiaries as a result of ALP and do these changes amount to strengthened adaptive capacity?

In order to answer this question, we use ALP’s theory of change and the achievements realized under four of the five subsequent domains of change.<sup>44</sup> ALP’s theory of change is based on its CBA framework. The underlying assumption of the CBA framework is that adaptive capacity of vulnerable households can be built when all four petals of the CBA framework are considered and informed by climate information.<sup>45</sup> The result, or the success of undertaking the various CBA strategies articulated in the petal diagram, should be evidenced by changes in characteristics of adaptive capacity – the LAC framework.<sup>46</sup> Although ALP’s M&E system attempted to integrate both frameworks, together with the logframe, we question the logic for such integration in the absence of a clear understanding of the relationship between the two frameworks. (See Box 2 for further explanation). For the purpose of this impact analysis, we use the CBA milestones from CARE’s original CBA framework as markers to identify changes and anticipated changes in ALP beneficiaries’ lives. Stepping back from this analysis, comments can be made about ALP’s overall impact in strengthening vulnerable peoples’ adaptive capacity through its CBA focus.

---

<sup>44</sup> Learning is the subject of its own section, Section 7.

<sup>45</sup> Including knowledge of climate projections, risks and uncertainties.

<sup>46</sup>

Towards a characterisation of adaptive capacity: a framework for analysing adaptive capacity at the local level by Lindsey Jones, Eva Ludi and Simon Levine ODI background note, December 2010.



## Box 2: Competing frameworks: Confusing CBA processes and outcomes

ALP's M&E system references two frameworks to help "assess whether or not CBA has been successfully piloted, shared and adopted by a wide range of actors and policies and this may go beyond the logframe parameters". These two frameworks include a version of CARE's CBA framework and ACCRA's Local Adaptive Capacity (LAC) framework. Although each framework was applied differently and often separately<sup>47</sup>, the relationship between the two frameworks, and when or how each was applied, is unclear. Not reconciling the relationship between the two frameworks as they evolved may have presented conceptual challenges to the programme's internal understanding of what is the goal of CBA, how CBA is achieved, and what successful CBA looks like. The following presents a closer look at the intention underlying each framework and how each may have been under-utilized in the haste of moving from strategic planning to implementation.

ALP's CBA framework builds on CARE's original CBA framework, which outlines four interrelated strategies to strengthen adaptive capacity:

- **DRR** strategies to reduce the impact of hazards on vulnerable households;
- promotion of **climate-resilient livelihood** strategies;
- **capacity development** for local civil society and government institutions;
- advocacy and social mobilization to address the **underlying causes of vulnerability**.

ALP's theory of change further elaborates on CARE's previous work in two ways: by identifying the importance of the enabling policy environment when addressing underlying causes of vulnerability, and by highlighting the importance of climate information, including knowledge about climate risk and uncertainty (Figure 3).

One additional means by which ALP's CBA framework evolved was in the addition of local adaptive capacity to the capacity development 'petal' of the figure. The fit however is awkward as it confuses organizational capacity (of local CSO's and government) with adaptive capacity – a concept that cuts across scales, from individual, to organizational, to national. In fact, the goal of the CBA framework as a whole is to build adaptive capacity of vulnerable households so the inclusion of adaptive capacity as part of this petal, perhaps as a way to integrate the two frameworks, seems counter-intuitive.

---

47

(albeit as distinct and separate frameworks, as opposed to interrelated as proposed here by the evaluation team), analyzing both the effect of each CBA strategy and the effect of ALP on adaptive capacity of beneficiaries.

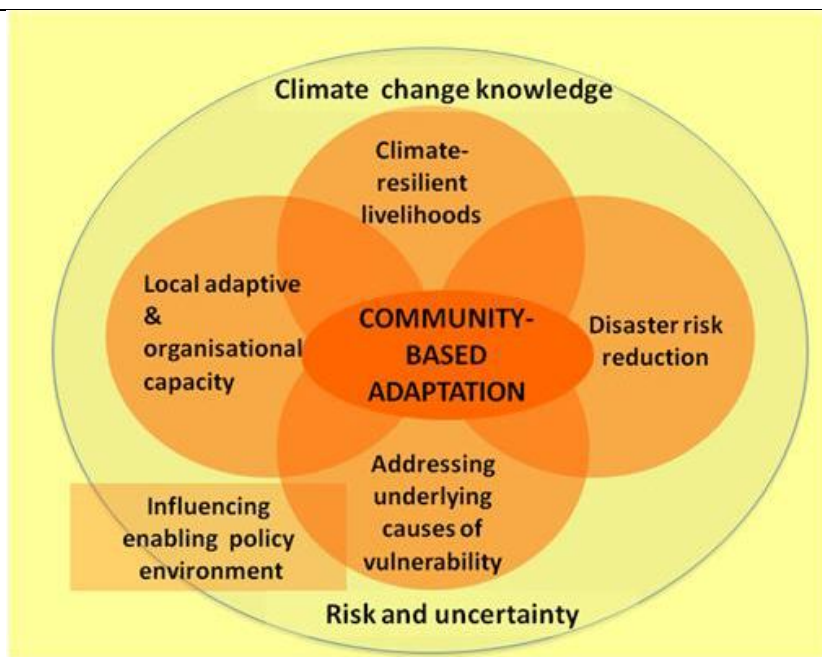


Figure 3: ALP's CBA framework

In contrast, the LAC framework characterizes what strengthened adaptive capacity looks like (figure 4). In other words, one must consider the role of all five 'petals' of the LAC framework, and the interplay between them, in order to strengthen the adaptive capacity of a community. The logic follows that by pursuing the CBA **strategies** outlined in the CBA framework (figure 3) one should observe changes in the characteristics of adaptive capacity (figure 4) – also considered the **outcomes** of applying the CBA framework. However this understanding is that of the evaluation teams' and was not clearly conceptualized within ALP. Not filling the originally intended position of CBA Advisor may have contributed to such bigger picture, conceptual confusion as to the relationship between the two frameworks and the definition of adaptive capacity (as either a CBA strategy or an outcome of CBA).

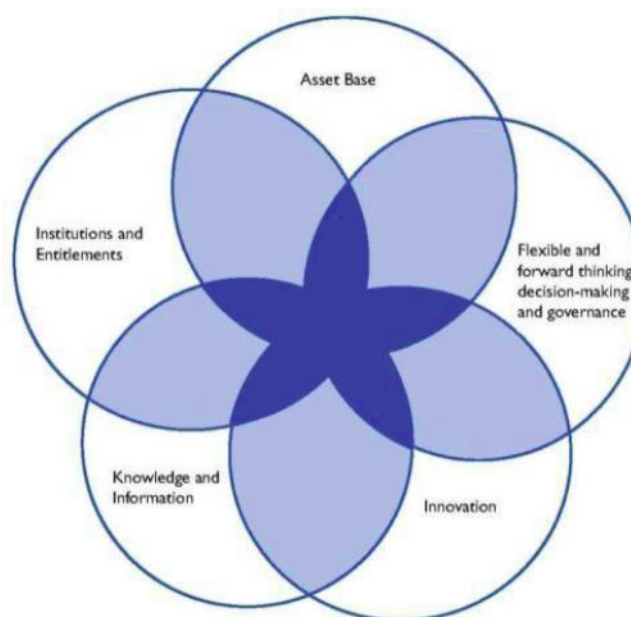


Figure 4. ACCRA's Local Adaptive Capacity (LAC) Framework



It should be noted that adaptation is context-specific, and in this case, community-based. The following analysis looks at the ALP program as a whole in an attempt to assess whether or not CBA was actually achieved. It cannot comment on the degree to which adaptive capacity was, or was not, built within each unique ALP community.

