# FP4EA project monitoring operational manual

## Project description

The Policy Action for Climate Change Adaptation (PACCA) project is an activity within the CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS). CCAFS aims to address the increasing challenge of Global warming and declining food security on agricultural practices, policies and measures through a strategic collaboration between CGIAR and Future Earth. Led by the International Center for Tropical Agriculture (CIAT), CCAFS is a collaboration among all 15 CGIAR research centers and coordinates with the other CGIAR research programs, as well as local, regional and national partners.

The CCAFS FP4-EA (PACCA) project is a research-based project that seeks to influence national and sub-national governments and institutions in Uganda and Tanzania to enact or revise policies so that they integrate climate smart agricultural strategies. The project is implemented IITA in collaboration with several CGIAR Centres including CIAT, ILRI, Bioversity and ICRAF and works closely with local, regional, and national partners of each country.

The resultant outputs/research products will be fed into the learning alliance (LA), a national platform that brings together policy makers, public and civil organizations, private sector, media and scientific community. Members of the learning alliance will utilize the outputs to influence effective implementation of policies related to climate change. By 2017, it is expected that the following outcomes related to changes in knowledge, attitudes, skills and practice will be achieved;

* Increased information seeking /exchanging behavior from policy makers, implementers and researchers
* Policy actors recognize policy gaps and seek to address them
* Policy makers and implementers have identified policy actions for climate change adaptation
* Better informed decisions for climate change adaptation
* Increased appreciation of the need to include gender in policies related to climate change
* Changes in formulation and implementation of policies that enable inclusive and equitable climate change adaptation.

## Purpose of the manual

This M&E framework details how we have planned to:

* + Monitor project implementation progress and periodic achievement of set targets and project outcomes
  + Monitor and evaluate changes in knowledge, skills and attitudes of the participants in the LA (next users) and performance of the learning alliance
  + Track how the learning alliance influences policy implementation that encourages climate‐resilient agricultural practices across multiple scales
  + Assess the project implementation progress ~~will be assessed using various ways including skype progress reviews, meeting notes, participation in activity events, activity and annual reports.~~

## Monitoring Areas

Based on the outcomes from the CCSL Workshop on monitoring and evaluation of social learning (see <http://ccsl.wikispaces.com/CCSL+M%26E+Workshop+on+Evidence+Gathering>), five major areas have been selected to address the purpose of this manual. These include engagement, change, looped learning, capacity, institutional opportunities and barriers. An overview of these areas as defined in the project follows;

**Engagement**: Covers the process followed in the formation and functioning of the learning alliance. It includes the steps taken to establish the LA and the process the learning alliance adopts in identifying policy issues to deal with and key policy actors around the issues; how and the reasons these actors are approached, plus the interactions of partners in the LA and achievements/outcomes of the interactions.

**Change:** This looks at the changes in the Knowledge, Attitude, Skills (KAS) and practice among the participants in the LA and the policy actors they interact with e.g. ministries, NGOs, media groups, civil society and private sector.

**Institutional opportunities and barriers**: Includes elements and components of institutional systems, governance and culture such as values and attitudes, resources, policies that facilitate or hinder social learning (SL).

**Looped learning** refers to the mechanisms in place to ensure learning, reflection and iteration within the learning alliance. Key questions that will be asked include;

* Are we doing the things we set out to do? This helps us to improve the existing routines and actions;
* Are we doing the right things - is what we are doing the correct thing to do? This enables us to reframe the problem and change our goals;
* How do we decide what is right- what do we need to do to get to the right thing? This allows us to change values and beliefs or governance systems.

**Capacity**: This looks at both stakeholder’s ability to contribute to social learning as well as the incremental changes that happen as a result of interactions in the LA.

The table below details the processes and indicators that will be tracked and the tools that will be used to collect the information.

## Operational Plan

The table below illustrates the operational monitoring plan for each of the areas described. It unpacks what needs to be looked at in each of the monitoring areas and lists some detailed tools to be used for this.

