# Final Evaluation of the IDRC/DFID Climate Change Adaptation in Africa Programme

## Final Report

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This report was prepared by:
*Alain Lafontaine, Team Leader, Le Groupe-conseil baastel ltée*
*James Oladipo Adejuwon, Geographer*
*Philip N. Dearden, Capacity Development Specialist, Centre for International Development and Training*
*Gaetan Quesne, Evaluation Specialist, Le Groupe-conseil baastel ltée*

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# Executive Summary

With the goal of significantly improving the capacity of African populations and organisations to adapt to climate change in ways that benefit the most vulnerable, the Climate Change Adaptation in Africa (CCAA) research and capacity development programme was launched in 2006 as a jointly funded initiative of the Canadian International Development Research Centre (IDRC) and the UK Department for International Development (DFID).

The final evaluation of the CCAA programme was conducted from September 2011 to May 2012 by a team of four experts with complementary expertise and experience, with the objectives to (i) evaluate the extent to which CCAA achieved its programme goal and objectives, the results of the programme, and the effectiveness of the programme management and governance; and (ii) to distil lessons about the specific approach taken by CCAA to build capacity and support research, learning and knowledge sharing on adaptation to climate change.

The evaluation was conducted in two phases: (i) the inception phase, which aimed to plan and scope the evaluation and develop the evaluation tools; and (ii) the data collection, analysis and reporting phase. Data collection tools included an in-depth programme documentation review; seven project desk case studies; nine project field visits; meetings with CCAA partners at the 17th Conference of the Parties to the United Nations Framework Convention on Climate Change held in Durban, South Africa; interviews with 102 individuals; focus groups with project beneficiaries involving more than 150 individuals; and two online surveys. The research quality was assessed through an in-depth review of 15 projects.

The evaluation team considers that CCAA **to a significant extent achieved its overall goal** "To significantly improve the capacity of African people and organisations to adapt to climate change in ways that benefit the most vulnerable." It contributed to building organisational capacity and improving the adaptation capacities of African researchers and local communities and organisations. It also helped increase the adaptation capacities of decision makers, but to a more limited extent. CCAA raised awareness among targeted local communities and local and national decision makers with respect to climate change issues, vulnerability assessment and adaptation strategies. It also significantly contributed to the knowledge base and the development of knowledge-sharing mechanisms at various levels. It provided some benefits at the local level for at-risk communities and the most vulnerable.

CCAA institutional, administrative and management set-up was suitable and effective. However, the role of the various decisional and management structures was not clearly defined. Advisory, decision and management dimensions were somewhat mixed up. The Advisory Board (AB) was responsible for making strategic and executive decisions, but its composition was better suited to serving as a technical and advisory body. Decisional aspects should have been covered by the donors and the implementing agency while the Advisory Board focused on strategic guidance and advisory services based on feedback provided by the management unit.

The Advisory Board was highly representative and its members were knowledgeable, high-level specialists. Nevertheless, the Advisory Board could have benefitted further from more operational-level experience.

Although DFID and IDRC's relationship changed over time, it did not negatively affect CCAA outcomes. The Project Management Unit was very effective with a high institutional capacity, but project officers were not sufficiently involved in the strategic decision-making process. Furthermore, project officers were overloaded and CCAA started too quickly, with a lot of money to disburse in the first year of implementation. The evaluation team considers that overall, CCAA was efficient in selecting and supporting research projects, strengthening their research proposals, mentoring, supporting their technical implementation and monitoring and evaluation. Communication within CCAA was generally good, even though an occasional lack of communication between IDRC Headquarters and regional office teams was observed. Although intense and time-consuming, the outcome mapping process used was effective in monitoring, evaluating and reporting outcomes generated by the projects supported in a participative way.

**CCAA to a significant extent achieved its first outcome,** "Research teams are better able to assess climate-related vulnerabilities and to evaluate and develop adaptation options." Through an interactive process, researchers'

capacities to develop proposals, define a clear and robust methodology and engage vulnerable communities and decision makers have been increased. Individual research capacities have been strengthened and awareness regarding climate change and variability among non-specialists has been raised, but some capacity gaps remain. CCAA contributed to building an African leadership in the area of adaptation to climate change and variability by enhancing the credibility, legitimacy and international visibility of African researchers. For instance, the *Centre de Suivi Écoloqique* (CSE) in Dakar was selected as one of the accredited national implementing entities for the Adaptation Fund; IDID ONG in Benin is now a key organisation in Benin for climate change adaptation issues; and the IGAD Climate Prediction and Applications Centre (ICPAC) in Kenya is now a climate prediction and modelling reference centre in the region. In addition, working with organisations that already had proven organisational capacities and expertise has been instrumental in that process. CCAA provided them with an opportunity to work in an emerging area of climate change activities.

**CCAA to a significant extent achieved its second outcome**, "at-risk groups, policy makers and researchers share learning and expertise on climate vulnerability and poverty." CCAA effectively supported the development of various knowledge-sharing mechanisms at the local, national and regional levels, and stakeholders increased their sharing, learning and expertise. However, not all the mechanisms developed are institutionalised and they might not be effective even in the near future. Although CCAA did encounter challenges over time in terms of disseminating knowledge, it did make an effort to bridge this gap.

**CCAA to a significant extent achieved its third outcome,** "the poor in rural and urban environments apply their experience of adaptation with the knowledge and technologies generated by research to implement improved and effective adaptation strategies." CCAA contributed to the knowledge base and to a process of behavioural and social change. It was able to synthesise and mobilise indigenous knowledge, creating spaces for interaction between orthodox science research outputs and traditional knowledge. The Participatory Action Research (PAR) approach enhanced the involvement of local communities in adaptation research by providing the opportunity to link them with researchers and decision makers and bringing research closer to adaptation needs, priorities and local realities. Overall, local stakeholders and communities and at-risk groups were involved in experiments, even though getting local communities fully involved in research projects usually takes more than two to three years. Local stakeholders applied the newly created knowledge, but the question remains whether such application and/or local buy-in will continue after projects end.

**CCAA to a moderate extent achieved its fourth outcome,** "policy processes are informed by good-quality science-based work on vulnerability and adaptation, and by the experiences of the rural and urban poor." Some institutional linkages were developed between researchers, decision makers and local stakeholders and some policy processes at the project-site level (and to a more limited extent at the national level) were informed and influenced, but CCAA encountered some challenges in linking with regional organisations and had limited influence on regional policies.

In terms of the quality of supported research, overall the research quality of the 15 projects reviewed is estimated as high. All but one of the projects reviewed showed a good framing of the research question defined; methodologies were rigorous and credible; the involvement of stakeholders in research design and implementation processes was deemed good; and research findings were reliable and substantiated by evidence. Projects demonstrated a significant innovative character. The main issue common to these projects relates to the number of peer-reviewed publications: half of the 15 projects reviewed had a low number of peer-reviewed publications or none at all. The level of contribution and grounding of the research was deemed high overall. The assessment shows that on the whole, projects provided medium direction for theory building or policy/practice. Relevant groups relied intensely on the research produced to frame policy.

The evaluation team considers that overall, CCAA's implementation provided good value for money. It built some of the basic capacities that are now needed for climate change adaptation research. Value for money could have been further increased if CCAA had continued for a longer period to ensure the sustainability of the initial investment. For such capacity building, knowledge sharing and PAR support programmes, benefits would have continued to grow over time with less financial investment. The investment-to-benefit ratio would have progressively increased.

The six-year limit on the CCAA support will impede the sustainability of programme results. Furthermore, pilot initiatives are liable to disappear after the projects end, and there is a risk that project results will not be scaled up or replicated. With respect to the devolution process of key components of CCAA, the evaluation team concludes that, first, key functions associated with CCAA like mentoring, research support and the funding of research activities seem to be absent in the devolution component to the West African organisation CORAF. CORAF's ability to handle the devolution process depends on its capacity to ensure that it has strategic allies; it is too early to assess the effectiveness and longer-term sustainability of the devolution process. Furthermore, the process of devolving the AfricaAdapt knowledge-sharing network has been too hurried and synergies need to be established between the various platforms to maintain this Africa-wide network. With respect to the devolution of the Adaptation to Climate Change Fellowship Program (ACCFP), the selected organisation—the Institute of Resource Assessment (IRA) / University of Dar Es Salaam—offered two rounds of ACCFP fellowships and more fellows categories have been included, but the evaluation team considers that IRA needs more capacity support to manage this second phase.

Based on these findings, the following key advice and recommendations are suggested.

### *Future programming on research*

In view of the findings in section 2.1 Governance and management structures and 2.2 Means and mechanisms in place, the evaluation team recommends the following for future programming on research:

**R1. Clear roles and responsibilities are crucial**

Governance structures for such a programme need to have clearly defined roles and responsibilities. A potential institutional set-up could include

i. A steering committee (SC) in charge of decision making and strategic guidance, comprising donors and implementing agency representatives, the programme manager and the chair of the scientific and technical advisory board;
ii. A scientific and technical advisory board, providing technical and scientific advice to the SC and meeting just before the SC meeting. It should have representation that allows both strategic-level support and expertise related to the operational focus of the research so as to provide a solid platform to critically steer the programme in innovative and locally relevant research areas; and
iii. A management unit.

**R2. Building up momentum**

Such initiatives need slower build-up, step by step, focusing on the structuring of the management unit, creating spaces for dialogue so that a strategic vision can emerge and solidify before making decisions, with a very limited number of pilot initiatives at the beginning. Furthermore, programme staff needs to be provided with sufficient time and resources to fully engage with and closely monitor the programme. The number of staff versus the number and size of projects should be analysed more carefully to avoid overloading project officers.

### *Future programming on research capacity development*

In view of the findings in section 3.1 Capacity development results, the evaluation team recommends the following for future programming on research capacity development:

**R3. Long-term commitment is needed to build organisational and institutional capacities**

Support for research programmes should build on a thorough capacity needs assessment, so that expectations in terms of research results can be contextualised and adequate capacity development emphasis built into the programme design from the outset. There continues to be a need at the individual and research team levels to develop African research partners' capacity to deliver meaningful applied research. Turning increased individual-level capacity into organisational and institutional capacity is a long-term commitment and requires long-term funding. Development partners need to take a longer-term view of Research and Capacity Development work and commit themselves to programmes that are for a minimum of ten years.

*Future programming on knowledge sharing*

In view of the findings in section 3.4 Knowledge sharing results, the evaluation team recommends the following for future programming on knowledge sharing:

**R4. Operational strategy for knowledge sharing and learning is needed at project design**

To avoid challenges in disseminating knowledge, an operational strategy for knowledge sharing and learning has to be built in from the start, in the project design. This strategy must be accompanied by a detailed communication plan developed early on in the implementation timeline, with appropriate resources, defined targets and tools. Care should be taken to develop an adapted communication strategy and approach relevant to local audiences.

Furthermore, devolution of a knowledge-sharing mechanism should not be rushed; otherwise, the value for money gained by it can easily be lost. Building in sustainability is key, and this takes time.

# Introduction

## 1.1. Background of the programme

A confluence of rapid increases in population, explosive growth of urban centres and largely unsustainable agricultural practices leading to land degradation is set to make Africa lag behind other regions in development in the 21st century. Among the threats to a sustainable livelihood is the threat to the global commons in the form of climate change, which, according to the United Nations Framework Convention on Climate Change (UNFCCC), refers to a change of climate attributed directly or indirectly to human activity that alters the composition of the global atmosphere and that is in addition to the natural climate variability observed over comparable time periods. Climate change will result in greater variability and more frequent extremes like droughts and floods. It is acknowledged that climate change poses a significant risk to future African generations.

Adaptation to climate variability and change offers a means of assessing and responding to potential impacts, with the goal of reducing the risk of adverse outcomes and increasing resilience in responding to stress. Adaptation is described as an adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects that moderates harm or exploits beneficial opportunities. Adaptation can be anticipatory or reactive, private or public, autonomous or planned.

With the goal of significantly improving the capacity of African populations and organisations to adapt to climate change in ways that benefit the most vulnerable, the Climate Change Adaptation in Africa (CCAA) research and capacity development programme was launched in 2006 as a jointly funded initiative of the Canadian International Development Research Centre (IDRC) and the UK Department for International Development (DFID). A strategy was designed to strengthen the capacity of African stakeholders to contribute to adaptation to climate change, support adaptation through action research, make the findings of scientists on climate variability and change more widely available and inform policy processes with high-quality science-based knowledge. In order to achieve the outlined goals and objectives, the programme incorporated three core activity areas: Participatory Action Research (PAR), capacity development and knowledge sharing. The expectation was that at the conclusion of the programme, research teams would be better able to assess climate-related vulnerabilities and evaluate and develop adaptation options; stakeholders would be better prepared to engage in knowledge sharing; the most vulnerable groups would be better equipped to implement improved adaptation strategies; and policy makers would be in possession of up-to-date knowledge necessary for mainstreaming vulnerability and adaptation issues.

## 1.2. Context of the evaluation

As presented in the Terms of Reference (ToRs) for this summative final evaluation (see Annex 1), the primary objective is to evaluate the extent to which CCAA achieved its programme goal and objectives, the results of the programme and the effectiveness of the programme management and governance. There is also a formative element to this evaluation, which is to distil lessons about the specific approach taken by CCAA to build capacity and support research, learning and knowledge sharing on adaptation to climate change. In light of this, the evaluation assesses CCAA's implementation since its inception, focusing on what can be learned from CCAA's approach and which direction(s) future programming on adaptation might pursue.

DFID and IDRC are the *primary users* of this evaluation, which serves as part of their commitment to accountability for results and assessing programme effectiveness. The evaluation findings will be used to inform ongoing and new DFID and IDRC investments in Climate Change Adaptation (CCA) as well as deliver new insights into CCAA's achievements and challenges to a wider community of stakeholders.

The *audience* for the evaluation includes CCAA partners and stakeholders; leads of phase two and legacy programming from CCAA; and other donors and CCA investors, including African governments. Programming/research planners, designers and managers should also be able to use the findings to help them design and roll out adaptation initiatives.

The key evaluation questions set out in the ToRs were the following:

1) To what extent has the CCAA programme achieved its goal and outcomes as developed in the programme strategies and outlined in the programme log frame?

2) Assess the results and contribution of the CCAA programme, positive or negative, intended or unintended, in terms of:

a. The significance of outcomes, especially for at-risk communities, but also for the programme's other boundary partners and others working in the broader field of CCA;
b. The quality of the research and relevance to adaptation priorities in Africa;
c. The effectiveness and sustainability of capacity development and knowledge-sharing efforts;
d. Effectiveness in building African leadership in the field of adaptation;
e. The sustainability of programme results, including consideration of the devolution of components of CCAA.

3) Was the programme's governance and management structure adequate and effective?

4) Provide a high-level assessment of the benefits derived from CCAA programming to direct and indirect beneficiaries compared to the investments made. How might CCAA's legacy continue to deliver benefits in the longer term?

5) What key advice would you give for future programming on research, research capacity development and knowledge sharing on adaptation to climate change in Africa?

## 1.3. Overview of the methodology

The evaluation was conducted by a team of four experts with complementary expertise and experience. Their biographies are presented in Annex 13. The evaluation was conducted in two phases: (i) the inception phase, aiming to plan and scope the evaluation and develop the evaluation tools; and (ii) the data collection, analysis and reporting phase, which used appropriate data collection methods and tools to collect the needed information, then synthesise and analyse all of the collected data and prepare the evaluation report.

The team undertook several steps to conduct this evaluation, which are described in detail in Annex 3. The whole evaluation process was structured on an evaluation matrix presented in Annex 4. Building on the evaluation questions provided in the ToRs, this framework detailed the judgment criteria based on which answers to these questions were formulated, and the relevant qualitative and quantitative indicators that were meant to inform these criteria. It also provided the data collection methods / sources of information used to inform the value of each of these indicators.

As part of the data collection process, the team conducted an in-depth programme documentation review. Furthermore, seven project desk case studies were conducted, based on a selection following a stratified sampling approach.[1] The team also conducted nine project field visits, including one project in Senegal, two projects in South Africa, four projects in Kenya and two projects in Benin.[2] Two experts attended the UNFCCC COP17 in Durban, where they met with CCAA partners. In total, interviews were conducted with 102 individuals, including Advisory Board members, CCAA staff, researchers, boundary partners, donors, beneficiaries and more. The complete list of interviewees is presented in Annex 5. Several focus groups in Kenya and Senegal were also conducted with project beneficiaries, involving more than 150 individuals. As well, two online surveys were developed and implemented: one with CCAA project partners and the other with external partners. The results of these surveys are presented in Annexes 9 and 10.

The extent of achievement of the CCAA goal (section 1) and outcomes (section 3) was assessed based on a five-point rating scale, which is detailed in the table below.

[1]Please refer to Annex 3 – Detailed methodology for more details about the sampling rationale.
[2]Ibid.

*Table 1 – Definition of the five-point rating scale*

| Ranking | Definition |
|---|---|
| To a large extent | Outcome fully achieved without major shortcomings. It exceeded expectations. All expected outputs under the outcome were fully achieved. Any gaps are considered insignificant. |
| To a significant extent | Outcome achieved, with only minor shortcomings. Overall, it met expectations. Most outputs under the outcome were fully achieved and very few were partially achieved. |
| To a moderate extent | Outcome partially achieved, with minor shortcomings. It met most expectations. About half of the outputs under the outcome were fully achieved, while a similar proportion were partially achieved or not at all. |
| To a limited extent | Outcome partially achieved but with significant/major shortcomings. It substantially failed to meet expectations. Very few outputs under the outcome were achieved and the majority of outputs were partially achieved or not at all. |
| Not at all | Outcome not achieved at all, and failed to meet expectations. The vast majority of outputs under the outcome were not achieved. |

# 1. CCAA impacts—achievement of goal

*Box 1 – Extent to which the CCAA programme achieved its goal*

The evaluation team considers that CCAA **to a significant extent** achieved its overall goal "To significantly improve the capacity of African people and organisations to adapt to climate change in ways that benefit the most vulnerable."

CCAA fulfilled its mandate of contributing to building individual and institutional research capacities. It contributed to organisational capacity and to improving the adaptation capacities of African researchers and local communities and organisations. It also contributed to improving the adaptation capacities of decision makers, but to a more limited extent. CCAA raised awareness of targeted local communities and local and national decision makers regarding climate change issues, vulnerability assessment and adaptation strategies. It also contributed to a significant extent to the knowledge base and the development of knowledge-sharing mechanisms at various levels. It has provided some benefits at the local level for at-risk communities and the most vulnerable.

All interviews with stakeholders conducted as part of this evaluation, the online surveys and the documentation review confirmed that CCAA contributed to improving the adaptation capacities of African researchers and local communities and organisations. It also contributed to improving the adaptation capacities of decision makers, albeit to a lesser extent. Research capacities in Africa were overestimated in the design phase and at the start of the programme, and therefore CCAA shifted its approach away from a strong research orientation to focus more on capacity development. That being said, the CCAA management and governance structure was able to take a 'learn by doing' approach and adapt its own strategic functions to the needs of the local and national reality. Most of the extensive capacity development was focused at the individual and research team level (individual fellowships, individual and team training workshops, etc.). As a result of this, it is not always easy to see the extent to which real organisational- or institutional-level capacity has truly been developed.

In the opinion of all interviewees, CCAA reached its main objective:

i. To develop and put in place initiatives of adaptive social learning;
ii. To provide African researchers with the means and capacities to work on vulnerability and adaptation to climate change impacts; and
iii. To strengthen the links between research activities and local development.

Therefore, one could conclude that improved research and adaptation capacities have benefitted the most vulnerable, mainly through PAR. Among the 46 research projects supported by CCAA, PAR was in most cases selected as the preferred methodology to engage those most vulnerable in joint learning. As demonstrated and illustrated in the section findings, some local policies and development strategies were strengthened and now include climate change concerns and adaptation solutions.

However, most of the CCAA project partners interviewed estimated that this support was delivered in too short a time period to ensure full replication and scaling up of the results from dispersed local initiatives to other geographical areas, including at the subregional and regional levels, but also to ensure full buy-in from and engagement of local stakeholders. Building trust and effective, lasting relationships is challenging within a three-year framework. CCAA made some efforts to relay adaptation innovations and practices to key regional organisations and policy groups across the continent, and even though some response from the African Ministerial Conference on the Environment (AMCEN) and the Southern African Development Community (SADC) was registered, the results were not always in line with what was expected and CCAA was not able to develop strong linkages with regional policies.

As demonstrated and illustrated in the sections below, CCAA to a significant extent raised awareness among targeted local communities and local and national decision makers regarding climate change issues, vulnerability assessment and adaptation strategies. It built the research and capacity foundations of a community of researchers and practice and contributed to the creation of research leadership in the field of climate models, vulnerability assessments and adaptation initiatives (examples of such built leadership are presented in subsection 3.5). CCAA also contributed through the Adaptation to Climate Change Fellowship Program (ACCFP) to the creation of a cadre of young trained scientists who are now engaged and consulted in their respective countries. However, there is a need for further support to consolidate these foundations and this cadre of expertise; capacity development is a longer-term process that requires more than five years. However, CCAA created a momentum to build upon.

CCAA also to a significant extent contributed to the knowledge base and the development of knowledge-sharing mechanisms at various levels, from local communities (such as local adaptation committees, drama used to channel seasonal forecasting to vulnerable groups) to regional and continental stakeholders (such as AfricaAdapt). It also contributed to testing adaptation options to gauge their viability and potential uptake by vulnerable groups. However, the evaluation team considers that learning processes could have been more effective, with, for instance, more peer-reviewed publications. Efforts are currently underway to fill in this gap, including the ongoing and effective Technical Experts Network (TEN) initiative (see section 3.4.1).

Through the research projects supported, CCAA provided some benefits at the local level for at-risk communities and the most vulnerable. For instance, adaptation measures have been mainstreamed into development and action plans such as in four municipalities in Morocco; farming yields have been increased at project site level in various countries such as Benin, Tanzania and Senegal; new and adapted water demand management techniques and technologies have been adopted, etc.

To conclude, the evaluation team considers that CCAA contributed to a significant extent to achieving its overall goal. As mentioned in the draft CCAA final report, "it has certainly underscored the importance of building the relevant knowledge base that would enable adaptation to take root."[3] However, some challenges with respect to the sustainability of these improved research capacities remain, as with the buy-in and adoption of some of the adaptation innovations and practices, the sharing of knowledge and policy influence. The sections below highlight some of CCAA's main achievements and the extent to which it achieved its expected outcomes, and provide details on key challenges that remain.

# 2. Programme's governance and management structure

| *Box 2 – Extent to which the governance and management structures were adequate and effective* |
|---|
| CCAA's institutional, administrative and management set-up was suitable and effective. However, the role of the various structures was not clearly defined, leading to decisional issues.<br>Although DFID and IDRC's relationship changed over time, it did not negatively affect CCAA outcomes.<br>The PMU was very effective with a high institutional capacity, but POs were not sufficiently involved in the strategic |

[3]Climate Change Adaptation in Africa programme. *Draft Final report. Draft of February 2, 2012*. February 2012. P. 89.

decision-making process.

The AB was highly representative and its members were knowledgeable, high-level specialists. Nevertheless, the AB could have benefitted from more experience at the operational level.

POs were overloaded and CCAA started too quickly, with a lot of money to disburse in the first year of implementation.

Communication within CCAA was generally good, although an occasional lack of communication between IDRC HQ and regional office teams was noted.

Although intense and time-consuming, the OM process is effective in monitoring, evaluating and reporting outcomes generated by their supported projects in a participative way.

## 2.1. Governance and management structures

### *2.1.1. Overall institutional set-up*

The vast majority of interviewees felt that the institutional set-up was effective, with IDRC as the implementing agency through its three regional offices in Dakar, Cairo and Nairobi and its Headquarters (HQ) in Ottawa. The geographical coverage was good and the administrative set-up and management were suitable and effective.

However, some project partners and programme management stakeholders felt that the actual roles of the various structures were not always clearly defined. Three aspects—Advisory, Decision and Management—were somewhat mixed up. As defined in the Advisory Board (AB) ToRs,[4] the mandate of the AB (cf. Annex 6) was a mix of advisory support and strategic guidance (e.g. providing strategic guidance to the Programme Management Unit, or PMU, suggesting broad monitoring and evaluation topics, acting as ambassadors for the CCAA programme), decision making (e.g. approving the Programme Strategy, the annual work plan and annual progress report) and management guidance (e.g. providing guidance to IDRC on programme management, contributing to the design of a devolutionary process).

In the opinion of several stakeholders involved in programme management, this definition of the mandate of the AB created some decisional issues, as the AB was responsible for making strategic and executive decisions, but its composition was oriented more towards serving as a technical and advisory body. In the opinion of some CCAA programme management stakeholders, this decisional aspect should have been covered by the donors and the implementing agency, while the AB focused on strategic guidance and advisory services based on feedback provided by the management unit. The evaluation team believes that an institutional set-up including three distinct bodies for a) decision, b) scientific and technical advisory support and c) management could have resolved this issue. For instance, as was the case for the RIPIESCSA adaptation research programme (which included one Steering Committee, one Scientific Committee and one Management Unit), and as is the case for many regional biodiversity conservation and adaptation programmes and/or facilities like the Global Environment Facility (includes the GEF Council, the Scientific and Technical Advisory Panel and the Secretariat of the GEF), this institutional set-up could have included

i. A Steering Committee (SC) in charge of decision making and strategic guidance, comprising donors and implementing agency representatives, the programme manager and the chair of the scientific and technical AB;
ii. A scientific and technical advisory board, providing technical and scientific advice to the SC and meeting just before the SC meeting; and
iii. A management unit.

*DFID and IDRC relationship*

DFID and IDRC's relationship changed over time. Although DFID staff were highly involved in designing the CCAA programme, they were less engaged when CCAA implementation started in 2006/7 due to staffing gaps and/or institutional changes in DFID. In 2008/9, DFID undertook a major restructuring of its research division,

[4]Climate Change Adaptation in Africa programme. *CCAA Advisory Board Terms of Reference*. P. 1.

which brought about considerable change. From this period, DFID started to review the expected CCAA outputs and results to try to better understand what the programme was actually delivering. One of the key issues that DFID and IDRC explored was what outputs/publications were going to emerge from CCAA projects. The important issue for DFID was understanding what early results and impacts of the PAR projects were, and how others could build on the insights that the CCAA projects were delivering. In the opinion of most of the project partners and stakeholders involved in programme management interviewed, CCAA was very responsive to this issue, even though this clearly resulted in considerable additional monitoring and capacity support work for Programme Officers (POs).

DFID's change in focus also resulted in a will and a need for them to be more closely associated with the programme's implementation. At the time, this caused considerable institutional tensions, but the programme's management was sufficiently adaptive to effectively deal with the required change and ease these tensions. Furthermore, in the opinion of the stakeholders involved in programme management interviewed and some project partners, while these tensions were palpable during the programme's implementation, both donors acknowledged this delivered a positive outcome in the form of the PAR guide and the Technical Experts Network (TEN) initiative.

### *2.1.2. Programme management unit*

All CCAA project partners, AB members and programme management stakeholders interviewed stated that the PMU was very effective, with a high institutional capacity. Most project partners acknowledged the easy and accessible availability of the POs and applauded their professionalism. In their opinion, POs provided project partners with important support for developing strong research proposals, implementing and monitoring research activities and also engaging with local and national stakeholders. For instance, all granted projects through CCAA benefitted from POs giving important practical "hands-on" mentoring support to develop strong and bankable proposals. Most proposals were developed following extensive exchanges between POs and project partners, and this often resulted in good, strong proposals.

However, some interviewees felt that POs were not sufficiently included in the strategic decision-making process. For instance, they were not consulted in AB meetings and were not involved in the design of the IDRC Climate Change and Water programme (CCW), for which they could have provided useful advice and guidance.

The evaluation team concludes that the PMU was effective and accessible, providing important support for proposal design, project implementation and monitoring.

### *2.1.3. Advisory Board*

As mentioned in the CCAA 2006-2007 annual report, "balancing the necessity of donor accountability with the aim of ensuring the programme is guided by African expertise and priorities, an AB was struck. This body is composed of a minimum of six members, where one member represents each donor agency and the number of donor members does not exceed that of African members. At least four members are citizens of African countries, preferably working for an African institution and active in the field of CCA."

All programme management stakeholders and AB members interviewed stated that the AB was representative of the diversity of CCAA objectives, PAR, geography, etc., even though it could have benefitted from greater operational representation. AB members were reported as being very knowledgeable, high-level specialists. They were able to contextualise CCAA work and "open some doors" for the programme.

All stakeholders involved in programme management stated that AB members were committed and provided feedback and good direction in AB meetings. However, some interviewees felt that AB members could have provided more critical viewpoints and also more specific inputs between AB meetings. This aspect had already been highlighted in the Mid-Term Evaluation (MTE), which stated that "there were some suggestions that the AB could perhaps play a more robust and critical role."[5]

[5]Watkinson, A., Khennas, S., Misselhorn, A., Footitt, A. *Mid-Term Review of the DFID/IDRC Climate Change Adaptation in Africa (CCAA) Research and Capacity Development Program*. October 2008. P. 16.

The evaluation team concludes that although the AB could have benefitted from more operational representation, it was representative and its members were knowledgeable.

## 2.2. Means and mechanisms in place

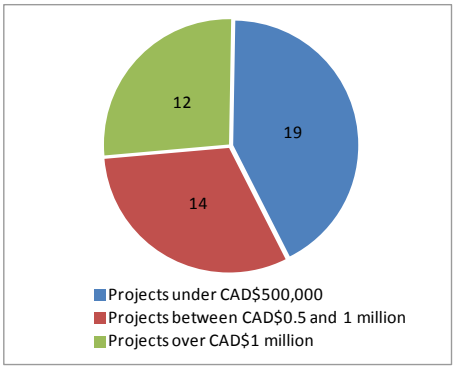
### *2.2.1. Human and financial means in place*

The vast majority of programme management stakeholders and some project partners estimated that POs were overloaded and that there should have been more of them to undertake all the required programme activities. The role of POs is to manage projects, provide technical support and assistance, ensure monitoring and connect partners to new opportunities. Stakeholders interviewed felt that the technical assistance provided, although necessary, was time-consuming and not well planned for in the design of the PMU. However, all interviewees stated that the POs were very effective and provided the project partners with strong technical and administrative support.

In the opinion of all the programme management stakeholders interviewed, CCAA started too fast and was under a lot of pressure to disburse a lot of money in the first year of implementation. This situation was very stressful for many concerned. The programme was launched in 2006 and the communication officer was the first person hired. CCAA then launched its first call with support from its internal staff, and the management team was then recruited. In the opinion of all interviewees, CCAA should have started more slowly and in a more gradual manner, with a clear structuring of the management unit at the beginning of the programme. That being said, a lot was achieved in a short time, thanks (in the opinion of the vast majority of interviewees) to IDRC's track record, management structure and considerable ability to give flexible support. The evaluation team concludes that CCAA started too quickly and would have needed a slower build-up, focusing on the structuring of the management unit, with a very limited number of pilot initiatives at the beginning and gradually increasing the support provided.

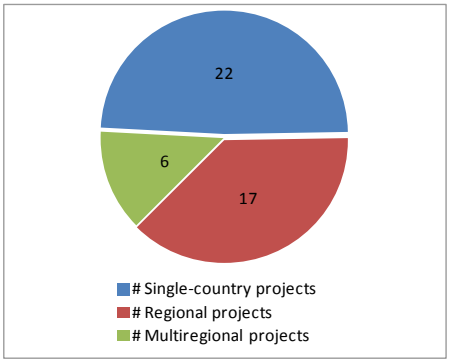
The vast majority of programme management stakeholders estimated that **communication within CCAA** was good overall, fostered by staff engagement and Information and Communications Technology (ICT), even though a few programme management stakeholders commented on the occasional lack of communication between IDRC HQ and regional office teams.

*Figure 1 – Distribution of CCAA-supported projects by level of funding*




CCAA provided financial support through various funding channels, including PAR projects, capacity development projects, knowledge-sharing projects and small-grants projects. With respect to PAR projects, two calls for proposals were launched, with the first predominantly funding agricultural projects. As some geographical and thematic gaps were observed after this first call, a second one was launched specifically targeting urban projects. In total, CCAA supported 22 single-country projects, 17 regional projects and 6 multiregional projects (cf. figure 2). Nineteen (19) projects received funding under CAD$500,000; 14 between CAD$0.5 and 1 million; and 12 over CAD$1 million (cf. figure 1).

*Figure 2 – Distribution of CCAA supported projects by type of project*




With respect to project implementation, the case study and field visits highlighted the fact that projects were generally well implemented and managed, even though a few project administrative and financial management issues were identified, such as delayed payments (sometimes because of financial issues in reporting, sometimes because of issues with the technical reporting, and in a few cases because of audits), contracting issues and delays in implementation. Because of delays in implementation, many projects required a time extension.

The evaluation team concludes that although CCAA started too quickly and POs were overloaded, they were very effective and provided the project partners with strong technical and administrative support. Communication within CCAA was good overall, although a lack of communication was observed on occasion between IDRC HQ and its regional offices. Overall, projects were well managed.

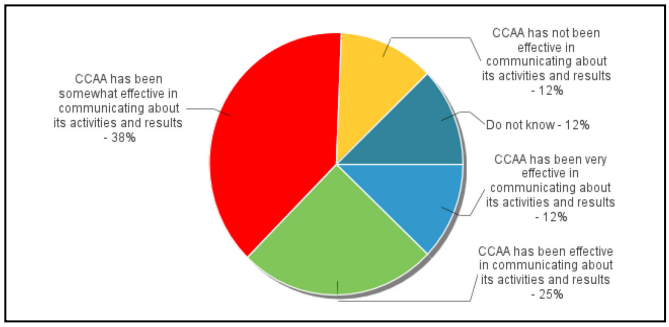
### *2.2.2. Communication*

With respect to communication, CCAA used various methods of communicating and informing stakeholders about its activities and outputs/outcomes, including the following:

i. Informing advisors and donors—through the development and use of biannual interim AB updates, AB meetings and documentation, annual reports, quarterly financial reports and the final report covering 2006–2012, which is being prepared;
ii. Informing the public about the programme as a whole, its strategy, approach and activities—through pamphlets, a website, public annual reports and extracts, quarterly electronic bulletins and national and international media outreach;
iii. Communicating about its outputs and outcomes (output management)—external communications support such as CCAA learning papers, "Adaptation is" series, "Adaptation Stories,"[6] outcome journals, hosting and involvement in strategic events such as UNFCCC COP and project films;
iv. Sharing the knowledge generated and communicating about CCAA findings and lessons learned—through the AfricaAdapt web platform, peer-reviewed publications, grey literature, etc.