Overall, ALP's evidence of impact is strong. Recognizing that community-based adaptation is not just about communities, ALP has achieved considerable impact at each the household, community and national levels. Impacts at the household level are perhaps the greatest and provide the strongest evidence of how the lives of ALP beneficiaries have changed as a result of their direct participation in ALP. They include evidence of strengthened and diversified livelihoods, improved agricultural practices and access to physical, financial, social and human assets (including weather and seasonal climate information), improved protection of key assets (including food reserves, and water supply), and shifts in gender dynamics that foster and promote women's agency. Where challenges and barriers to impact were encountered, contributing factors included mostly complex attitudes and perceptions deeply embedded in culture, custom or religion (low literacy and limited mobility of women in Niger, for example). As is demonstrated by the CBA framework, addressing these underlying drivers of vulnerability is critical to effective CBA but at the risk of diverting focus away from the much-needed climate change and DRR components of CBA. It is indeed a balancing act to identify and prioritize key drivers of vulnerability as part of a CBA initiative and ALP did well to navigate these waters by focusing on women's empowerment and access to economic opportunities and financial capital.

At the district level, ALP's impact is again commendable. Of particular note has been ALP's willingness to work with others and their ability to coordinate a 'basket of collaborators' to better serve the needs and interests of vulnerable communities. In addition to strengthening the capacity of local government services (MET agencies and agricultural extension staff for example), ALP has engaged a number of new service providers including radio stations and other CSOs/NGOs in learning about and disseminating knowledge about CBA and CBA models more widely. In Ghana for example, ALP is considered the 'teacher' of CBA as a result of its learning events and various trainings hosted together with other local institutions.<sup>48</sup> Comments heard by the evaluation team in Ghana suggest that communities feel more empowered and are more mobilized through such groups as the VSLA's, to lobby government and ask for resources using their community adaptation action plans. This was confirmed by district level planning officers who commented that some community monitors were visiting their offices on a weekly basis, demanding updates.

In terms of improving local institutions' access to climate information, ALP's focus was on the PSP process and improving access to seasonal forecasts and advisories – the success of which is no small feat. Packaging climate information in such a way that can be easily consumed by ALP beneficiaries has raised general awareness of the uses and benefits of climate information. In subsequent phases of ALP, the program would do well to **improve knowledge, understanding and awareness of longer-term climate risks beyond the seasonal scale** (see recommendation 10). For example, in addition to annual planning updates and budgetary processes undertaken by local governments that can benefit from seasonal forecast information, local governments also often have a 4-5 year development planning cycle. Adaptation and risk reduction measures identified by local government officials as part of these plans often include business-as-usual demands (for schools, clinics, roads, water points) alongside tree planting – as a wind

---

<sup>48</sup>Although it may be argued that being considered a 'teacher' of CBA contradicts ALP's commitment to social learning, this statement was interpreted positively by the evaluators as there must always be a champion, an instigator, a designer, to lead the path forward for CBA. Where ALP's commitment to social learning is tested is in the programme's openness and willingness to learn from the experiences of other adoptees of CBA approaches and models – the evidence of which is still currently limited (see Section 7 on Learning).



break for key assets, or to stabilize soils and reduce wash-out in the case of roads. However, improved knowledge and awareness of climate risks for district-level planning decisions might ensure more robust adaptation strategies are considered – including decisions about design, materials, site selection or key assets. As the responsibility of local government is to consider climate risks across its jurisdiction (at a landscape-level), ALP would do well to promote adaptation strategies beyond the community-level (as articulated in CAAPs) and improved access and understanding of more longer-term climate risk information to inform district-level planning processes. Although current climate science prohibits climate projections in line with development planning cycles (4-5 years), some governments are moving towards the identification of climate planning assumptions based on best available science<sup>49</sup>. These assumptions are a simple set of high-level observations about anticipated changes in temperature and rainfall that are expected to be consulted as part of all future plans, strategies and decisions. Anecdotal evidence from Kenya suggests that communities themselves are demanding longer-term climate information to inform their longer-term strategic development plans.

Finally, at the national-level, ALP's evidence of impact is also strong. This is particularly noteworthy as common understanding might limit CBA activities to the community-level. ALP played a key role in mobilizing CSO and NGO communities within ALP countries to demand and prioritize climate change planning and policy-making. The commitment of government financial resources and capacity to promote ALP-led CBA models (for PSP in Kenya and Ghana, for example) is testament to ALP's success at this level.

---

<sup>49</sup> In Ethiopia for example, the Ministry of Water, Irrigation and Energy (MoWIE) has built a set of climate planning assumptions into its Climate Resilient Strategy (draft, 2014).



**Table 2 ALP's Evidence of CBA impact<sup>50</sup>**

	<b>Climate Resilient Livelihoods</b>	<b>Disaster Risk Reduction</b>	<b>Capacity Development</b>	<b>Underlying Causes of Vulnerability &amp; Policy Environment</b>
National Level	<ul style="list-style-type: none"> <li>▪ Gov't is monitoring, analyzing and disseminating current and future climate information related to livelihoods</li> <li>▪ CC is integrated into relevant sectoral policies</li> <li>▪ CC is integrated into poverty reduction strategy and/or other development policies</li> </ul>	<ul style="list-style-type: none"> <li>▪ Gov't is monitoring, analyzing and disseminating disaster risk information</li> <li>▪ Gov't is engaged in planning and implementing disaster risk management (prevention, preparedness, response and recovery)</li> <li>▪ Functional EWS in place</li> <li>▪ Gov't has capacity to respond to disasters</li> </ul>	<ul style="list-style-type: none"> <li>▪ Gov't has capacity to monitor, analyze and disseminate information on current and future climate risks</li> <li>▪ Gov't has mandate to integrate CC into policies</li> <li>▪ Nat'l policies are rolled out at regional and local levels</li> <li>▪ Resources are allocated for implementation of adaptation-related policies</li> </ul>	<ul style="list-style-type: none"> <li>▪ Gov't recognizes specific vulnerability of women and marginalized groups to climate change</li> <li>▪ Policy and implementation is focused on reducing these vulnerabilities</li> <li>▪ Civil society is involved in planning and implementation of adaptation activities</li> </ul>
<i>ALP Evidence</i>	<p>PSP process has introduced new means for disseminating seasonal forecasts using means and language accessible to local communities</p> <ul style="list-style-type: none"> <li>▪ PSP strengthening the significance of national met agencies, as well as the relationship between climate information generators, disseminators and users (Mozambique and linkage between Ministry of Agriculture and research institutions the exception, despite roles in FFS)</li> </ul>	<ul style="list-style-type: none"> <li>▪ National climate change adaptation plans and adaptation strategies committed to using community-based EWS (Ghana)</li> <li>▪ Improved capacity of national disaster management authorities (e.g. improved information, asset protection, plan development, provision of relief items, in Ghana)</li> <li>▪ Improved coordination of</li> </ul>	<ul style="list-style-type: none"> <li>▪ National financial resources committed to CBA models (PSP in Kenya) – although common and ALP promoted principles of CBA may be lost in this up-scaling process (e.g. community empowerment, integration and use of local knowledge) National planning guidelines promote climate change</li> </ul>	<ul style="list-style-type: none"> <li>▪ Improved relationship and information sharing between national CSOs and government on climate change issues;</li> <li>▪ In Moz, GCVCA integrated in the guidelines of local adaptation plans and institutionalized by MICOA (Mozambique)</li> <li>▪ CSO's contributing to both planning and implementation of</li> </ul>

<sup>50</sup>Milestones for CBA at each the national, local and household level were taken directly from CARE's CBA Framework. See CARE's "Framework of Milestones and Indicators for Community-based Adaptati  
 Report ALP final evaluation final 050815.docx