Table 1: FP4EA project monitoring framework

|  |  |  |
| --- | --- | --- |
| **Factor** | **Processes/Indicators to be monitored & documented** | **Tool/method to be used** |
| **Engagement** (Process followed in the formation and functioning of the LA plus the interactions of partners in the LA and achievements/outcomes of the interactions. | | |
| LA formation process | Steps through which the LA is formed (process, lessons learnt, challenges) | **Tool 1**: Progress reports |
| Actors involved and their roles in the LA (Characterized by organization, the individual participating (position, sex), roles played/contributions) | **Tool 2:** Stakeholder analysis to map key actors  **Tool 3**: Attendance registration |
| Presence of a common objective / issues being addressed by the LA and process how the objective is established | **Tool 1**: LA activity reports & minutes, observation |
| The need for defined leadership roles within the LA |
| Operation and functioning of LA | Initiatives undertaken by the alliance to engage other relevant actors (e.g. networking, training, documentation, science to policy translation) and reasons why such initiatives were taken | **Tool 1:** Project progress / LA activity report |
| Roles played by DCC, MAAIF cc task force and how the roles evolve (e.g. advising on relevant project activities and dissemination strategies, convening LA meetings, liaising with national and local policy actors, actively participating in the LA and research activities*)* |
| Policy engagement strategy and actions(activities, time frames, reporting and feedback actions) developed by the LA |
| Mechanisms instituted by LA for pooling and sharing information/communication strategy (research results, lessons learned) |
| Belief/perceptions by the LA members about resources(e.g. human capacity, finances, expertise) that each members’ institution has and how this resources can be used to improve cc adaptation in Uganda and Tanzania | **Tool 5:** KAS survey |
| Belief of members of the ability of the alliance to improve climate change adaptation |
| No. of meeting convened and consistency of participation of members in the learning alliance | **Tool 3**: Attendance registration |
| **Change** (KAS and practice changes among the participants in the LA and the policy actors they interact with). | | |
| Increased information seeking/exchanging behavior from policy makers, implementers | Quality and strength of relationships or networks between policy makers, implementers and public/private investors in the LA | **Tool 6:** Network analysis |
| Type of information being sought by policy actors | **Tool 5:** KAS survey |
| Information sharing mechanisms /channels frequently used by LA & types of information shared. | **Tool 1:** LA activity report  **Tool 7:** Meeting evaluation |
| No. of climate change, food security and agriculture trainings/workshops attended by LA members |
| Frequency of interactions (e.g. through email, skype calls, meetings/workshops between LA actors and research in terms of demanding and supplying information and tools |
| Policy makers and implementers recognize policy gaps and conflicts & seek to address them | Actions/initiatives undertaken by LA to bridge identified policy gaps and conflicts | **Tool1:** LA activity/progress report  Observation |
| Initiatives undertaken by LA to influence changes in climate change adaptation policies or policy implementation strategies |
| No. of policy actors in the LA actively engaged in policy negotiations for climate change adaptation |
| Policy makers and implementers have identified policy actions for improved climate change(cc) adaptation | Climate change adaptation, policy and investment options reviewed and approved and proposed to decision makers by the LA | **Tool 1:** LA activity reports |
| Better informed decisions for climate change adaptation by policy makers and implementers | LA members/policy actors’ awareness and perceptions on climate change, its impacts and potential adaptation options | **Tool 5**: KAS survey |
| Changing perspectives and attitudes of policy actors about climate change adaptation | **Tool 8**: Stories of change |
| No. of equitable food security policies for which actions to integrate climate change adaptation has been initiated | **Tool 1:** LA activity reports |
| Climate change adaptation, policy and investment options adopted by decision makers [at national or local level] |
| Increased appreciation of the need to include gender in policies related to climate change adaptation | Extent of participation of women & other often marginalized groups in the LA | **Tool 5:** KAS survey  **Tool 8:** Stories of change |
| Perceptions of policy actors about gender inclusion in cc adaptation |
| No. of initiatives/policy actions undertaken by LA that integrate & use gender guidelines in climate change adaptation interventions | **Tool 1**: LA activity reports |
| No. of strategies/policies implemented by the LA to promote gender equity in cc adaptation |
| **Institutional opportunities and barriers** that facilitate or hinder social learning. | |  |
|  | Synergies developed by LA with other groups/projects | **Tool 1**: LA activity reports |
| Participation of LA members in joint activities with other sectors or stakeholders |
| Access to evidence-based information on climate change(cc) by policy actors | **Tool 5:** KAS survey |
| Linkages/relationships between policy actors and scientific community | **Tool 6:** Network analysis |
| Changes in roles of different institutions( ministries, CC Department, CGIAR centers) participating in SL | **Tool 1**: LA activity reports |
| Budgets allocated to climate change adaptation in Uganda and Tanzania by respective ministries | Review of budgets (e.g. MWE, MoA) |
| Do the structures/institutions (MOA, MWE) mandated to implement cc adaptation policies in the two countries actually do their work? If not, then why? | **Tool 5:** KAS survey  Observation |
| Response of the policy makers to LA initiatives and communications about climate change adaptation | **Tool 1**: LA activity reports  **Tool 5:** KAS survey |
| Access of information/research evidence on climate change adaptation from scientific community by policy actors in the learning alliance |
| **Looped learning** (mechanisms in place to ensure learning, reflection and iteration) | | |
|  | Reflection moments planned by LA members (review of LA plans, extent to which they have been achieved, lessons learnt, adjustments made) | **Tool 9**: LA review |
| LA members perceptions of the functioning of the LA (what works, doesn’t and possibly what needs to change) | **Tool 5**: KAS survey  **Tool 9**: LA Review |
| Iterative reflection process(LA reviews) implemented and documented |  |
| No. of reflection/learning sessions conducted by the LA | **Tool 1**: Review of reports |
| **Capacity** (stakeholder’s ability to contribute to social learning as well as the incremental changes that happen as a result of interactions in the LA. | | |
|  | Level of knowledge of LA members about the research products/outputs from project activities | **Tool 5:** KAS survey |
| Use and application of communication material/research products in SL (how often the research products are applied or referred to when taking decisions) | **Tool1:** LA activity reports  Observation |
| Members’ ability to negotiate within & between themselves in the LA |
| Response of LA members to gender issues by members of the alliance | **Tool 6:** Stories of change using MSC technique |
| Significant changes among LA actors / and or their organizations as a result of participation in the LA (Positive and negative changes, Individual changes, Organizational changes) |
| New/Emerging research and information needs identified by LA members and demanded from the scientific community | **Tool 1:** LA activity reports |
| Adaptation strategies for inclusion in the NAPs and other policies identified and presented to stakeholders in the LA. |
| Potential climate change investment plans at local and national level discussed in the alliance. |
| No. of policy actors whose capacity has been built to use the evidence in influencing policy actions for improved climate change adaptation. | **Tool 7:** Meeting evaluation  **Tool 9**: LA review |
| No. of policy makers and other actors participating in the investment modeling process | **Tool 1:** LA activity reports |

## Tool Descriptions

Attendance registration

KAS survey

LA review

Meeting evaluation

Minutes

Network analysis

Observation – log book

Progress reports

LA activity report

Project progress

Review of reports

Stakeholder analysis to map key actors

Stories of change using MSC technique