For programme-level communications, specific target audiences were (i) African regional organisations; (ii) national and regional decision makers in Africa; (iii) African and international research institutions working in CCA; (iv) bilateral and multilateral donors active in CCA; (v) community-based organisations and NGOs active in CCA; and (vi) Canadian and UK government departments and citizens.[7]

*Figure 3 – Appreciation by CCAA external partners of CCAA effectiveness in communicating its activities and results*




Interviews with project partners and external partners showed that overall, CCAA reached African regional organisations, African and international research institutions, bilateral and multilateral donors and community-based organisations and NGOs active in CCA. CCAA was well known by the international adaptation community and had good visibility on the international stage. Furthermore, one-third of the external partners that responded to the online surveys stated that CCAA was "effective" or "very effective" in communicating its activities and results to others (cf. figure 3). However, interviews and field visits demonstrated that CCAA and its supported research were more effective in reaching national and regional researchers than decision makers in Africa.

All interviewees agreed that financial means for communications were sufficient. However, some programme stakeholders interviewed felt that having the communication officer located at IDRC HQ in Ottawa was not the most effective strategy, as she was far from POs and the majority of the CCAA audience and was missing a link with the field. Some interviewees felt she should have been based in Dakar, closer to POs and the communication audience. Furthermore, using IDRC's website was not always effective, as it could take up to six weeks to upload information online due to an obligation to go through IDRC's web services based in Ottawa. CCAA's communication policy, which had to follow IDRC's general communication policy (use of IDRC website, IDRC grant contract policy and therefore IDRC logo, etc.), created tension between DFID and IDRC, as the former was sometimes not sufficiently visible on communication materials. The evaluation team believes that communication

[6]Climate Change Adaptation in Africa programme. *Adaptation Stories*. 2010. 60 pp.
[7]Climate Change Adaptation in Africa programme. *CCAA communications priorities and plans, 2011-12*. March 28, 2011. P. 5.

aspects should have been covered in the Memorandum of Understanding (MoU) between DFID and IDRC to avoid any such issues during programme implementation.

The evaluation team concludes that the CCAA communication strategy was effective in reaching national, regional and international organisations, even though it was more effective in reaching researchers than decision makers. Although using IDRC's website was not the most effective choice, the means of communication were sufficient.

### *2.2.3. M&E procedures*

With respect to Monitoring and Evaluation (M&E) procedures, CCAA used the Outcome Mapping (OM) approach. The vast majority of project partners interviewed acknowledged the effectiveness of the OM process in monitoring, evaluating and reporting in a participative way. Compared to other M&E processes, OM focused on changes in the behaviour, relationships, activities or actions of the boundary partners and organisations with whom CCAA interacted. It provided CCAA with a systematic M&E approach that could be transposed to every CCAA project. It allowed for effective monitoring of the level of contribution to CCAA outcomes, and was therefore useful to highlight at a specific time during project implementation the level of achievement of project results and their linkages and contribution to CCAA programme outcomes. However, all project partners and programme management stakeholders interviewed stated that OM is a very intensive and time-consuming process, even though the output of this process, the Outcome Journals (OJs), provides a good indication of the results achieved by projects and is an exhaustive source of information. OJs highlight key findings, successful processes, outputs and results achieved by projects, identify key stakeholders involved in these processes, outputs and results and key lessons learned.

The vast majority of project partners interviewed stated that the training received on the OM process was useful and strengthened their M&E capacities and their implementation of this M&E process. However, some interviewees felt that the MTE was undertaken too early in the implementation timeframe.

The main challenge that CCAA experienced with respect to M&E was in synthesising key project findings and lessons learned in a manner that was useful to communicate the overall CCAA results. As an answer to this issue, CCAA is currently developing a final report and a book that will synthesise the key findings and document the key lessons learned, the way forward and the remaining challenges.

The evaluation team concludes that although OM is an intensive and time-consuming process, it was an effective and participative tool to monitor, evaluate and report on the level of achievement over time of CCAA outcomes. However, the evaluation team believes that the Logical Framework (LF) developed at the start of the programme (and updated during programme implementation) and the OM process overlapped. The linkages between the LF and OJs and their complementarities were unclear. Furthermore, the evaluation team feels that the LF was weak. The indicators identified in the LF were not SMART[8] and as they stood, it would have been very difficult to actually use them as sensible measures.

# 3. CCAA outcomes

| *Box 3 – Extent to which the CCAA programme achieved its outcomes as developed in the programme strategies and outlined in the programme logframe*[9] |
|---|
| **CCAA to a significant extent achieved its first outcome:** "Research teams are better able to assess climate-related vulnerabilities and evaluate and develop adaptation options"—individual research capacities were strengthened and awareness on CC and variability among non-specialists was raised, but some capacity gaps remain. |
| **CCAA to a significant extent achieved its second outcome:** "at-risk groups, policy makers and researchers share |

[8]Specific, Measurable, Attainable, Realistic and Timely – as described in OECD/DAC. *DAC Guidelines and Reference Series. Quality Standards for Development Evaluation.* 2010. 24 pp.
[9]The extent of achievement was assessed based on a five-point rating scale presented in subsection 1.3.

learning and expertise on climate vulnerability and poverty"—various knowledge-sharing mechanisms were developed at the local, national and regional levels and stakeholders share their learning and expertise; however not all of the mechanisms developed are institutionalised and will continue to be effective in the near future.

**CCAA to a significant extent achieved its third outcome:** "the poor in rural and urban environments apply their experience of adaptation with the knowledge and technologies generated by research to implement improved and effective adaptation strategies"—CCAA contributed to the knowledge base and to a process of behavioural and social change. It was able to synthesise and mobilise indigenous knowledge, making room for interaction between orthodox science research outputs and traditional knowledge. Local stakeholders applied this knowledge but doubts regarding this application and/or buy-in by local communities after project life remain.

**CCAA to a moderate extent achieved its fourth outcome:** "policy processes are informed by good-quality science-based work on vulnerability and adaptation, and by the experiences of the rural and urban poor"—some institutional linkages were developed between researchers, decision makers and local stakeholders and some policy processes at the project site level (and, to a more limited extent, at the national level) were informed and influenced, but CCAA experienced some issues in linking with regional organisations and had limited influence on regional policies.

## 3.1. Capacity development results

### *3.1.1. Individual capacities*

In terms of CCAA capacity development, change is embraced and perceived as a participatory social process through which people and organisations work towards greater autonomy, increased efficacy, enhanced skills and social justice.[10] All interviewees, including project partners, external partners and programme management stakeholders agreed that building individual capacities was one of CCAA's main achievements.

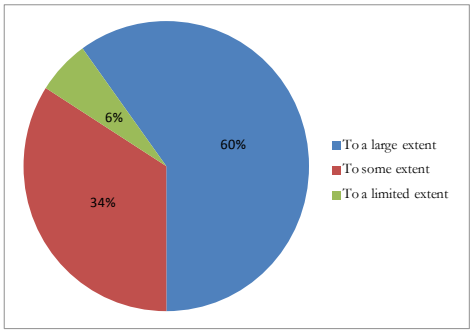
*Table 2 – Synthesis of CCAA individual capacity development activities and outcomes*

| | Synthesis of individual capacity development activities and outcomes | |
|---|---|---|
| | **From CCAA support** | **From CCAA-supported research projects** |
| **Activities** | • 15 training workshops held over 3 years<br>• 2 demand-driven workshops supported<br>• 469+ researchers attended the workshops<br>• Support from the Conference Support Fund to 44 individuals for attending adaptation-related conferences in 2007-2008 and attendance of 2,874+ people at 29 conferences from 2008–2010<br>• 45 fellows awarded from the ACCFP—see box 4<br>• Mentoring from CCAA staff | • Local and national workshops involving representatives from local communities and farming organisations, local governments, decision makers, researchers<br>• Community sensitisation forums<br>• Involvement and support to PhD and masters students – 47 theses published in various thematic[11] publications<br>• Training of journalists conducted on various projects |
| **Outcomes** | • Enhanced knowledge base and research capacity of researchers in anticipating, managing and analysing vulnerability associated with CC and variability and developing appropriate adaptation strategies<br>• Increased capacities in developing good-quality proposals<br>• Increased capacities in PAR processes and approach<br>• Increased capacities in OM | • Raised awareness among farmers, local and national extension services, local and national decision makers, specialists and non-specialists working in environmental or broad ministries<br>• Built expertise in various aspects of climate science and promoted local experiences and home-grown solutions<br>• Increased capacities of researchers in terms of penetrating policy spaces, mapping policy makers<br>• Improved understanding of various dimensions of vulnerability, use of baseline vulnerability assessments<br>• Improved capacities to develop and adopt adaptation options and to analyse, assess and integrate climate adaptation issues into long-term strategic development planning |

[10]Climate Change Adaptation in Africa programme. *Program Strategy*. July 2007. P. 12.
[11]Climate Change Adaptation in Africa programme. *12th Advisory Board meeting. Update on CCAA activities*. Nairobi. February 2012. P. 1.

Interviews, field visits and case studies all showed that CCAA was effective in building and strengthening individual research capacities through two channels—direct CCAA support and CCAA-supported research projects themselves (cf. table 2)—and reached its individual capacity development objectives.[12]

*Figure 4 – Extent to which CCAA projects produced increased capacity for research in CCA*




Sixty percent (60%) of respondents to the CCAA project partner online survey stated that the project they were involved in to a large extent fostered an increased capacity for research in CCA (cf. figure 4).

Table 3 below shows that 66% or more of respondents (up to 74%) stated that the capacity areas identified in the abovementioned capacity development objectives saw significant improvement. Only 40% of respondents stated that building expertise in climate science was a significant aspect of the capacity that was improved. However, it should be noted that CCAA did not make significant investments in climate science *per se* and that most PAR projects instead focused either on using outputs from climate science or worked from social vulnerability assessments.

*Table 3 – Aspects of capacity building that are perceived as significantly improved as a result of CCAA support*

| Response | Chart | Response % |
|---|---|---|
| Enhanced knowledge base and research capacity of African institutions and researchers in anticipating, managing and analysing vulnerability associated with CC and variability | | 66% |
| Built, strengthened and enhanced knowledge base and research capacity of African institutions and researchers in developing appropriate adaptation strategies | | 66% |
| Strengthened awareness on climate change and variability among specialists and non-specialists working in environmental or broad ministries | | 74% |
| Built capacities of African researchers to analyse, assess and integrate climate adaptation issues into long-term strategic development planning | | 69% |
| Built expertise in various aspects of climate science | | 40% |
| Built expertise in promoting local experiences and home-grown solutions | | 66% |

The overall perception from interviewees was that training initiatives were relevant to their needs and were well organised. Furthermore, the vast majority of project partner respondents to the online survey stated that CCAA capacity development activities (workshops, learning forums and conference fund) were relevant to their needs.

The initial needs assessment study conducted by Nyong overestimated the research capacity of African researchers. The evaluation of proposals from the first call highlighted some important capacity gaps; proposals and methodologies were generally weak, with outputs and outcomes often confused or too generic. Furthermore, the questions were not well formulated, the engagement of vulnerable communities and policy makers was not strong in most cases and strategies for disseminating results were weak. Following this first evaluation, CCAA POs provided support to project teams to develop stronger research proposals. At the end of this process, proposals were indeed stronger, showing an increased capacity. The evaluation team concludes that this interactive process increased the capacities of researchers to develop proposals, define a clear and robust methodology and engage vulnerable communities and decision makers. As mentioned by one of the POs, "Taking a hands-on approach in project development has been key, as often the full proposals received did not reflect the initial concept notes. This mentoring is labour intensive, but pays off."

[12]As defined in Climate Change Adaptation in Africa programme. *CCAA Capacity Development Plan. Draft 2: April 2007*. April 2007. 23 pp.

As highlighted by the project partner survey and mentioned by some programme stakeholders, building expertise in climate science was a significant aspect of capacity that was improved, but some capacity gaps in this area remain, such as analytical capacities. Analytical capacity refers to researchers' ability to go beyond the empirical research work, conducted for instance through the development of case studies, specific experiments on a site, etc., and into the analytical research work that is both upstream and downstream from this empirical research and allows for the testing of broader research hypotheses and models from an array of data sources. Unsurprisingly, in the past, such a role in research has typically been performed by industrialised country research institutions, building on the empirical work done with their partners in African countries. As one moves on to building African leadership in research, this analytical function needs to be further strengthened in African research circles.

**Box 4 – The ACCFP**

The Adaptation to Climate Change Fellowship Program – Phase 1 was carried out from 2007 to 2010 by Global Change System for Analysis, Research and Training (START), in partnership with the Institute of Resource Assessment (IRA) – University of Dar Es Salaam and the African Academy of Science (AAS).

As a result of Phase 1, 45 fellows were awarded long-term master's degree scholarships, ensuring that young African scientists are educated and trained and given opportunities to work in the field of climate change and variability.

The evaluation team concludes that CCAA was effective in building and strengthening individual research capacities and in raising awareness on CC and variability among non-specialists. However, some capacity gaps still exist, particularly with respect to analytical capacities. The individual capacity built should remain and trained researchers should use their new expertise in future research projects; concern for the sustainability of these built capacities is therefore low. There is, however, a greater concern about retaining expertise within research institutions and NGOs, as trained staff are often recruited to work for international organisations.

### *3.1.2. Organisational and networking capacities*

Figure 5 highlights the three important conceptual dimensions of capacity development and illustrates how some individuals can, over time, influence their organisations and indeed help create an 'enabling environment' or longer-term institutional change.[13]

*Figure 5 – The three dimensions of capacity development (from FAO 2011)*


Most CCAA capacity development activities were focused at the individual or research team level and not at the organisational or institutional level. While it is clear that many individuals and some teams clearly benefitted and considerable capacity was built, it is less easy to see the extent to which real organisational- or institutional-level capacity was developed as a result of this.[14]

As a result of individual capacity development support, new leaders have certainly emerged. However, it is again not always easy to see how this emergence has resulted in longer-term organisational change or longer-term improvements. Importantly, it needs to be noted that organisational change is much more of a long-term goal issue and therefore not something that could easily be reached within the programme's relatively short timeframe. The programme's legacy at the present time is a large group of well-educated and trained individuals, who, given further support and the right conditions, may well go on to bring about considerable positive change for the future.

[13]Department for International Development (DFID). *How to note. A DFID practice paper. Capacity building in research*. 2010. 42 pp.
[14]An alternative approach could have been to put all the research and capacity development money into maybe five or six carefully chosen quality research institutions and have a more focused approach, as opposed to a rather "scattergun" project approach across Africa. Consideration of this alternative approach is well beyond the TORs of this study but its consideration, while methodologically seriously challenging, could be of great interest should a further impact study of the programme be considered in the future. As indicated by DFID/IDRC, this idea of providing a limited number of institutions with more significant support is the approach taken by IDRC's CCW AARC initiative and other "next generation" programmes at IDRC and DFID.

Interviews with project partners, field visits and case studies showed improved relationships between organisations involved in CCAA projects. CCAA led to strong institutional linkages between organisations. In the future, these could lead to stronger collaborations and an improved organisational capacity to link up with other national and regional centres and institutes.

With respect to networking capacities, interviews with project partners highlighted many new instances of collaboration between project partners. Many CCAA researchers now know of others working in the field and are, for example, able to develop collaborative research proposals. There were many testimonies of individuals and organisations now working together who did not even know of each other before CCAA.

The AfricaAdapt web platform also played an important part in supporting networking between organisations involved with CCAA and creating new linkages between organisations.

The evaluation team concludes that although it is clear that the capacities of many individuals and some teams have been built, it is less easy to see the extent to which real organisational- or institutional-level capacity has been developed as a result. CCAA has contributed to improving researchers' attitudes and, indeed, their ability to network, resulting in strong institutional linkages between organisations.

### *3.1.3. Awareness-raising results*

CCAA was effective in raising awareness on climate change and variability among non-specialists, such as decision makers, local authorities, farmers and extension services. Interviews with project stakeholders, focus groups with communities and the project partner online survey all showed that CCAA contributed to raising awareness regarding the effects of climate change, variability and adaptation options among the following:

- Farmers and local communities involved in CCAA projects, for instance by using adaptive farming practices, improved seeds and an adaptive farming calendar, flood prevention and response in urban areas;
- Local and national extension services, for instance with improved capacities to supply services to farmers, fishermen, water users and committees; and
- Local and national decision makers, for instance with improved capacities for analysing climate scenarios, mainstreaming adaptation within development plans and animating local early warning systems.

## 3.2. Quality of research and relevance to adaptation priorities

The quality of research was assessed through an in-depth review of 15 projects, representing significant coverage of CCAA research projects. Two main criteria guided this assessment: merit and significance of the supported research. Details on the results of this assessment can be found in Annex 8.[15] Figure 6 shows the results of this assessment. For each criterion, the darker the shading, the higher the score on a 0–3 scale (relevant scores on a scale of 0 to 3 were defined for each criterion used).

*Merit of supported research*

Figure 6 shows that overall, the quality of the 15 projects reviewed is high. All but one of the projects reviewed showed a good framing of the research question defined; methodologies were rigorous and credible (mainly as a result of PO support), the stakeholders' involvement in research design and implementation processes was deemed good and research conclusions were reliable and substantiated by evidence. Projects show a significant innovative character. The main issue common to these projects relates to the number of peer-reviewed published texts.[16]

[15]The assessment of the quality of research was conducted by the geographer. The criteria used for this assessment are presented in Annex 8, as well as the detailed results of the assessment.

[16]However, it should be noted that the ranking for the number of publications could be linked to the timeframe of the projects. Of the 15 project assessed, 9 begin with numbers "104xxx" which means that they began in 2007. They are therefore unlikely to be as advanced in publication plans.

The various research studies derived from the goals, objectives and activity areas as well as the research methodologies are spelled out in the CCAA programme strategy. These, coupled with mentoring and continuous monitoring by the PMU, ensured a high minimum standard among the projects being assessed with respect to the quality of the research. In terms of (i) the quality of the research question defined, (ii) the rigour and credibility of the research methodology, (iii) the involvement of stakeholders, (iv) the reliability of conclusions and findings, and (v) the number and quality of publications, five projects, including 104139 (on radio drama in Nigeria), 104141 (on strengthening innovation in Tanzania and Malawi), 104146 (on reducing vulnerability in the Greater Horn of Africa), 104707 (on the malaria prediction model in East Africa) and 104955 (on knowledge sharing) were deemed by the evaluator in his assessment to be success stories. In all of the 'success story' projects, leadership—whether at the institutional or individual expert level—was critical. In the case of projects with study areas extending beyond the territorial limits of one country, the research question could not be sufficiently refined as a result of the multiplicity of biophysical, cultural, social and economic challenges. Assessed as having the least merit, project 105868 (on Sub-Saharan African cities) should not have been approved for funding. The team responsible for making the proposal lacked critical expertise in geography, climatology and urban and regional planning.

*Figure 6 – Results of the quality of research assessment*

| | projects reviewed | | | | | | | | | | | | | | | Scoring average out of 3 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Research Merit** | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | |
| Quality of defined research question | | | | | | | | | | | | | | | | 2,7 |
| Level of rigor and credibility of research methodology | | | | | | | | | | | | | | | | 2,7 |
| Stakeholder involvement in research design and implementation | | | | | | | | | | | | | | | | 2,7 |
| Evidence and reliability of research conclusions and findings | | | | | | | | | | | | | | | | 2,7 |
| Number of peer reviewed publications | | | | | 0 | | | 0 | | 0 | | | | 0 | | 1,6 |
| Level of innovation | | | | | | | | | | | | | | | | 2,3 |
| **Research significance** | | | | | | | | | | | | | | | | |
| Level of contribution and grounding of the research | | | | | | | | | | | | | | | | 2,7 |
| Level of direction for theory building or policy/practice | | | | | | | | | | | | | | | | 2,4 |
| Level of use by relevant groups in framing policy | | | | | | | | | | | | | | | | 2,8 |
| **Total score out of 27** | 26 | 18 | 27 | 27 | 23 | 23 | 22 | 24 | 27 | 19 | 25 | 24 | 23 | 10 | 21 | |

*Significance of supported research*

Figure 6 shows a good significance of the research results of the projects assessed, since (i) the level of contribution and grounding of the research was deemed high overall; (ii) on the whole, projects provided medium direction for theory building or policy/practice; and (iii) the research is deemed to be intensely used by relevant groups for framing policy.

The originality of the research conclusions and findings could not be assured with respect to agricultural practice, given that there have been substantial and successful activities based on policies designed to modernise agriculture in Africa, both during and since the end of the colonial era. Much of the expected outputs and outcomes were anticipated and achieved by existing nationally and internationally funded agricultural institutes still functioning all over the continent. Speaking of project significance in general, while the list of outcomes may be long, given the three-year project life, their credibility is not yet assured. Exemplified by project 104140 (on enhancing the adaptive capacity of local communities), there has been a tendency to exaggerate some outcomes, with projects then appearing to be too good to be true. However, a considerable proportion of the outcomes represent indelible footprints in the form of research publications, adoptable adaptation measures, seasonal weather prediction models and early warning systems for anticipating and forestalling outbreaks of malaria.

*Relevance to adaptation priorities*

As matters of priority, the CCAA programme recognises the need to strengthen stakeholders' capacity to contribute to adaptation efforts, support adaptation by rural people through action research, generate a better shared understanding of the findings of scientists and research institutes on climate variability and change, and inform policy processes with good-quality science-based knowledge. Each CCAA project addresses the question of capacity

development in specific ways, including the acquisition of higher university degrees and on-the-job training at research institutes. Action research was also adopted as the preferred approach by most of the projects to support adaptation, particularly by the most vulnerable.

CCAA-supported research projects focused on the following thematic areas: agriculture and rural livelihood (46%); urban (20%); water (5%); coastal (8%); health (3%); capacity development and knowledge sharing (18%).[17] With respect to these thematic research areas and the project distribution, most project partner online survey respondents indicated that they were all relevant or highly relevant to climate change risks, adaptation practices and challenges in Africa. However, respondents to this online survey suggested the following additional thematic areas should have also been covered: political, institutions, investment, gender, energy and transport.

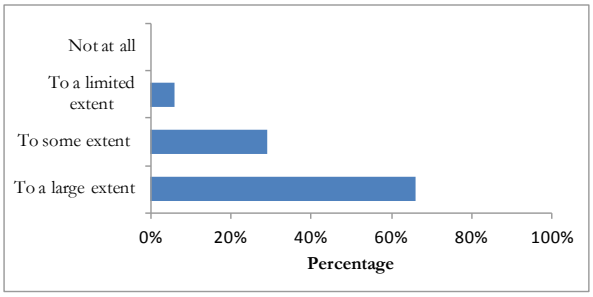
The vast majority of respondents to the external partner online survey stated that, given the CCA priorities and challenges that have come to the fore in Africa over the last five years, CCAA-supported research themes were relevant or highly relevant. Field visits and desk case studies showed a good level of relevance to national priorities and policies. Several projects were directly relevant and connected to the National Adaptation Programme for Action (NAPA) and aligned to its priorities.

To conclude, the evaluation team considers that the CCAA programme's activities and focus were adequate and relevant to the international adaptation agenda and themes presented and debated at international adaptation forums.

## 3.3. CCA knowledge produced

The field visits, case study and the quality of research assessment showed that CCAA contributed to the CCA knowledge base, especially regarding the following key issues: seasonal forecasting, weather forecasts, climate model downscaling in some cases (such as the pastoralist livelihood security project #104752 in Kenya), social vulnerability, climate-resilient agriculture, materials and tools to improve local access to and transmission of climate information, risk-predicting models and linking indigenous knowledge to science.

*Figure 7 – Perception of the extent to which CCAA-supported projects produced new knowledge on CCA (n=35)*




As shown in figure 7, 66% of project partner online survey respondents declared that the CCAA project they were involved in produced new knowledge on CCA to a large extent. In contrast, only 6% declared that the contribution to new knowledge was limited.

Interviews conducted as part of this evaluation process highlighted that CCAA's contribution to new technologies was rather limited, and that CCAA contributed more to the creation of new knowledge on how to apply, or facilitate the adoption of, existing technologies and to the innovative packaging of existing knowledge to specifically address adaptation concerns while supporting a process of behavioural and social change. As mentioned in the draft CCAA Final Report Summary, "CCAA's legacy is not measured in terms of new technologies or sophisticated models, but by its contribution to establishing […] spaces for social learning."[18] CCAA was able to synthesise and mobilise indigenous knowledge, creating spaces for interaction between orthodox science research outputs and traditional knowledge, and supporting their application by local communities.

[17]This portfolio analysis does not include the six component projects of project 104270 "Health, Water and Climate Change," as they were reviewed as part of the Ecohealth External Review.
[18]Climate Change Adaptation in Africa programme. *Draft CCAA Final Report Summary*. February 2012. P. 7.

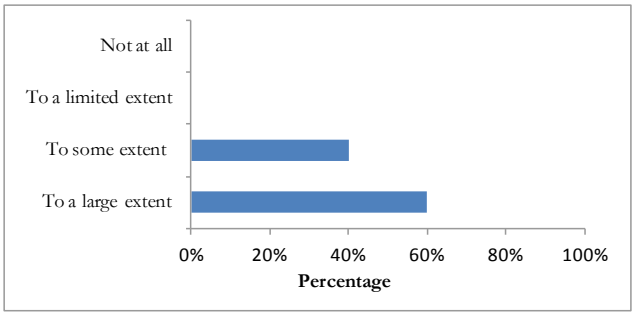
## 3.4. Knowledge-sharing results

### *3.4.1. Knowledge-sharing mechanisms*

The vast majority of interviewees estimate that CCAA contributed to the increased involvement of researchers in international forums and workshops, such as the UNFCCC negotiations and climate talks.

Figure 8 shows that respondents to the project partner survey stated that the project they were involved in resulted to "a large extent" or "to a significant extent" in knowledge sharing with at-risk groups, the community of researchers and/or policy makers; 89% estimated that this resulted in the creation of linkages between researchers, community representatives and policy makers.

*Figure 8 – Perception of the extent to which CCAA-supported projects resulted in knowledge sharing with stakeholders (n=35)*




Field visits and interviews highlighted that the PAR approach was key in involving rural and urban local communities in research activities and therefore in linking researchers to direct beneficiaries. There were testimonies to the effect that CCAA projects increased the dialogue between beneficiaries and researchers and that researchers were now better able to communicate the results of their research in a language that is accessible and comprehensible to beneficiaries.

Most of the CCAA projects reviewed resulted in improved networks for the organisations and individuals involved. Individuals and organisations were able to integrate existing national, regional or continental networks and, as specified above, they also developed positive attitudes for networking.

**Box 5 – AfricaAdapt**

AfricaAdapt is a knowledge-sharing network on CCA in Africa established in 2008 and hosted by four partner organisations: Environment and Development in the Third World (ENDA-TM), the Forum for Agricultural Research in Africa (FARA), Intergovernmental Authority on Development (IGAD) – Climate Prediction and Applications Centre (ICPAC) and the Institute of Development Studies (IDS).

The network now describes its aim as "facilitating the flow of CCA knowledge for sustainable livelihoods between researchers, policy makers, civil society organisations and communities that are vulnerable to climate variability and change across the continent."

Since its launch, it has grown to over 1,100 members (over 80% of whom are based in Africa), consisting primarily of researchers, practitioners and students working on climate change and development in Africa.

As of December 2011, AfricaAdapt had 1,200 members with an average of 3,500 visitors per month from users in 125 countries, and 863 followers on Twitter (@africaadapt). Between June 2009 and December 2011, the web platform received approximately 49,000 visits from 25,100+ unique visitors. It also launched three calls for application under the innovation fund for which it received 1,000 applications. Seven "meet and greet" events have also been organised in six countries.

Some projects also developed effective local and national knowledge-sharing mechanisms, such as using local radio or drama to disseminate knowledge to local communities and farmers (for instance project 104903 – Integrating Indigenous Knowledge in Climate Risk Management in Kenya) and making documentary films (for instance project 104682 – Adapting Fishing Policy to Climate Change in West Africa, and project 104142 – Strengthening the Capacity of Farmers to Reduce the Impact of Climate Change on Agricultural Productivity in Benin). Knowledge was also shared through formal and informal education in classrooms, workshops and field visits to experiment sites. It is claimed that improved communication within the context of PAR led to the expansion of the knowledge base, as well as an increase in the capacities and tools for addressing the challenges of climate variability and extreme weather events expected to result from climate change.

Most CCAA-supported projects involved multidisciplinary teams. Indeed, the entire programme was multidisciplinary by its very nature. PAR projects involved research, development and government organisations and included a range of complementary experts, such as geographers, sociologists, climate scientists, finance specialists, etc. Therefore, CCAA was able to share knowledge between

various types of stakeholders and scientists.

CCAA also made a strong effort to assist and improve knowledge-sharing mechanisms by supporting, for instance, the development of the AfricaAdapt adaptation web platform, which publishes the quarterly publication Joto Africa (among others) and provides data on CCAA projects. Box 5 provides a brief presentation of this platform and its current uses. All project partners and programme management stakeholders stated that AfricaAdapt was very useful and effective in sharing knowledge and linking partners together.

Compared to other adaptation web platforms, AfricaAdapt is user-friendly and the information is easily accessible. It is well-suited to individuals who want to share their own knowledge. AfricaAdapt might not be as dynamic as it could be, but there are few platforms with so many members, the exception being the Community-Based Adaptation Exchange platform (1,008 members).

Furthermore, all respondents to the external partners survey were aware of the AfricaAdapt site. They estimated that it was useful for sharing knowledge and information and for raising awareness of CC activities in Africa. However, some stated that the incentives to contribute or add information are unfortunately low, and in this sense they felt that AfricaAdapt did not live up to expectations.

Despite all of the excellent analysis and academic writing on the AfricaAdapt platform, the evaluation team is concerned about its sustainability in the longer term (see section on devolution for more details).

Most of the project partners and programme management stakeholders interviewed agreed that CCAA experienced some challenges over time in terms of knowledge sharing. To date, CCAA and its supported projects have been able to publish 48 peer-reviewed texts. Other knowledge dissemination outputs developed by CCAA and its supported projects include 205 conference presentations, 156 pieces of grey literature, 37 audiovisual outputs, 47 theses (essentially master's level) and 4 book chapters. Even though all interviewees agreed that there is currently a gap in terms of disseminating knowledge, compared to other IDRC- and non IDRC-supported programmes, CCAA produced on average a similar number of knowledge-sharing outputs to date (cf. table 4). CCAA was not, however, able to produce as many peer-reviewed texts and doctoral theses as the international African Monsoon Multidisciplinary Analyses (AMMA) programme.[19]

*Table 4 – Comparison of knowledge-sharing outputs produced by various programmes*

| Supported programme | Brief description | Knowledge-sharing outputs |
|---|---|---|
| **Pan-Asia Networking Programme** | IDRC-supported programme CAD$31.9 million provided to support 81 projects (and 34 supplements) | • 40 peer-reviewed journal articles and monographs, which received a score between acceptable and good for all core academic quality criteria adopted in the evaluation[20] |
| **Phase III Acacia programme** | IDRC-supported programme CAD$64.9 million provided to support 161 projects in 22 countries in Africa and the Middle East | • 44 articles published in peer-reviewed journals<br>• 10 books<br>• In-house product (peer-reviewed): 28<br>• In-house product (not peer-reviewed): 765<br>• 41 international conference papers<br>• Policy brief (with defined audience): 30<br>• Research publications generally of good to high quality[21] |
| **Innovation, Technology and Society** | IDRC-supported programme over 2006–2010 providing funds to a total of 74 projects operating on annual | • 32 journal articles (5 judged excellent; 27 useful, but not significant) 1 excellent book (from a publication grant), 3 excellent books from research grants[22] |

[19]It should be noted, however, that (i) more than half the organisations involved in AMMA were from Europe or the US, which implies a completely different level of capacity and approach to capacity building; and (ii) the disciplinary focus of AMMA was different, based on subjects in which a single lab experiment can produce multiple papers.
[20]Kolko, B., Unwin, T., Zinnbauer, D. *Pan Asia Networking External Panel Review.* August 27, 2010. P. 8.
[21]Pare, D., Ofir, Z., Miller, J. *External Review of the IDRC Acacia Program. Final Report.* August 31, 2010. P. 53.

| | | |
|---|---|---|
| | budgets of around CAD$5 million | |
| **African Monsoon Multidisciplinary Analyses (AMMA)** | Phase one 2002–2010 | 500 papers in quality peer-reviewed publications<br>80 doctoral theses have already been completed[23] |
| **RIPIECSA[24] adaptation research programme** | Funded by the French government. EUR3.5 million provided to support 23 vulnerability and adaptation research projects in Africa | One year before the end of the programme, supported projects had not been able to publish any peer-reviewed articles or scientific papers. However, 70 drafts or publication projects were available[25] |

In the last year of implementation, CCAA made a real effort to bridge the gap in disseminating knowledge. For instance, it supported the Technical Experts Network (TEN) initiative, aimed at supporting the development of publications and the dissemination of project results. This ongoing initiative is supporting the development of papers (Synthesis Papers and Individual Papers) that will be submitted as part of a Special Issue to the academic journal *Climate and Development.*[26] This Special Issue, entitled "The Effectiveness of Research for Strengthening Climate Change Adaptive Capacity at National and Local Levels in Africa," will bring together a selection of unpublished empirical evidence developed through CCAA projects and researchers. It is expected that three synthesis papers and six individual papers will be submitted as part of this Special Issue. Furthermore, this initiative is also providing publication advice from a mentor to four individual paper authors.

CCAA is also in the process of developing a publication that will synthesise outputs, outcomes, findings and lessons learned from CCAA-supported initiatives.