	Climate Resilient Livelihoods	Disaster Risk Reduction	Capacity Development	Underlying Causes of Vulnerability & Policy Environment
	National plans and strategies explicitly recognizing importance of CBA in general, and some CBA models in particular (e.g. CVCA and PSP)	disaster risk management (e.g. County-level DRR committees established in Kenya)	integration into district development plans (Ghana) ALP contributions to national climate change policies (Niger, Ghana, Kenya)	climate change adaptation action plans
Local Government/Community Level	<ul style="list-style-type: none"> <li>Local institutions have access to climate information</li> <li>Local plans or policies support climate-resilient livelihoods</li> <li>Local government and NGO extension workers understand climate risks and are promoting adaptation strategies</li> </ul>	<ul style="list-style-type: none"> <li>Local institutions have access to disaster risk information</li> <li>Local disaster risk management plans being implemented</li> <li>Functional EWS in place</li> <li><b>Local gov't has capacity to respond to disasters</b></li> </ul>	<ul style="list-style-type: none"> <li>Local institutions have capacity to monitor, analyze and disseminate information on current and future climate risks</li> <li>Local institutions have capacity and resources to plan and implement adaptation activities</li> </ul>	<ul style="list-style-type: none"> <li>Local planning processes are participatory</li> <li>Women and marginalized groups have a voice in local planning processes</li> <li>Local policies provide access to and control over critical livelihoods resources for all</li> </ul>
<i>ALP Evidence</i>	<ul style="list-style-type: none"> <li>Local radio stations accessing and disseminating climate information + other CBA-relevant information on ag practices, seed prices, etc.</li> <li>Improved agricultural extension capacity reported</li> <li>Significant growth in number of <b>NGO's promoting adaptation strategies</b> as part of their climate change and resilience programs – in some countries, ALP considered the "teacher" of CBA and the effective use of climate information</li> </ul>	<ul style="list-style-type: none"> <li>Local DRR plans and committees developed, restructured or strengthened (Moz, Kenya, Niger and Ghana); some doubt the effectiveness of these (Moz)</li> <li>PSP as an EWS for risk of severe flooding, drought or dry conditions – allowing farmers and other community members to plan ahead for risks and mitigation measures</li> <li>EWS for food security (Garissa, Kenya)</li> </ul>	<ul style="list-style-type: none"> <li>Integration/uptake of CBA models into local government plans (e.g. PSP in Kenya, Ghana, FFS in Moz)</li> <li>Integration/uptake of CBA and CBA models into other NGOs/CSOs projects, programs and strategic plans</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of strengthened relationships between communities and various service providers (e.g. ag ext officers, research institutes, met agencies)</li> <li>Community planning processes (CAAPs) are more participatory (CVCA) and empower communities to lobby for their needs and keep local officials accountable</li> <li><b>CSO's advocating for</b></li> </ul>





	Climate Resilient Livelihoods	Disaster Risk Reduction	Capacity Development	Underlying Causes of Vulnerability & Policy Environment
		<ul style="list-style-type: none"> <li>Improved access to disaster risk information through PSP and mobile phone technology (Niger)</li> </ul>		rights of vulnerable groups (Kenya) and improved access to basic services (Ghana)
Household/Individual Level	<ul style="list-style-type: none"> <li>People are generating and using climate information for planning</li> <li>HHs are employing climate-resilient ag practices</li> <li>HHs have diversified livelihoods, including non-ag strategies</li> <li>People are managing risk by planning for and investing in the future</li> </ul>	<ul style="list-style-type: none"> <li>HHs have protected reserves of food and agriculture inputs</li> <li>HHs have secure shelter</li> <li>Key assets are protected</li> <li>People have access to early warnings for climate hazards</li> <li>People have mobility to escape danger in the event of climate hazards</li> </ul>	<ul style="list-style-type: none"> <li>Social and economic safety nets are available to HHs</li> <li>Financial services are available to HHs</li> <li>People have knowledge and skills to employ adaptation strategies</li> <li>People have access to seasonal forecasts and other climate information</li> </ul>	<ul style="list-style-type: none"> <li>Men and women are working together to address challenges</li> <li>HHs have control over critical livelihoods resources</li> <li>Women and marginalized groups have equal access to information, skills and services</li> <li>Women and marginalized groups have equal rights and access to critical livelihoods resources</li> </ul>
<i>ALP Evidence</i>	<ul style="list-style-type: none"> <li>Integration of local/indigenous climate knowledge part of PSP process</li> <li>Improved agricultural decision-making (e.g. siting, planting, harvesting, storage) as a result of improved access and understanding of weather and climate information (e.g. PSP, seasonal advisories, rain gauges)</li> <li>Climate resilient ag practices being employed include use of improved and drought-tolerant seed, composting, mulching, animal vaccination, green manure, use of wind breaks,</li> </ul>	<ul style="list-style-type: none"> <li>Improved protection of food reserves provide strengthened access to safety nets in times of need (e.g. cereal banks and warrantage systems in Niger)</li> <li>Strong evidence of key assets protected (e.g. protecting poultry in Moz, water wells in Niger)</li> <li>Documented evidence of community members improving quality of housing to be more</li> </ul>	<ul style="list-style-type: none"> <li>Community savings and loans groups have improved peoples' access to financial capital, as well as social capital (communities reporting improved mobilization and social networks strengthened as a result of these groups (more can be done to help communities better manage co-variant risks)</li> <li>Improved access to climate and weather information supporting</li> </ul>	<ul style="list-style-type: none"> <li>Improved women's empowerment – women reporting higher levels of confidence and more involvement in household decision-making and community leadership</li> <li>Shifting gender dynamics and attitudes – men taking on roles traditionally reserved for women, and vice versa, although additional</li> </ul>



	Climate Resilient Livelihoods	Disaster Risk Reduction	Capacity Development	Underlying Causes of Vulnerability & Policy Environment
	<p>earlier preparation of soil for sowing, etc. Non-ALP communities also adopting practices advocated by ALP</p> <ul style="list-style-type: none"> <li>▪ Livelihood strengthening and diversification to reduce climate sensitivity of livelihoods (e.g. shifts from nomadic pastoralism to market gardening, small business and weaving in Kenya; improved dry season gardens in Ghana; horticulture and fish farming in Moz) – diversification is both involuntary (traditional livelihoods can't be sustained) and as a result of ALP capacity building. Some attempts to diversify women's livelihoods particularly encountered limitations due to local customs and gender perceptions (e.g. cell phone recharge stations in Niger)</li> <li>▪ Investing in the future is still challenging given limited nature of local savings and loans mechanisms to absorb co-variant risk</li> </ul>	<p>resilient in light of increasingly frequent and intense climate events</p> <ul style="list-style-type: none"> <li>▪ Improved access to early warnings via radio climate information centres (CICs) and mobile phones (Moz, Ghana and Niger)</li> <li>▪ Women's mobility in Niger reported to be increasingly limited</li> </ul>	<p>improved knowledge, awareness and decision-making</p> <p>Improved access to public funds for farmer associations through formalization of these groups in Moz</p>	<p>responsibilities for women are not necessarily accompanied by supporting transfers of resources or freedoms.</p> <ul style="list-style-type: none"> <li>▪ Women in all countries demonstrating improved access to financial capital through participation in various savings and loans mechanisms</li> <li>▪ Low literacy levels of women in Niger prevent equal access to climate and community planning information – this is being addressed through the use of symbols</li> <li>▪ Shift from nomadic way of life to settlements has increased access to schools, water and health care; children being sent to school because they do not have livestock to herd (Kenya)</li> </ul>



## Survey Results

A simple analysis of the data (n = 26) indicates that CARE is recognized as a global contributor in the CBA space.<sup>51</sup> Among 37 organizations, programs and funders identified as supporting CBA, CARE was mentioned by nine respondents (0.31) – the most for any single organization. Other key actors identified included UNDP (0.15), Oxfam, IIED and USAID (each with 0.12). Of the nine respondents that mentioned CARE, 77.8% subsequently suggested that, of those listed, CARE had been the *most* influential in promoting CBA. Others identified as being the most influential included IIED's annual CBA conference, Oxfam, IISD, and the Global Initiative on CBA (GICBA). Globally, CARE is recognized for:

- *"Hav[ing] been the most vocal, publishing briefs and the like",* Academic/Research respondent;
- *"[Having] widely spread projects. Good manuals and guides produced in English and French (and perhaps other languages) and widely shared",* INGO/NGO respondent;
- *"using participatory tools for CBA and [being] committed to community engagement",* INGO/NGO respondent;
- *"[being] quite influential",* Development Partner respondent.