The evaluation team concludes that CCAA effectively supported the development of various knowledge-sharing mechanisms at the local, national and regional levels. Stakeholders increased their sharing, learning and expertise. Although CCAA experienced some challenges over time in terms of disseminating knowledge, it made a subsequent effort to bridge this gap. To avoid such challenges, an operational strategy for knowledge sharing and learning has to be built in from the start in the project design phase.

### *3.4.2. Level of involvement of local communities in PAR*

PAR was the approach followed by CCAA projects, a process of social learning through interaction carried out by the stakeholders themselves. PAR fosters a deeper involvement on the part of local communities—transforming them from mere information providers to collegiate partners; bringing about a sense of ownership based on increased understanding, trust and personal investment over time.

The field visits, case studies and interviews with project partners showed a good involvement by local stakeholders, at-risk groups and local communities in the experimentation conducted. By its nature, PAR provides the opportunity to link researchers, local communities and decision makers together, bringing research closer to the local reality. CCAA's approach was to link development and research practices to social and institutional contexts and to engage communities in the participative implementation of adaptive practices and measurement during experimentation. The PAR approach was documented by CCAA through a PAR guide[27] and a number of fact sheets on response farming and soil fertility.[28]

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[22]Aguirre-Bastos, C., Hall, A., Jiggins, J. *Report of the external review of the Innovation, Technology and Society Program (ITS)*. 27 August 2010. P. 14.

[23]African Monsoon Multidisciplinary Analyses. *The International Science Plan for AMMA 2010–2020. Version 2*. December 2010. P.6

[24]RIPIECSA – *Programme de Recherche Interdisciplinaire et Participative sur les Interactions entre les Ecosystèmes, le Climat et les Sociétés d'Afrique de l'Ouest.*

[25]Groupe-conseil Baastel. *Évaluation Mi-parcours du Programme de Recherche Interdisciplinaire et Participative sur les Interactions entre les Écosystèmes, le Climat et les Sociétés d'Afrique de l'Ouest RIPIECSA. Rapport final.* 18 November 2010. P. 36.

[26]Climate Change Adaptation in Africa programme. *Technical Experts Network (TEN) Paper Abstracts and Special Issue Proposal.* 2012.

[27]German, A.L. et al. *The Application of Participatory Action Research to Climate Change Adaptation in Africa. A Reference Guide.* International Development Research Centre and Center for International Forestry Research. 2012. 106 pp.

[28]Mapfumo, P., Adjei-Nsiah, S., Mahoo, H. and Majule, A. *Enhancing Smallholders' capacity to cope with climate change. Participatory Action Research and Integrated Soil Fertility Management. Draft Factsheet.* February 2012. 7 pp. – and – Mugabe, F.T., Admassu, H.,

Furthermore, CCAA supported the Challenge Fund initiative, aimed at strengthening the leadership and capacities of local communities in terms of adaptation to climate change. Its approach was to transfer financial resources to the community level to fund activities they thought relevant to their needs. This was an add-on to PAR projects, designed to maximise the probability that activities targeted and benefitted at-risk groups. This initiative provided local communities with the capacity to lead the definition of adaptation strategies that contribute to reducing poverty, but also the capacity to manage allocated funds to implement local adaptation initiatives. However, as this initiative was an experimental and exploratory project, it was limited to three countries (Senegal, Mali and Burkina Faso).[29]

All interviewees agreed that through this involvement, CCAA contributed to improving local awareness regarding the effects of climate variability and change, their level of vulnerability and the adoption and implementation of indigenous and orthodox adaptation options.

Some project partners survey respondents declared that CCAA-supported projects reaffirmed that communities can be empowered through capacity development to lead adaptation initiatives and identify solutions, and that at-risk communities are now acting as champions on CCA issues to other communities who are learning from success stories.

However, field visits and focus groups conducted as part of this evaluation also revealed that fully involving local communities in research projects usually takes in excess of two to three years, as building confidence is a time-consuming process. Furthermore, some negative effects for at-risk communities as a result of their involvement in such research projects were highlighted, such as the high expectations created by PAR projects. In addition, competition between communities for attracting support was reported in a small number of cases.

The evaluation team concludes that the PAR approach that was followed enhanced the involvement of local communities in adaptation research and provided the opportunity to link them with researchers and decision makers, bringing research closer to adaptation needs, priorities and ground realities. Overall, local stakeholders, at-risk groups and local communities were involved in the experimentation conducted, even if fully involving local communities in research projects usually takes longer than two to three years.

### *3.4.3. Level of adoption and application of adaptation knowledge and technologies*

CCAA was able to mobilise indigenous knowledge, creating spaces for interaction between orthodox science research outputs and traditional knowledge and supporting their application by local communities. For instance, the case study conducted on project 104146 showed widespread adoption by farmers of technologies developed through project activities. Field visits confirmed this adoption of adaptation practices, especially by rural communities and farmers.

In most cases, adaptation knowledge and technologies developed through PAR were documented, but the question of whether these are now applied and used remains. Field visits and focus groups showed that several activities and practices supported during project implementation are no longer being implemented, such as the use of improved seeds, etc. Therefore, there are concerns about sustained application and/or buy-in by local communities after project life. The dynamics surrounding such sustained application would have benefitted from a more systematic post-implementation monitoring of PAR pilot initiatives.

Interviews and the documentation review showed a good ownership of PAR methods. For instance, two PAR workshops were organised and conducted by CIFOR in Ethiopia and Benin. These workshops provided participants

Sall, A., Omolo, N.A. and Honkpounou, S. *Enhancing Smallholders' capacity to cope with climate change. Use of seasonal climate forecasts. Draft Factsheet.* February 2012. 6 pp.

[29]In the project design, it was planned that this initiative would be a first and demonstrative phase targeting three West African countries and that an extension phase would be implemented in other African regions based on identified lessons learned and best practices in terms of methodologies and institutional set-up. However, there is no indication that such a second phase and/or extension to other countries exists.

with tools and knowledge on how to engage stakeholders and provided a good opportunity for partners to evaluate the extent to which they were integrating PAR approaches in their activities. Overall, based on interviews and the surveys, it seems that there is a strong sense of ownership and application of PAR methods within the CCAA research team. Furthermore, in most cases, interviewees declared that PAR methods were appropriate to engage stakeholders and conduct research that responds to a concrete local need and is relevant to the local and national African context, adaptation priorities and needs.

## 3.5. Building African leadership

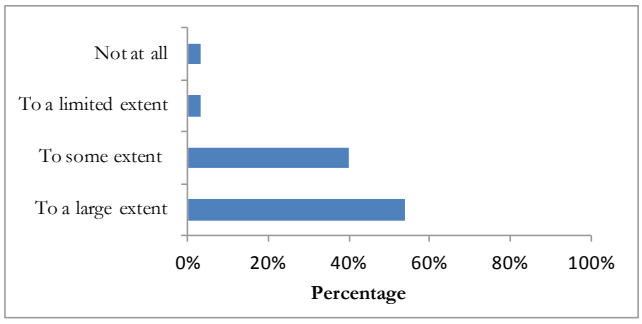
All project partners and programme management stakeholders interviewed estimated that CCAA helped strengthen the credibility, presence and visibility of several African organisations and African researchers at the national level, and to a more limited extent at the regional and international levels. This programme contributed to building African leadership in the area of adaptation to climate change and variability. For instance, of the 44 institutions leading CCAA-supported projects, 33 are African.

Interviews and field visits showed that CCAA support strengthened the role and responsibilities of individuals (and to a lesser extent, organisations) within national contexts. For instance, as a contribution of project 104795 – InfoClim, the *Centre de Suivi Écologique* (CSE) in Dakar was selected as one of the accredited national implementing entities for the Adaptation Fund; IDID ONG in Benin is now a key organisation in Benin with respect to climate change adaptation issues and is closely consulted by the Beninese Ministry of Environment; and the IGAD Climate Prediction and Applications Centre (ICPAC) in Kenya is now a climate prediction and modelling reference centre in the region. Another good example of contribution to such development of leadership is the signing, as a result of project 104682 – Fisheries policy, of a three-year partnership and cooperation agreement between REPAO (*Réseau sur les politiques de pêche en Afrique de l'Ouest*) and the Economic Community of West African States (ECOWAS) to implement its programme for sustainable fishing policies.

However, it should be noted that in most cases, these organisations already demonstrated organisational capacities and expertise; CCAA provided them with an opportunity to work in an emerging domain of climate change activities.

Figure 9 shows that the vast majority of respondents to the project partners survey stated that the project they were involved in increased their own leadership on CCA issues or those of their colleagues and partner organisations, either locally, nationally or internationally. Around 60% estimated that this increased leadership referred mainly to new or better recognised, legitimate, credible and trusted researchers and institutions at the national and international levels in the field of CCA.

*Figure 9 – Perception of the extent to which CCAA-supported projects resulted in increased leadership on CCA (n=25)*




Some CCAA-supported researchers were nominated as contributing authors for the IPCC 5th Assessment Report (AR5)—11 scientists affiliated with the CCAA programme are involved in the IPCC process[30]—and the CCAA Program Leader was selected to be Coordinating Lead Author for Chapter 20 on CCA, Mitigation and Sustainable Development.

Furthermore, some of the fellows awarded by ACCFP were offered extended scholarships or consultancies in their host countries, highlighting the building of leadership among young scientists at the national level.

As an indirect result of CCAA support, several organisations (NGO and research organisations) were able to leverage new funds and develop new bankable projects, such as the research team for project 104903 – Indigenous

[30] Climate Change Adaptation in Africa programme. *CCAA communications priorities and plans, 2011-12*. March 2011. 8 pp.

Knowledge in Kenya, which was able to leverage a US$3 million World Bank project on disaster risk reduction and the economics of climate change. Several other institutions in CCAA also received grants from the IDRC Climate Change and Water programme and the Africa Adaptation Research Centres (AARC), such as Sokoine University, the University of Ghana, the University of Alexandria and IDID-ONG.

The evaluation team concludes that CCAA contributed to building an African leadership in the area of adaptation to climate change and variability by enhancing the credibility, legitimacy and international visibility of African researchers. In addition, working with organisations that had already demonstrated organisational capacities and expertise was instrumental in that process. CCAA provided them with an opportunity to work in an emerging domain of climate change activities.

## 3.6. Policy influence results

In 2008, CCAA developed a strategy for policy maker involvement in action-research processes on adaptation to climate change. This strategy identified three spheres of policy influence: (i) expanding policy capacities, (ii) broadening policy horizons and (iii) affecting policy regimes.[31] These spheres of influence had previously been defined in a framework developed by IDRC outlining what policy influence was imagined to be.[32]

All interviewees agreed that this was a very ambitious objective. The analysis provided below highlights a few key achievements and gaps in terms of policy influence in the three defined spheres.

### *3.6.1. Expand policy capacities*

As a contribution of CCAA and its supported projects, researchers have an increased capacity for penetrating policy spaces and mapping policy makers. All project partners and programme stakeholders interviewed felt that researchers involved in CCAA developed their capacities to link with decision makers and to analyse CC policy processes at the local and national levels. CCAA contributed to strengthening these capacities through, for instance, the training workshop on research for policy linkages organised in Nairobi in 2007.

Field visits, case studies and documentation reviews highlighted various examples of strengthened institutional linkages between researchers and decision makers (cf. box 6).

**Box 6 – Examples of strengthened institutional linkages**

Project 104682 – Adaptation of West African Fishery Policies resulted in an improved participative dialogue between decision makers, researchers and fishermen at the local and national levels. The studies and synthesis were presented and validated by the West African Regional Committee for Fishery Policy Coherence, mainstreaming CC issues in national fishery policies.

Increased contributions to policy formulation were observed through project 104146 – Managing Risk, Reducing Vulnerability and Enhancing Productivity.

As a result of project 105518 – Challenge Fund, local farming organisations and communities were more involved in decision-making processes at the project level, strengthening their understanding of adaptation processes and its integration into local programming processes.

As a result of project 105815 – Protecting Urban Community to CC risks in Cotonou, CREDEL NGO signed a partnership agreement with the Beninese Ministry of Environment.

During project 104142, IDID NGO worked directly with the Ministry of Agriculture, which evaluated the national early warning committee.

In South Africa, through project 105868 – Five-City Network to Pioneer Climate Adaptation, the International Council for Local Environment Initiatives is working closely with the municipality of Cape Town.

Interviews with project partners showed that some researchers within CCAA projects are now increasingly consulted by decision makers. For instance, some are among national delegations to UNFCCC negotiations. Some researchers also developed skills to communicate their research results to decision makers. For instance, IDID ONG developed a guide for mainstreaming CCAA into local development planning in Benin. CCAA made efforts to

[31]Climate Change Adaptation in Africa programme. *Strategy for Policy Maker Involvement in Action-Research Processes on Adaptation to Climate Change*. May 2008. 30 pp.
[32]Carden, F. *Capacities, Contexts, Conditions: The Influence of IDRC-Supported Research on Policy Processes*. IDRC. March 2005.

document this policy influence process and expansion of policy capacities and institutional linkages, producing a map showing 157 CCAA project policy linkages across the continent.[33]

The evaluation team concludes that CCAA support resulted in increased capacities to link with decision makers and analyse CC policy processes as well as strengthened institutional linkages between researchers and decision makers.

### *3.6.2. Broadened policy horizons*

CCAA also supported advocacy activities and contributed to raising awareness among African decision makers at both the local and national levels. Policy makers attended various CCAA workshops, but also international forums. For instance, the Conference Support Fund provided support to policy makers to attend international meetings.

In some cases, organisations with a policy mandate had a long-standing involvement with research teams as collaborating or participating institutions.

Some parliamentarians were also involved in CCAA research projects. For instance, in West Africa, support was provided to a West African parliamentarian committee meeting in Cape Verde in 2009, while in Kenya and Tanzania, a parliamentarians' involvement process was supported by ICPAC.

The evaluation team concludes that CCAA support resulted in raising awareness among African decision makers at the national and local levels.

### *3.6.3. Affected policy regimes*

Field visits, case studies and the documentation review highlighted some examples of scientific knowledge and expertise coming from CCAA initiatives that played a role in framing policy debates and narratives. Although there are examples of policy links with government agencies that were established by CCAA projects,[34] influence was more successful at the local policy level at project sites. Some policy dialogues were effectively organised at the local level in various countries such as Madagascar, Benin, Kenya, Senegal, etc., leading to influence on local policy processes and regimes. There are also examples of consultative groups established at the national level, such as a national consultative committee in Malawi that brought together researchers, senior civil servants, NGO representatives and local leaders. However, the organisation of these national committees was less effective and their impact on policy debates less visible. Furthermore, there is some concern about the sustainability of these committees. Field visits showed that various local and national committees have not met since the end of CCAA project support.

CCAA made good attempts to strengthen and document policy influence processes, such as in Kenya, Tanzania and Malawi through the Research to Policy Adaptation project 105602. This initiative, led by IDS, aimed to increase the ability of CCAA programme partners in Eastern Africa to understand CCA policy processes on both the local and national scales and bring their research findings to bear on policy. It developed and tested an analytical framework that proved to be a powerful and enlightening—albeit challenging—tool for conducting policy process analysis and engagement. Even though this initiative resulted in the publication of policy briefs and peer-reviewed research papers reflecting on the processes undertaken, it had a limited effect in terms of influencing national policies, mainly due to time and budget constraints.

In some cases, tools were developed for Ministries and Ministerial Departments to use but were not adopted, showing a low buy-in of adaptation tools by decision makers. For instance, project 104707 – Transferring the Malaria Epidemic Prediction Model to End Users developed a prediction model to be used by Ministries but which was not taken up. However, in Kenya, the model was put into use and, after some discussion, the Ministry decided that they should develop other models to compare results. In Uganda there is insufficient capacity to run the model, and in Tanzania the model was judged not relevant to the Tanzanian context.

[33]Climate Change Adaptation in Africa programme. *CCAA research to policy links. Mapping our partners' engagement*. 2 pp.
[34]The policy map that was drawn in 2010 illustrates that CCAA was able to reach local and national policy makers. At the time the map was drawn, 31 projects had managed to establish policy links with government agencies.

While the programme sought to work with the SADC and the East African Community, and a link was developed between a CCAA project partner and a regional organisation (REPAO and ECOWAS through project 104682), interviews with project partners and programme management stakeholders showed that CCAA was not able to link with regional organisations more widely. Attempts were made but with limited results. CCAA had limited influence on regional policies, mainly due to time constraints and the evolving nature of policy processes, a capacity deficit of policy institutions and the difficulties of defining an operational mandate charting a clear course for Africans with respect to climate change priorities at the regional level. To fill in this gap, a new platform is currently being developed by CORAF as part of the devolution exercise: AfricaInteract (see below). This platform should increase linkages between research results and regional policy spheres.

Interviews with project partners also highlighted one thing that has not yet happened: a funding allocation from the national budget for research in the field of CCA.

The evaluation team concludes that CCAA and its supported projects had some policy influence, essentially at the local level, and to a more limited extent at the national level. CCAA was not able to widely link with regional organisations. Links to the policy sphere are yet to be truly strengthened and only a limited analysis of change can be undertaken, as policy influence processes are usually measured across a much longer timeframe.[35]

# 4. Benefits as compared to investments

*Box 7 – Extent to which CCAA programming provided benefits to direct and indirect beneficiaries compared to the investments made*

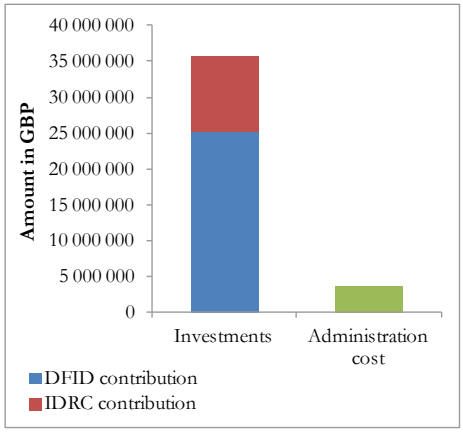
To **a significant extent,**[36] CCAA programming provided benefits to direct and indirect beneficiaries, compared to the investments made. The programme's implementation provided good value for money overall. Among these benefits, it built some basic capacities that now need to be expanded and produced some knowledge dissemination outputs. Value for money could have been increased considerably if CCAA had continued for a longer period.

## 4.1. Investments made

CCAA was supported by two donors, DFID and IDRC, with a total investment of GBP35,750,000. Through a first MoU signed in May 2006, DFID made available a sum of GBP24,000,000 and IDRC a sum of CAD$15,000,000 (around GBP9,700,000).[37] This MoU was amended in September 2010, through which DFID made available an additional sum of GBP1,250,000 and IDRC an additional sum of CAD$1,250,000 (around GBP800,000).[38]

This MoU specified that the administration costs and any other expenses incurred by IDRC relating to the programme should not exceed 10% of total direct programme costs. In comparison, the ten GEF Agencies receive a flat fee of 10% of projects to cover their project management and other functions.[39]

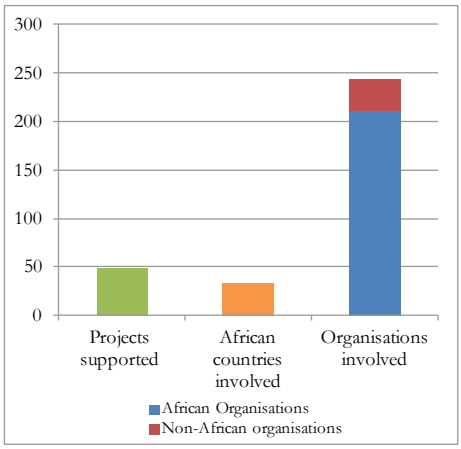
*Figure 10 – CCAA investments and administration costs*




[35]Carden, F. *Knowledge to policy: making the most of development research*. IDRC. Ottawa. 2009.
[36]The extent of the provided benefits was assessed using the five-point rating scale, presented in subsection 1.3.
[37]Department for International Development (DFID), United Kingdom of Great Britain and Northern Ireland and International Development Research Centre. *Memorandum of understanding – Climate change adaptation support programme for action research and capacity development in Africa*. May 2006. P. 1.
[38]Department for International Development (DFID), United Kingdom of Great Britain and Northern Ireland and International Development Research Centre. *Memorandum of understanding – Extension of the Climate change adaptation in Africa research and capacity development programme*. September 2010. P. 1.
[39]GEF Evaluation Office. *Fourth Overall Performance Study of the GEF. Full report. Washington*. April 2010. P. 169.

With respect to another adaptation research programme funded by the French government (RIPIECSA), as per this programme's MTE, the French Research Institute for Development (IRD) used a management fee rate of 6.5% of total programme costs. It should be noted here that such data can be misleading, as costs vary with what is internalised or externalised in the project overhead cost/fee or charged directly to the project budget. However, compared to international standards, this ratio seems adequate. With respect to CCAA, in terms of the administrative costs of projects, indirect costs (support staff, office equipment, room rental, electricity, etc.) could not account for more than 13% of the total budget value, excluding equipment.

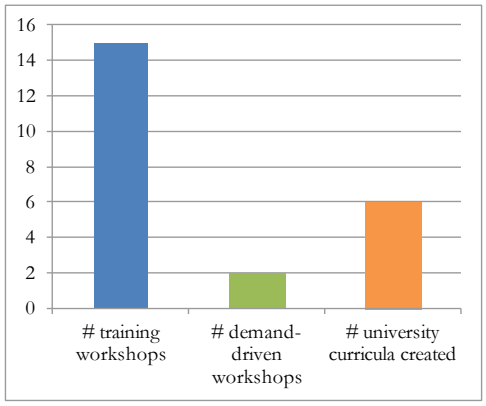
*Figure 11 – Number of supported projects and organisations*




## 4.2. Benefits

CCAA provided support to 46 projects, including second-phase funding for two projects (ACCFP and AfricaAdapt). Research was carried out in 33 African countries and 244 organisations were involved in implementing CCAA projects (212 were Africa-based organisations).

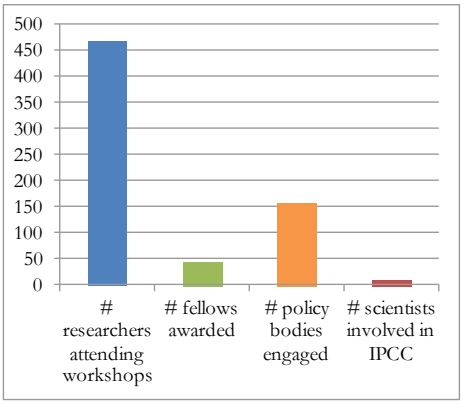
*Figure 12 – Number of supported capacity development activities*




As per CCAA statistics, of the 9 completed projects reviewed, 2,509+ climate-vulnerable individuals and 3,064+ households were directly engaged.

In terms of activities, CCAA supported the organisation of 15 training workshops over 3 years on 7 different topics: (i) Integrated Climate Risk Assessment, (ii) Gender Analysis, (iii) M&E, (iv) Participatory Action Research, (v) Proposal Development, (vi) Research to Policy Linkages and (vii) Project Management. Furthermore, two demand-driven workshops were supported: one for the African Development Bank and another for researchers from Lusophone countries.

*Figure 13 – Capacity development outputs*




In total, 469+ researchers attended the workshops and the Conference Support Fund provided support to 44 individuals for attending adaptation-related conferences in 2007-2008. The ACCFP awarded 45 fellows from 40 institutions based in 18 African countries. CCAA also resulted in the engagement of 157 policy-making bodies from the local (74) to the national (76) and regional levels (7).[40] Eleven (11) scientists affiliated with the CCAA programme are involved in the IPCC AR5 process.[41]

As a result of CCAA support, involved researchers were able to produce:

- 205 conference presentations;
- 168 media articles captured as of March 31, 2011;
- 156 grey literature documents;
- 48 peer-reviewed papers;
- 47 theses;
- 43 technical fact sheets on adaptation;

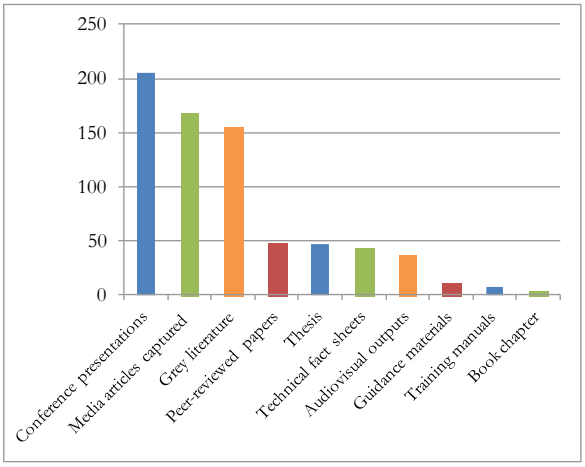
[40]Climate Change Adaptation in Africa programme. *CCAA research to policy links. Mapping our partners' engagement*. 2 pp.
[41]Climate Change Adaptation in Africa programme. *CCAA communications priorities and plans, 2011-12*. March 28, 2011. 8 pp.

- 37 audiovisual outputs;
- 11 sets of guidance materials for farmers, extension agents and development practitioners;
- 7 training manuals for development practitioners, researchers and extension agents;
- 4 book chapters.

Over the entire life of the programme, CCAA programme web pages drew more than 85,000 visitors, and as of December 2011, AfricaAdapt had 1,200 members and received an average of 3,500 visitors per month from users located in 125 countries.

CCAA is currently in the process of developing a specific book and the TEN initiative described above will support the publication of several additional peer-reviewed papers.

*Figure 14 – Outputs produced by involved researchers*




In addition to the above, CCAA research support projects provided mentoring, technical assistance and support to project partners, and contributed to strengthening their research capacities. The results of this support include increased capacities in developing quality proposals and in implementing, monitoring and reporting research projects. The support also led to increasing researchers' capacities to anticipate, manage and analyse vulnerability associated with CC and variability and to develop and mainstream adaptation options.

## 4.3. Value for money analysis

The evaluation team considers that, overall, CCAA was efficient in selecting and supporting research projects, strengthening their research proposals, mentoring, supporting their technical implementation and M&E.

With respect to internal project communications, CCAA was also fairly efficient. As regards capacity development, CCAA was very effective in building individual capacities and creating a cadre of expertise within Africa. In terms of outputs, CCAA projects produced some peer-reviewed publications and communication materials, although more could have been produced. And as for policy influence, CCAA was somewhat effective, even though this remains a challenge.

AfricaAdapt was effective in terms of networking and knowledge sharing; it should now look to retain its early dynamism (see devolution section below).

To conclude, the evaluation team considers that overall, CCAA's implementation provided good value for money (VFM). It built some of the basic capacities that are now needed for climate change adaptation research. VFM could have been further increased if CCAA had continued for a longer period to ensure the sustainability of the initial investment.

# 5. Sustainability of programme results and devolution of components of CCAA

*Box 8 – Contribution of the programme in terms of sustainability of programme results and devolution of components of CCA*

The CCAA support limited to six years will impede the sustainability of programme results. Pilot initiatives are subject to disappear after the projects end and there is a risk that project results will not be scaled up or replicated.

Some key functions associated with CCAA such as mentoring, research support and funding of research activities seem to be absent in the devolution component to CORAF. CORAF's ability to handle the devolution process depends on its capacity to ensure that it has strategic allies. It is still too early in the process to assess the

effectiveness and longer-term sustainability of the devolution process.

The process of AfricaAdapt's devolution has been too hurried and there is a need to build synergies between the various platforms to maintain this Africa-wide network.

IRA offered 2 rounds of ACCFP fellowships and more categories of fellows have been included, but IRA needs more capacity support to manage this second phase.

## 5.1. Sustainability of the CCAA programme and project results

As pointed out by stakeholders with intimate knowledge of the programme and its genesis, the programme was originally conceived as a ten-year programme. Contractually, however, the programme was only for five years, which was then extended into a sixth year.

As corroborated by the vast majority of the project partners interviewed, the evaluation team believes that the end of CCAA, after only six years of support, is likely to impede the sustainability of programme results. Capacity development and policy influence processes take considerably longer than five or six years.

Furthermore, CCAA supported pilot projects over a short term (two to three years maximum). Even though there are some examples of appropriation and buy-in of adaptation practices and innovations by local communities, there is a risk that these pilot initiatives will die off and that project results will not be scaled up or replicated. For instance, there are examples of initiatives started during CCAA projects, such as early warning systems or adaptation committees, that were stopped when the projects ended. Committees are rarely institutionalised and financial support from national and local governments for adaptation is not yet provided. Follow-up support is needed to ensure a stronger buy-in of proposed adaptation practices at the local level.

Some links between researchers, communities and decision makers were developed, and these links can be considered a rough gauge of sustainability. But there is also a need for follow-up support to consolidate these links and further engage stakeholders to foster future collaboration.

IDRC received new grants from the Canadian government's Fast Start initiative: the first, a contribution of CAD$10 million for South Saharan Africa; the second, a contribution of CAD$27 million for Asia and Latin America. DFID is also providing additional funding—with some joint funding from IDRC—for further climate change adaptation research, and DFID alone will be funding further work on capacity building around climate change in Africa and adaptation through the UK's International Climate Facility. These grants should further support and strengthen the partnerships developed. Some project partners have also been able to leverage new funds.

## 5.2. Devolution of CCAA components

### *5.2.1. Devolution process*

The devolution process was initiated early on in the programme's implementation. A first paper entitled "Operationalising Devolution" was prepared and presented to the AB in its November 2008 session. Following this AB meeting, a study entitled "devolution of CCAA: experience to date and strategic options" was prepared by IDRC as part of CCAA and was published in April 2009. This study reviewed and compared other devolution experiences, reviewed existing devolution activities (e.g. capacity development activities, knowledge-sharing activities, PAR activities, ACCFP and M&E) and defined a devolution strategy.

CCAA devolution was then discussed at CCAA's 8th AB meeting held in November 2010. Four devolution options were presented to the AB. The AB favoured elements of options 1 and 3, and also agreed with the PMU's proposal to devolve AfricaAdapt and the ACCFP to African partners.

With respect to the devolution of CCAA to an African Research Policy Forum on Climate Change Adaptation, IDRC determined the selection criteria and identified potential candidate institutions. Ten organizations were invited

to submit letters of interest in hosting the platform. Of those ten organisations, eight submitted letters of interest. IDRC subsequently organised visits to assess the strengths and weaknesses of five short-listed institutions. CORAF was selected on the basis of these criteria and developed a proposal aimed at "*Managing a platform for exchange between African research scientists and policy-makers on adaptation to climate change*" which was subsequently approved and endorsed on March 8, 2011, by the IDRC CCW programme for a total budget of CAD$3 million.

In the meantime, with respect to AfricaAdapt's devolution, IDRC undertook a consultation process from October to December 2009 to select an African network leader. The three African partners involved in AfricaAdapt phase 1 prepared and submitted a proposal on leading the initiative. Based on an assessment of these proposals, ENDA-TM was selected to lead a second phase of AfricaAdapt.

With respect to the devolution of ACCFP, IRA was selected by IDRC and START to lead a second phase.

### *5.2.2. Effectiveness of the devolution process*

With respect to devolution to CORAF, after a year of implementation of the CCW-supported project, issues have started to crop up, such as (i) the challenge of looking at issues not directly related to agriculture (CORAF's main mandate and focus); (ii) the challenge of producing professional and concise syntheses that include key features of CCAA-supported work; (iii) challenges in connecting CORAF with existing CCAA networks, CCW-supported projects, the Africa Adaptation Research Centre (AARC) initiative and AfricaAdapt activities;[42] (iv) constraints and imperatives surrounding the implementation of a platform; and (v) FARA's reluctance to embrace the project.[43]

Technical and institutional support was provided to CORAF by CCW and CCAA POs, but CORAF's ability to handle this devolution process depends on its capacity to ensure that it has strategic allies to broaden its coverage in terms of thematic and geographical areas. There is still the need to ensure that the platform will enhance strategic partnerships and build synergies between African institutions in a way that effectively integrates the insights gained by the CCAA programme.[44]

Some of the key functions associated with CCAA such as mentoring, research support and funding of research activities seem to be absent from this devolution component at this stage. It is also still too early in the process to assess its effectiveness and longer-term sustainability, as at the time of the evaluation, CORAF was merely in the process of consulting on its communication strategy then in development and therefore at the very beginning of its mobilisation phase.

With respect to the devolution of AfricaAdapt to ENDA-TM, IDS prepared a devolution plan with ENDA and provided technical support for the devolution process. Some interviewees were of the opinion that the process had been too hurried. Although AfricaAdapt shows good statistics, some interviewees felt that it was less dynamic than in the beginning. The challenge is that AfricaAdapt is now being copied by other groups with more resources. Therefore, synergies need to be built between these platforms to maintain this Africa-wide network rather than have them compete.

There is also a concern regarding ENDA's capacity to serve as a facilitator for this network. Further capacity and financial support beyond the initially anticipated devolution period may be needed to build sufficient momentum around this new arrangement.

With respect to ACCFP's devolution to IRA, some interviewees were of the opinion that IRA needed more capacity support to manage this second phase. Further financial and capacity support is required.

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[42]International Development Research Centre. *Project completion report of Platform for Exchange Between African Research Scientists and Policy Makers on Climate Change Adaptation. Stage 1 interview*. October 28, 2011. 28 pp.
[43]International Development Research Centre. *Project monitoring report. Platform for Exchange Between African Research Scientists and Policy Makers on Climate Change Adaptation*. September 2011. 7 pp.
[44] Ibid.

# 6. Key advice and recommendations

Based on the findings provided in this report and in response to question 5 in the ToRs for this evaluation,[45] the following key advice and recommendations are suggested.

*Future programming on research*

In view of findings from section 2.1 Governance and management structures and 2.2 Means and mechanisms in place, the evaluation team recommends the following for future programming on research:

**R1. Clear roles and responsibilities are crucial**

Governance structures for such a programme need to have clearly defined roles and responsibilities. A potential institutional set-up could include:

iv. A Steering Committee (SC) in charge of decision making and strategic guidance, comprising donors and implementing agency representatives, the programme manager and the chair of the scientific and technical advisory board;

v. A scientific and technical advisory board, providing technical and scientific advice to the SC and meeting just before the meeting of the SC. It should have representation that allows both strategic-level support and expertise related to the operational focus of the research so as to provide a solid platform to critically steer the programme in innovative and locally relevant research areas; and

vi. A management unit.