In general, survey results indicate strong evidence that CARE has had a meaningful influence in the global CBA community – particularly through its widespread documentation.

### **e. Sustainability**

This criterion addresses two factors:

1. whether or not changes in the lives of beneficiaries as a result of ALP will or are likely to last once ALP ends;
2. whether or not ALP CBA methods and lessons are likely to be adopted more broadly than direct program participants.

Findings and analysis to address these questions come from a review of CARE documentation (mainly country and program annual and M&E reports, as well as impact and KAP studies) and, to a less extent, from key informant interviews and an online survey undertaken by the evaluation team. Assessment of the first factor continues the analysis in the Impact section, which documents and discusses changes in the lives of beneficiaries due to the program. Overall, analysis takes into account evidence on the willingness and ability of program participants to sustain program outcomes and the degree of embedding of ALP's CBA principles and methods into institutions at all scales.

Some evidence exists of communities and households in ALP target countries showing ownership over project activities, willingness and capacity to sustain program outcomes. Evidence of sustainability includes the registration of umbrella bodies to support VSLA (Ghana, Niger), growth plans for savings and loans groups (Kenya), and the formality conferred to FFS groups as farmers associations and community-based organizations (Mozambique). ALP has been deliberate about helping formalize groups involved in

---

<sup>51</sup> Through conversations with ALP's PCT in March 2015, the Evaluation Team understands that as a result of CARE's governance structure, ALP's influence internationally is represented by mention of CARE's influence internationally. This is confirmed by limited mention of ALP by global adaptation practitioners as evidenced through survey results and key informant interviews. As such, it is reputation as a global contributor in this space.



testing CBA models (e.g., VSLA groups in Ghana, FFS groups in Mozambique) to boost the replicability of these models, reflecting on the need for formalizing these groups and related challenges in annual reviews. Ownership at the individual level is also evident. For example, as reflected in CARE documents, the community chicken vaccinator in Geba (Mozambique) now has knowledge of where to source vaccines and claims a commitment to continuing to provide this service to the community. Security concerns in Kenya and Niger present real risks to sustainability of program results in ALP communities.

ALP's strategy to program delivery, which emphasizes capacity building and community mobilization to empower communities so they can address their own problems, has in itself supported the sustainability of program outcomes. Training and local advocacy efforts by ALP in ALP target countries have resulted in the integration of climate change and, in some case, specific CBA provisions and ALP practices (PSP) in local and district development plans and planning processes. Training and joint planning are strategies ALP has employed to influence the practices of government extension workers and of other NGOs operating in ALP catchment areas, in Ghana, Niger and Kenya. Uptake at this level is important as contact with communities is direct. However, unstable funding, competing demands and lack of access to refresher training can hamper sustainability.

Without further interventions (ALP or otherwise), communities' abilities to sustain livelihood benefits and gains in gender equality could be at risk, however. In some cases, assumptions about the spill-over effects at the community level of knowledge gained by direct beneficiaries have not held (e.g., FFS in Mozambique). Future adoption of irrigated agriculture and other climate-smart agriculture strategies promoted in ALP pilot sites faces many challenges (Kenya). These relate to lack of investment capital, inadequate extension services, and difficulties getting products to market; potential conflicts between water and land uses (e.g., human and wildlife uses of riparian zones) will also need careful monitoring and management. Gender-related results of the ALP program, including improved confidence of women, access to financial capital through savings and loans groups and economic independence through participation in small business activities, are significant. However, persistent challenges like disparities in education levels among females and males (Mozambique, Niger) and rigid gender roles can keep women in a vulnerable position: women take on new roles in addition to the ones they already have and men have reduced incentives to contribute to household expenses (Kenya).

By virtue of successes in the integration of CBA into local planning and ALP's approach to working alongside CSO and local government partners, sustained local uptake of some of ALP's CBA models is likely. Kenyan governments (national, county) have committed financial resources to upscale training and implementation of PSP in 47 counties. Most of the funding will initially come from sector programs and project-based finance with costs of seasonal planning to be absorbed by county budgets over time. Local government officials in Ghana received training from ALP to help integrate CBA into local planning; guidelines to integrate CBA approaches into developing planning have been made available by the National District Planning Commission. Capacity deficits and lack of guidance can constrain abilities to include new dimensions into planning approaches, so the combination of ALP training plus national government guidance has the potential for long-term impact.

At national levels, ALP's advocacy capacity development and information-sharing efforts have helped embed ALP CBA approaches into national climate change strategies and national development plans in ALP target countries (Ghana, Kenya and Mozambique). Contingent on policy and strategy implementation by governments, application of ALP practices could well scale out and continue over time. These policy documents and strategies acknowledge CBA as an important component of national resilience to climate

model, in particular, has transformed the nature of climate and weather information



services in Ghana and Kenya. Governments have built capacity to communicate locally on seasonal forecasts and local communities have gained trust in the information supplied. Up-scaling of CBA principles and practices nationally is a common strategy to institutionalize CBA; the trade-offs in the process, such as loss of local participation when CBA is scaled up, are rarely analyzed and discussed, however. The evaluation team did not find documentation of such a trade-off analysis in this case, either. Key informant interviews in Kenya suggested that community engagement was a missing element of the kind of PSP scaled out through county-level planning. Because community empowerment is central to CBA, if unaddressed, this gap will be significant.

Integration of ALP approaches within other regional programs is another mechanism for up-scaling that could prove successful. For example, the West Africa Water Supply, Sanitation Hygiene Program, funded by USAID and operating in three countries (Niger, Ghana and Burkina Faso) builds in CVCA thanks to training from ALP Ghana and ALP Niger. CARE has received grant funding under DFID's BRACED program for work in Niger, providing an opportunity to take ALP activities further in that country.

ALP's regional and global advocacy has contributed to raising CBA and its value to high-level agendas, including the agenda of the Africa Ministers Conference on Environment, West Africa Development Bank, UNFCCC National Adaptation Plan (NAP) process. The degree to which CBA principles and practices are made operational, however, is likely to depend on access to training and opportunities to build capabilities in guiding CBA as well as sustained advocacy, generation and dissemination of evidence to inform strategic choices. Having established credibility and influence as a global CBA contributor, CARE is in a good position to build on ALP's work<sup>52</sup> or transfer these functions to prominent members of the global CBA network.<sup>53</sup> In any case, with the limited time left of the program, ALP should work to reduce the "risk that the full impacts of ALP will not be captured and that after the end of ALP, there will not be sufficient follow up and dissemination of ALP documentation to ensure continued active use and adoption of CBA"<sup>54</sup>. ALP's documentation plan (2014) identifies a number of potential publications by target audience and theme designed to address this program risk. At the time of this evaluation, consolidated products were starting to become available.