**R2. Building up momentum**

Such initiatives need slower build-up, step by step, focusing on the structuring of the management unit, creating a space for dialogue so that a strategic vision can emerge and solidify before making decisions, with a very limited number of pilot initiatives at the beginning. Furthermore, programme staff needs to be provided with sufficient time and resources to fully engage with and closely monitor the programme. The number of staff versus the number and size of projects should be analysed more carefully to avoid overloading project officers.

*Future programming on research capacity development*

In view of findings from section 3.1 Capacity development results, the evaluation team recommends the following for future programming on research capacity development:

**R3. Long-term commitment is needed to build organisational and institutional capacities**

Support for research programmes should build on a thorough capacity needs assessment so that expectations in terms of research results can be contextualised and adequate emphasis on capacity development can be built into the programme design from the outset. There continues to be a need at the individual and research team levels to develop African research partners' capacity to deliver meaningful applied research. Turning increased individual-level capacity into organisational and institutional capacity is a long-term commitment and requires long-term funding. Development partners need to take a longer-term view of Research and Capacity Development work and commit themselves to programmes that are for a minimum of ten years.

*Future programming on knowledge sharing*

In view of findings from section 3.4 Knowledge-sharing results, the evaluation team recommends the following for future programming on knowledge sharing:

**R4. Operational strategy for knowledge sharing and learning is needed in project design**

To avoid challenges in disseminating knowledge, an operational strategy for knowledge sharing and learning has to be built in from the start in project design. This strategy must be accompanied by a detailed communication plan developed early on in the implementation timeline, with appropriate resources, defined targets and tools. Care should be taken to develop an adapted communication strategy and approach relevant to local audiences.

Furthermore, the devolution of a knowledge-sharing mechanism should not be rushed, otherwise the value for money gained by it can easily be lost. Building up sustainability is key, and this takes time.

[45] What key advice would you give for future programming on research, research capacity development and knowledge sharing on adaptation to climate change in Africa?

# Annex 1 – List of Acronyms

| | |
|---|---|
| AARC | Africa Adaptation Research Centres |
| AAS | and African Academy of Science |
| AB | Advisory Board |
| ACCFP | Adaptation to Climate Change Fellowship Program |
| AMCEN | African Ministerial Conference on the Environment |
| AMMA | African Monsoon Multidisciplinary Analyses |
| AR5 | IPCC 5th assessment report |
| CAD | Canadian Dollars |
| CC | Climate Change |
| CCA | Climate Change Adaptation |
| CCAA | Climate Change Adaptation in Africa |
| CCW | Climate Change and Water program |
| CSE | Centre de SuiviEcoloqique |
| DFID | UK Department for International Development |
| ECOWAS | Economic Community Of West African States |
| GBP | Great-Britain Pounds |
| HQ | Headquarters |
| ICPAC | IGAD Climate Prediction and Applications Centre |
| ICT | Information and Communications Technology |
| IDRC | Canadian International Development Research Centre |
| IRA | Institute of Resource Assessment - University of Dar Es Salaam |
| LF | Logical Framework |
| M&E | Monitoring and Evaluation |
| MoU | Memorandum of Understanding |
| MTE | Mid-term Evaluation |
| NAPA | National Adaptation Program for Action |
| NGO | Non-governmental Organization |
| ODI | Overseas Development Institute |
| OJ | Outcome Journals |
| OM | Outcome Mapping |
| PAR | Participatory Action Research |
| PMU | Program Management Unit |
| POs | ProgramOfficers |
| REPAO | Réseau sur les politiques de pêche en Afrique de l'Ouest |
| SADC | Southern African Development Community |
| SMART | Specific, Measurable, Attainable, Realistic and Timely |
| START | Global Change System for Analysis, Research and Training |
| TEN | Technical Experts Network |
| ToR | Terms of reference |
| UNFCCC | United Nations Framework Convention on Climate Change |

# Annex 2 – Terms of Reference of the Evaluation

## 1. Background

The Climate Change Adaptation in Africa (CCAA) research and capacity development program was launched in 2006 as a jointly funded initiative of the Canadian International Development Research Centre (IDRC) and the UK Department for International Development (DFID). It is hosted and managed by IDRC from headquarters in Ottawa and three regional offices in Africa. Its initial mandate was for five years of programming. A one year extension was approved in September 2010 to carry out synthesis and dissemination of research findings, and to devolve elements of the program to African leadership. CCAA receives total funding of CA$16.25 million from IDRC and £25.25 million from DFID.

In its first year, the CCAA program management unit (PMU) was staffed and the team developed the program strategy, accompanied by frameworks for capacity development, knowledge sharing and monitoring and evaluation. The program goal and objectives were also articulated, as follows:

> The goal of CCAA is to significantly improve the capacity of African people and organizations to adapt to climate change in ways that benefit the most vulnerable.
>
> CCAA has four main objectives:
> - To strengthen the capacity of African scientists, organizations, decision makers and others to contribute to adaptation to climate change.
> - To support adaptation by rural and urban people, particularly the most vulnerable, through action research.
> - To generate a better shared understanding of the findings of scientists and research institutes on climate variability and change.
> - To inform policy processes with good quality science-based knowledge.

These objectives were shaped by a number of pre-program launch studies that provided guidance on existing research and capacity gaps on adaptation in Africa, to ensure that the program in its design would be demand driven.

To achieve its goal, the program supports three core activity areas or program strategies:
1. Participatory action research (PAR)
2. Education and training[46]
3. Communications and networking[47]

These strategies are mutually reinforcing. All CCAA supported research projects have capacity development and knowledge sharing built into their design, however, CCAA adds additional activity layers to ensure a wider base of capacity is built, progress is monitored, and knowledge on adaptation is shared among and beyond CCAA partners.

CCAA activities contribute to four projected outcome areas (see Table 1), each relating to a specific program objective and defining the four specific boundary partners prioritized by CCAA (i.e. researchers, policy makers, capacity developers and at-risk groups).By clearly laying out the assumptions, risks, and expected outcomes in each outcome area (as seen in the CCAA program logframe), this structure prepared the program framework for monitoring, evaluation, organizational learning, and adaptive management.

[46]Also commonly referred to as capacity building or capacity strengthening.
[47]Also commonly referred to as knowledge sharing.

**Table 1. CCAA Outcome Areas**

| | |
|---|---|
| **Outcome Area 1.** | Research teams are better able to assess climate-related vulnerabilities and to evaluate and develop adaptation options. |
| **Outcome Area 2.** | At-risk groups, policy makers and researchers share learning and expertise on climate vulnerability and poverty. |
| **Outcome Area 3.** | The poor in rural and urban environments apply their experience of adaptation with the knowledge and technologies generated by research to implement improved and effective adaptation strategies. |
| **Outcome Area 4.** | Policy processes are informed by good quality science-based work on vulnerability and adaptation, and by the experiences of the rural and urban poor |

The PMU has continued to monitor the progress of the program and to adjust activities and approaches in response to articulated stakeholder needs, changing context and lessons learned along the way.

Opportunities for program evaluation were also built into the program design. When, in May 2006, DFID and IDRC signed the Memorandum of Understanding initiating the CCAA program, they agreed to conduct a mid-term review (completed in November 2008) and to commission an external evaluation of CCAA to be completed by the end of the programming lifecycle (March 31, 2012). This external evaluation will be overseen by a Steering Committee, including representatives from both DFID and IDRC.

This document outlines the intended uses and users of the final evaluation, and highlights key objectives, questions, process, methodology, and timelines for the evaluation.

## 2. Purpose

The evaluation of CCAA will be both formative and summative in purpose.The purpose of the formative element of the evaluation is to distil lessons about the specific approach taken by CCAA to build capacity and support research, learning and knowledge sharing on adaptation to climate change. The evaluation will assess the implementation of CCAA since its inception, focusing on what can be learned from CCAA's approach and what directions future programming on adaptation might pursue.

Now nearing the end of its six year program lifecycle, the summative aspect of the evaluation will serve an important accountability function and learning opportunity. Moreover, all significant and innovative programs in DFID over £5M should undergo external evaluation. To this end, this exercise should evaluate the extent to which CCAA has achieved its program goal and objectives, the results of the program, and the effectiveness of the program management and governance.

## 3. Uses and Users of the Evaluation

DFID and IDRC are the *primary users* of this evaluation and will use the evaluation as part of their commitment to accountability for results and assessing program effectiveness. The evaluation findings will be used to inform ongoing and new DFID and IDRC investments on climate change adaptation. It is expected that the findings of the evaluation will also deliver insights on CCAA's achievements and challenges to a wider community of stakeholders, including donors and other climate change adaptation investors, program planners, designers and managers.

The *audience* for the evaluation includes:

- CCAA Advisory Board
- CCAA partners and stakeholders (including African researchers, policy makers, capacity developers and at-risk groups)

- Leads of second phase and legacy programming from CCAA (e.g. CORAF, ENDA, IRA and their collaborating partners)
- Other donors and climate change adaptation investors, including African governments, the African Development Bank (ADB), etc.
- Planners, designers and managers of adaptation programming/research [e.g. African Climate Policy Centre (ACPC), the UNDP-led Africa Adaptation Program (AAP), the Nairobi Work Program (NWP), UN agencies such as UNEP and UNFCCC and African governments (working at national, municipal and community levels] that are designing and rolling out adaptation initiatives, etc.)

## 4. Evaluation questions

The key evaluation questions are the following:

1) To what extent has the CCAA program achieved its goal and outcomes including as developed in the program strategies and outlined in the program logframe (annex 1)?[48]

2) Assess the results and contribution of the CCAA program, positive or negative, intended or unintended, in terms of:

a. The significance of outcomes[49] especially for at-risk communities, but also to the program's other boundary partners[50], and to others working in the broader field of climate change adaptation.
b. The quality of research and relevance to adaptation priorities in Africa[51]
c. Effectiveness and sustainability of capacity building and knowledge sharing efforts
d. Effectiveness in building African leadership in the field of adaptation
e. The sustainability of program results, including consideration of the devolution of components of CCAA

3) Was the program's governance and management structure adequate and effective?

4) Provide a high-level assessment of the benefits derived from CCAA programming to direct and indirect beneficiaries compared to the investments made. How might CCAA's legacy continue to deliver benefits in the longer term?

5) What key advice would you give for future programming on research, research capacity building and knowledge sharing on adaptation to climate change in Africa?

## 5. Process

Maintaining the spirit of partnership that guides both organizations' approachto managing CCAA, IDRC and DFID have agreed:

- The final evaluation will be a joint DFID-IDRC exercise.
- A Steering Committee (composed of DFID and IDRC program and evaluation representatives) will be established to guide the evaluation and to secure quality and independence throughout the process. The

[48]Taking into consideration the changes made to the strategies and logframe over the course of the program.
[49]Refers to outcomes as specifically outlined in the program logframe.
[50]CCAA boundary partners include researchers, policy makers, capacity developers and at-risk groups
[51]The quality of research for development takes into account:

- The relevance of the research for research users;
- The quality of the research process (in this case, participatory action research), including respect for ethical requirements;
- The rigour and accuracy of research methods;
- The quality of outputs as assessed through peer review, bibliometric analysis and other methods; and
- The accessibility of the products.

Steering Committee will be responsible for finalizing the TORs, selecting the evaluators, approving the evaluators' workplan and methodology, verifying preliminary findings, providing feedback on the draft evaluation report and approving the final version of the evaluation report.

- The evaluation will be managed by IDRC's Evaluation Unit (EU), who will be responsible for hiring, preparation and negotiation of contracts. The manager will closely monitor the evaluation process against a series of milestones articulated in these TORs, review data collection instruments, and liaise with and inform the Steering Committee on progress.
- The TORs, methodology (including any survey or data collection tools developed for the evaluation) and evaluation report will need to be quality assured by the agency managing the evaluation (in collaboration with DFID).
- The final report of the evaluation must be a publicly available document. Both IDRC and DFID will need to prepare a dissemination plan for the evaluation report.
- A joint DFID-IDRC management response to the evaluation will be prepared for circulation internally within DFID and IDRC.

## 6. Methodology

The methods and assessment frameworks employed for this evaluation should facilitate the collection and analysis of data, be relevant to the questions outlined in section 4 above, and make optimal use of existing data.

The section below offers some preliminary ideas on the methodology:

1. *Document review*: including pre-program scoping studies, program documentation (e.g. program approval documents, program strategy documents, program logframe and monitoring documents, workplans, annual reports, minutes of the Advisory Board meetings, etc.), a selection of project documentation (e.g. project approval documents, technical reports, project completion reports, project outputs such as journal articles, briefings media reports etc.), the CCAA program's final report (upon completion of a draft) and program and project level evaluations (including the CCAA mid-term review). A table of key program and project documents will be prepared and provided to each evaluator and assistance will be available should further documentation be required.

2. *Interviews:* with similar levels of management and program staff from both IDRC and DFID, CCAA Advisory Board members and other key stakeholders.

3. *Field visits or face-to-face meetings*: visit to select projects and meetings with a sample of project leaders and research stakeholders in Africa and internationally, particularly at-risk groups.

4. *Surveys or other data collection methods*: to solicit input from additional stakeholders both internal and external to the program.

## 7. Evaluation Outputs

The expected outputs of the external evaluation are:

- Evaluation design document including methodology, assessment frameworks and data collection instruments
- Presentation of preliminary findings and draft outline of report
- Draft report
- Final evaluation report prepared by the evaluators of no more than 25 pages that responds to the questions outlined in these TORs, and incorporates feedback obtained on the draft report. The report should be formatted as per the guide on formatting evaluation reports.
- An executive summary of no more than 4 pages

- Appendices with details on the methodology, informants, etc.

## 8. Timeline and Milestones

The following outlines the timeline and milestones envisaged for the evaluation. The specific details will need to be confirmed in negotiation with the evaluation team and the Steering Committee to ensure timely completion of the evaluation and delivery of the evaluation report.

Evaluators selected, and contracts put in place – July -August 2011

Submission and presentation of evaluation workplan and methodology to Steering Committee for feedback and approval –end of September 2011

Document review and data collection (including at COP17 in Durban, South Africa) – October 2011- January 2012

Presentation of preliminary findings and a detailed outline of the evaluation report to Steering Committee – by end of January 2012

Submission of draft evaluation report to Steering Committee – mid February 2012

Submission of completed evaluation report, followed by a video/telephone conference to discuss any final questions – by March 31, 2012

## 9. Evaluation Team

The evaluation team will comprise of two or three members who between them should have expertise in:

- Evaluation
- Research for development and research uptake
- Capacity building and learning processes
- Climate change adaptation
- Social dimensions of climate change, participatory processes and institutional strengthening
- Language – fluency in English and French

All members of the team should have solid experience of working in Africa or at least in Low Income Countries and at least one of the evaluators on the team should be African, working on issues relevant to climate change adaptation within Africa. At least one of the evaluators should be fluently bilingual in French and English. The team members must be external to the CCAA program, and have no conflicts of interest with the evaluation (i.e. have not received funding from the program for the past two years, or have the prospect of receiving funding in the next year, and do not have a stake in the outcome of the evaluation and not affiliated to organizations that have benefitted from CCAA's funding). Evaluators may be internal to DFID if sufficiently distanced from the program. They may also be evaluators working for other donor agencies.

# Annex 3 - Detailed methodology

The evaluation has been undertaken in two phases: (i) the inception phase, which was meant to plan and scope the evaluation, and develop the evaluation tools; (ii) the data collection, analysis and reporting phase, which used appropriate data collection methods and tools to collect the needed information; synthesis and analyse all the collected data and prepare and present the evaluation report.

**INCEPTION PHASE**

In this phase, the evaluation team presented a detailed methodology regarding the evaluation process. This included a detailed evaluation matrix (see Annex 3) that served as the main data collection tool during the assignment.

1. **Preliminary literature review and kick-off conference call with Steering Committee.** The purpose of this initial review was to provide context for the evaluation, as well as the necessary data for refining the methodology and establishing an evaluation matrix. In order to allow for a quick start for this review, documents to be reviewed were sent on a CD or made available to the team electronically by IDRC and CCAA. In addition to this, the team had an initial conference call with the Evaluation Steering Committee on September 9th 2011. This was in particular an opportunity to hear from the Steering Committee on its expectations regarding the evaluation and the inception phase in particular, and to clarify the scope of the evaluation based on the ToRs and questions from the consultants.

2. **Inception mission to Dakar.** Following this first step, a short Inception mission took place in Dakar on September 14 and 15th 2011. The main objectives of this inception mission were two-fold: 1) To provide for an introduction and overview to the CCAA program by the PMU; and 2) To allow the team to start collect additional data sources and meet as a team a first time to launch the process of development of the evaluation methodology and workplan.

3. **Refining the methodology and preparing the Inception Report and Work Plan.** The evaluation team was then in a position to refine the methodology outlined in the Terms of Reference. Inter alia, the team gave particular attention to the following in producing the Inception Report and Work Plan:

   - *Preparing the sampling methodology*

   The team exchanged views and opinions in order to define a sampling methodology for desk case studies and field visits adapted to the constraints of the evaluation and its time-frame.

   - *Preparing the Inception Report, Evaluation Matrix and Updated Timetable*

   Based on the preliminary literature review, the start up teleconference with the Steering Committee and the Inception mission in Dakar, the evaluation team prepared the Inception report reflecting the improved understanding of the assignment and incorporating a work plan. In particular, the evaluation matrix presented in Annex B to the Inception report (and Annex 4 to this evaluation report) represented an important structuring tool for this whole evaluation process. Building on the evaluation questions provided in the ToRs for this evaluation, it detailed the judgment criteria on the basis of which answers to these questions have been formulated, and the relevant qualitative and quantitative indicators that were meant to inform these criteria. It also provided the data collection methods/sources of information that will be used to inform the value of each one of these indicators. For each evaluation question, the referred level of analysis based on the CCAA reconstituted logic (Impact, Outcomes and Outputs) and the OECD/DAC evaluation criteria covered by the question are also identified.

   A draft inception report was submitted to the Steering Committee for comments on October 7th 2011. A revised version was submitted for approval by the SC on October 20th 2011 , taking into account the SC comments received.

## DATA COLLECTION, ANALYSIS AND REPORTING PHASE

Both primary and secondary data have been collected. Secondary data have been obtained mainly from the CCAA team, IDRC, DFID, and relevant boundary partners and other organizations working in the field of CCA in Africa. Primary data have been gathered through qualitative and quantitative methods, including desk reviews and desk case studies, on-line surveys, semi-structured interviews, and field visits.

4. **In-depth documentation review.** The purpose of this phase was to conduct an in-depth analysis of the CCAA key documents, files, country documentation, operational management and governance systems, performance measurement, and the results achieved to date. Given the large quantity of available documentation, project-level information has been subject to relevant sampling and analysis, always focusing on responding to the evaluation questions and informing the indicators as laid out in the evaluation matrix to allow judgment by the evaluators on the answer to the evaluation questions from the ToRs.

5. **Desk case studies.** As this process of desk study unfolds, more pointed analysis has been provided on a selection of 6 projects through documentation review that lead to a series of 2-page case studies. As these were desk-based case studies, their value added is in the analysis of: 1)The relevance of the project to African/Country CCA priorities and needs; 2)the effectiveness of the project in meeting its expected results (with a focus at the outcome level as much as possible); and, 3)the key factors explaining this level of effectiveness.
   A selection of the projects for desk case studies has been performed following a stratified sampling approach along the following criteria: Representativeness in terms of: Geographic focus of portfolio, Theme, Sub-theme, Status (with a focus on projects that are further along in implementation to inform the issues to be covered), Budget size, Performance (trying to include a mix of well performing and more challenging projects), and availability of ample written material to inform this desk work. In addition, care was taken to ensure that the projects selected for desk case studies are different from those to be covered through field visits, to ensure a broader coverage of the evaluation. The sampling matrix and proposed project candidates are presented below. The Evaluation team offered a choice A and B for each of the project case studies and based on the draft Inception report and the comments received from the Steering Committee, Choice B was selected for the 6 case study projects.

6. **On-line surveys.** Given the budget and time constraints and the need to nevertheless integrate experiences from a large number of partners and organizations on various evaluation issues to get a fuller picture on CCAA performance and challenges, two on-line surveys developed and managed using *Fluid Surveys* have been launched prior to the field visit work. One survey focused on CCAA research partners involved in PAR but not covered by interviews and field visits and one on other organizations not directly involved in CCAA, but working on adaptation in Africa which are also not covered through the planned interviews and field visits. These two on-line surveys constituted a data collection tool from a rather large selection of informants, which provided a global overview of the CCAA implementation context in the different projects and countries and for Africa as a whole.

7. **Key informant interviews.** These broader surveys have been complemented by in-person or phone interviews with selected key informants. In total, more than 100 key informants have been interviewed during the evaluation process, including Advisory Board members, DFID, IDRC HQ and Regional offices staff and CCAA partners/individuals involved in cross-program strategies (from national and sub-national government agencies, think-tanks and policy forums, networks, research institutions, universities, non-governmental organizations and civil society organizations, the private sector, multinational and international institutions, and donor agencies).

8. **Field visits.** In order to select the field visits, the evaluation team underwent a review of the whole CCAA project portfolio and based its proposed selection on the following criteria: Representativeness in terms of: Geographic focus of portfolio, Theme, Sub-theme, Status (with a focus on projects that are further along in implementation to inform the issues to be covered), Budget size, Performance (trying to include a mix of well

performing and more challenging projects), existence of pilot sites with at-risk communities, and accessibility of the project sites.

To contain cost and at the same time ensure some basic representativeness of the project portfolio (at least in terms of geographic focus), the evaluation team proposed that in addition to a three day visit to Senegal by the Evaluation team leader to conduct in-depth interviews, three field missions to other countries would conducted. The following countries were selected for these field visits, which entailed: Interviews with project stakeholders, focus groups with beneficiaries and direct observation. The evaluation team visited Kenya, South Africa and Benin, in addition to Senegal.

9. **Visit to Durban.** In addition to the field visits to projects, a mission to Durban has been undertaken by the evaluation team. This visit took place on UNFCCC COP premises and side events, and focused primarily on eliciting additional responses to the two on-line surveys, administering the surveys individually to partners (survey 1) and other organizations active in CCA in Africa (Survey 2) met during the COP which have not already completed it.

10. **Data analysis.** At this stage, the team compiled and analyzed all collected data on results achieved and gaps reported. All the data collected has been compiled internally using the evaluation matrix, as the key tool for data collection and organization. This stage included, among others, the comprehensive and statistical analysis of key relevant quantitative data stemming from the survey.

    - *Primary Triangulation of information*

    In order to ensure that the information was collected and cross-checked by a variety of informants, data triangulation (confirmation from various sources) was a key tool for the verification and confirmation of the information collected and the support of the findings presented.

    - *Shaping key findings, preliminary conclusions, lessons learned, and recommendations*

    This activity produced an overview, point form report that became the basis for the main body of the draft final report. Building on the analysis of context, the team documented the reported achieved results, in order to: (i) confirm some qualitative and quantitative short-term (inputs) and mid-term (outcomes) results; and, (ii) facilitate the interpretation of key findings and lessons learned, as well as the formulation of the subsequent preliminary conclusions and recommendations.

11. **Presentation of preliminary findings to Steering Committee.** The preliminary evaluation findings have been presented to the Steering Committee on February 17th2012, in Ottawa, in the form of a powerpoint, following essentially a structure that later evolved into the Evaluation report.The detailed outline of the evaluation report has also been presented during this meeting.

12. **Draft evaluation report.** On the basis of the analysis conducted and the feedback received at the Steering Committee meeting, the present draft evaluation report is submitted to the Steering Committee on March, 16 2012.

13. **Revised draft evaluation report.** This revised version will integrate comments from the Steering Committee and will be submitted 15 days after receipt of all comments. The expected date for submission is 20 April 2012. This revised version will be subject to a Notice of approval by the Steering Committee.

14. **Final evaluation report.** The final report will integrate comments from the Steering Committee. The expected date for submission is 30 April 2012.

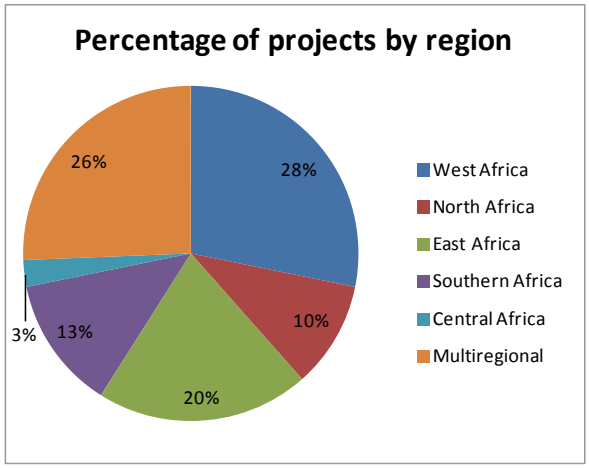
**Sampling rationale**

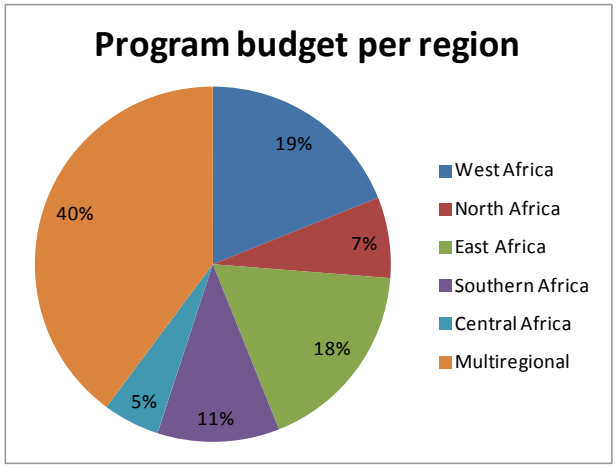
This note explains the stratified sampling procedure used to select the projects for case studies and field visits, and describes the key characteristics of the sample. It should be noted that this is not meant to be a fully statistically representative sample of the project population, although every effort has been made to propose choices for case studies and field visits that do ensure a fair level of representativeness of the overall CCAA portfolio.

The team identified two main criteria for the sampling, the geographical and sectoral distribution. Based on the list of projects provided by the CCAA team, it proceeded to an overall statistical analysis of the geographical and sectoral distribution of the CCAA portfolio, so as to determine the geographical and sectoral sample distribution. This analysis has been based on a list of a total of 39 projects, as the six Ecohealth projects were not included in this list (they will be reviewed with the Ecohealth External Review) and the 5 pilot projects within the Advancing Capacities to Support Climate Change Adaptation (ACCCA) were counted as a Multiregional project. This list included the capacity development and knowledge sharing projects. It presents the following information and is available upon request in excel format: (i) project name; (ii) project number; (iii) location; (iv) theme; (v) sub-theme; (vi) budget amount; (vii) status (on-going, completed or evaluated); (viii) preliminary view on performance (well performing, mixed results or more challenging); (ix) availability of documentation; (x) existence of pilot sites; (xi) accessibility of these sites; and (xii) additional information.

Projects have been grouped per region, e.g. West, North, Eastern, Central and Southern Africa. A specific category named "Multiple-regions" has been developed for projects across multiple countries and regions. The table and charts below present the overall geographic distribution of the portfolio, as per the number of projects by region and also the program budget per region:

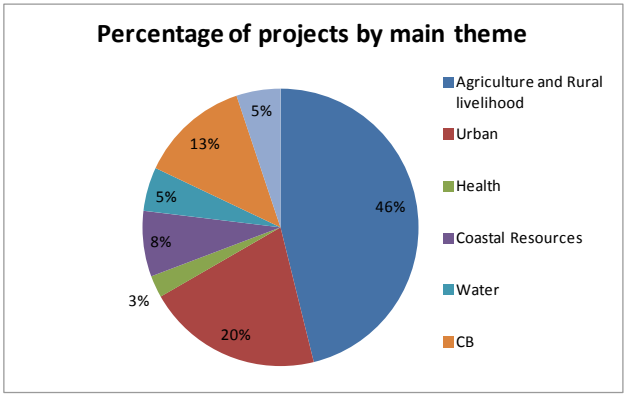
| | Country focused | Multiple countries | Total | Amount |
|---|---|---|---|---|
| West Africa | 8 | 3 | 11 | 6 253 836 |
| North Africa | 4 | 0 | 4 | 2 432 300 |
| East Africa | 2 | 6 | 8 | 5 857 380 |
| Southern Africa | 3 | 2 | 5 | 3 672 763 |
| Central Africa | | 1 | 1 | 1 699 900 |
| Multiregional | | 10 | 10 | 13 182 151 |
| | **17** | **22** | **39** | **33 098 330** |



The sectoral distribution of the CCAA portfolio[52], as determine by the main theme of focus of the projects, is the following:

| Main theme | |
|---|---|
| Agriculture and Rural livelihood | 18 |
| Urban | 8 |
| Health | 1 |
| Coastal Resources | 3 |
| Water | 2 |
| CB | 5 |
| Knowledge sharing | 2 |
| | **39** |




Based on these results, the team arrived at the desired overall geographical and sectoral distribution for the project sample to ensure a fair level of representativeness of the portfolio.

Given the foreseen level of effort for this assignment, the evaluation team came to the conclusion that the maximum number of in-depth project reviews it could conduct was 15 (9 field visits and 6 cases studies). This sample size and composition was arrived at as per the evaluation methodology presented in this report, the proposed number of countries to be visited (4 countries – with an average of 3 projects per country) and the time to be spent in each country (5 days). The sample distribution result, on that basis, was the following:

| Region | % of projects | % of program budget | Sample distribution | Actual number of projects per region on sample of 15 projects |
|---|---|---|---|---|
| West Africa | 28% | 19% | 24% | **4** |
| North Africa | 10% | 7% | 9% | **1** |
| East Africa | 20% | 18% | 19% | **3** |
| Southern Africa | 13% | 11% | 12% | **2** |
| Central Africa | 3% | 5% | 4% | **0** |
| Multiregional | 26% | 40% | 33% | **5** |
| **Total** | **100%** | **100%** | **100%** | **15** |

| Main theme | % of projects | Actual number of projects per main theme on sample of 15 projects |
|---|---|---|
| Agriculture and rural livelihood | 46% | **7** |
| Urban | 20% | **3** |
| Water | 5% | **1** |
| Coastal | 8% | **1** |
| Health | 3% | **1** |
| Capacity Building and Knowledge Sharing | 18% | **2** |
| **Total** | **100%** | **15** |

[52] This portfolio analysis does not include the 6 component projects of project 104270 "Health, Water and Climate Change" as they are reviewed with the Ecohealth External Review.

The overall distribution between the number of case studies and field visits by region proposed has been the following:

| Region | Actual number of projects per region on sample of 15 projects | Number of field visits | Number of case study |
|---|---|---|---|
| West Africa | 4 | 3 | 1 |
| North Africa | 1 | 0 | 1 |
| East Africa | 3 | 2 | 1 |
| Southern Africa | 2 | 1 | 1 |
| Central Africa | 0 | 0 | 0 |
| Multiregional | 5 | 3 | 2 |
| **Total** | **15** | **9** | **6** |

Projects were then listed by region, country and their characteristics as per the different sampling criteria as defined is the methodology section:

- Field visit criteria: Theme, Status (on-going, completed or evaluated), Budget size (less than 0,5 million US$, between 0,5 and 1 million, or more than 1 million), Performance (well performing, mixed results, or more challenging), existence of pilot sites with at-risk communities, and accessibility of the project sites
- Case study criteria: Theme, Status (on-going, completed or evaluated), Budget size (less than 0,5 million US$, between 0,5 and 1 million, or more than 1 million), Performance (well performing, mixed results, or more challenging), existence of pilot sites with at-risk communities, and availability of ample written material to inform this desk work.

These lists were presented in the inception report. The evaluation team applied these criteria and the geographical and sectoral distribution results on these tables to identify the most representative sample. A and B choices have been identified. Based on this process, the evaluation team proposed to conduct field visits in the following countries:

| | Proposed country to be visited and number of projects per country |
|---|---|
| A Choice | Burkina Faso (3), Kenya (4), South Africa (1) and Senegal (1) |
| B Choice | Benin (2), Kenya (3), South Africa (2) and Senegal (1) |

Both choices have the merit of taking advantage of already planned visits to Durban (CoP) and Dakar, and therefore provide for reduced travel costs while allowing broader country coverage.

The sample results are the following:

| SAMPLING - A CHOICES | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | **Agriculture (7)** | **Urban (3)** | **Water (1)** | **Coastal (1)** | **CB and KS (2)** | **Health (1)** |
| **West Africa** | Field Visits (3) | # 104795 in Senegal<br># 105518 in Burkina Faso | | # 104683 In Burkina Faso | | | |
| | Case Study (1) | | # 105839 in Nigeria | | | | |
| **North Africa** | Field Visits (0) | | | | | | |
| | Case Study (1) | # 104329 in Morocco | | | | | |
| **Eastern Africa** | Field Visits (2) | # 104752 in Kenya | | | | | # 104707 in Kenya |
| | Case Study (1) | # 104141 in 2 countries | | | | | |
| **Southern Africa** | Field Visits (1) | | | | # 105674 in South Africa | | |
| | Case study (1) | | # 105868 in 5 countries | | | | |
| **Central Africa** | Field Visits (0) | | | | | | |
| | Case Study (0) | | | | | | |
| **Multiregional** | Field Visits (3) | # 104695 in Burkina Faso | # 106002 in Kenya | | | # 104391 - CB (interviews in Kenya) | |
| | Case Study (2) | # 104898 in 8 countries | | | | # 104955 - KS | |

| SAMPLING - B CHOICES | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | **Agriculture (7)** | **Urban (3)** | **Water (1)** | **Coastal (1)** | **CB and KS (2)** | **Health (1)** |
| **West Africa** | Field Visits (3) | # 104795 in Senegal<br># 104142 in Benin | # 105815 in Benin | | | | |
| | Case Study (1) | # 105518 in 3 countries | | | | | |
| **North Africa** | Field Visits (0) | | | | | | |
| | Case Study (1) | | | # 105439 in Morocco | | | |
| **Eastern Africa** | Field Visits (2) | # 104903 in Kenya | | | | | # 104707 in Kenya |
| | Case Study (1) | # 104146 in 4 countries | | | | | |
| **Southern Africa** | Field Visits (1) | | # 105868 in South Africa | | | | |
| | Case Study (1) | # 104143 in Madagascar | | | | | |
| **Central Africa** | Field Visits (0) | | | | | | |
| | Case Study (0) | | | | | | |
| **Multiregional** | Field Visits (3) | | # 106002 in South Africa | | | # 105602 in Kenya - CB | |
| | Case Study (3) | | | | # 104682 (MC in West Africa) | # 105099 - CB | |

# Annex4 - Evaluation Matrix

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| Q1. To what extent has the CCAA program achieved its goal and outcomes including as developed in the program strategies and outlined in the program logframe?<br><br>*(Impacts and Effectiveness)*<br><br>***Level of analysis: impacts and outcomes*** | J1.1. The CCAA program has achieved its expected impact, "To significantly improve the capacity of African people and organizations to adapt to climate change in ways that benefit the most vulnerable" | I1.1.1Strengthened research capacity in research teams and partners as measured by:<br>• Evidence of individual, institutional and networks capacities strengthened (in addition to answer to Q2c) | Interviews | CCAA selected partners and staff |
| | | | On-line survey | CCAA partners |
| | | | Desk review | CCAA program documentation |
| | | | Field visit | In selected projects |
| | | • Entry points used for the research problems: individual, organizational or networks | Desk Review | CCAA project documentation |
| | | • Dynamics created among the entry points | Desk Review | CCAA project documentation |
| | | | Interviews | CCAA partners |
| | | | Field visits | To selected projects |
| | | • Perception of change over time in relationships between research teams and partners | Interviews | CCAA selected partners and staff |
| | | | Field visits | To selected projects |
| | | • Knowledge on CCA produced by CCAA | Desk review | CCAA project documentation and publications |
| | | • Level of quality of research diagnosis and relevance of the research focus in view of climate change risks, adaptation practices and challenges | Interviews | CCAA selected partners |
| | | | Field visits | To selected projects |
| | | I1.1.2. A credible body of policy relevant evidence emerging from CCAA supported projects and initiatives as measured by:<br>• Evidence of scientific knowledge and expertise coming from CCAA initiatives that have played a key role in framing policy debates and narratives | Desk review | CCAA project documentation |
| | | | Field visits | To selected projects |
| | | | Interviews | With CCAA staff and selected partners |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| | | • Evidence of broadened policy horizons, i.e. advocacy and raised awareness among african decision makers, working towards an emerging climate leadership in Africa | Desk review | CCAA project and program documentation |
| | | | Field visits | To selected projects |
| | | | Interviews | With in-country policy makers |
| | | • Evidence of strengthened capabilities of policy makers, i.e. policy processes around climate change analysed to improve research linkages and catalyse informed decision making on adaptation | Desk review | CCAA project and program documentation and publications |
| | | | Field visits | To selected projects |
| | | | Interviews | With in-country policy makers |
| | | • Evidence of strengthened research to policy linkages | Desk review | CCAA project documentation |
| | | • Level of appreciation of relevance of body of evidence by policy makers | Interviews | With in-country policy makers |
| | | | Field visit | In selected projects |
| | | I1.1.3. CCAA partners are engaging in continued communication and networking on climate change adaptation as measured by:<br>• Number and types of examples of CCAA partners' involvement in communication and networking actions on CCAA | Desk review | CCAA project documentation and publications |
| | | | Interviews | CCAA partners |
| | | | On-line survey | CCAA partners |
| | | | Field visit | In selected projects |
| | | • Evidence of multidisciplinary teams working on CCA | Interviews | CCAA partners |
| | | | Field Visits | To selected projects |
| | | | Desk review | CCAA project and program documentation |
| | | | On-line survey | CCAA partners |
| | | • Examples of inter-organizational linkages | Interviews | CCAA partners |
| | | | Field Visits | To selected projects |
| | | | Desk review | CCAA project and program documentation |
| | | | On-line survey | CCAA partners |
| | | • Frequency of communication and | Desk review | CCAA project documentation and |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| | | networking actions on CCAA by partners | | publications |
| | | | Interviews | CCAA partners |
| | | | On-line survey | CCAA partners |
| | | | Field visit | In selected projects |
| | | I1.1.4. CCAA recipients take over responsibility for the future management/leadership of key activities as measured by:<br>• Examples of activities where CCAA recipients have taken key management or leadership role | Desk review | CCAA project documentation and publications |
| | | | Interviews | CCAA selected partners |
| | | | On-line survey | CCAA partners |
| | | | Field visits | In selected projects |
| | | • Level of ownership by african organizations and researchers of CCAA research activities | Desk review | CCAA project documentation |
| | | | Field visits | In selected projects |
| | | • Level of ownership of PAR methods | Desk review | CCAA project documentation |
| | | | Field visits | In selected projects |
| | J1.2. The CCAA program has achieved its expected outcomes as planned as per the indicators and measures agreed | I1.2.1. Research teams better able to assess climate-related vulnerabilities and to evaluate and develop adaptation options, as measured by:<br>• Evidence that research teams assess vulnerability to impacts of climate variability and change | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | • Evidence that researchers develop options for enhancing adaptive capacity | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | • Evidence that researchers carry their new expertise into new projects, communities and scientific initiatives | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | I1.2.2. At-risk groups, policy makers and researchers share learning and expertise on climate | | |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| | | vulnerability and poverty, as measured by:<br>• Evidence that research teams are facilitating knowledge sharing processes amongst vulnerable groups, civil society, policymakers and researchers | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | • Evidence that researchers are actively participating in at least one knowledge sharing network or community of practice | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | • Evidence that researchers publish and disseminate project results | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | I1.2.3. The poor in rural and urban environments apply their experience of adaptation with the knowledge & technologies generated by research to implement improved and effective adaptation strategies, as measured by:<br>• Evidence that stakeholders are actively involved in adaptation research that responds to their need | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | • Evidence that participatory experimentation is documented and results are captured in ways that are meaningful to research users | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | • Evidence that adaptive learning and management processes are put in place | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | I1.2.4. Policy processes are informed by good quality science-based work on vulnerability and adaptation, and by the experiences of the rural and urban poor, as measured by:<br>• Evidence that PAR research team members are consulted by policymakers | Desk review | CCAA project and program level reporting |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| | | on climate change issues | | (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | • Evidence that research findings contribute to the development of adaptation policies and plans | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| | | • Evidence that adaptation policies and plans reflect the needs and vulnerabilities of the poor | Desk review | CCAA project and program level reporting (OJ, rPCRs) |
| | | | Field visits | In selected projects |
| Q2a. To what extent has the CCAA program achieved its results and contributed, positively or negatively, in an intended or unintended fashion, in terms of "The significance of outcomes especially for at-risk communities, but also to the program's other boundary partners, and to others working in the broader field of climate change adaptation".<br><br>*(Effectiveness and impacts)*<br><br>***Level of analysis: outcomes and impacts on at risk communities*** | J2a.1. The at risk communities, boundary partners and others working in the broader field of CCA have provided for their perception of the significance of CCAA outcomes and impacts | I2a.1.1. Level of perceived positive intended or unintended effects and impacts of CCAA achievements by the direct and indirect beneficiaries | On-line survey | CCAA partners, other organizations |
| | | | Field visits | At risk communities |
| | | I2a.1.2. Level of perceived negative unintended effects and impacts of CCAA achievements by direct and indirect beneficiaries | One-line survey | CCAA partners, other organizations |
| | | | Field visits | At risk communities |
| | J2a.2. Level of achievement of outcomes | I2a.2.1. as per Q1 | See above | See above |
| Q2b. To what extent has | J2b.1. The research supported by | I2b.1.1.Professional assessment of the level of | Desk study | Project documentation |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| the CCAA program achieved its results and contributed, positively or negatively, in an intended or unintended fashion, in terms of "The quality of research and relevance to adaptation priorities in Africa"<br><br>*(Effectiveness)*<br><br>***Level of analysis: outputs and activities*** | CCAA is of good merit | quality of the defined research question of CCAA supported projects | | review |
| | | I2b.1.2. Professional assessment of the level of rigor and credibility of research methodology as designed in the of the CCAA supported project' proposals | Desk study | Project documentation review |
| | | I2b.1.3. Professional assessment of the level of involvement of stakeholders in the research design and implementation processes of CCAA supported projects | Desk study | Project documentation review |
| | | I2b.1.4. Professional assessment of the level of evidence and reliability of the research conclusions and findings of CCAA supported projects | Desk study | Project documentation review |
| | | I2b.1.2. Number of peer reviewed publications per CCAA supported projects | Desk study | Peer reviewed publications and program reports |
| | | I2b.1.3. Professional assessment of the level of innovation of CCAA supported projects. | Desk study | Project documentation review |
| | J2b.2. The research supported by CCAA is of good significance | I2b.2.1. Professional assessment of the level of availability/existence of documentation of the grounding of the research within relevant ideas in existing literature and conceptual/theoretical frameworks | Desk study | Project documentation review |
| | | I2b.2.2. Professional assessment of the level of direction for theory-building or policy/practice provided by the research | Desk study | Project documentation review |
| | | I2b.2.3. Professional assessment of the level of use by relevant groups in framing of policy | Desk study | Project documentation review |
| | J2b.3. The themes of the research are in direct correlation to adaptation priorities | I2b.3.1. Adaptation priorities in Africa | Desk case studies | IPCC, NAPAs and National communications to UNFCCC for selected countries |
| | | | Field visits | IPCC, NAPAs and National communications to UNFCCC for selected countries |
| | | I2b.3.2. Research themes supported | Desk review | Research proposals |
| | | I2b.3.3. Perception of level of relevance of research | On-line survey | CCAA partners and other |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| | | to adaptation priorities | | organizations |
| Q2c. To what extent has the CCAA program achieved its results and contributed, positively or negatively, in an intended or unintended fashion, in terms of the "Effectiveness and sustainability of capacity development and knowledge sharing efforts"<br><br>*(Effectiveness and sustainability)*<br><br>***Level of analysis: outcomes and outputs*** | J2c.1. A number of CCAA efforts are targeted at building research capacities and are actually contributing to build and sustain individual, organizational and networks research capacities in the field of climate change vulnerability, climate variability, and adaptation | I2c.1.1. Evidence of good quality proposals developed in climate change adaptation as measured among others by:<br>- Number of proposals revised<br>- Change in level of quality of proposals<br>- Change in level of quality of proposals to the different calls for proposals<br>- Change in the number and the level of quality of proposals from multidisciplinary teams | Desk review | CCAA project documentation<br>Outcome journals<br>Rolling project completion reports (rPCRs) |
| | | I2c.1.2. Evidence of built, strengthened and enhanced knowledge base and research capacity of African institutions and researchers in anticipating, managing and analysing vulnerability associated with climate change and variability and developing appropriate adaptation strategies | Interviews | CCAA selected partners |
| | | | On-line survey | CCAA partners |
| | | | Desk review | CCAA program and project documentation |
| | | | Field visit | In selected projects |
| | | I2c.1.3. Level of awareness on climate change and variability of specialists and non-specialists working in environmental or broad ministries | Interviews | With in-country policy makers |
| | | I2c.1.4. Evidence of a rich cadre of African researchers that are able to analyse, assess and integrate climate adaptation issues into long-term strategic development planning and thus expand a diverse community of adaptation practitioners | Interviews | CCAA selected partners |
| | | | On-line survey | CCAA partners |
| | | | Desk review | CCAA program and project documentation |
| | | | Field visit | In selected projects |
| | | I2c.1.5. Evidence of built expertise in different aspects of climate science and in promoting local experiences and home-grown solutions (or locally shared experiences) | Interviews | CCAA selected partners |
| | | | On-line survey | CCAA partners |
| | | | Desk review | CCAA program and project documentation |
| | | | Field visit | In selected projects |
| | | I2c.1.6. Number of CCAA interventions targeting capacity development with a sustainability strategy or plan | Desk review | CCAA project documentation |
| | | I2c.1.7. Level of implementation of these strategies and plans | Desk review | CCAA project documentation |
| | | | Interviews | CCAA selected project partners, staff |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| | | I2c.1.8. Evidence of research capacity sustained | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| | | I2c.1.9.Example of unintended positive capacity development outcomes | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| | | I2c.1.10. Evidence of negative effects of CCAA interventions on capacity development | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| | J2c.2. A number of CCAA efforts are targeted at knowledge sharing and are actually contributing to enhance and sustain this knowledge sharing efforts | I2c.2.1. Number, types and level of quality of short, policy-relevant briefs and other actionable summaries of key research findings produced | Desk review | CCAA program and project documentation |
| | | I2c.2.2. Examples of linkages between researchers, community reps and policymakers | Interviews | CCAA partners |
| | | | Desk Review | CCAA program and project documentation |
| | | I2c.2.3.Number of peer reviewed and non-peer reviewed publications | Desk Review | CCAA project publications |
| | | I2c.2.4. Evidence of established KS mechanisms and networks | Desk review | CCAA project documentation |
| | | | Interviews | CCAA selected project partners, staff |
| | | I2c.2.5. Examples of participation of regional policymakers in CCAA knowledge sharing events | Desk review | CCAA project and program reporting |
| | | | Field visits | In selected projects |
| | | I2c.2.6.Evidence of researchers communications with non-specialist audiences | Desk review | CCAA project and program reporting |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| | | | Field visits | In selected projects |
| | | I2c.2.7. Evidence of at-risk groups implications in networks and other KS mechanisms | Field visits | In selected projects |
| | | | Desk review | CCAA project and program reporting |
| | | I2c.2.8. Level of access of at-risk groups to produced knowledge | Field visits | In selected projects |
| | | I2c.2.9.Example of unintended positive KS outcomes | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| | | I2c.2.10. Evidence of negative effects of CCAA interventions on KS | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| | | I2c.1.11. Number of CCAA interventions targeting KS with a sustainability strategy or plan | Desk Review | CCAA project documentation |
| | | I2c.1.12. Level of implementation of these strategies and plans | Desk review | CCAA project documentation |
| | | | Interviews | CCAA selected project partners, staff |
| | | I2c.1.13. Evidence of KS efforts sustained | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| Q2d. To what extent has the CCAA program achieved its results and contributed, positively or | J2d.1. A number of CCAA efforts are targeted at building African leadership in the field of adaptation and are actually contributing to this | I2d.1.1. Number of CCAA interventions with leadership related expected outcomes | Desk review | CCAA project documentation |
| | | I2d.1.2.Examples of new or better recognized, legitimate, credible and trusted institutions at the national and international levels in the | Desk review | CCAA project and program documentation |
| | | | On-line survey | CCAA partners and other |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| negatively, in an intended or unintended fashion, in terms of the "Effectiveness in building African leadership in the field of adaptation"?<br><br>*(Effectiveness and impacts)*<br><br>***Level of analysis: impact and outcomes*** | enhanced leadership | field of climate change adaptation that have benefited from CCAA support | | organizations |
| | | | Field Visits | Selected projects |
| | | I2d.1.3. Examples of new or better recognized, legitimate, credible and trusted researchers at the national and international levels in the field of climate change adaptation that have benefited from CCAA support | Desk review | CCAA project and program documentation |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field Visits | Selected projects |
| | | I2d.1.4.Examples of nominated researchers in IPCC as authors, lead-authors, contributors, etc, that received prior support from CCAA | Desk review | CCAA project and program documentation |
| | | | Field visits | Selected projects |
| | | | On-line survey | CCAA partners and other organizations |
| | | I2e.1.5. Evidence of change in level of policy influence of organizations involved in CCAA supported projects | Desk review | CCAA project and program documentation |
| | | | Field visits | Selected projects |
| | | | On-line survey | CCAA partners and other organizations |
| | | I2d.1.6. Evidence of African participation in determining the CCA research agenda | Desk review | CCAA project documentation |
| | | | Field visits | Selected projects |
| | | | On-line survey | CCAA partners and other organizations |
| | | I2d.1.7. Evidence of new funding leveraged by organizations involved with CCAA | Desk review | CCAA project and program reporting |
| | | | Field visits | Selected projects |
| | | | On-line survey | CCAA partners and other organizations |
| | | I2d.1.8. Unintended positive outcomes on leadership | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| | | I2d.1.9. Evidence of negative effects of CCAA interventions on leadership development | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| Q2e. To what extent has the CCAA program achieved its results and contributed, positively or negatively, in an intended or unintended fashion, in terms of "The sustainability of program results, including consideration of the devolution of components of CCAA"?<br><br>(*Sustainability)*<br><br>***Level of analysis: outcomes and outputs*** | J2e.1. CCAA has planned for sustainability of program results and devolution, and effectively implemented those plans | I2e.1.1. Existence of plans and strategies for sustainability of program results and devolution | Desk review | CCAA project documentation |
| | | I2e.1.2. Level of quality of plans and strategies for sustainability of program results and devolution | Desk review | CCAA project documentation |
| | | I2e.1.3. Level of implementation of plans and strategies for sustainability of program results and devolution | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | J2e.2. The program results are likely to be sustained | I2e.2.1. Evidence of program results sustained and factors affecting the likelihood of sustainability (including institutional, financial, political or social factors, as relevant) | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| | | I2e.2.2.Unintended effects on sustainability | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| | | I2e.2.3. Negative effects of CCAA interventions on sustainability of program results | Desk review | CCAA project and program reporting |
| | | | Interviews | CCAA selected partners, staff |
| | | | On-line survey | CCAA partners and other organizations |
| | | | Field visits | In selected projects |
| Q3. Was the program's governance and management structure | J3.1. Roles and responsibilities of the governance and management structures are | I3.1.1. Roles and responsibilities of each structure and body | Desk review | CCAA program documentation |
| | | I3.1.2. Representativeness of the governance | Desk review | CCAA program |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| adequate and effective?<br><br>*(Relevance and efficiency)*<br><br>***Level of analysis: outputs, activities as well as set up and operation of governance and management structure*** | clearly defined and allow efficient and effective implementation of CCAA program | structures | | documentation |
| | | | Interviews | CCAA staff, steering committee and advisory board |
| | | I3.1.3. Means and mechanisms in place in view of I3.1.1., including human resources, finance, etc. | Desk review | CCAA program documentation |
| | | | Interviews | CCAA staff, steering committee and advisory board |
| | | I3.1.4. Percentage of program budget for management | Desk review | CCAA program documentation |
| | | I3.1.5. Level of execution of program budget | Desk review | CCAA program documentation |
| | | I3.1.6. Planned versus actual program implementation timeline | Desk review | CCAA program documentation |
| | | I3.1.7. Perceived level of adequacy and effectiveness of governance and management structures | Interviews | CCAA staff, steering committee and advisory board |
| | J3.2. The management has considered and acted adequately upon the mid-term evaluation recommendations | I3.2.1.Actual actions by management in response to mid-term evaluation recommendations | Interviews | CCAA staff, steering committee members |
| Q4a. Overall, to what extent has CCAA programming provided benefits to direct and indirect beneficiaries compared to the investments made?<br><br>(*Impacts, effectiveness, efficiency and sustainability)*<br><br>***Level of analysis: outcomes and impacts*** | J4.1. The results achieved (impacts and outcomes) and their innovative character justify the investment made. | I4.1.1. Level of program result achievements (intended and unintended impacts and outcomes) as per OVI | Desk review | CCAA program documentation |
| | | I4.1.2 Types of innovative results supported by CCAA | Desk review | CCAA program and project documentation |
| | | | Interviews | CCAA staff, selected partners, steering committee and advisory board |
| | | | On-line survey | CCAA partners and other organizations |
| | | I4.1.3. Level of resources used | Desk review | CCAA program documentation |
| Q4b. How might CCAA's | This question will be answered on the basis of the analysis, conclusions and lessons learned provided on questions 1, 2, 3, 4a | | | |

| Evaluation Questions | Judgment Criteria | Indicator(s) proposed | Means of verification | Source of verification |
|---|---|---|---|---|
| legacy continue to deliver benefits in the longer term?<br><br>*(Sustainability)*<br><br>***Formative evaluation question*** | | | | |
| Q5. What key advice would you give for future programming on research, research capacity development and knowledge sharing on adaptation to climate change in Africa?<br><br>*(all DAC evaluation criteria, as relevant)*<br><br>***Formative evaluation question*** | This question will be answered on the basis of the analysis, conclusions and lessons learned provided on questions 1, 2, 3, 4a, plus in light of the findings around the aspects | | | |
| | J5.1 The design choices of the CCAA around the three strategic axis is considered as an adequate approach to achieving program objectives | I5.1.1. Perception on level of relevance of strategic axis choices in view of result achievement<br>• PAR<br>• Education and training<br>• Communication and networking | Interviews | CCAA staff, selected partners, steering committee, advisory board and other organizations |
| | | | On-line survey | CCAA partners and other organizations |

# Annex 5 - List of people interviewed

| # | Name | Organization | Function |
|---|---|---|---|
| 01 | Mbarek Diop | Institute for Transportation Development Policy | Chair of the Advisory Board (AB) |
| 02 | Shem Wandiga | Centre for Science and Technology Innovation | Former chair of the AB |
| 03 | Noel Oetlle | Environmental Monitoring Group | Former AB member |
| 04 | Yvan Biot | DFID | Head of climate change and environment unit, research division |
| 05 | Izabella Koziel | DFID | Climate change and environment unit, research division, AB Member |
| 06 | Gareth Martin | DFID | Climate Change Adviser, Africa Division, |
| 07 | Luke Mukabvu | DFID | Governance Adviser, Research Division |
| 08 | George McLaughlin | DFID | Deputy Head of Civil Service Organization Department, DFID. (Formerly Deputy Head of Research Department, Climate Change and Environments and Program Officer CCAA) |
| 09 | Jean Lebel | IDRC | Director Agriculture and Environment, AB Member |
| 10 | Isabelle Proux | IDRC | Program Manager CCAA, AB Member |
| 11 | Simon Carter | IDRC | Director IDRC Regional Office East Africa, Former AB Member |
| 12 | Kathryn Touré | IDRC | Director IDRC Regional Office West Africa |
| 13 | Simon Anderson | IIED | Head of climate change group, Former AB Member |
| 14 | Fatima Denton | CCAA | Program Leader, AB Member |
| 15 | Nathalie Beaulieu | CCAA | Program officer |
| 16 | Innocent Butare | CCAA | Program officer |
| 17 | Henri Lo | CCAA | Program officer |
| 18 | Evans Kituyi | CCAA | Senior Program Specialist |
| 19 | Aliou Diouf | CCAA | CCAA research assistant |
| 20 | Mary Oneil | IDRC | CCAA Communications & Public Affairs Officer |
| 21 | Hayley Price | IDRC | Program Management Officer |
| 22 | Marie-Jeanne Babacar | IDRC | Finance officer |
| 23 | Abdulai Jalloh | CORAF | Project officer |
| 24 | Nicolas Drunet | ENDA-Energy | |
| 25 | Lushendrie Naidu | | Project #106002 partner |
| 26 | Abdellatif Khattabi | | Project lead, Morocco |
| 27 | El Mzouri El Hussein | | Project lead, Morocco |
| 28 | Said Hounkpounou | IDID ONG | Project lead, Benin |
| 29 | Jacques André Ndione | CSE | Former CCAA proposals evaluator |
| 30 | Jean Denis Sonwa | CIFOR | Project lead |
| 31 | Arame Tall | | Former fellow (ACCFP) |
| 32 | Jacques Du Toit | Cape Town local government | |
| 33 | Cindy Jacobs | Cape Town local government | |
| 34 | Dr Andrew K. Githeko | KEMRI | Malaria Control |

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| 35 | Christine Ludwin Wansala | KEMRI | PHD student |
| 36 | Ednah Nyagechanga Ototo | KEMRI | PHD student |
| 37 | Serrah Sabawa | COHESU | Friends of COHESU |
| 38 | Kenneth Limotsi | COHESU | Youth coordinator |
| 39 | Elizabth Owino | COHESU | Office manager |
| 40 | Joy Makinji | Queen Elizabeth Hospital | Nurse at Queen Elizabeth Hospital, Kakamega |
| 41 | Jared Abutti | Agricultural Research Institute (KARI) | Officer at Kenya Agricultural Research Institute (KARI) Meteorological Station |
| 42 | George Arongo | Agricultural Research Institute (KARI) | Meteorological Superintendent at KARI Met Station |
| 43 | Prof L.A. Ogallo | ICPAC | |
| 44 | Gilbert Ouma | ICPAC | Climate Scientist |
| 45 | Dr Achda Pala | | Anthropologist |
| 46 | Dr Maria Ouyango | Bondo University College | |
| 47 | Thomas Osore Nganye | Nganyi Community | |
| 48 | Dr Bernard O. Abongo | Maseno University | |
| 49 | Joseph Mbeva | Ministry of Industrialization | |
| 50 | Gordon Wayumbo | Kenya Polytechnic University | |
| 51 | Samuel Mwangi | Kenya Meteorological Department (KMD) | |
| 52 | Abnery Osango | Nganyi Community | Coordinator rainmaker |
| 53 | Obed Nganyi | Nganyi Community | Coordinator rainmaker |
| 54 | Rebeun Okanda | Nganyi Community | Rainmaker |
| 55 | Osore Omuloko | Nganyi Community | Rainmaker |
| 56 | James Oteny | Nganyi Community | Assistant Chief Nganyi community |
| 57 | Paul Olando | Extension services Kisumu | Divisional Agricultural Officer |
| 58 | Lilly Amban | Extension services Kisumu | Divisional Agricultural Officer |
| 59 | Menase Kalemera | | Crops officer Luew |
| 60 | Lars Otto | IDS Sussex University | |
| 61 | Blane Harvey | IDS | Research fellow, climate change and development centre |
| 62 | Moses Ikara | KIPPRA | Executive Director |
| 63 | Joshua Laichena | KIPPRA | Policy Analyst |
| 64 | Paul Guthiga | ILRI | |
| 65 | William Ndegwa | Kenya Meteorological Department | |
| 66 | Samuel Mwakubo | African Economic Research Consortium | |
| 67 | Wilson Wasike | African Economic Research Consortium | |
| 68 | Eric Kisiangani | Practical Action | |
| 69 | Joy Obando | Kenyatta University | |

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| 70 | Sadique Bilal | Kilimanjaro Initiative | |
| 71 | Stephen Mukula Kasoa | Kilimanjaro Initiative | |
| 72 | Elijah Ndegwa | University of Nairobi | Professor |
| 73 | Romanus Opiyo | University of Nairobi | |
| 74 | Elizabeth Kanini Wamuchire | University of Nairobi | Master student |
| 75 | Stephen Otieno | University of Nairobi | Master student |
| 76 | Ellie Perkins | York University | |
| 77 | Teressia Kioko | Farmer in Mwingi | Chair of UUNIKO farmers club |
| 78 | Mary Mueni Samson | Farmer in Mwingi | |
| 79 | Kizito Kwena | KARI | |
| 80 | Boniface Kiowo Kithae | DAO | Soil and Water Conservation Officer |
| 81 | Kiama Kaara | KENDREN | |
| 82 | Epiphane Ahlonsour | ASECNA Cotonou | |
| 83 | Aurélien Lagbadohossou | DICAF, MAEP, Bénin | Chargé de l'évaluation et de la statistique |
| 84 | Félix Tchabi | MEPN Bénin | Chef division législation et réglementation |
| 85 | Anastase Azontonde | INRAB | Responsable du Laboratoire des sciences du dol, eau et environnement (LSSEE) |
| 86 | Angels Kpanou | Municipality of Kpomasse | Chief Technical Services |
| 87 | AugusteLanchoessi | IDID ONG | Animator in Department of Atlantique |
| 88 | Hubert Tchoukpeni | Local Farming Promotion Centre (CeCPA), Kpomassé | Director |
| 89 | Christophe Ganssé Adikpon | Farmer | |
| 90 | Euloge Ogouwalé | CREDEL | Project manager |
| 91 | Parfait Blalogoe | CREDEL | Executive director |
| 92 | Akibou Akindele | CREDEL | Animator |
| 93 | Juluette Witchédé | CREDEL | Animator |
| 94 | Yabi Ibouraïma | University of Abomey Calavi | Researcher LACEEDE (Laboratoire Pierre Pagney climat, eau, écosystèmes et développement) |
| 95 | Romaric Ogouwale | University of Abomey Calavi | Researcher LACEEDE |
| 96 | Toussaint Vigninou | University of Abomey Calavi | Researcher LEDUR (Laboratoire d'Etudes des Dynamiques Urbaines et Régionales) |
| 97 | Benjamin Allagbe | University of Abomey Calavi | Researcher LEDUR |
| 98 | Ibila Djibril | MEPN | UNFCCC focal point |
| 99 | Aristide Ailo | Municipality of Cotonou | Chief department social activities |
| 100 | François Aimé Hounkpevi | Municipality of Sémé Podji | Chief Technical Services (CST) |
| 101 | Epiphane Otcho | First arrondissement of Cotonou | Chief |
| 102 | Assize Touré | CSE | |
| 103 | Abdoulaye Ndiaye | CSE | |
| 104 | Anthony Nyong | | |

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| 105 | Leslie Paas | IISD | Author of a review of a range of web portals on adaptation |

# Annex 6 – Advisory Board role and mandate

As defined in its Terms of reference, the mandate of the AB was to:

a. Develop a collective vision of how the CCAA program can support adaptation to climate variability and change by Africans;
b. Use its knowledge of adaptation in Africa to provide advice and strategic guidance to the Program Management Unit (PMU) on its overall direction and main priorities in making strategic decisions, and striking a balance between different kinds of opportunities and modalities for supporting research and capacity building;
c. Review and approve the Program Strategy, the annual workplan and annual progress report prepared by IDRC through the PMU;
d. Provide advice to IDRC as requested on program management to ensure its effectiveness;
e. Suggest broad monitoring and evaluation topics at the program level and comment on results and their use by the PMU, act as a source of learning for DFID and IDRC programming and other participating donor agencies;
f. Contribute to the design of a devolutionary process that ensures the sustainability of the Program and moves to management by African organizations; assist the PMU to establish activities in a way that anticipates and continually advances the devolution of the CCAA program;
g. Act as ambassadors for the CCAA program, facilitate relationships with governments, donors, other programs etc.; and
h. Identify opportunities and encourage the PMU to interact with other scientific and development communities related to adaptation, such as food security, desertification and early warning systems, and to complementary activities in other areas of IDRC's programming.

# Annex 7 - Case studies

### #104143 - Vulnerability and adaptation to climate change in farming system in Madagascar

**1. Brief project description**

- **Title**: Vulnerability and adaptation to climate change in farming system in Madagascar
- **Project number**: 104143
- **Country of intervention**: Madagascar
- **Lead partner**: Agronomic science high school – Madagascar (*École Supérieure des Sciences Agronomiques*)
- **Amount provided**: CAD 423 313
- **Collaborating partners**: Radio-Isotope Laboratory in partnership with IRD UR SeqBio; FOFIFA- Department of Research and development; Agronomic science high school –Department of water and forestry; Ministry of environment, water and forestry – National adaptation program of action

**2. Project summary**

- **Assumptions:** In Madagascar the farming systems are depending on climatic conditions. Therefore, climate change which is expected to result in strong variations in temperature, rain and extreme events will be a key factor for farming, which is not yet integrated into national development policies. The country is implementing its NAPA but involved actors and decision makers cannot identify the spatial variation of the various components of climatic vulnerability and do not have access to relevant data, tools and expertise to decide which actions should be implemented and where in the country. This project aimed at contributing to this lack of data, tools and expertise at the local, regional and national levels. It has been articulated around two main assumptions: (i) farming systems in Madagascar show different vulnerability degrees; (ii) stakeholders could decrease the vulnerability of these farming systems to climate variability by taking into account these different degrees into their adaptation strategies.
- **The project was articulated around four research questions**: (i) what are the human and biophysical factors that influence the vulnerability of farming systems; (ii) how are they distributed geographically; (iii) which actions should national and local decision makers implement to decrease this vulnerability and where in the country; and (iv) what need to be implemented to allow a change in behavior of stakeholders involved in farming development to strengthen their national adaptation capacities.
- **Global objective of the project**: the project aimed at better understanding the vulnerability of farming systems to climate change in Madagascar for strengthening their adaptation capacities.
- **The project had five expected specific objectives**:

  1. Catalyze reflections and discussions between researchers and adaptation stakeholders at the national, regional and local
  2. Better understand and document current and potential adaptation strategies
  3. Develop spatial data on various factors influencing vulnerability and adaptation throughout Madagascar
  4. Explore various adaptation strategies under various scenarios
  5. Strengthen national capacities in analysing vulnerability and adaptation to climate change
- **The project had the following expected outputs and outcomes per objective**:

  1. Some reflections and discussions between adaptation stakeholders and researchers are facilitated during meetings of national, regional and local committees. Some concrete examples of decision taken by these actors based on the provided spatial vulnerability data will be developed and documented, contributing to data exchange between regions and levels of decision making. A synthesis and policy briefs will be developed.

  2. Current and potential adaptation strategies are documented and compared on written reports and video interviews. A documentary will be produced, distributed on DVD and shown to contribute to data exchange between farmers and rural communities from various regions. A synthesis will be developed and a public scientific paper published.

3. Spatial data will be available on various factors influencing vulnerability and adaptation throughout the country. These data will be distributed on CD-ROM and made publicly available on internet.

4. Adaptation scenarios will be debated during local and national committee meetings.

5. National capacities for analysing vulnerability and adaptation will be strengthened. Junior and senior experts will gain experience and knowledge by participating in this project. Through trainings and meetings, national, regional and local actors will be trained in the use of cartographic vulnerability data. A group of experts will be trained to provide technical adaptation expertise for future initiatives.

**3. Findings**

- Research on vulnerability of farming systems to climate change was **relevant to national priorities**, as rural and farming development is one of the transversal components of the Madagascar Action Plan. Furthermore, the project was relevant and aligned with priorities identified in the NAPA. One framework agreement between the project and the NAPA has been signed during its implementation. This project was also relevant to CCAA objectives as it aimed at strengthening national and local adaptation capacities and informing decision makers by the use of strong scientific data.
- **The level of achievement of expected outputs and outcomes per objective is the following:**

  1. With respect to the first objective, during the first year and an half of project implementation, some discussions and reflections have been effectively animated at the local, regional and national levels, through various committees. However, due to the political crisis the country experienced in 2009, discussion processes at the national and regional levels have been stopped. After these events, activities have focused on the implementation of PAR with local discussions groups. The project was able to effectively implement a common reflection process between farmers and researchers.