### **Box 3: What is CBA really?**

Survey responses highlighted the need for a better understanding of CBA definitions, frameworks and principles. Programs and projects described by respondents as CBA included initiatives in the areas of:

- Disaster Risk Reduction
- Ecosystems based adaptation
- REDD+ and helping communities access carbon markets (forestry, agro-forestry)
- Integrated water resource management and watershed restoration
- Vulnerability and Risk Reduction
- Climate-smart agriculture

Globally, CBA is commonly accepted to refer to efforts to strengthen the capacity of local people in vulnerable communities to adapt to climate change, using participatory

---

<sup>52</sup> Indeed, CARE UK, CARE Denmark, CARE Austria, CARE US, among others, have already made use of ALP outputs.

<sup>53</sup> See discussion on the results of our online survey as a global CBA contributor.

<sup>54</sup> DFID CARE ALP 2014 Annual review



processes that involve local stakeholders in the identification of adaptation strategies and interventions.<sup>55</sup> What is not clear from the broad suite of approaches and models mentioned above is how they might meet this definition. What distinguishes the above initiatives as CBA? What do they have in common? In the absence of either a CBA theory of change or framework, or a core set of CBA principles<sup>56</sup>, such initiatives risk being at worse, development-as-usual initiatives repackaged as CBA, or at best, adaptation initiatives taking place at the community-level (but not necessarily CBA).<sup>57</sup>

Although ALP has clearly articulated a CBA framework to identify itself as a CBA program, ALP's promotion of CBA models without clear linkages to this framework risks further contributing to this confusion. The adoption of the PSP process for example does not necessarily translate to the adoption of CBA. The key is rather how that PSP process can be used within a package of other models, methods and approaches to promote:

- climate-resilient livelihood strategies;
- DRR strategies;
- capacity development for local civil society and government institutions;
- advocacy and social mobilisation to address the underlying causes of vulnerability.

As part of the ALP extension, ALP would do well to **better promote its CBA models within the context of a broader CBA definition, framework, or set of core principles** (see recommendation 2). This will help ensure that CBA (as opposed to PSP, CVCA, FFS) is the centrepiece and that stakeholders have a suite of models and tools available to them to help support and promote it. Furthermore, it will help ensure that as models of CBA are adopted and scaled-up, that they maintain their integrity as promoting "*participatory processes that involve local stakeholders in the identification of adaptation strategies and interventions*"<sup>58</sup>.

## 7. Analysis of Learning Processes

### a. Relevance of ALP's support for Learning

The evaluation has explored ALP's contribution to the national and global discourse on adaptation learning and practice and the discourse on CBA in relationship to gender equality, resilience and risk reduction; it has examined the extent - and the results - of ALP's influence. Further, the evaluation has explored the most useful and relevant messages of ALP on CBA, and assessed ALP's contribution to the broader discourse on climate change adaptation.

Our analysis is that ALP has in important ways redefined and deepened the understanding and use of CBA as an approach without being prescriptive, by

---

<sup>55</sup> Ayers and Forsyth, 2009. Community-based adaptation to climate change: strengthening resilience through development. Environment – Science and Policy for Sustainable Development, July/Aug 2009.

<sup>56</sup> See Ehrhart, C. 2011. Community-based Adaptation: Core Principles, practices and relation to EbA. CARE PECCN Presentation to the 5<sup>th</sup> International Conference on CBA, March 28<sup>th</sup>, 2011 (Dhaka, Bangladesh), <http://www.slideshare.net/charlesehrhart/cba-principles-and-practices>.

<sup>57</sup> A detailed analysis of all initiatives mentioned through the online survey was out of scope for this evaluation. Some may well demonstrate a clear link to a CBA definition, framework or set of principles. This text box was developed based on intel from key informant interviews with global adaptation practitioners that confirmed there was a lot of confusion and misunderstanding about what CBA really means.

<sup>58</sup> Ayers and Forsyth, 2009



providing adaptable or flexible models - including CVCA, PSPs, CAAPs, FFS, the integration of CBA into district or county-level plans and budgets, advocacy approaches to changing national policy, the availability of adaptation finances and CBA linkages to DRR. ALP's CBA approach is both specific and flexible; elements of the approach have been adapted or modified to fit specific contexts – and the choice of which models to use or apply can be context specific; each model of ALP's approach allows the users to move forward with the application of CBA, i.e., the implementation of adaptation measures, the building adaptive capacity, and the use of (experience with) multi-level, multi-sector and multi-stakeholder learning processes.

However, we recommend that **the CBA framework be updated and more clearly communicated to the wider community of interest** (see recommendation 1). There has been inadequate mapping by ALP of the relationship of the CBA models to the overall CBA approach. The CBA framework needs to communicate how ALP sees the CBA process now, based on the learning over the last five years. This communication should include a more systematic mapping or linking of ALP's CBA models to the 'petal diagram' (found in the CBA brief). Had ALP articulated and communicated this relationship more as a key element of its strategy, especially within its broader advocacy and capacity-building efforts, it may have increased ALP's relevance, facilitated a higher level of achievement, particularly more up-scaling, and adoption by non-CARE actors.

These CBA models need to be aligned or mapped more explicitly to learning about and building adaptive capacity (ALP's original and basic aim), resilience or other framework in use. This will continue to enhance ALP's relevance.

For ease of future ALP reporting, the CBA models might also be more systematically mapped or linked to ALP's logframe – to the Outputs, Purpose and Goals.

### ***b. Effectiveness of ALP's support for Learning***

The evaluation has explored ALP's promotion of its CBA models noting where they have been taken up, identifying and examining key success factors and barriers to change that have affected the adoption of CBA, and examining how ALP's CBA approaches have addressed these factors. It has examined how ALP has successfully supported learning, evidence building and influencing the adoption of CBA, including the quality and value of ALP's approaches to effective learning, capacity building and influence at all levels of the program, including its publications and the dissemination of its publications. The evaluation has identified the key qualities – or meaning - of ALP being a learning program.

ALP supported learning as the means to transfer what was learned at the local level up to the national level, to advocate for policy change, and emphasize the importance of this learning. Evidence is seen in the Kenya Agriculture Sector Development Support program (ASDSP) funding PSP processes in 47 counties with funding from the government of Kenya, Swedish-SIDA, Kenya Meteorological Service, participating counties and other partners.

ALP effectively used a wide variety of national, regional and global forums as learning forums, which was effective in promoting CBA approaches. ALP hosted and supported regional learning forums involving multiple-NGO and multiple agency participation for regional outreach and joint learning; specific learning forums were held in West Africa and East Africa. For example, ALP convened a learning conference in Cotonou, Benin in 2013, co-sponsored by CCAFS and ENDA that attracted participants from across West Africa; the follow-up saw ALP contributing CBA approaches to the West Africa regional adaptation framework; however an envisaged CCAFS Working Paper did not emerge, though it had been anticipated. Both the West and East Africa learning events produced communiqués, which enabled messages about CBA to be developed collectively by participants who came from several countries, although there was little evidence of a wide circulation of these communiqués.



ALP was effective in engaging others in learning and adopting/integrating CBA approaches, and realizing its effect. ALP played a key role in developing a UNDP proposal for a project in Ghana presented to the AF; ALP work with the government of Kenya to inform its national policy (e.g. Kenyan National Climate Change Action Plan) and its national positions on international policy issues; wide up-take within CARE - with 12 CARE country programs having integrated CBA into their programs, though the program maybe articulated as 'agriculture and food security' oriented; ALP has also leveraged the up-take of CBA practice in Asia – for example CARE Australia has adopted the ALP CBA approach.

ALP was less effective in achieving its objectives in some areas. For example, PSPs did not take hold or take off in the Mozambique context largely due to the hydro-meteorological institution being unable to provide local level weather or participate in local level analysis of seasonal forecasts.

Our analysis is that ALP could have been more strategic and systematic in their learning and subsequently in their documentation. ALP's ability to be reactive or responsive and adaptable to emerging learning opportunities (a learn-as-you-go approach) was high, which is important especially in the evolving discourse about adaptation, but ALP could have benefited by having up front learning objectives, tied to key target audiences, and a more focused selection of the types of knowledge products that could best serve these objectives and audiences. These targets should have been for broader audiences well outside or beyond the learning by ALP staff and by ALP target communities.

Our analysis is that ALP's effectiveness in its support for learning and its impact on learning was weakened by insufficient use of measurement tools for the comprehensive monitoring of the impact of CBA. In addition ALP's effectiveness was weakened by insufficient focus on 'measuring' the building of adaptive capacity at the local level, and insufficient support for learning about the aggregation of measurement data of adaptive capacity up to or at the national level. ALP cannot be held accountable for this, as there is no learning outcome in the logframe. However the links between CBA and the building of sustainable adaptive capacity is crucial and needed to be understood as an Outcome. More generally, ALP needs to achieve and report on = learning Outcomes. As well, a clearly articulated 'learning petal' incorporated into the CBA approach would be of great benefit and would implicate ALP's M&E system, which is closely aligned to the several elements of the CBA approach.

However, we wanted to take our analysis of ALP as a learning program somewhat further. We asked: Did the learning nature of the program allow ALP to be too responsive/reactive/adaptive and not strategic enough? Could ALP have benefited from a more rigorous, quasi-experimental, adaptive management approach to learning and documentation, designed around key questions such as 'What learning do we want to support?', 'What do participants want to learn?' and 'Who is doing the learning?'

There was good acknowledgement in the early days of ALP that it was a learning program and an acknowledgement of what that means. ALP's 2010 Annual Review (p. 36) suggested that learning objectives had been defined at five levels: local, national, program-wide, Africa, and CARE-International, and that, "*thematic topics for learning will be used to inform documentation and publication.*" The call was for "*everything...to be documented*" [asserting that] "*if it is not documented it never happened.*"

The same meeting identified learning themes for 2011, but this activity did not continue as a consistent part of these annual meetings. The 2010 annual meeting suggested that "*learning and knowledge management plans and strategies*" were being developed. Indeed, a Learning Strategy was drafted in 2011 but it was not completed. Later, comments recorded in the minutes of the ALP 2011 Annual Meeting suggested that ALP was moving too quickly and that this speed was affecting the learning. There is a tension in these meetings between ALP as a learning program (*'learning takes time'*) and ALP as *development results need to be apparent early to communities*





*to maintain their interest'*). Following the MTR, ALP hired a learning and evidence specialist and planned its learning around identifying and collecting evidence and the documentation of learning. ALP developed seven themes as the basis for organizing evidence and documentation outputs, and to set the themes for the learning and capacity-building events in 2014 to 2015.

However, our assessment is that learning objectives/outcomes have not been sufficiently articulated or used in program design and reporting, with the exception of some themes and above-mentioned levels of learning, set out in 2010. We suggest this is a key observation. The challenge this created for the evaluation was trying to measure the effectiveness of the learning that ALP supported against planned objectives/outputs and outcomes.

### **c. Efficiency of ALP's support for Learning**

The key value added by ALP's design as a four-country program has been assessed including the value of a coordination team providing oversight direction and advice.

There is value in a four-country program, in a cross-country focus, including learning about the barriers and challenges across four countries. ALP's regional and international advocacy initiatives are strengthened by multi-country references; ALP's initiatives are tested in several contexts for durability and relevance; ALP's initiatives become known for how broadly applicable or how site-specific they are with specific reference to - and evidence from - ALP's multiple trials of each methodology or approach, ALP has had a clear measurable impact or influence on the integration of CBA into policies, strategies and plans at country/national level in three of the target countries – Ghana, Kenya and Niger.

ALP supported learning by CSOs and national NGOs in each country, and the importance of this. In Northern Ghana, ALP supported an inter-agency forum on CCA and CBA across more than 15 International NGOs, including those doing research and those integrating CBA into projects with other (non-CCA) primary foci.

ALP promoted learning at the program level and the documentation of that learning, by ALP's use of internal Quarterly Reflection Sessions and cross-country semi-annual reflection sessions.

ALP used its donor reports to document the achievement of learning and where to find the learning. ALP's reporting to DFID has included extensive documentation of its learning process and results.

The 2011 Learning Strategy attempts to align learning with the five outputs but this articulation did not provide sufficient detail. An alternative approach would have been to state up front that, "By the end of ALP, [at one of the five learning levels] we will have learned [statement of the learning objective]?"

In 2011 ALP's M&E system write-up said: "*ALP is a learning program hence everything that is done, the results emerging and the unexpected events, needs to be tracked, monitored, reflected upon, analysed, documented, shared and used*" (p. 3). But that learning could have been better systematized. The separation of a 'learning monitor' position from the 'M&E' coordinator may have contributed to this disconnect (...monitoring of learning was not a part of M&E, rather it was separated from M&E).

We asked: Was there too much documentation? Was there information overload? Too much variation in documentation produced across the ALP target countries? Our observation, as stated above, is that AL

better, and better (more) focused and/or targeted? For example, ALP could have better focused the types of knowledge products they would produce (e.g. policy briefs, technical briefs, impact assessments, other), to a serve specific learning purpose/outcome, linked to a specific targeted audience (e.g. local governments, civil/society advocacy platforms, global adaptation practitioners). This may have



involved fewer, yet more strategic publications. Interestingly, in the 2011 ALP Annual Meeting, information overload was discussed – “*how to filter and pay attention to the most important information*” (p. 3).

The evaluation observed that ALP has produced briefs, newsletters, blogs, articles, digital stories, case studies, and human-interest stories. Ideas for these publications seemed to emerge organically based on country interests and successes. This is to say that the documentation was unsystematic. Documentation priorities were arrived at through a participatory process at annual meetings where areas of needed evidence and learning were identified and mapped against planned capacity building, events, audiences, etc. This process was done, for example, at the annual meeting in 2013 and 2014, and reports from those meetings along with other supporting documents (like the documentation plan) lay out the plans. This approach is a good way to keep things responsive and not prescriptive. Nevertheless, ALP could have benefited from a functional learning strategy with defined, high-level learning objectives. The documentation plans could have then mapped the documents showing how each document helps ALP achieve its learning objective. These learning objectives and mapping processes make an evaluation easier for those who ask the question: ‘What did ALP set out to learn?’ ALP’s approach could have been more strategic and focused, for example, on identifying knowledge products with the highest impact for the amount of money and effort expended.

While ALP’s Annual Meeting Reviews and Annual Reports contain a list of knowledge products that had been produced for that past year, and ideas for the next years’ efforts, and while ALP prepared lists of products based on learning or information-sharing objectives and target audience needs, ALP, as a learning program, did not focus enough on learning from failures, what doesn’t work and why, i.e., examining and documenting its failures.

#### ***d. Impact of ALP’s support for Learning***

ALP’s learning approach has had results that distinguish it from the learning approaches of other agencies supporting CBA. ALP has supported adapting - and the adoption of - different approaches to adaptation with a strong focus on ‘community empowerment’.