  2. With respect to the second objective, through discussions animated at the local level and surveys, a better knowledge oncurrent and potential adaptation practices and strategies has been developed, such as new farming productions, ameliorated and earliness rice seeds developed by a farmer, adjusted farming timelines. These adaptation practices have been documented in technical notes. Some policy briefs have also been developed for the most promising ones.

  3.This objective has not been reached. Factors influencing vulnerability have been identified and one vulnerability map has been developed for one local site. However, the project was not able to *spatialize* these factors throughout the all country.

  4. The project has effectively explored and debated various adaptation strategies and developed some policy briefs for the most promising ones. However, the project team has not been able to compare these strategies in function of various climatic scenarios.

  5. The project has not been able to reach all expected stakeholders in terms of building capacities. However, there is good indication that farmers have increased their awareness vis-à-vis climate change and also their capacities to adapt to the expected impacts. Furthermore, one master, six engineer and two PhD students have been involved in project activities and have developed their thesis on different subject relevant to the project. The 3 engineers and university professors involved have also gained some knowledge in climate change issues.
- **The project has produced some knowledge on climate change vulnerability, adaptation practices and measures**, by first identifying factors influencing vulnerability of farming systems but also by analysing the level of vulnerability of the various farming systems identified in Madagascar. Furthermore, current and potential adaptation practices and strategies have been analysed, documented and diffused through scientific publications, students' reports and policy briefs.
- Even if the project has not been able to reach all stakeholders targeted **for capacity development**, it has built capacities of farmers, students and researchers. As mentioned above, a total of nine students and 6 researchers from the university have been involved and trained during project implementation. Furthermore, project staff has participated in various trainings sponsored by CCAA such as one outcome mapping training, the climate change and gender forum. According to the technical reports produced by the project, these trainings have been useful in acquiring new expertise and knowledge.
- **One of the main achievements of the project relates to knowledge sharing.** All project activities, but also

adaptation strategies and practices have been documented on written reports but also on video. A documentary film *« A la rencontre des paysans chercheurs »* has been developed and shown in various part of the country. Furthermore, some policy briefs and a publication have been developed and diffused.

- Through this project, the Agronomic science high school **has acquired new expertise and knowledge** in the field of vulnerability and adaptation**. It is now recognised** as a credible institution and is involved in other initiative such as the university consortium established in the Indian Ocean on remote detection, farming and climate change.
- In terms of **policy influence**, due to the political crisis the country experienced in 2009, the project has not been able to reach the expected outcome. However, it has produced four policy briefs (one per region) and one publication on the PAR process. Furthermore, the NAPA committee has followed and been involved during the full implementation of the project.
- There is no sign that the reflections and discussions initiated through this project will not continue after the end of the project. There is also no sign that identified adaptation practices and strategies will not be implemented at the local level. To conclude, the project team should use the acquired knowledge and expertise to implement further initiatives in the region.

## #104146 - Managing risk, reducing vulnerability and enhancing productivity under a changing climate

**1. Brief project description**

- **Title**: Managing risk, reducing vulnerability and enhancing productivity under a changing climate
- **Project number**:104146
- **Country of intervention**: Greater Horn of Africa
- **Lead partner**: Sokoine University of Agriculture, Tanzania
- **Amount provided**: CAD 1,626,100
- **Collaborating partners**: ICRISAT, meteorological agencies, agricultural research institutes and a number of universities in the project hosting countries

**2. Project summary**

- **Assumptions:** The project area is the Greater Horn of Africa (GHA) consisting of 10 countries with a population of more than 200 million. However, study sites were defined from the territories of four countries including: Tanzania, Kenya, Ethiopia and the Republic of Sudan. The Horn of Africa is prone to prolonged seasonal droughts which often result in famine, widespread social and economic dislocation including long distance migration and loss, through death, of a substantial proportions of human and animal populations. This situation is set to worsen as a result of the risks posed by projected changes in climate and increasing vulnerability of the poverty stricken resident communities.

  The project is prosecuted with the assumptions that (i) the existing knowledge base and capacity are inadequate to deal with current and future negative impacts of climate change and climate variability, (ii) the current coping strategies and practices will not be adequate to address the challenges of climate variability and extreme weather events under the projected changes in climate, (iii) the current tools that support decision making for selecting appropriate responses to climate change and climate variability are not robust enough to address the problems posed by climate change and climate variability, (iv) improved communication of existing climate information can lead to reduced vulnerability and improved adaptation to climate change and climate variability.
- **Global objective of the project**: In general the project seeks to formulate effective and efficient strategies aimed at reducing vulnerability of the marginalized, safeguarding livelihoods threatened by droughts and enhancing inherent adaptability among small holder farmers.
- The **justification for the project** relies mainly on the documented disasters during the 20th century and the

forecasts of inadequate rainfall in Sub Saharan Africa in the aftermath of contemporary climate change. Downscaled GCM potential changes in climate in the selected study sites do not convey the impression of a worsening climate in terms of reduced moisture supply. This notwithstanding, the risks associated with climate variability and extreme climate events remain. Thus the existing climate situation is bad enough and requires urgent attention if the countries and the resident communities are to achieve the expectations of the Millenium Development Goals. There may be, in addition to the challenges of the endemic regional scale droughts, risks to livelihoods due to unchecked increases in temperature which may attain levels higher than the upper limits of the range of tolerance of the crops on which the farming population depends. This could lead to reduced crop yield according to investigations conducted in locations with similar climates in West Africa. This project however did not investigate the risks posed by higher temperatures that may curtail crop yield as global warming progresses.

- The **strategic element of the approach** to the research is Participating Action Research (PAR). This is a process through which members of a group or community identify a problem, collect and analyze information and act upon the problem in order to find solution and promote transformation with verifiable political, social and economic indicators. It represents a process of social learning and change carried out by the stakeholders themselves. It involves an iterative process of planning, action, monitoring, reflection and adjustment of action plans.

**3. Findings**

- Research activities started with literature review. This was followed by data collection based on: - compilation of relevant current climate data sets from available records; acquisition of future climate data sets using tested downscaling and weather generating tools; mapping of environmental quality indicators such as soil, vegetal cover and surface topography; mapping of current agricultural production and productivity; acquisition of social and economic data sets using available statistics from national and international sources; questionnaire surveys; focal group discussions and key informant interviews. Other activities included the development of tools and approaches for assessing climate related risks and risk management options and the use of workshops and surveys to gain insights into stakeholder perception of climate related risks and role in decision making.
- **Knowledge is gained and transmitted within and between communities** through formal and informal training including graduate and post graduate education, and at conferences, workshops, field visits and excursions.
- In the course of prosecuting the project, **thirteen peer reviewed journal articles, 24 conference proceedings, and 29 project reports were published**. A Short Message Switching Engine for accessing and transmitting climate information was developed for the use of farmers. Water harvesting and conservation technologies were also developed. Rain gauges were fabricated locally in large numbers. The project facilitated the generation and dissemination of consensus seasonal weather forecasting at district levels by meteorological agencies and indigenous knowledge practitioners. Climate scenarios for 2020 and 2100 were downscaled from GCM projections and these were made to evaluate impacts of climate change on agricultural production.
- A **team of specialists in climate change and agriculture was built** through research, short courses, MSc and PhD training in areas of downscaling GCM generated climate change scenarios and simulation modelling. Also curricula for new courses in climate change related issues were developed at BSc, MSc and PhD levels.
- **A long list of project outcomes has been recorded for this project in areas including**: - (i) scientific, research and knowledge innovations (ii) enhanced research capacity in terms of personnel and infrastructure; (iii) widespread adoption by farmers of technologies developed through project activities; (iv) increased contributions to policy formulation; (v) technology development and adoption as adaptation measures; (vi) improvement of income and food security as a result of the adoption of the strategies and measures resulting from the activities of the project.
- This is a project regarding which it is all agreed that **everything went well notwithstanding apparent initial monumental challenges**. It is not often that research study area crosses national boundaries. This particular one is based in four less developed countries with contrasting socioeconomic and political systems and with the usual problems of access, transportation and communication. As a result of difficulties in transferring funds from the lead institution, the commencement of the project in the Republic of Sudan was delayed for 12 months. There were justifiable fears at the outset that ICRISAT, one of the collaborating institutions could impose its considerable weight and dominate project activities. However the fears were not justified by developments as it

turned out that there were no power squabbles. There was respect for the Principal Investigator who also said that he felt comfortable working with ICRISAT. Initially, coordination was based on the four research outcome areas. Because this did not work well, coordinators were appointed for each country. This was to ensure that the objectives were met not only 'horizontally' but also 'vertically'.

- Without any fear of contradiction, **it could be concluded that the project has provided for**: (i) better access to climate and climate change data (ii) enhanced capacity of research personnel and research institutions, (iii) enhanced capacity of stakeholders to exchange information and learn from one another, and (iv) enhanced ability of farmers to adopt decision aids and technical capacity generated not only within their locality but across the Greater Horn of Africa region.

## #104682 – Adaptation of West African Fishery Policies through scientific and endogenous knowledge

**1. Brief project description**

- **Title**: Adapting Fishing Policy to Climate Change with the Aid of Scientific and Endogenous Knowledge
- **Project number**: 104682
- **Countries of intervention**: Guinea Bissau, Mauritania, Gambia, Cape Verde, Guinea and Senegal (PAR only in Cape Verde, Guinea and Senegal)
- **Lead partner**: Enda Prospectives Dialogues Politiques/Réseau sur les Politiques de Pêche en Afrique de l'Ouest (REPAO)
- **Amount provided**: CAD 1,235,200
- **Collaborating partners**: WWF/WAMER; REPAO; Enda Energy, Environment and Development; Faculty of science - Cheikh Anta DIOP University of Dakar; Sub-regional fishery commission (CSRP); Oceanography research centre of Dakar Thiaroye (CRODT); National fishery development institute of Cape Verde (INDP;, National center of marine science of Boussoura Guinea (CNSHB); and national ministries in charge of fishery and environment

**2. Project summary**

- **Project Assumptions** were that fishing is an activity of economic, social and environmental importance in West Africa. It contributes to food security and provides incomes to local communities. However, it is expected that climate change will impact fishing and fishermen in West Africa by a decrease in the upwelling intensity, a raise of sea level, an increase in water temperature and a loss of habitats. Most countries were at the time of project design implementing National adaptation programs of actions (NAPA) that were, in the opinion of the researchers, not supported with strong scientific evidence on climate change impacts in coastal and marine areas, weak in terms of social and political basis, and not coherent between neighboured countries vis-à-vis coastal and marine issues.
- The **main objective** of this project was to contribute towards improving fishing policies and practices in a way that increase fishery sector adaptation capacities vis-à-vis climate change.
- **The project had two specific objectives:** (i) Participatory review of expected climate change impacts on the fishing sector and adaptation strategies of fishing stakeholders with the aid of scientific and endogenous knowledge; (ii) Engage local, national and sub-regional decision makers in policy discussions for defining common and relevant adaptation strategies for the fishery sector.
- **Its projected outputs and outcomes** were the following: (i) 3 country studies on "climate change impacts on fisheries" in Cape Verde, Guinea and Senegal; (ii) a regional synthesis on "climate change impacts on the West African fisheries"; (iii) a research-action report on endogenous knowledge of local fishermen on the marine ecosystem and its adaptation to climate change; (iv) a documentary film on fishing adaptation policies and practices to climate change; (v) a website for knowledge sharing and results diffusion; (vi) four policy briefs; (vii) adaptation policy dialogue processes at the local, national and regional levels.

**3. Findings**

- **This project was relevant** to the need for a better knowledge of climate change impacts on the fishery sector in West Africa and of current and potential adaptation strategies, and the need for a more active policy dialogue at local, national and regional levels. It was also **relevant to CCAA objectives**, as it has contributed to CCAA's outcomes through the desk studies of potential impacts of climate change on the fishery sector, through field studies on the perceptions of fisherfolk and other stakeholders of the sector and the identification of factors of vulnerability, through numerous meetings where stakeholders of the sector (fisherfolk, traders, boat owners, local elects, ministries of fisheries and the environment) have discussed the impacts of climate change on fisheries, and by facilitating political dialogues at the sub-regional, national and local levels.
- Although the project has experienced delays in implementation and issues of management (see below), it **has reached most of its expected outputs**: (i) 3 country studies have been conducted and the following national research reports have been published: synthesis of knowledge on climate change impacts on fishing; endogenous knowledge from fishermen on climate change and adaptation; climate change scenarios and local adaptation strategies for 2050; and analysis of fishing practices, policies and institutions; (ii) a regional synthesis on "climate change impacts on West African fisheries" has been published; (iii) a regional synthesis on fishing practices, policies and institutions in West Africa has been published; (iv) a regional study on climate change and fisheries - scenarios for 2050 has also been published; (v) A 25 minute documentary film on fishing adaptation policies and practices has been realised in French, English and Portuguese; (vi) the project website has been created and updated throughout project life; (vii) local, national and regional policy dialogues have been facilitated. Nine local and three national policy dialogue committees have been set-up. However, their frequency of meeting was not regular and attendance was not always as good as expected. At the regional level, at project start a West African regional committee for fishery policy coherence has been set up and the project decided to support this regional committee rather than creating a new one. This regional committee has met several times during project implementation and has been able to validate the various reports and publications that have been developed during this project.
- Even if the project has not published peer-reviewed publications, this project **contributed to produce new knowledge** on climate change impacts on fisheries, adaptation practices and strategies, through for example the development of a synthesis on fishing practices, policies and institutions in West Africa and a regional scenario for 2050 for fisheries and climate change. These studies contributed to improve the knowledge on climate change impacts on fisheries in West Africa, but also to compile endogenous knowledge on adapting fishing practices to climate variability and change at the local level.
- Although the number of PhD students involved in this project has been lower than what was expected, the project involved seven students (on from PhD), mainly from Senegal. By the time of this evaluation, only one had published its thesis. **Monitoring and evaluation capacities** of project team have also been improved.
- **Knowledge and results** from this project **have been shared** and made available through various means, such as pamphlet, the website, participation to various international meetings. The 25 minute documentary film has been a great tool to share knowledge and data collected during the project. This documentary film and most of the reports are available in the project website.
- This project contributed to improve **the leadership and credibility of the REPAO** which has just signed a 3 year partnership and cooperation agreement with ECOWAS for implementing its program for sustainable fishing policies in West Africa. REPAO is also now an active member of the board of the Partnership for African Fisheries (PAF) supported by NEPAD.
- Although the frequency of the local and national policy dialogue committee meetings was not regular and some meetings have not been held, this project resulted in an improved participative dialogue between decision makers, researchers and fishermen at the local and national level. Furthermore, the studies and synthesis developed have been presented and validated by the West African Regional committee for fishery policy coherence, influencing in a sense the national fishery policies with an increase consideration of climate change issues. As a result of the project, the REPAO developed some institutional links with ECOWAS and contributed to the elaboration of its fishery and aquaculture common policy. **It is one of the main achievements of the project in terms of policy influence and scaling-up**.

- Although the project reached its expected outcomes, it has experienced some management issues during the entire process of implementation. First, the start of the project has been delayed due to the mobilisation and training of national teams, the national buy-in of the research protocol and the monitoring and evaluation process. Other factors have also impeded and delayed project implementation such as the distance between the islands in Cape Verde, the policy context in Guinea, capacities of national teams, difficulty of mobilising partnerships, financial issues in Guinea. As mentioned in the monitoring report, "During the first year of project execution, many weaknesses were found in REPAO's administrative and financial management. A first audit was conducted and a series of recommendations was made by the regional controller. A second audit showed that the recommendations had been implemented. This auditing process caused delays of approximately six months in the project's execution, and a six month extension was granted to the team to compensate for this. The complexity of the project and the management of national teams in three countries was a challenge for the regional coordination team. National teams had a tendency not to meet their engagements."
- To conclude**, with respect to sustainability,** there is no evidence that the local and national policy dialogue committees that have been set-up will continue working after the end of the project. The main factor of sustainability of project results is the strengthening of the REPAO during project implementation and its current relationship with regional organizations such as ECOWAS.

## # 104955 – Knowledge Sharing and Research - Africa Adapt

**1. Brief project description**

- **Title**: Knowledge Sharing and Research – Africa Adapt
- **Project number**: 104955 and 106243
- **Countries) of intervention**: Multi Countries
- **Lead partner**: Institute of Development Studies (IDS) Sussex UK (2008-10) and now ENDA Senegal
- **Amount provided** : CAD 2,695,800 to IDS (2008-09) and CAD 813,200 to ENDA (2010-11)

**2. Project summary**

- **Knowledge sharing is the main objective** of this project
- The project vision and objectives were agreed at a "write shop" in Ghana in 2007. Its objectives were informed by the contribution they would make towards achieving the following guiding vision: ***To improve the livelihoods of vulnerable people through increasing access to and use of knowledge assets by all stakeholders on climate change adaptation***
- The specific objectives of the project were the following : (i) To translate information in a way that will meet the demands of stakeholders: communities, policy makers, researchers and civil society; (ii) To build alliances and partnerships with organizations and participatory action research projects to learn and share knowledge on climate change adaptation; (iii) To identify and address the capacity constraints to knowledge access, sharing and use; and (iv) To demonstrate the added values of a culture of knowledge sharing
- The **projected outputs** included the following: Presentations (30 events, reaching some 1,500+ plus). Academic publications, a number of Research Synthesis and Symposium Proceedings, Network Newsletters , Online Presence Radio broadcasts/Podcasts, Videos, and other promotional materials

**3. Findings**

- **AfricaAdapt is a knowledge sharing network** on CCA in Africa established in 2008 and hosted by four partner organizations: Environment and Development in the Third World (ENDA-TM), based in Dakar, Senegal; the Forum for Agricultural Research in Africa (FARA) in Accra, Ghana; Intergovernmental Authority on Development (IGAD) Climate Prediction and Applications Centre (ICPAC) in Nairobi, Kenya; and the Institute of Development Studies (IDS) in Brighton, UK.

- The network now describes its aim as "facilitating the flow of climate change adaptation knowledge for sustainable livelihoods between researchers, policy makers, civil society organizations and communities who are vulnerable to climate variability and change across the continent".
- Since its launch it has grown to over 1100 members (over 80% of whom are Africa-based), consisting primarily of researchers, practitioners and students working on climate change and development in Africa. AfricaAdapt intends to offer a space for its members to profile the work they are doing, access information and findings from African research in a range of formats and languages, and establish new connections (both online and face-to-face) with others who are working on adaptation in Africa.
- **Highlights of AfricaAdapt online presence June 2009 - 2011:**

  **Website Traffic**

  1. Approximately 49,000 visits from 25,100+ unique visitors hailing from 185 countries/territories.
  2. Nearly 50% of all site traffic is from Africa (next highest being Europe at 25%).
  3. 25 of the top 50 visiting countries to the website (in terms of traffic sources) are African.
  4. 13,000 views of the Network's News and Events page.

  **Network membership**

  1. Over 1,100 registered members.
  2. Members from 80 countries, including 44 African countries. (as of April 2011)
  3. Approximately 80% members are African or Africa-based (those who, on joining selected an African country as their home country). This does not include Africans based outside of Africa.
  4. Network members hail from a vast array of institutions including universities, government ministries, NGOs, IGOs, UN Agencies, CSOs, faith-based organizations and other networks or coalitions.

  **Other online services**

  **YouTube:** Over 5,600 views of the 49 videos produced by the AfricaAdapt team uploaded to date. Over 50% of views are of videos made about CCAA-related projects or researchers.

  **Twitter:** Over 540 followers of our updates. These include institutions such as Wageningen University, the World Bank, NEPAD, DFID, University of East Anglia, the UNDP's ALM, IFAD, etc.
- As noted by Fischer and Blane (Forthcoming IDS 2012) **two major challenges have been faced**:

  1) Challenges inherent in creating an effective knowledge sharing network: this is a relatively new kind of endeavour: one in which anticipated outcomes are difficult to predict and to measure, and the activities required to reach them are evolving, opportunistic and experimental. Creating an effective knowledge sharing network cannot be approached using a conventional project approach, it requires ways of working that may be at odds with organizations created for more concretely defined projects, and requires skills and competencies that may be unfamiliar.

  2) Challenges of working in a diverse and geographically distributed partnership: the AfricaAdapt implementation team in the first phase comprised of four very different organizations in different countries working together for the first time to construct and implement an ambitious program.
- As noted by Fischer and Blane (Forthcoming IDS 2012) **a key characteristic of AfricaAdapt is the strong emphasis that has been placed on learning**. This has been a great strength of the network and one that has enabled so many lessons to be identified and shared. From their work on AfricaAdapt over the past four years Fischer and Blane (ibid) have documented 27 key insights under 7 key heading for learning. These useful insights are:

  **Implementation insights**

  1: A distributed staff team is key to implementation but needs a lot of co-ordination and supportive environments to work in

  2: Be clear what you are trying to change for whom and prioritise where you can add most value – don't be everything to everybody

  3: Embrace flexibility and outcomes-based working – focus on why you are doing things not just what you are doing

  4: Support members to do the (net)work – don't do it all yourself

  5: Be evidence-based, use theory and experience to guide your actions

**Governance and management insights:**
6: Inception phase and set-up phases are essential – they are not the same as ongoing implementation
7: Too much participation in principle can lead to unilateral decision making in practice
8: Distinguish between governance, management and implementation and make decisions at the level most appropriate to each process

**Partnership insights:**
9: Partners' motivations matter, possibly more than their assets
10: Sharing core tasks might not make the most of partners relative strengths
11: Disengaged partners can grow increasingly sidelined from activities without collective action to re-engage them
12: Explore *how* activities will be undertaken not just *what* will be done

**Insights on being the lead partner:**
13: Recognise and take steps to address power inequalities
14: Lead organizations may inadvertently or deliberately dominate constructions of meaning
15: Model "good network behavior" but expect, acknowledge and respond to criticism
16: Acknowledge multiple accountabilities: to stakeholders, partners and donors
Insights on finances and financial management:
17: Allow flexibility in financial planning and keep unallocated funds
18: Understand and work with each partner's financial systems and be strategic about how funds are labelled and where they are located

**Insights on capacity development, learning and change:**
19: Invest in flexible approaches to capacity development for soft and hard skills
20: Strengthening individual capacity contributes to but does not result in systemic change
21: Ongoing reflection and learning enables improvement and endogenous capacity development

**Insights on monitoring and evaluation (M and E):**
22: Provide consistent support for monitoring and evaluation from planning through implementation
23: M and E cannot be seen as the sole responsibility of one organization
24: Evaluation is best seen as a learning process

**Insights on transition of leadership**
25: Establish shared principles for handover
26: Be aware of the politics and challenges involved in choosing a new partner
27: Allow ample time for transition and plan for the added workload it entails

- Finally Fischer and Blane (ibid) **share three key messages that they would like people thinking about creating a knowledge sharing network** to carefully consider. These are:
  (i) Creating a knowledge sharing network from nothing requires substantial investment in planning and partnership building at the outset. But however much advance planning you invest, networks need to constantly adapt and revise as they evolve, so make time for learning and allow for change;
  (ii) Working in partnership can be challenging, but if you expect difficulties and make efforts to explore and overcome them it can be transformational for all involved;
  (iii) At the end of the day the network is not about the implementing partnership but your stakeholders, keep the sense of your purpose – what you are trying to change for whom – at the front of your mind at all times.
- Despite all the excellent analysis and academic writing about this project **the evaluation team is concerned that the project is not sustainable** in the longer term.

  Serious concerns about the capacities of ENDA to act as a facilitator for this network have been raised and in order to build sufficient momentum around this new arrangement there is clearly a need for further capacity and financial support well beyond the initial devolution period.

  A further current challenge is that others are now trying to copy AfricaAdapt rather than work with it. We feel there is a current need to build synergies between other platforms rather than the encouragement of competition and the expensive re invention of the wheel which will not in the longer term give overall value for money.

## #105099 - Promoting Participatory Action Research through Structured Learning on Climate Change Adaptation in Africa

**1. Brief project description**

- **Title**: Promoting Participatory Action Research through Structured Learning on Climate Change Adaptation in Africa
- **Project number**:105099
- **Country of intervention**: Multi Countries
- **Lead partner**: Center for International Forestry Research (CIFOR) Jakarta, Indonesia
- **Amount provided**: CAD 620,855
- **Collaborating partners**: Dr Edward Chuma, Dr Ali Daoudi, MsTendayi Maravanyika and Dr Anne Marie Tiani

**2. Project summary**

- The research problematic was that Research is not being in touch with field realities or needs.
- The **Global objective of this project** was Capacity Building and Capacity Development.
- **Its specific objectives were the following:**

  1.To build and enhance the capacity of CCAA-supported researchers to practically apply PAR in the context of climate change adaptation;

  2.To support CCAA partners in developing PAR approaches and methodologies suitable to their regional contexts;

  3.To develop appropriate training processes and materials and test them;

  4.To develop or enhance peer support and networking among CCAA-supported researchers and others who use the methods in other institutions in Africa;

**3. Findings**

- Overall the project allowed **the researchers involved to learn new skills**, and exposed them **to new analytical tools** for analyzing the relevance of their research objectives and assessing progress made by those involved in adaptation research.
- The process of mentoring in the field was a combination of multi-stakeholder workshops for diagnosis, planning and experimentation, brainstorming sessions, and evaluation of progress, limitations and challenges. It was designed in order to avoid blindly applying an approach and tools, and instead to contextualize and adapt them to the specific requirements of projects and partners.
- The exchange workshop, held at the mid-point of the project, was used to **evaluate and refine the process of mentoring** (methodological approach, facilitation plan for workshops, documentation process, etc.) as well as **the teaching materials**.
- **This dimension has been the weakest link in the project**. A summary of lessons learned from the implementation of the PAR has been completed, and shared with projects that have not participated in the mentoring process. This sharing was intended to encourage peer learning, particularly in comparing the efforts and achievements of supervised projects with unsupervised ones. **Unfortunately, this exchange did not really get the reactions that were expected**. Wide dissemination of the publications produced on the application of the tool as part of adaptation (nearly ten policy briefs and a methodological guide in particular) could contribute to this goal.
- In terms of **knowledge sharing**, the project produced the following results: (i) a methodological guide entitled "Promoting Participatory Action Research-through Structured Learning on Climate Change Adaptation in Africa"; (ii) a draft facilitators guide to PAR entitled "Knowledge Exchange Workshops on the Application of Support to PAR in Climate Change Adaptation: A Facilitation Guide"; (iii) a final synthesis of lessons learned from the

implementation of the PAR; (iv) a series of policy briefs entitled "Adaptation Insights" containing key messages that emerge from communities and other project partners; and (v) a series of country case studies, originally designed to input into work on the application of PAR to climate change adaptation, but not yet finalized

- This project was aimed primarily at **developing PAR skills in project leaders** (and their boundary partners); to reduce the gaps in knowledge and thereby promote dialogue and social learning, which are the primary conditions for collective action, indispensable to the adaptation process. **This result seems to have been achieved**, notably through-the multi-stakeholder platforms that have been put in place.
- This project was a cross-cutting initiative for capacity development. The role of the program officer was essentially a role of coordination and facilitation between the beneficiary (in this case CIFOR), the PAR mentors and project teams under the responsibility of other program officers. In this facilitating role, it was found necessary to use considerable tact and flexibility, to reconcile the requirements from the specialists of PAR with related program goals and the objectives of the projects themselves, it was necessary for example, to roll out the PAR process without fundamentally changing the original project objectives, or slowing the projected schedule of activities too much. In some cases, the implementation of the PAR approach involved major changes including the research hypotheses.
- Knowledge exchange workshops were originally scheduled but would not suffice, by themselves, to equip members of project teams; the **project activities had to be restructured to generate knowledge of the method, skills and abilities**.
- It is necessary, in future, to:

  - Develop a common understanding of PAR and its implications within the entire program team (and between program initiatives). In the PAR process, the stakeholders who experience problems are not just sources of information for researchers who need to design solutions; it is they who have the solution in hand and must lead the process of change. It is not just about involving them, they must have some leadership in the process; their knowledge and perspectives must also be considered. The researcher's role is much more to facilitate the process of decision-making and experimentation, including by providing relevant information. Many researchers involved in the project, had trouble (initially at least) to place themselves as facilitators, for various reasons including: the disciplinary field, lack of interdisciplinary culture, lack of familiarity with participatory approaches, etc.

  - Define the methodology for implementing the project early and ensure it is taken into account when formulating the proposal. It is difficult to transform a "conventional" research project into a research project for change. A participatory action research project can be initiated by a so called conventional research institution but assumes that NGOs, equipped to work with communities, are involved in the project design right from the start. If it is an NGO leading the project, it must get in to an early partnership with a research structure for good formulation of research questions and the use of appropriate tools to prove the scientific accuracy of the results.

  - Ensure that the skills of facilitation and leadership are present within the team. PAR also requires the capacity developing partnerships. At the start, many of these qualifications we not really present in some of the project teams.

  - Anticipate the expectations that the PAR process can create within communities that cannot be supported by the project team. In the implementation of PAR projects, teams should build on existing or planned business development programs and / or identify partners whose mission is to invest in infrastructure or other development initiatives; the best way to do this is to seek synergy with development plans (or studies) in the area and involve the partners of the stakeholders (communities, politicians, etc.) from the outset.

  - Take into account the time and resource requirements of iterative consultations with many stakeholders. Most projects were not originally designed with PAR in mind.

  - Avoid introducing too many methods at the start a program, which can cause confusion. Indeed, the project partners were introduced very early to other approaches and methods such as "Outcome Mapping" whose application for monitoring and evaluation of their activities seemed highly recommended or even required. The introduction of PAR, that has it's own tools for monitoring and evaluation, created confusion. The question which was often encountered was: What methodological approach would IDRC like us to adopt, PAR or Outcome Mapping? This situation has not been totally unrelated to the lack of response by many teams to the request for proposals, when selecting projects for PAR support.

- The project has had a positive impact on many researchers. Some of these were very sceptical initially. The boundary partners of the research teams (NGOs, agricultural extension services, etc.) and also the mentors **had the opportunity**, through this project, **to build capacity in the use of PAR tools**, especially in its application to issues of adaptation to climate change. Some researchers attribute their ability to attract new funds to the use of PAR e.g. this has been checked as part of the request for proposals under the program Research Centres African Adaptation (AARC). The mentors, who are all African, are a human resource that is of primary importance for the development of this methodology, and in the training of future users in the context of adaptation to climate change and other development issues addressed by the IDRC.
- Lessons were learned very early from this experience, to improve the next steps. This has influenced the process of the second request for proposals on urban vulnerabilities to climate change. Indeed, midway through the selection process, a PAR capacity development workshop was organized for the pre-selected project teams, to enable them to improve their proposal and to engage communities and other boundary partners from the start of the project. By way of example, teams were able to better appreciate how PAR is implemented as well as the necessary resources (human, financial and time) needed, and to plan accordingly. Reflection on the approaches and the type of consultation frameworks (national committees, local, etc.) to put in place to engage the different stakeholders in the process, was also better conducted. In some cases, the work plan and schedule of activities have been modified taking into account the requirements of the PAR (among other constraints from strategic partners, such as policy makers in the implementation of the approach in general).
- However, at this stage in the formulation of project proposals, and despite the willingness to take into account the PAR in its various dimensions, it is doubtful that the vision, objectives and the real needs of the partners of recipient institutions have been fully taken into account. The lesson that emerges is the need to include in the selection process, a small grant that would allow the preselected teams to further the field work in order to better integrate local concerns and perspectives (including more effective participation in the formulation of research questions). This step would also strengthen the proposal in regard to the identification and involvement of partners.
- Two other important lessons are: (i) The importance of the training process of the team (team building) in a context of PAR, which leads them to think more deeply on the backgrounds of team members, roles and responsibilities and above all the need for focal points within communities; and (ii) The importance of involving all members (including focal points) in the training sessions to the real benefit of the team.

## #105439 – Using demand side management to adapt to water scarcity and climate change in the Saiss Basin in Morocco

**1. Brief project description**

- **Title**:Using demand side management to adapt to water scarcity and climate change in the Saiss Basin in Morocco
- **Project number**:105439
- **Country of intervention**: Morocco
- **Lead partner**: Al Akhawayn University Ifrane

**2. Project summary**

- **Project Assumptions** were that the Saiss Sub-Basin is one of the hydrological cores of Morocco. It accounts for 11 percent of Morocco's annual water endowment, provides water for 1.8 million people, and contains about one quarter of Morocco's arable land. Although the focus of the project is on water, agriculture and rural development, one cannot ignore the fact that as much as forty percent of water in the basin is used for urban purposes. Declining levels of precipitation in the Saiss basin, as measured by the Sebou Basin Agency over the last forty years, coupled with increased evaporation and transpiration consequent upon a 1 degree Celsius increase in average temperature is indicative of the reality of climate change as a factor that has significantly reduced natural

water supply by as much as 45% since 1970..

- In general **the project is developing and implementing a Demand Side Management (DSM) approach** and an institutional framework to support a sustainable utilization of the water resources in the Saiss river basin in the face of increasing water stress.
- In this connection, **the project is designed to foster institutional and organizational changes within project boundary partners** focusing on agriculture and irrigation, and using multi-stakeholder participatory processes. The basic project hypothesis is that Demand Side Management (DSM) can provide a solid basis for integrated water management and strengthened capacity for adaptation to climate change in the Saiss basin. The project is being prosecuted with CCAA assumptions that (i) the formerly existing knowledge base and capacity are inadequate to deal with current and future negative impacts of climate change and climate variability, (ii) the traditional coping strategies and practices will not be adequate to address the challenges of climate variability and extreme weather events under the projected changes in climate, (iii) the tools that formerly support decision making for selecting appropriate responses to climate change and climate variability are not robust enough to address the problems posed by climate change and climate variability, (iv) improved communication of existing climate information can lead to reduced vulnerability and improved adaptation to climate change and climate variability.