CARE International became a vehicle for learning across many countries in Africa and Asia, with extensive results so far: New CARE climate change adaptation programs are underway using CBA approaches in Mozambique, Zimbabwe, Zambia, Ethiopia, Malawi, Kenya, Niger, Mali, and Ghana. ALP’s PSP training in Malawi resulted in major buy-in with Malawi building PSP into their national process with the inclusion of PSP in the draft meteorological policy and a plan to promote PSP to policy maker; CARE programs in southern and eastern Africa have adopted a focus on climate-smart agriculture (CSA), with ‘CSA’ largely meaning the incorporation of ALP’s CBA approaches.

Our assessment is that the CBA framework was under-utilized as a guide to learning. We asked: Did ALP actually ‘test’ CBA models’ in terms of their fit with the CBA approach – the ‘petal’ or ‘flower’ diagram? Were the models strategically selected based on their potential to fulfil or fill-out the petals (to contribute to the surrounding ‘garden’ or enabling environment)? For example, if the FFS model really helps achieve CBA, then presumably it must achieve results in all or most areas of the petal or flower diagram – i.e., the FFS must contribute to DRR strategies, climate resilient livelihoods, etc.

tended by ALP to address all the aspects of the CBA framework, it was the intention that the models would help to break down such a complex and comprehensive framework into practical approaches which covered at least one or more of the different aspects of the CBA approach; therefore, models are not meant to be used alone but in conjunction with other models as part of the overall CBA planning process. For example, FFS will not deliver against all



aspects of the CBA framework but should be used in conjunction with PSP or the CAAPs as part of a broader CBA approach.

However, in our search for evidence that the FFS model fits nicely into the CBA framework, we did not find reports that responded to that question. We assume that this type of analysis has not been completed. ALP felt strongly that it was important to “just get on with things” and “if it works, run with it” and that one only has to “look at the number of adopters” for proof of impact. But as a learning program, the credibility of these models - as ways to implement and achieve the CBA approach - needs to be more rigorously assured. It is possible that the ALP models are good development models, or good general adaptation models, but insufficient to be ‘CBA models’ that will fulfil the broader outcomes sought with the ALP CBA approach.

A key observation in our analysis is that **ALP’s impact could have been greater if it had had a better articulated and a more systematic learning strategy** (see recommendation 5), that ALP’s support for learning across the adaptation community, across participants in the four targeted countries, and across the continent might have benefited from a more focused learning strategy. ALP might have achieved an even higher level of global recognition.

As evaluators we saw the under-utilization of the CBA framework as a learning, evidence and documentation tool. If part of ALP’s undefined learning objectives was learning about CBA, what works and what doesn’t, it would have made sense for ALP to do better documentation in the CBA models in the context of the petal diagram. This would have better outlined for example, how FFS in Mozambique could help deliver climate-resilient livelihoods, could build in DRR strategies, could help build local organizational capacity, and could address more underlying drivers of vulnerability. The petals pose more like a checklist that must first be applied in order to assess whether or not a CBA model is actually contributing to a successful CBA. It would have been better if the goal of successful CBA had been better defined in advance by ALP.

#### ***e. Sustainability of ALP’s support for Learning***

The evaluation has assessed how ALP has contributed to the pool of CBA knowledge and evidence, how ALP has contributed to national, African and the global discourse on adaptation and resilience learning and practice. And how ALP has contributed to learning, evidence, advocacy and documentation on CBA to influence others to adopt and upscale CBA.

The evaluation has examined the major drivers of change, including barriers and opportunities, which have influenced the adoption, replication and/or up-scaling of CBA in policy, finance and practice in Africa.

It has further assessed the changes made during the ALP timescale of 2010 to 2014 to develop a sustained impact over time in the context of changing policy focus, development actors and donor trends.

ALP has supported innovation, including ALP’s support for the integration of climate information into local decision-making and advisories for communities and farmers/producers, and the systems or models to enable the innovation to be applied in multi-locations. Evidence of this is seen in detailed development of and experimentation with the PSP element of ALP’s CBA approach; adoption of PSP by the Ministry of Food and Agriculture in Ghana, national level adoption of PSP by Kenya Meteorological Services and NEMA requested PSP training for 11 implementing organizations under Kenya AF project; the AF proposal contains specific reference to conveying climate information to rural populations with PSP training meant to benefit the entire target area of the AF project covering 15,000 farmers.



Our analysis of the sustainability of ALP's support for learning is also linked to our analysis of the sustainability of ALP's impact provided in the previous section on Analysis of Accountability Results, Section 6e above. There is sustainability in the medium term in the availability of and access to ALP publications; there is continued utilization of ALP's CBA approaches as more CARE programs, more INGOs, more bilateral and multilateral agencies and more national governments, particularly in Africa, adopt CBA - or adaptation approaches - and incorporate them into policies and programs, and as there is evidence of continuing demand being placed on donors, including multi-lateral funding sources, to be more open to the participation by community stakeholders, to the empowerment of communities in adaptation planning processes and to support the up-scaling of participatory approaches to adaptation.

As a learning program, ALP must further its analysis and documentation of the limitations and challenges to building adaptive capacity (AC) which is ALP's key outcome. [The evaluators recognize ALP's observation that general interest in adaptive capacity declined as a focus on 'resilience' grew. As such AC has not truly gained wide acceptance – compared to programming for 'resilience' and 'CIS'. AC as a means to resilience thus became more of the ALP focus, and ALP's attempts to ensure CBA is recognised as an important contributor to resilience became important.] Although failures are analyzed informally by ALP staff, as part of annual review meetings internal to ALP, the focus of ALP's outward-facing publications have been on pursuing success stories where CBA models have been successfully adopted, institutionalized or scaled-up. However, **the analysis of challenges and even failures is an equally critical story to tell publicly** if only because it forces us to look closely at both enablers and barriers to building adaptive capacity (see recommendation 5). Success stories focus our attention only on enablers and often even blur these perceptions without a robust comparator or counterfactual to anchor the analysis. Discussions with the Ghana ALP CO team, for example, suggest that there is one community where efforts have been less successful. Reasons cited for the challenges encountered by this community included: remoteness and isolation (challenging for local partners to visit), political conflict, limited experience/exposure working with NGOs (most likely associated with remoteness) and even female leadership. Comparative studies between different communities are beneficial in cases like this and ALP would do well to further document these cross-community, or cross-country, observations. Donors in turn must be supportive of such analysis and documentation without judgement of what might be construed as program failures. Still an emerging and evolving area of inquiry, initiatives such as ALP that are studying adaptive capacity – its definitions, frameworks, enablers, and outcomes – must experience the freedom to test, refine, succeed and even fail, in order to move our global knowledge of this area forward. [For an innovative approach to learning from failure, see Engineers without Borders [Admitting Failure and Fail Forward](#) venture.

## 8. Conclusions and Recommendations

year program is that it has successfully met its purpose and significantly contributed to the project goals. In some areas we can say it has exceeded the expectations of the original project design, for example through the development of specific CBA models such as PSP, and in the number of beneficiaries reached either through increased financing, country-level policy influence, or facilitating adoption of ALP-promoted practices by other agencies.

The relevance and appropriateness of these and other achievements to future scaling-up and scaling out of CBA approaches that effectively build adaptive capacity in vulnerable communities and countries has been a major focus of our analysis, and thus informs the recommendations that we make to ALP and CARE in general. The underlying question in this analysis has been whether ALP has proven the validity of its theory of change. In this regard, we have identified a number of aspects of the ALP design and implementation that may fall short of what will be needed in future, or that could benefit



from particular improvements. Under this category we cite such issues as the need for stronger conceptualization, understanding and definition of CBA frameworks; stronger tools for assessing achievement of adaptive capacity or resilience, strengthening quantitative measuring of CBA results, and enhancing learning around the dynamics of successful scaling of approaches with regard to maintaining the integrity of the original models.

The evaluators were tasked with assessing the accountability of the program in meeting its objectives and realizing its intended outcomes, as well as assessing the value of learning processes that were integral to its design. Both of these foci were to also look at the issues of relevance, effectiveness, efficiency, impact and sustainability, as presented in sections 6 and 7, above. Following is a summary of our recommendations for addressing specific gaps or shortfalls, clustered under four issue areas: clarifying CBA, learning systems, monitoring and evaluation innovation, and ALP's CBA models.

## **Recommendations**

### **Clarifying CBA (goals, definitions, frameworks)**

1. Updating the CBA framework: The CBA framework needs to be updated based on ALP learning and more clearly communicated in the wider community of interest for ALP to be increasingly effective.
2. Defining CBA: If the goal of CBA is to improve/build adaptive capacity, or resilience of communities, this must be defined either through a set of principles as to what this would look like, or using a framework. CBA principles could prove beneficial to define in order to maintain the integrity of CBA models as they get adopted and scaled-up or out.
  - CBA models need to be aligned or mapped more explicitly and consistently to learning about how well they achieve the goal of CBA.
  - In defining CBA, caution is needed regarding the goal of resilient livelihoods and resilient development – resilience in the face of climate shocks and stressors yes, but resilience is a much broader term that has many frameworks of its own - the term should not be used lightly without clear definitions, principles or frameworks.
  - ALP originally intended to hire a CBA Advisor. ALP would do well to consider hiring for this position as part of its ongoing efforts (ALP 2)

### **Learning systems**

3. Learning from others: While the evaluation has determined that ALP has been successful in designing and implementing effective learning mechanisms for fostering internal learning and promoting learning on CBA approaches by external organizations and stakeholders, evidence of ALP's capacity to learn from others is not strong.
  - An internal reflection should be conducted on whether and how ALP is learning from others, and how this can be improved.
  - Throughout, ALP has trained many others on their CBA approach and models. Follow-up calls, emails, surveys to these participants might contribute to a 'database' of CBA experience, refinements, strengths and weaknesses, which then could support ALP in systematically building what others have learned into ALP's own knowledge base.  
It is important to track how the organization has strengthened practices and approaches as a result of learning from others.



4. Collaboration and partnership: Related to the above, CARE should work with organizations with strong methods and complementary approaches, specifically on community engagement and climate information services and managing uncertainty as well as bringing this to engagement processes at the national level in specific countries; and on an enhanced cost/benefits analysis of CBA in various contexts. ALP has been learning from others, often through collaboration to combine efforts to address knowledge gaps, though more work needs to be done, working collaboratively with a respected research entity to gather data on the economic impacts of ALP models such as PSP and presenting results in a way that has a high potential to influence decision-makers. For example, ALP could collaborate with CCAFS to research the economic impact of using seasonal weather forecasts to mitigate flood or drought losses in Garissa and elsewhere (see recommendation 6).
5. Development and application of a completed Learning Strategy: Given the learning-centred focus of ALP, the program could have benefitted from a focused learning strategy, identifying high level learning objectives, target audiences and a more systematic approach to the generation of knowledge products based on the intended purpose or audience (e.g. technical briefs vs. policy briefs vs. learning from failures, etc). Furthermore, a learning strategy can identify and systematize evaluation methods to assess how well learning objectives are being met (e.g. use of post-training/post-learning event follow-up surveys).

ALP should develop a comprehensive learning strategy to address the above issues and also include the following:

- Monitoring and analysis of challenges and failures, which is equally critical for looking closely at both enablers and barriers to adaptive capacity.
  - Monitoring learning outcomes from training activities, learning events, learning routes: Post-training surveys completed 3-6 months following a training to assess how learning has been applied should be used to both measure the outcomes of learning as well as improve the learning process itself.
6. Measuring productivity gains from PSP: While there is significant testimonial evidence of impact of PSP on increased resilience as well as agricultural productivity and improved livelihoods, systematic data collection on these results has not been undertaken. Resources need to be applied to track these gains and support the evidence base for the economic and social value of local utilization of climate information through PSP. Further, there should be more use of data from the CVCA as a source of information on community vulnerabilities when preparing the PSP process. And there should be more use of data from the CVCA as baseline data on community vulnerability when doing evaluations of the effectiveness of the PSPs.

## **Monitoring and evaluation innovation**

7. Improved use of conceptual frameworks and CBA planning processes to support more innovative approaches to M&E (e.g. outcome monitoring): Traditional M&E approaches based on log frames, results matrices, formative and summative evaluations are ill-suited to more socially-innovative and complex interventions such as ALP. Both the CVCA process and the LAC Framework present a unique opportunity risks. Developing an outcome monitoring tool based on either would be an innovative attempt to track changes in these dynamics from baseline, through regular monitoring activities. Using developmental evaluation techniques, as opposed to the more conventional formative and summative evaluation approaches, would be one



way to capture these changes and the resulting learning on a more regular (and consistent) basis.

There has been rapidly growing interest in the M&E of adaptation in the last 5 years. A program of ALP's nature and scope presents unique opportunities to contribute to this space. Tools like the CVCA and LAC-F may be well positioned to monitor / measure changes in vulnerability (CVCA) and adaptive capacity (LAC).

8. The simplified analysis framework proposed in the Niger gender analysis should be explored further as an option for better tracking of the gender indicator.
9. ALP is in a good position to assist with, and advocate for, rigorous evaluation frameworks for those policies and programs that are built on ALP models (as in Kenya and Ghana) in order to measure the extent to which the integrity of CBA approaches have been maintained in the new government policies and programs, and to measure the effectiveness of what was put in place by governments, using the ALP pilots as comparators. This monitoring framework might be developed specifically a) for the scaled-up PSP program in Kenya, b) for the integration of adaptation nationally into District plans and budgets in Ghana, c) for the large-scale project developed in Ghana for submission to the AF, and d) for the PPCR community action project in Niger.

#### **ALP's CBA models:**

10. Forward-thinking decision-making at district-level and beyond - the use of climate information services at different temporal scales: The PSP process has been successful in helping farmers understand seasonal variability, uncertainty, likelihood and risk. Where more work is needed is at the district-level and beyond to help decision-makers and planners understand climate risks at a landscape-level and along longer timescales. Although climate projections are not currently available at timescales conducive for development planning cycles (5-10 years), some governments are moving towards defining a set of climate planning assumptions to align with planning cycles. These assumptions are a simple set of high-level observations about anticipated changes in temperature and rainfall with statements about month-to-month variability, year-to-year variability and longer-term change. They are based on the best available science at the time (and therefore are revisited as necessary) and are expected to inform future plans, strategies and decisions.
11. Addressing underlying drivers of community vulnerability by linking VSLA groups to microfinance institutions: Repeatedly, VSLAs have been reported by communities as one of the most significant changes brought about by ALP. Changes introduced not only include improved access to financial capital, but it has also been reported that social networks have been strengthened, and trust between community members  
g  
underlying causes of community vulnerability. In order to strengthen the VSLA model as a means to plan for, or respond to, climate-induced shocks and stressors, the VSLA model must be scaled-up and injected with additional capital. Building linkages between VSLA groups and microfinance institutions, and ensuring beneficiaries are spread across different risk profiles, may be one way to achieve this.
12. In the absence of more permanent gender resource persons, ALP could have benefited from a gender and diversity strategy to better systematize the integration of gender throughout ALP.



## 9. Annexes

- I. Key Informant interview guidelines
- II. Evidence tables
- III. List of people interviewed
- IV. List of documents reviewed
- V. Communication Plan
- VI. ALP logical framework
- VII. ToRs of the evaluation