**3. Findings**

- The project **makes use of experts already working** with the basin Authority, local and national governments. These include experts in the fields of sociology, management, irrigation engineering, climatology, meteorology, finance, rural development and policy formulation. **The social scientists and rural development experts adopted survey protocols** to document values, beliefs and practices regarding water, and to identify potential DSM techniques and technologies. The results of these surveys are being analyzed. Water user associations are being created to achieve economies of scale and represent marginal farmers in multi stakeholder processes that will shape an aquifer contract amongst water users in the basin, to be enacted and enforced by the Basin Authority. **Knowledge, attitudes and practices of stakeholders regarding water are being surveyed** and integrated into the overall analysis, and participatory monitoring and evaluation are being used to reflexively guide project implementation.
- With the help of the Moroccan National Meteorological Department, and based on downscaled climate change scenarios**, integrated models were developed and used to make projections of ground water resources of the basin** of interest over a period of some thirty years. These projections and scenarios are being used to **educate stakeholders in a series of participatory processes** including experimental farm level pilot studies to develop appropriate water demand management techniques and technologies in two marginal communities and one set of large landholders. Projections of the impacts of continued drought and climate change on the aquifer, and analyses of vulnerability to these impacts are being used for participatory deliberation, and further participatory action research will evaluate how positive beliefs regarding water can be translated into positive behaviors through pilot demonstration projects.
- Crops farmed include: apples, onions, potatoes, corn, pears, etc. These crops depend both on family and market needs. **Farmers are aware of the fact that water is in decrease** and that the aquifer will be depleted in the near future as a result of changes in climate. **Trust remains an issue between the farmers and agricultural and water officials**. The farmers complain of allocation of inadequate water and, at the same time, they use water in an unauthorized way. Also, tribal conflict continues to be an issue in implementing water policy in several communities, and participatory approaches may need to include a conflict resolution dimension. Most of the labor used on the farm is supplied by children and women. Other tasks of women in terms of water include fetching water and taking care of the livestock (cows, sheep, rabbits, & chicken) in addition to household chores. The farmers tend to stick to tradition and locally devised innovations while resisting imported technologies.
- At present, **the social aspects of the project have seen more progress than the technical and pilot project aspects**. The process of reconciling the various perspectives among the participating stakeholders is ongoing. Aside from two workshops, a Vision Action Partnership exercise was conducted which helped the project to bridge some gaps in the perception of the program by stakeholders.
- **The local population are well informed about the water shortage problems**. They also appear to be well

informed with respect to adaptation measures being suggested. The Basin Authority has regulations for sharing water which are being enforced. This creates friction between government and basin authority officials. The farmers, including those that are uneducated appreciate the value of sharing water but existing tribal and local rivalries are yet to be overcome

- It is quite a problem assessing research capacity in the absence of any peer reviewed publication. **With respect to capacity enhancement, the project organized several conferences and awareness workshops** during which ideas were exchanged between the farmers and the research personnel. Three research personnel including Dr Ouardaoui, Dr Kalpakian and Ms Ejeki attended workshops in Nairobi and Dakar. In February 2010, the Research Group organized a Course on Capacity Development for a Better Integration of Water Demand Management in Morocco. The course was part of a series of three courses: one regional course organized by the Arab Water Academy in Abu Dhabi and two national courses in Egypt and Morocco. The University received financial support from IDRC, Cairo for the organization of the course in Morocco. **The research personnel also attended several local and regional meetings and workshops** where they presented the project.
- **Ongoing efforts include those designed to improve the base of shared knowledge**, and to develop more precise downscaled projections for climate change at the regional level. A new water sharing agreement is not likely to be in place within the life of the project. It is hoped however that farmer's associations will be better organized and informed, and better able to make use of knowledge and techniques to minimize water use.
- Beyond the foregoing, **questions related to outputs, outcomes, sustainability, level of reproduction of achieved outcomes lessons learned, knowledge sharing, and research leadership will have to wait beyond the scheduled end of project life for answers**. Project Management agrees that the project is running behind schedule. It is difficult to understand why this should not be a success story given the small size of the project area, the fact that the problem is clearly defined, the substantial efforts at coping inherited from traditional practices and the very large input by government in cash and kind at all levels.

## # 105518 – Challenge Fund

**1. Brief project description**

- Title: Challenge Fund or *« Fonds de soutien aux stratégies locales d'adaptation aux changements climatiques (FSSA) »*
- Project number: 105518
- Countries of intervention: Senegal, Burkina Faso and Mali
- Lead partner: ONG Innovation, Environnement, Développement (IED)
- Amount provided: CAD 640 300
- Collaborating partners: Confédération Paysanne du Faso (CPF) in Burkina Faso, Confédération Nationale des Organizations de Producteurs (CNOP) in Mali and Fédération des ONG of Senegal (FONGS); and farmer organizations

**2. Project summary**

- **Assumptions**: Climate change and variability will increase the vulnerability of Sahelian rural communities. This region will experience a decrease in farming yields, a low livestock productivity and land degradation. Local community livelihoods are based on natural resource exploitation and mainly farming and livestock rising. They will therefore be seriously impacted by climate change impacts. However, these communities have a high potential for innovation and design of adaptation strategy due to the Sahelian climate. The Challenge Fund is built on this potential
- **The objective of the CF** was to strengthen the leadership and capacities of local communities in terms of adaptation to climate change.
- **The project had 3 specific objectives:**
  1. To implement and test a mechanism that allow local communities to own and lead adaptation processes;

2. To implement a communication, and data and knowledge sharing mechanism;

3. To initiate a policy dialogue with at-risk groups on adaptation to climate change issues.

- **The approach** of the CF was to transfer financial resources at the community level for funding activities they think relevant to their needs. This is an add-on initiative to Participatory action research projects, designed to maximise the probability that activities target and benefit for at-risk groups. The project implementation was designed to be participative and inclusive, putting at-risk groups at the heart of the definition of the baseline, the programming, implementation and monitoring and evaluation of selected activities.
- The CF aimed at contributing to increase adaptation and anticipation capacities of at-risk groups to climate change through the following outputs:

1. Increased capacities for defining and institutionalising adaptation knowledge that are relevant to development priorities;

2. Increased networking capacities at the local, national and regional levels through the use of relevant approaches and mechanisms;

3. Better working relations between local organizations, NGO, decision makers, researchers and technical services;

4. Increased demand of local organizations and more specifically at-risk groups for technical support and services to increase their adaptation capacities and share their knowledge;

5. Better inclusion of local adaptation experience and needs in policy tools and processes at the national and regional levels.

**3. Findings**

- The CF has funded 11 projects among 137 received proposals distributed in Senegal, Mali and Burkina Faso. It **was relevant** to the need to increase adaptation capacities of local communities. Furthermore, it represents one of the main challenges faced by IDRC, e.g. the will to transfer the lead of the design and the implementation of adaptation activities to local communities.
- Even if 3 projects among 11 have been delayed, all projects have been implemented and showed some good results. On the opinion of the lead partner, the CF provided to involved local **communities the capacities to lead the definition of adaptation strategies** that contribute to reduce poverty, but also the capacities to **manage allocated funds** to implement local adaptation initiatives.
- Adaptation strategies that have been supported already existed and therefore the **CF did not produce new knowledge on adaptation practices and measures**. However, the CF supported **the buy in and spread** of these practices and measures at the local level. It developed a new dimension for these practices through the implementation of management mechanisms that allow rationalised decision making processes and a better monitoring of adaptation activities.

  Supported adaptation strategies include: (i) production of improved seeds in terms of productivity and earliness; (ii) soil restoration and adoption of improved farming practices such as zaï; (iii) promotion of new energy efficiency technologies such as improved stove; (iv) development of grazing species, mower, silage and stock; (v) development of income generating activities; and (vi) awareness raising on climate change and variability.
- The CF resulted in **increase capacities** among the lead partner staff and also among farmer organizations. First, IED staff acquired knowledge and expertise in outcome mapping process they used throughout the implementation of the CF. Furthermore, farmer organizations acquired increased capacities in terms of fund management, conceptualisation of practices, implementation and monitoring and evaluation of projects, mobilisation of partnerships, influence of policies at their level. Some exchanges visits between projects have also been organised and resulted in exchange of best practices between farmers. The CF also resulted in an increase awareness vis-à-vis climate change and variability issues in farming organizations.
- However, there is no indication that the CF involved master students and did result in increased academic capacity. Such involvement could have been useful in documenting methodology and processes.
- A bulleting has been produced by the CF and diffused to approximately 300 end-users (as indicated in the third technical report). The project has also appeared in AfricaAdapt. These have been the only tools used for sharing knowledge. There is no indication of **produced publications** peer reviewed or not.

- In terms of **networking**, the CF increased the network of the various involved organizations by creating institutional linkages between them and putting them into contact. These projects also results in an increased participation of farmer organizations in national and regional strategic meetings.
- The CF allowed IED to strengthen its expertise in the field of adaptation to climate change and variability. IED is now recognised by IDRC and its partners as a credible organization capable of coordinating a multi-actor project and developing and sharing management methodologies and tools.
- Involvement of local farming organizations and local communities in the decision process at the project level strengthened their understanding of adaptation processes and its integration into local programming processes. This project in some way resulted in influenced policies at the local level.
- Although 3 projects have been delayed, it seems that the CF has been well managed, that IED provided with good technical and administrative support, developed useful and relevant methodologies and tools. One issue that has been raised is the small amount provided to each project that was not sufficient.
- At project design, it was planned that this initiative was a first and demonstrative phase targeting three West African countries and that **another extension phase** will be implemented to other African regions based on identified lessons learned and best practices in terms of methodologies and institutional set-up. However**, there is no indication of the existence of such a second phase** and the extension to other countries. This issue raised a question **whether this is due to the lack of interest to such approach or the early end of CCAA**.
- Strengthening technical and institutional capacities of farming organizations is key for sustainability of expertise and actions. As a result of this project, involved farming organizations should be more independent and self-sufficient. However, organizations have received only a 2 year support and this may not be sufficient to allow a full autonomy and independence. A follow-up support should be necessary to consolidate this acquired expertise, even if the CF was built on existent capacities.
- According to the final report, the supported local initiatives show good perspective in terms of strengthening and scaling-up of their results. It seems also that the CF has inspired other projects with a formal involvement of new actors.

# Annex 8 - Quality of research assessment

The assessment of the quality of research has been conducted by the geographer, based on the following criteria:

| Assessment of research merit | | | | | | Assessment of Research Significance | | |
|---|---|---|---|---|---|---|---|---|
| **Level of quality of the defined research question** | **Level of rigor and credibility of research methodology as designed** | **Level of involvement of stakeholders in the research design and implementation processes** | **Level of evidence and reliability of the research conclusions and findings** | **Number of peer reviewed publications** | **Level of innovation** | **Level of contribution and grounding of the research to relevant ideas in existing literature and conceptual frameworks** | **Level of direction for theory-building or policy/practice provided by the research** | **Level of use by relevant groups in framing of policy** |
| Ranking from 3 to 0: | Ranking from 3 to 0: | Ranking from 3 to 0: | Ranking from 3 to 0: | Ranking from 3 to 0: | Ranking from 3 to 0: | Ranking from 3 to 0: | Ranking from 3 to 0: | Ranking from 3 to 0: |
| 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of condusions and findings | 3= high number of peer reviewed publications | 3= Fully innovative | 3=High | 3=strong direction provided | 3=intensive use |
| 2= Question adequately framed | 2= Methodology adequately articulated | 2= Most important stakeholders involved | 2= Sufficient evidence and reliability of condusions and findings | 2= Reasonable number of peer reviewed publications | 2= Significant innovative character | 2=medium | 2=medium direction provided | 2=moderate use |
| 1= Question framing is poor | 1= Methodology lacks sufficient rigor | 1= Few stakeholders involved | 1= Low evidence and reliability of condusions and findings | 1= Low number of peer reviewed publications | 1= Largely derivative with some innovation | 1=low | 1=low direction provided | 1=low use |
| 0= Question not well defined | 0= Methodology inadequate | 0= Not involved | 0=no evidence | 0= no peer reviewed publication | 0= Does not add new knowledge | 0=none | 0=no direction provided | 0=no use |

Fifteen projects have been reviewed with respect to this specific assessment. As 6 of the initial selected projects for case study and field visit had their relevant documents only in French and as the Geographer could not read French, the evaluation team decided to replace these 6 projects by 6 other projects selected in applying thematic and geographic criteria.

### *Assessment of research merit*

The following table provides the rating with respect to the assessment of the research merit for each of the 15 projects that have been reviewed.

| | Assessment of research merit | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | **Project number and name** | **Level of quality of the defined research question**<br>Ranking from 3 to 0:<br>3= Question very well framed<br>2= Question adequately framed<br>1= Question framing is poor<br>0= Question not well defined | **Level of rigor and credibility of research methodology as designed**<br>Ranking from 3 to 0:<br>3= Methodology very rigorous and credible<br>2= Methodology adequately articulated<br>1= Methodology lacks sufficient rigor<br>0= Methodology inadequate | **Level of involvement of stakeholders in the research design and implementation processes**<br>Ranking from 3 to 0:<br>3= Full range of relevant stakeholders<br>2= Most important stakeholders involved<br>1= Few stakeholders involved<br>0= Not involved | **Level of evidence and reliability of the research conclusions and findings**<br>Ranking from 3 to 0:<br>3= Very good evidence and reliability of conclusions<br>2= Sufficient evidence and reliability of conclusions and findings<br>1= Low evidence and reliability of conclusions and findings<br>0=no evidence | **Number of peer reviewed publications**<br>Ranking from 3 to 0:<br>3= high number of peer reviewed<br>2= Reasonable number of peer reviewed publications<br>1= Low number of peer reviewed publications<br>0= no peer reviewed publication | **Level of innovation**<br>Ranking from 3 to 0:<br>3= Fully innovative<br>2= Significant innovative character<br>1= Largely derivative with some innovation<br>0= Does not add new knowledge | **Score on 18** |
| 1 | # 104139 - Evaluating the efficacy of Radio Drama as a means to strengthen the capacity of smallholder farmers to adapt to climate change | 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 2= Reasonable number of peer reviewed publications | 3= Fully innovative | **17** |
| 2 | #104140 - Lack of resilience in African smallholder farming: Enhancing adaptive capacity of local communities to pressures of climate change | 2= Question adequately framed | 2= Methodology adequately articulated | 2= Most important stakeholders involved | 1= Low evidence and reliability of conclusions and findings | 3= high number of peer reviewed publications | 1= Largely derivative with some innovation | **11** |
| 3 | #104141 - Strengthening local agricultural innovation systems in less favoured & high potential areas of Tanzania & Malawi | 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 3= high number of peer reviewed publications | 3= Fully innovative | **18** |
| 4 | #104146 - Managing risk, reducing vulnerability and enhancing productivity under a changing climate | 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 3= high number of peer reviewed publications | 3= Fully innovative | **18** |
| 5 | #104707 - Transferring the malaria epidemic prediction model to end users in East Africa | 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 0= no peer reviewed publication | 2= Significant innovative character | **14** |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 6 | #104752 - Enhancing Pastoralists Adaptive Capacity to Climate Change - Induced Vulnerability in Northern Kenya | 3= Question very well framed | 3= Methodology very rigorous and credible | 2= Most important stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 2= Reasonable number of peer reviewed publications | 2= Significant innovative character | **15** |
| 7 | #104898 - Community Based Adaptation in Africa (CBAA) | 2= Question adequately framed | 3= Methodology very rigorous and credible | 2= Most important stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 3= high number of peer reviewed publications | 2= Significant innovative character | **15** |
| 8 | #104903 - Integrating Indigenous Knowledge in Climate Risk Management in support of Community Based Adaptation | 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 0= no peer reviewed publication | 3= Fully innovative | **15** |
| 9 | #104955 - Knowledge Sharing and Research Communications for Climate Adaptation in Africa | 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 3= high number of peer reviewed publications | 3= Fully innovative | **18** |
| 10 | #105099 - Promoting Participatory Action Research through Structured Learning on Climate Change Adaptation in Africa | 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 2= Sufficient evidence and reliability of conclusions and findings | 0= no peer reviewed publication | 2= Significant innovative character | **13** |
| 11 | #105439 - Using Demand Side Management to Adapt to Water Scarcity and Climate Change in the Saiss Basin, Morocco | 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 1= Low number of peer reviewed publications | 3= Fully innovative | **16** |
| 12 | #105602 - Linking African Researchers with Adaptation Policy Spaces | 3= Question very well framed | 2= Methodology adequately articulated | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 2= Reasonable number of peer reviewed publications | 2= Significant innovative character | **15** |
| 13 | #105674 - The Power of Collaborative Governance: Managing the Risks Associated with Flooding and Sea-level Rise in the City of Cape Town | 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 1= Low number of peer reviewed publications | 1= Largely derivative with some innovation | **14** |
| 14 | #105868 - Sub-Saharan African Cities: A five-city network to pioneer climate adaptation through participatory research and local action | 1= Question framing is poor | 1= Methodology lacks sufficient rigor | 1= Few stakeholders involved | 2= Sufficient evidence and reliability of conclusions and findings | 0= no peer reviewed publication | 1= Largely derivative with some innovation | **6** |
| 15 | #106002 - Strengthening the role of civil society in water sector governance towards climate change adaptation in African cities (Durban, Maputo, Nairobi | 3= Question very well framed | 3= Methodology very rigorous and credible | 3= Full range of relevant stakeholders involved | 3= Very good evidence and reliability of conclusions and findings | 1= Low number of peer reviewed publications | 2= Significant innovative character | **15** |

[53]

## *Assessment of research significance*

[53] It should be noted that the ranking for the number of publications could be linked to the timeframe of the projects. Of the 15 project assessed, 9 begin with numbers "104xxx" which means they began in 2007. The remaining 6 begin with numbers "105xxx" or "106xxx' meaning they began in 2008 or later. They therefore are unlikely to be as advanced in publication plans.

The following table provides the rating with respect to the assessment of the research merit for each of the 15 projects that have been reviewed.

| | Assessment of Research Significance | | | | |
|---|---|---|---|---|---|
| | **Project number and name** | **Level of contribution and grounding of the research to relevant ideas in existing literature and conceptual frameworks** | **Level of direction for theory-building or policy/practice provided by the research** | **Level of use by relevant groups in framing of policy** | **Score on 9** |
| | | Ranking from 3 to 0:<br>3=High<br>2=medium<br>1=low<br>0=none | Ranking from 3 to 0:<br>3=strong direction provided<br>2=medium direction provided<br>1=low direction provided<br>0=no direction provided | Ranking from 3 to 0:<br>3=intensive use<br>2=moderate use<br>1=low use<br>0=no use | |
| 1 | # 104139 - Evaluating the efficacy of Radio Drama as a means to strengthen the capacity of smallholder farmers to adapt to dimate change | 3=High | 3=strong direction provided | 3=intensive use | **9** |
| 2 | #104140 - Lack of resilience in African smallholder farming: Enhancing adaptive capacity of local communities to pressures of dimate change | 3=High | 1=low direction provided | 3=intensive use | **7** |
| 3 | #104141 - Strengthening local agricultural innovation systems in less favoured & high potential areas of Tanzania & Malawi | 3=High | 3=strong direction provided | 3=intensive use | **9** |
| 4 | #104146 - Managing risk, reducing vulnerability and enhancing productivity under a changing dimate | 3=High | 3=strong direction provided | 3=intensive use | **9** |
| 5 | #104707 - Transferring the malaria epidemic prediction model to end users in East Africa | 3=High | 3=strong direction provided | 3=intensive use | **9** |
| 6 | #104752 - Enhancing Pastoralists Adaptive Capacity to Climate Change - Induced Vulnerability in Northern Kenya | 3=High | 2=medium direction provided | 3=intensive use | **8** |
| 7 | #104898 - Community Based Adaptation in Africa (CBAA) | 3=High | 1=low direction provided | 3=intensive use | **7** |
| 8 | #104903 - Integrating Indigenous Knowledge in Climate Risk Management in support of Community Based Adaptation | 3=High | 3=strong direction provided | 3=intensive use | **9** |
| 9 | #104955 - Knowledge Sharing and Research Communications for Climate Adaptation in Africa | 3=High | 3=strong direction provided | 3=intensive use | **9** |
| 10 | #105099 - Promoting Participatory Action Research through Structured Learning on Climate Change Adaptation in Africa | 2=medium | 2=medium direction provided | 2=moderate use | **6** |
| 11 | #105439 - Using Demand Side Management to Adapt to Water Scarcity and Climate Change in the Saiss Basin, Morocco | 3=High | 3=strong direction provided | 3=intensive use | **9** |
| 12 | #105602 - Linking African Researchers with Adaptation Policy Spaces | 3=High | 3=strong direction provided | 3=intensive use | **9** |

| | | | | | |
|---|---|---|---|---|---|
| 13 | #105674 - The Power of Collaborative Governance: Managing the Risks Associated with Flooding and Sea-level Rise in the City of Cape Town | 3=High | 3=strong direction provided | 3=intensive use | **9** |
| 14 | #105868 - Sub-Saharan African Cities: A five-city network to pioneer climate adaptation through participatory research and local action | 1=low | 1=low direction provided | 2=moderate use | **4** |
| 15 | #106002 - Strengthening the role of civil society in water sector governance towards climate change adaptation in African cities (Durban, Maputo, Nairobi) | 2=medium | 2=medium direction provided | 2=moderate use | **6** |

# Annex 9 - Project partner survey statistic results

The project partner survey has been sent to 117 participants. Among the 117 invitations sent, 19 bounced and therefore only 98 invitations were successfully sent.

Among these 98 invitations sent, 35 surveys have been completed, leading to a response rate of 35%, and 14 others have been partially informed but not fully completed leading to a completion rate of 71%. The vast majority of respondents were involved in a single CCAA project, while few ones were involved in more than 2 projects. Respondents included project leaders, research collaborators, host institutions focal points, consultants, and local decision makers involved in project implementation.

Fifty one percent of respondents declared that the current adaptation measures being researched come from a mixture between traditional practices and orthodox science, while 30% declared that they come from mainly from outputs of recent orthodox science research and 14% mainly from traditional practices.

### *Relevance of CCAA research themes*

With respect to the relevance of CCAA research themes, the vast majority of respondents indicated that the six main research themes supported by CCAA (e.g. agriculture and livelihoods, urban, coastal, water, health, and capacity development and knowledge sharing) were relevant or highly relevant to climate change risks, adaptation practices and challenges in Africa. The following table presents the aggregated results per research theme:

*Table 1 – Relevance of CCAA research themes*

| | Highly relevant | Relevant | Somewhat relevant | Not relevant |
|---|---|---|---|---|
| Agriculture and livelihoods (48% of CCAA projects) | **86%** | 14% | 0% | 0% |
| Urban (20 % of CCAA supported projects) | **39%** | **36%** | 22% | 3% |
| Coastal (8% of CCAA supported projects) | **39%** | **39%** | 14% | 8% |
| Water (5% of CCAA supported projects) | **78%** | 14% | 3% | 6% |
| Health (3% of CCAA supported projects) | **49%** | **43%** | 3% | 6% |
| Capacity development and knowledge sharing (18% of CCAA supported projects) | **69%** | 25% | 6% | 0% |

The following themes have been highlighted by some of the respondents as research themes for which CCAA should have been focused on:

- Energy;
- Transport; and
- Early Warning Systems.

### *Relevance of CCAA core activity areas*

Given what respondents wished to accomplish in Climate Change Adaptation (CCA) research, the vast majority of respondents ranked CCAA core activity areas (e.g. Participatory Action Research - PAR; education and training/capacity development; and communications and networking / knowledge sharing) as being highly relevant.

The following table presents the aggregated results by core activity areas:

*Table 2 – Relevance of CCAA core activity areas*

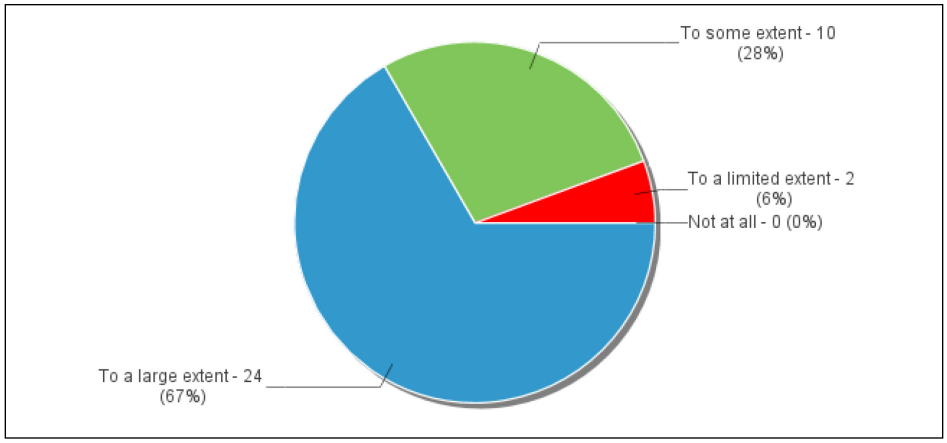
| | Highly relevant | Relevant | Somewhat relevant | Not relevant |
|---|---|---|---|---|
| Participatory Action Research | 81% | 19% | 0% | 0% |
| Education and training / capacity development | 76% | 24% | 0% | 0% |
| Communication and networking / knowledge sharing | 70% | 30% | 0% | 0% |

### *Production of new knowledge*

Sixty six percent of respondents declared that the CCAA project they have been involved in produced to a large extent new knowledge on CCAA. Only 6% declared that it did produce to a limited extent new knowledge.

The chart below presents the respondents' response distribution vis-à-vis the extent to which CCAA project they have been involved in did produce knew knowledge on CCAA:

*Chart 1 – Extent to which CCAA projects did produce new knowledge on CCAA*




### *Capacity development*

Sixty percent of the respondents declared that the project they have been involved in produced to a large extent an increased capacity for research in CCA, while 34% declared that it did produce to some extent an increased capacity and only 6% to a limited extent.

In their opinion, the significant aspects of capacity development that have been improved were the following:

*Table 3 – Significant aspects of capacity development improved through CCAA project support*

| Response | Chart | % |
|---|---|---|
| Built, strengthened and enhanced knowledge base and research capacity of African institutions and researchers in anticipating, managing and analysing vulnerability associated with climate change and variability | | 67% |
| Built, strengthened and enhanced knowledge base and research capacity of African institutions and researchers in developing appropriate adaptation strategies | | 67% |
| **Strengthened awareness on climate change and variability of specialists and non-specialists working in environmental or broad ministries** | | **75%** |
| Built capacities of African researchers to analyse, assess and integrate climate adaptation issues into long-term strategic development planning and thus expand a diverse community of adaptation practitioners | | 69% |

| | |
|---|---|
| Built expertise in different aspects of climate science | 39% |
| Built expertise in promoting local experiences and home-grown solutions | 64% |

### *Knowledge sharing with at-risk groups, the community of researchers and/or policy makers*

Sixty one percent of the respondents declared that the project they have been involved in resulted to a large extent in sharing knowledge with at-risk groups, the community of researchers and/or policy makers, while 39% declared that it did result to some extent in sharing knowledge.

In their opinion, these results refer mainly to the following:

*Table 4 – Type of results in terms of sharing knowledge*

| Response | Chart | % |
|---|---|---|
| Development of short, policy-relevant briefs and other actionable summaries of key research findings | | 56% |
| **Creation of linkages between researchers, community representatives and policymakers** | | **89%** |
| Contribution of research findings to the development of local or national adaptation policies or plans | | 69% |
| Development of peer reviewed or non-peer reviewed publications | | 61% |
| Creation of knowledge sharing mechanisms and networks | | 58% |
| Establishment of researchers communications with non-specialist audiences | | 56% |
| Involment of at-risk groups in networks and other knowledge sharing mechanisms | | 39% |
| Strengthening of access of at-risk groups to produced knowledge | | 47% |
| Use of promoted adaptation options by at-risk communities | | 39% |

### *Building leadership*

Fifty three percent of the respondents declared that the project they have been involved in increased to a large extent their own leadership on CCA issues or those of their colleagues and partner organization either locally, nationally or internationally, while 43% declared it did increase to some extent the leadership, 3% to a limited extent and 3% not at all.

In their opinion, this increased leadership refer mainly to the following:

*Table 5 – type of increased leadership through CCAA project support*

| Response | Chart | % |
|---|---|---|
| **New or better recognized, legitimate, credible and trusted institutions at the national and international levels in the field of climate change adaptation** | | **64%** |
| New or better recognized, legitimate, credible and trusted researchers at the national and international levels in the field of climate change adaptation | | 58% |
| Nominated researchers in IPCC as authors, lead-authors, contributors | | 22% |
| Change in level of policy influence of organizations involved in the project | | 50% |
| Strengthened African participation in determining the climate change adaptation research agenda | | 44% |

| | | |
|---|---|---|
| New funding leveraged by organizations involved within the project | | 39% |

### *Negative effects from the CCAA supported projects*

With respect to negative effects, the vast majority of respondents declared that CCAA supported projects had no negative effects vis-à-vis the three following types of targeted outcomes:

*Table 6 – negative effects of CCAA supported projects*

| | Had negative effects | Had NO negative effects |
|---|---|---|
| Increased capacity for research in climate change adaptation | 9% | **91%** |
| Sharing knowledge resulting from your project with at-risk groups, the community of researchers and/or policy makers | 9% | **91%** |
| Increased you, your colleagues and/or your partner organization's leadership on climate change adaptation issues either locally, nationally or internationally | 6% | **94%** |

The few negative effects listed included only the two following ones:

- High expectations from local populations; and
- CCAA has not shown interest in developing or replicating the ideas developed in the research projects.

### *Positive intended or unintended effects and impacts*

The majority of respondents declared that CCAA supported projects they have been involved in achieved positive intended and/or unintended effects and impacts:

*Table 7 – level of achievements of positive effects by CCAA projects*

| | To a large extent | To some extent | To a limited extent | Not at all | Not applicable |
|---|---|---|---|---|---|
| On the partner organization | **63%** | 37% | 0% | 0% | 0% |
| On at risk communities partners were working with | **51%** | 34% | 6% | 0% | 9% |

These impacts included the following:

- Increased capacity of institutes and organizations in Participatory Action Research;
- Increased awareness of city authorities on their vulnerability to impacts of climate change on the city's water supply;
- Increased awareness on climate change and effects;
- Increased awareness of communities at risk to flooding on the impacts of climate change;
- Some of the at-risk partner communities and grassroots organizations have gained recognition for their climate work which was not known or acknowledged previously. The Durban climate change conference helped to highlight this. Many of the academic partners and students involved have gained experience and knowledge of climate change adaptation in relation to their previous work;
- Increased the data and knowledge in the focus areas on CCA practices, climate change impacts;
- Built capacities of individuals and Institutions involved in project;
- Highlighted the value of research to inform policy-making;
- Highlighted the value of science in the adaptation process;
- Reaffirmed that communities can be empowered through capacity development to lead adaptation and identify solutions;

- At risk communities are now acting as champions on CCA issues to other communities who are learning from the success stories;
- Increased interest and capacity in political economy of policy processes not only in climate change but also in other areas; and
- An appreciation on the need to undertake further research.

### *CCAA activities*

The vast majority of respondents declared that CCAA capacity development and knowledge sharing activities presented below were relevant to their needs. The "Not applicable" column refers to respondents that had not assisted to one of the mentioned CCAA activities.

*Table 8 – level of relevance of CCAA CB and knowledge sharing activities to partner needs*

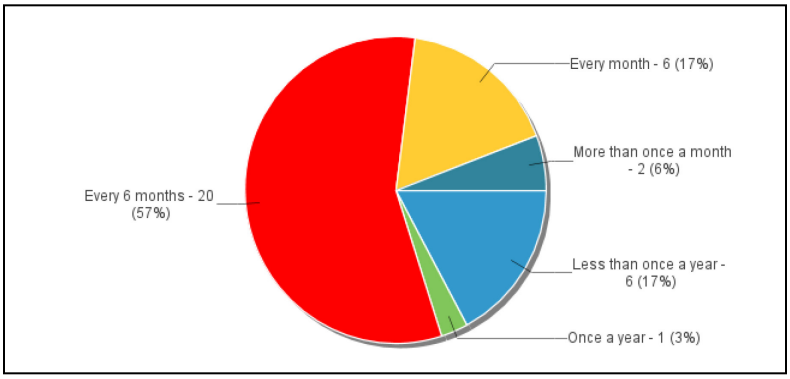
| | Highly relevant | Relevant | Somewhat relevant | Not relevant | Not applicable |
|---|---|---|---|---|---|
| Workshops on integrated climate risk assessment | 50% | 19% | 3% | 0% | 28% |
| Workshops on research and project management | 42% | 14% | 0% | 0% | 44% |
| Workshops on proposal development | 31% | 19% | 3% | 0% | 47% |
| Workshops on research to policy linkages | 29% | 14% | 3% | 0% | 54% |
| Workshops on gender mainstreaming | 25% | 19% | 6% | 3% | 47% |
| Learning forums | 26% | 26% | 6% | 0% | 43% |
| Conference support | 28% | 22% | 0% | 0% | 50% |

### *Communication and networking actions*

More than half of respondents declared engaging in communication and networking actions on CCA as a CCAA partner once every 6 month, while 17% declared engaging every month and 6% more than one month.

The following chart presents the responses of respondents:

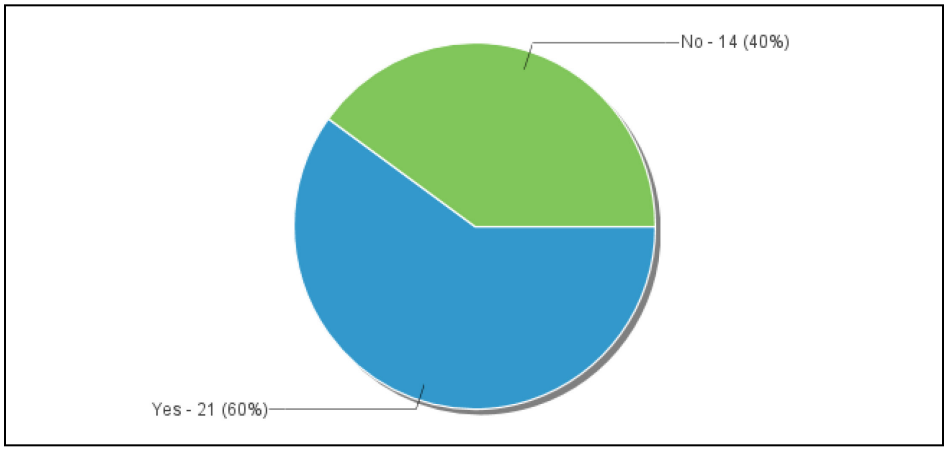
*Chart 2 – Frequency of engagement of partners in communication and networking actions on CCA*




### *Key management and/or leadership role in climate change adaptation research*

Fifty nine percent of the respondents declared that during the last five years, their organization has taken a key management and/or leadership role in CCAA research in their country, in their region or internationally, while 41% declared that it has not taken a key management role.

*Chart 3 – Key management or leadership role in CCA or NOT*




### *Sustainability of CCAA project results*

Seventy nine percent of the respondents declared that the CCAA supported project's results are likely to be sustained in the medium and long term, while 21% declared that they are marginally likely to be sustained.

*Table 9 – Level of sustainability of CCAA supported project's results*

| Response | Chart | % |
|---|---|---|
| **Likely to be sustained** | | **79%** |
| Marginally Likely to be sustained | | 21% |
| Unlikely to be sustained | | 0% |
| Not applicable | | 0% |

### *Challenges faced*

Respondents listed the following challenges that CCAA has faced in its research and capacity development support:

- Mobilizing and supporting a multi-year program of work that proves to have immediate impacts with regards to improving African adaptive capacity and adaptation actions while also doing so in ways that ensure sustained impacts and capacity that will remain on the continent to facilitate future research, training and action;
- Lack of research capacity within local organization/partner institution;
- Lack of capacities and difficulty to build them, especially from public bodies;
- Weak local climate change knowledge and local capacity to address and articulate issues;
- Bring vulnerable people, particularly in rural areas, to the level where they understand CCA and adhere to the projects;
- Stakeholders Involvement;
- Lack of trust by community members;
- Local conditions, and official different attitude towards cooperation;
- Involve political authorities and publics to the debate;
- Methodological Issues;
- Limited shared understanding of truly participatory research approaches;
- Scaling-up;

- Failure to fully understand the influence of CCAA research and capacity development support at field level and hence inability to build continued support to new knowledge;
- Lack of time to commit to project;
- The program should have had a longer funding cycle;
- Coordination among the partners of various institutions (academia, NGOs and Government) constrained by different working timelines and procedures;
- Limited funds for the many pressing research and capacity-development needs in this area;
- Size of the projects was considered to be small to sometimes to have a national impact or engage high level policy/decision-makers;
- Access to data; and
- Expectations from the communities are beyond the support.

# Annex 10 – External partner survey statistic results

The external partner survey has been sent to 36 participants from organizations working on CCA in Africa, but not funded nor technically supported by the CCAA program. Among the 36 invitations sent, 2 bounced and therefore only 34 invitations were successfully sent.

Among these 34 invitations sent, 9 surveys have been completed, leading to a response rate of 27%, and 3 others have been partially informed but not fully completed leading to a completion rate of 75%. Respondents included individuals from organizations working in the area of research on adaptation and vulnerability issues; climate risk forecast and management; policy, finance, implementation, academic research and policy analysis/support; capacity development of individuals and African universities for teaching, research and outreach in CCA; food security; and mitigations of livestock diseases using indigenous knowledge.

### *Knowledge on CCAA*

Among the 12 responses received with respect to knowledge on CCAA, 5 respondents had good knowledge en CCAA, while 5 other some knowledge, one limited knowledge and another one no knowledge. The latter had stopped the survey after this question due to its absence of knowledge on CCAA.

### *Relevance of CCAA supported research themes*

The vast majority of respondents declared that given the priorities and challenges they have known for CCA in Africa over the last five years, CCAA supported research themes were relevant or highly relevant.

The following table presents the aggregated results per research theme:

*Table 1 – Relevance of CCAA research themes*

| | Highly relevant | Relevant | Somewhat relevant | Not relevant |
|---|---|---|---|---|
| Agriculture and livelihoods (48% of CCAA projects) | **75%** | 25% | 0% | 0% |
| Urban (20 % of CCAA supported projects) | **50%** | 38% | 12% | 0% |
| Coastal (8% of CCAA supported projects) | 25% | **50%** | 25% | 0% |
| Water (5% of CCAA supported projects) | **75%** | 25% | 0% | 0% |
| Health (3% of CCAA supported projects) | 38% | **50%** | 12% | 0% |
| Capacity development and knowledge sharing (18% of CCAA supported projects) | **75%** | 25% | 0% | 0% |

### *Relevance of CCAA core activity areas*

Given the needs and challenges of African researchers, research organizations and at risk communities they have known, the majority of respondents ranked CCAA core activity areas (e.g. Participatory Action Research - PAR; education and training/capacity development; and communications and networking / knowledge sharing) as being highly relevant.

The following table presents the aggregated results by core activity areas:

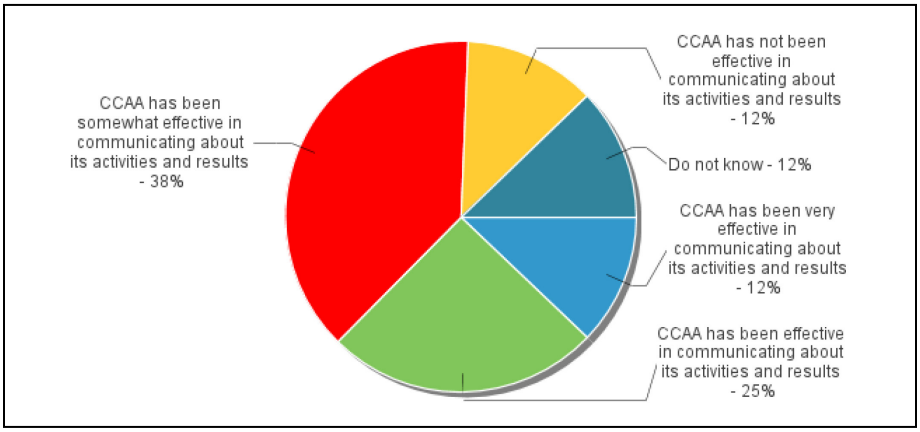
*Table 2 – Relevance of CCAA core activity areas*

| | Highly relevant | Relevant | Somewhat relevant | Not relevant |
|---|---|---|---|---|
| Participatory Action Research | 50% | 50% | 0% | 0% |
| Education and training / capacity development | 88% | 12% | 0% | 0% |
| Communication and networking / knowledge sharing | 75% | 25% | 0% | 0% |

### *CCAA effectiveness in communicating*

Thirteen percent of the respondents estimate that CCAA has been somewhat effective in communicating about its activities and results, 25% estimate that it has been effective and 12% very effective. Twelve percent of the respondents estimate that CCAA has not been effective in communicating about its activities and results.

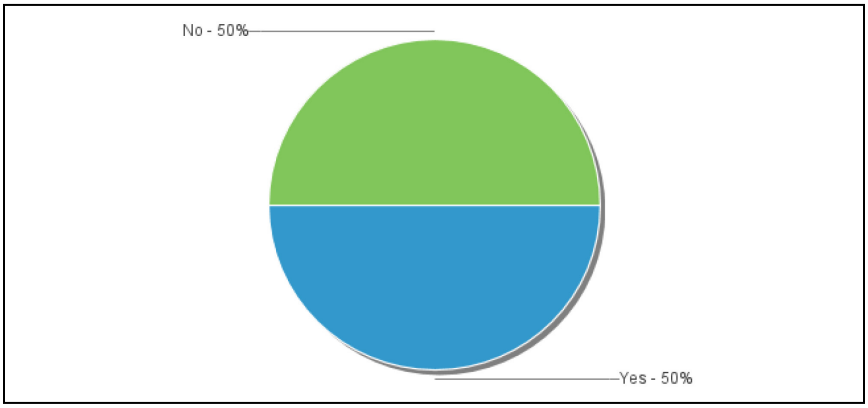
*Chart 1 – Appreciation of CCAA effectiveness in communicating about its activities and results*




### *Use of the results of CCAA supported research*

Half of the respondents declared that the organization they work for used in its activities the results of CCAA supported research, while half declared that it did not used results of CCAA supported research.

*Chart 2 – Use of results of CCAA supported research*




*AfricaAdapt platform*

All respondents have heard about the AfricaAdapt platform. Their opinion vis-à-vis this platform includes the following:

- Useful for sharing knowledge and information;
- Good resource for sharing information and being aware of the activities around cc in Africa;
- Not impressed when africaAdapt was introduced, but have not looked at the platform recently so do not have a current opinion;
- Has a lot of great information on there, but the incentives to contribute or add information are low -- it feels like it would be onerous to engage in info sharing through this platform;
- Provides information on on-going activities on climate change and adaptation - which keeps climate change and adaptation stakeholders in the know; and
- Has not live up to expectations. More work has to be done to keep the platform above board.

### *Individual, institutional and/or network research capacities*

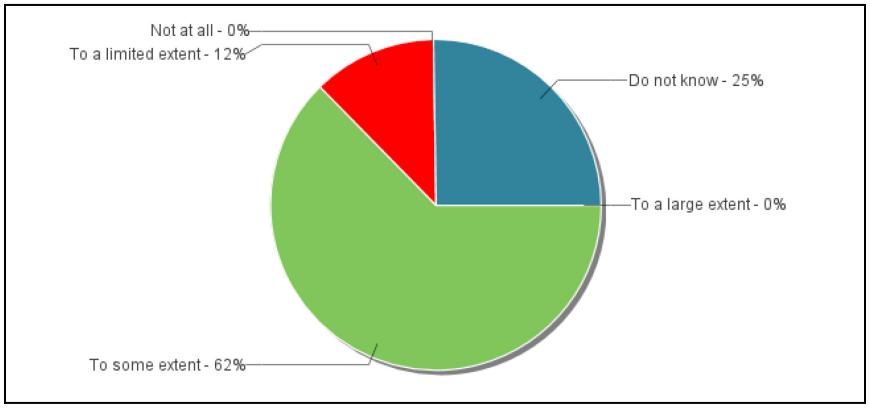
Respondents declared that CCAA support resulted in the strengthening of individual, institutional and/or network research capacities in the following ways:

- In monitoring and evaluation based managing for result;
- Individual capacities have been developed, but what was missing was the sustainability or institutionalization of CCAA results;
- Have seen the quality of evaluation frameworks increase significantly overtime working with African institutions working on climate change;
- Have seen much greater comfort in dealing and describing climate science and climate information than was the case 3-4 years ago;
- Quality of presentations has increased;
- Through conferences; and
- Through the learning forum.

### *Communication and networking actions between researchers and research organizations*

Sixty two percent of the respondents estimate that CCAA has contributed to some extent to strengthening communication and networking actions between researchers and research organizations on CCA.

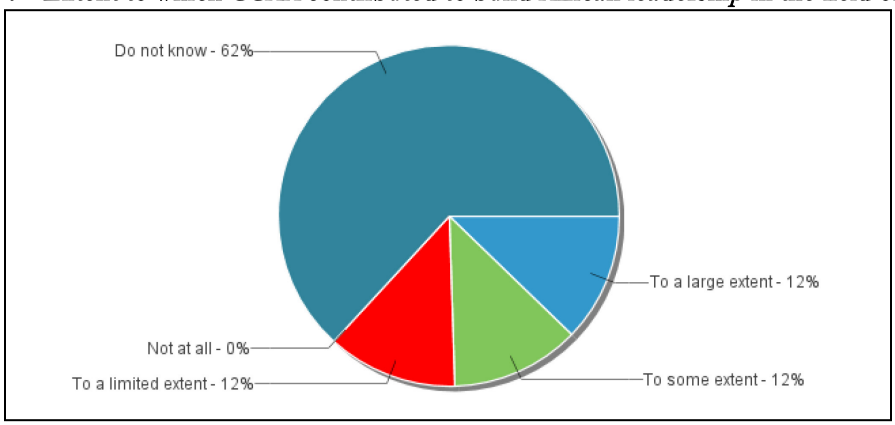
*Chart 3 – Extent to which CCAA contributed to strengthening communication and networking actions*




### *African leadership in the field of CCA*

The majority of respondents do not know the extent to which the CCAA program contributed to build African leadership in the field of CCA. Twelve percent of the respondents estimate that CCAA contributed to a large extent to build African leadership in the field of CCA, while 12% estimate it contributed to some extent and 12% to a limited extent.

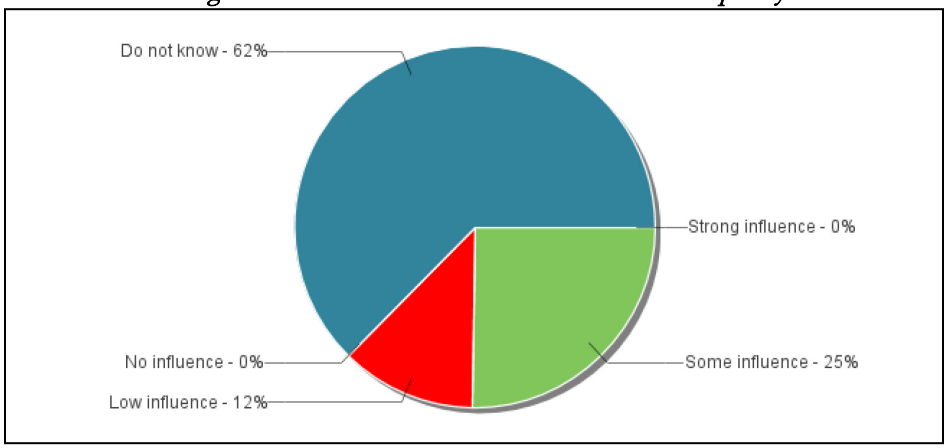
*Chart 4 – Extent to which CCAA contributed to build African leadership in the field of CCA*




### *Influence on policy debates*

The majority of respondents do not know the degree to which CCAA program has had an influence on policy debates. Twenty five percent of respondents estimate CCAA has had some influence of policy debates, while 12% estimate it has had a low influence.

*Chart 5 – Degree to which CCAA has had an influence on policy debates*




### *Challenges for future programming*

Respondents listed the following key challenges for future program support on climate change adaptation research in Africa:

- Communication, and integration with existing climate and non-climate research and policy initiatives;
- Communicating climate change and adaptation issues across all stakeholders;
- Long-term engagement;
- Continuing support for policy relevant research on both near and long term climate change adaptation strategies, providing decision tools to decide among different strategies, and reaching decision makers with the relevant evidence base and decision tools;
- Ensuring that the research is relevant for policy and practice; and

- Ensuring that research on adaptation is contextualised in development needs so that it is seen as important in the short and long term.

# Annex 11 - Interview protocols

## Draft interview protocols

**General draft Interview protocol for CCAA partners**
**Actual questions from this list to be used in each interview will be selected based on focus of the partner's involvement with CCAA**
**–**
**Each interview is to last about 60 minutes and cover in average 15 questions from this list**

*Targets include: national and sub-national government agencies, think-tanks and policy forums, networks, research institutions, universities, non-governmental organizations and civil society organizations, the private sector, multinational and international institutions, and donor agencies*

**General background:**

1) Which CCAA supported intervention is your organization involved in?

2) What is your role in this intervention?

**Effectiveness and impacts**

3) In what way, if any, has CCAA support resulted in the strengthening of individual, institutional and/or networks capacities?

4) What have been the relationships/dynamics created between these different levels of capacity targets (individual/institutional/networks)?

5) In your opinion, what has been the change over time, if any, in relationships between research teams and partners under the CCAA program?

6) How would you rate the quality of research diagnosis and relevance of the research focus in view of climate change risks, adaptation practices and challenges?

   In relation to that, could you tell us:
   a. Which aspect of your adaptation practices is designed for:
      i. reducing vulnerability;
      ii. increasing adaptive capacity;
      iii. building resilience;
      iv. anticipating future climate or weather?
      v. Which element of future climate is the source of the risk of current concern?

vi. Which type of resource system is at risk at your project site (crop, livestock, wildlife, biodiversity, urban land, recreation etc)?

b. What are the sources of climate change scenario info at local level spatial resolution?

c. Are there any direct risk coming from increases in temperature?

d. Do your current adaptation measures come

vii. entirely from traditional practices;

viii. mainly from traditional indigenous practices;

ix. mainly from outputs of recent orthodox science research;

x. entirely from outputs of orthodox science;

xi. represent a mixture

7) In what way have CCAA interventions played a role, if any, in framing policy debates and narratives?

8) How relevant in your opinion, is the research evidence produced with CCAA support to yours or your country policy making needs? Can you provide examples?

9) How many and what types of communication and networking actions on CCAA have you been involved in as a CCAA partner, if any? Can you provide examples?

10) How often, in an average year, do you engage in such communication and networking actions on CCAA?

11) Has your organization been involved in multidisciplinary research teams with CCAA support? Please describe

12) Which research projects, if any, have you collaborated on with other organizations, with CCAA support?

13) Can you provide examples of activities where as a CCAA partner your organization has taken a key management or leadership roles in climate change adaptation research?

14) What were the expected CCAA supported end-of-project results (also known as outcomes)?

15) What did your organization manage to achieve so far in respect of those expected end-of-project results?

a. Specifically, were there any expected research capacity results, and if so, to what extent have you achieved them so far? Please explain

b. Specifically, were there any expected knowledge sharing results, and if so, to what extent have you achieved them so far? Please explain

c. Specifically, were there any expected research leadership development results expected from your organization, and if so, what have you achieved at this level so far?

16) Were there any unintended positive research capacity development, knowledge sharing or CCA research leadership development results? If so, what were they?

17) Were there any negative effects from CCAA interventions on research capacity development, knowledge sharing or CCA research leadership development? If so, what were they?

18) To what extent has the CCAA achieved positive intended or unintended effects and impacts on you as a partner organization, and on at risk communities you are working with? Please describe such effects and impacts, if any?

19) To what extent has the CCAA had negative unintended effects or impacts on you as a partner organization, and on at risk communities you are working with? Please describe these negative effects and impacts, if any?

**Sustainability**

20) Was there a sustainability strategy or plan developed with respect to sustaining results under CCAA? If so, in what did it consist?

a. In your opinion, what is the level of implementation of these plans and strategies for sustainability of program results and devolution?

b. Can you provide examples of sustained program results and/or factors affecting the likelihood of sustainability of these results (including institutional, financial, political or social factors, as relevant)?

c. Were there any unintended positive or negative effects from CCA support on sustainability of program level results?

21) Was there a sustainability strategy or plan set for your knowledge sharing and capacity development results, and if so, what was the level of implementation of these strategies and plans?

   a. Can you give examples that show how research capacity has been sustained beyond CCAA support?

   b. Can you give examples that show how knowledge sharing mechanisms and behaviors have been sustained beyond CCAA support?

   c. What have been the unintended positive or negative effects of CCAA support on sustainability of both research capacity and knowledge sharing?

**Innovation**

22) Can you give examples of innovative results supported by CCAA in the field of adaptation to climate change?

**Forward looking**

23) In view of your experience so far, how would your rank the relevance of the strategic axis choices of CCAA in view of result achievement, specifically:
   a. PAR
   b. Education and training
   c. Communication and networking

**Other issues**

24) Are there any other issues regarding the CCAA program and its performance which you would like to flag to the evaluation team?

**General draft Interview protocol for CCAA staff, Steering committee and Advisory committee**
**Actual questions from this list to be used in each interview will be selected based on role of the interviewee in CCAA**
**-**
**Each interview is to last about 60 minutes and cover in average 15 questions from this list**

## General background

1) When did you get involved with the CCAA program?

2) Which CCAA supported interventions were you involved in supervising, if any?

3) How would you describe your role and main functions?

4) In what way, if any, has CCAA support resulted in the strengthening of individual, institutional and/or networks capacities?

5) In your opinion, what has been the change over time, if any, in relationships between research teams and partners under the CCAA program?

6) In what way have CCAA interventions played a role, if any, in framing policy debates and narratives?

## Effectiveness and impacts

7) What would you describe as the main achievements of CCAA as a program?

8) What would you describe as its main challenges in view of what was expected of the program?

9) Overall, looking at the expected outcomes for the CCAA program (as per revised LFA), how would you characterize its performance?

   In addition,

   a. Specifically, to what extent have expected research capacity results been achieved so far? Please explain

   b. Specifically, to what extent have expected knowledge sharing results been achieved so far? Please explain

c. Specifically, to what extent have research leadership development results been achieved so far?

10) Were there any unintended positive research capacity development, knowledge sharing or CCA research leadership development results? If so, what were they?

11) Were there any negative effects from CCAA interventions on research capacity development, knowledge sharing or CCA research leadership development? If so, what were they?

12) To what extent has the CCAA achieved positive intended or unintended effects and impacts on partner organizations, and on at risk communities? Please describe such effects and impacts, if any?

13) To what extent has the CCAA had negative unintended effects or impacts on partner organizations, and on at risk communities? Please describe these negative effects and impacts, if any?

**Sustainability**

14) Was there a sustainability strategy or plan developed with respect to sustaining program results under CCAA? If so, in what did it consist?

a. In your opinion, what is the level of implementation of this plan and strategy for sustainability of program results and devolution?

b. Can you provide examples of sustained program results and/or factors affecting the likelihood of sustainability of these results (including institutional, financial, political or social factors, as relevant)?

c. Were there any unintended positive or negative effects from CCA support on sustainability of program level results?

15) Were there sustainability strategies or plans developed for knowledge sharing and capacity development project results, and if so, what was the level of implementation of these strategies and plans?

a. Can you give examples that show how research capacity has been sustained beyond CCAA support?

b. Can you give examples that show how knowledge sharing mechanisms and behaviors have been sustained beyond CCAA support?

c. What have been the unintended positive or negative effects of CCAA support on sustainability of both research capacity and knowledge sharing?

**Governance**

16) Looking at the different elements of the governance and management structure of the CCAA, how would you rate their representativeness (Steering Committee, Advisory Board, PMU, etc)? Why?

17) In your opinion, do you think the means (including human resources, finance, etc) and management mechanisms in place at CCAA are adequate in view of what the program has been asked to achieve? If not, could you describe what would need to change?

18) Which of the mid-term evaluation recommendations did CCAA management acted upon? If any, what was the nature and the consequences of those actions on the program?

19) Overall, how would you rank the adequacy and effectiveness of both the governance and management structures?

**Innovation**

20) Can you give examples of innovative results supported by CCAA in the field of adaptation to climate change?

**Forward looking**

21) How might CCAA's legacy continue to deliver benefits in the longer term?

22) In view of your experience so far, how would your rank the relevance of the strategic axis choices of CCAA in view of result achievement, specifically:
   a. PAR
   b. Education and training
   c. Communication and networking

23) What key advice would you give for future programming on research, research capacity development and knowledge sharing on adaptation to climate change in Africa?

Other issues

24) Are there any other issues regarding the CCAA program and its performance which you would like to flag to the evaluation team?

**Additional questions for staff and partners for field visited projects only:**

25) What were the expected CCAA supported end-of-project results (also known as outcomes) for the specific projects we are reviewing here?

26) What did the project partners manage to achieve so far in respect of those expected end-of-project results?

In addition,

a. Specifically, were there any expected research capacity results, and if so, to what extent have they been achieved so far? Please explain

b. Specifically, were there any expected knowledge sharing results, and if so, to what extent have they been achieved so far? Please explain

c. Specifically, were there any expected research leadership development results expected from the partners, and if so, what have they managed to achieve at this level so far?

27) How relevant in your opinion, is the research evidence produced with CCAA support for policy making under this intervention, if any? Please describe

28) In what way has your CCAA intervention contributed to broadening policy horizons/raised awareness amongst decision makers in your country?

29) Has this intervention strengthened capabilities of policy makers? If so, in what way?

30) How would you rate the quality of research diagnosis and relevance of the research focus in view of climate change risks, adaptation practices and challenges?

In relation to that, could you tell us:

a. Which aspect of your adaptation practices is designed for:
   i. reducing vulnerability;
   ii. increasing adaptive capacity;
   iii. building resilience;
   iv. anticipating future climate or weather?
b. Which element of future climate is the source of the risk of current concern?
c. Which type of resource system is at risk at your project site (crop, livestock, wildlife, biodiversity, urban land, recreation etc)?
d. What are the sources of climate change scenario info at local level spatial resolution?

e. Are there any direct risk coming from increases in temperature?
f. Do your current adaptation measures come
   i. entirely from traditional practices;
   ii. mainly from traditional indigenous practices;
   iii. mainly from outputs of recent orthodox science research;
   iv. entirely from outputs of orthodox science;
   v. represent a mixture.

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- #104143: Vulnerability and Adaptation of Agricultural Systems in Madagascar
- #104146: Managing Risk, Reducing Vulnerability and Enhancing Productivity under a Changing Climate
- #104682: Adapting Fishing Policy to Climate Change with the Aid of Scientific and Endogenous Knowledge
- #104707: Transferring the Malaria Epidemic Prediction Model to End Users in East Africa
- #104795:InfoClim : Platform for Helping Vulnerable Communities Adapt to Climate Change
- #104903: Integrating Indigenous Knowledge in Climate Risk Management to Support Community Based Adaptation
- #104955: Knowledge Sharing and Research
- #105099: Promoting Participatory Action Research through Structured Learning on Climate Change Adaptation in Africa
- #105439: Using Demand Side Management to Adapt to Water Scarcity and Climate Change in the Saiss Basin
- #105518: CCAA Challenge Fund: Support Fund for Local Adaptation Strategies
- #105602: Linking African Researchers with Adaptation Policy Spaces
- #105815: Protecting Cotonou's Urban Community in the Face of Climate Change
- #105868: Sub-Saharan African Cities: A Five-City Network to Pioneer Climate Adaptation through Participatory Research and Local Action
- #106002: Strengthening the Role of Civil Society in Water Sector Governance Towards Climate Change Adaptation in Africa Cities

# Annex 13 - Short biography of the evaluators

- **Alain Lafontaine, Team Leader, Vice-President Le Groupe-conseil baastel ltée**

| Personal Information | |
|---|---|
| **Name** | Alain Lafontaine |
| **Postal Address** | Le Groupe-conseil Baastel<br>85 Victoria Street<br>P.O. Box 1874, Station "Hull"<br>Gatineau, Quebec, J8X3Z1<br>Canada |
| **Phone** | ++1 (819) 595 1421 ext.239 |
| **E-mail** | alain.lafontaine@baastel.com |
| **Website** | www.baastel.com |

Alain Lafontaine has a multidisciplinary Masters degree specializing in Environment and Development and has over twenty years of experience in this field, with field work in more than 50 countries. In terms of sectors, his competencies span over capacity development and governance (including decentralization) as well as environment and natural resources as his main areas of focus. In these fields, he has developed an international reputation. With respect to global environmental issues, he works in particular in Climate Change and Biodiversity and has managed outstanding work for the Global Environment Facility and its implementing and executing agencies as a Senior monitor and evaluator, as well as for the secretariats of the global environmental conventions including the UNFCCC, the UNCBD, and the Stockholm POPs convention.

Mr. Lafontaine masters the concepts and tools associated with result based management and applies them to his design, monitoring, evaluation and advisory mandates in various fields. His approach to development has been enriched over the years by the diversity of bilateral and international development institutions he has worked with. Through that process of knowledge sharing at the international level, he has further polished his expertise and skills in dealing with the newest paradigms in development cooperation dealing with budget, program and sector support modalities and approaches, poverty reduction and impact assessments.

A world-renowned monitor and evaluator, he masters the use of methodological instruments required to conduct thorough reviews and evaluations at the policy, program, thematic, institutional and project levels. Indeed, he has led during this time period, a number of international complex evaluations and has delivered quality products to his clients in a timely manner and shown his management skills.

- **James Oladipo Adejuwon, Geographer**

| Personal Information | |
|---|---|
| **Name** | James Oladipo Adejuwon |
| **Postal Address** | Department of Geography<br>Obafemi Awolowo University<br>Ile-Ife, Osun State, NIGERIA |
| **Home Address** | Plot 5, Block V<br>Parakin-Obalufe Layout<br>Ile-Ife |
| **Phone** | 234 803 725 3118 |
| **E-mail** | jadejuwon@yahoo.com |

An environmental scientist with a wide range of technical, management, and research experience in a university environment. James holds the PhD degree of the Faculty of Science of the University of London. He taught Geography at the Obafemi Awolowo University, Ile Ife from 1965 to 2005. Apart from his teaching responsibilities, he served the university at all levels of management up to the office of the Deputy Vice-Chancellor. He held visiting appointments while on sabbatical leave, once at The University of Kansas and three times at The Pennsylvania State University, USA. He also made himself available for service to local, national and international institutions and organizations including the Nigerian National Committee on Climate Change and the Intergovernmental Panel on Climate Change. He contributed to IPCC's Third and Fourth Assessment reports respectively as Lead author and Review Editor. He received from the IPCC an award acknowledging his contribution to the award of the Nobel Peace prize to that body in 2007. He was awarded the Rockefeller Fellowship in Environmental Affairs (1975), Fulbright Senior Research Fellowship (1986), and START Senior Research Fellowship (1999). He was a recipient of research grants from The World Bank; NOAA (USA National Oceanic and Atmospheric Administration); and AIACC (Assessment of Impacts and Adaptation to Climate Change). He was also

the recipient of the 2009 SAFE Sustainability Leadership Award from the Knight – Staneva Foundation, Pennsylvania State University, USA.

Between September 2007 and March 2008, he served as a consultant to The Rockefeller Foundation investigating: "Climate Change and Agricultural Development: Building Climate Change Resilience for African Agriculture". In August 2007, he was appointed by the FAO as a member of a two-man team of experts with the responsibility to work on a Technical Cooperation Program with the objectives to stimulate policy dialogue and response to the impact of climate change on agriculture, food security and environment in Nigeria. He served as the Principal Investigator of AIACC (Assessment of Impacts and Adaptations to Climate Change) Project AF 23 with the title: "Food Security, Climate Variability and Climate Change in Sub-Saharan West Africa". He co-edited Climate Change and Adaptation, Earthscan, London, 20 chapters, 381 pp. His most frequently cited publication include: Adejuwon JO (2006) Food crop production in Nigeria: II Potential effects of climate change Climate Research 32 229 – 245 and Adejuwon JO (2005) Food crop production in Nigeria: I Present effects of climate variability; Climate Research. 30: 53 – 60.

- **Philip N. Dearden, Capacity Development Specialist, Head of Centre for International Development and Training (CIDT), University of Wolverhampton**

| Personal Information | |
|---|---|
| **Name** | Philip N. Dearden |
| **Postal Address** | Head of Centre<br>Centre for International Development and Training<br>University of Wolverhampton<br>Telford Campus, Shropshire<br>TF2 9NT<br>UK |
| **Phone** | + 44 (0) 1902323219 |
| **E-mail** | P.N. Dearden@wlv.ac.uk<br>cidt@wlv.ac.uk |
| **Website** | www.wlv.ac.uk/cidt |

Phil, who has a background in Environmental Science and Agriculture has over 25 years of international experience working in over 40 countries, as a capacity development specialist. He often works as a facilitator/trainer, and program/project management and organisational development consultant. He has a wide range of experience in a number of different sectors: agriculture, forestry, environment, climate change, governance, rural livelihoods, education and health.

He is an experienced Program/Project Cycle/Logical Framework trainer and has undertaken design and appraisal work, participatory assessments, monitoring and evaluation, policy formulation, institutional and organisational analysis, strategic planning and capacity development support consultancies.

He led the CIDT team developing the DFID Handbook for Development Workers "Tools for Development" http://www.unssc.org/home/sites/unssc.org/files/publications/tools_for_development_-_a_handbook_for_those_engaged_in_development_activities.pdf

He has worked for a wide range of international agencies and donors in Europe, the Middle East, Africa, Central and Latin America and Asia.

- **Gaetan Quesne, Evaluation Specialist, Le Groupe-conseil baastel ltée**

| Personal Information | |
|---|---|
| **Name** | Gaétan Quesne |
| **Postal Address** | Le Groupe-conseil Baastel<br>85 Victoria Street<br>P.O. Box 1874, Station "Hull"<br>Gatineau, Quebec, J8X3Z1<br>Canada |
| **Phone** | ++1 (819) 595 1421<br>++1 (438) 381 1029 |
| **E-mail** | gaetan.quesne@baastel.com |
| **Website** | www.baastel.com |

Gaétan Quesne has a diploma in International Agro-economics Engineering with a specialization in Agricultural and Village Hydraulics, as well as a Master's degree in Natural Resources Management in Developing Countries. He has experience in the administrative, technical and financial management of development projects and programs which he acquired while working for the French Development Agency (AFD) and the French Global

Environment Facility (FFEM) in France and in Benin. Mr. Quesne currently specializes in project and program planning and implementation backed with institutional and organisational capacity support, and their monitoring and evaluation, with a focus on the environment and more specifically, biodiversity conservation, climate change mitigation and adaptation, renewable energy and energy efficiency, Reduced Emissions for Deforestation and Degradation (REDD), early warning systems, disaster risk management.

During the recent years, Gaetan has acquired solid skills in designing, monitoring and evaluating climate change adaptation programs, working with climate information systems, climate change impact assessments, vulnerability reduction assessments and adaptation planning processes. For instance, Gaetan conducted the Mid-Term Evaluation of the Interdisciplinary and Participative Research Program on the interactions between the Ecosystems, the Climate and the Society in West Africa (RIPIECSA), and has been closely associated to several evaluations of UNDP/GEF programs such as the First mid-term evaluation of the Sustainable management of globally significant endemic ruminant livestock of West Africa Project. Furthermore, through his close involvement over the past years in the environment sector, he has acquired solid knowledge of Multilateral Environmental Agreements (MEAs), complemented with concrete experience in analysing and understanding their implication in developing countries. To conclude, during his two-year posting in Benin, Gaétan Quesne was the FFEM focal point and France's environmental focal point for national institutions and organizations, and other bi- and multi-lateral institutions such as the GEF, UNDP, The World Bank, FAO, the European Commission, GTZ, Danida, and the Dutch Ministry of Foreign Affairs.