Adaptation Learning Programme for Africa (ALP)

Final Narrative Report

ALP Extension

July 2015 to June 2017

December 2017

CARE International

Contents

---

1. Introduction

This report for the Adaptation Learning Programme (ALP) covers an extension period from 1 July 2015 to 30 June 2017. The extension period was funded by UKAid at the Department for International Development (DFID) and Denmark's Fund for Climate and Environment for NGOs managed by Civil Society in Development (CISU), both to June 2017, as well as funds from the Austrian Development Agency (ADA) from 2014 to June 2016. The original ALP goal was maintained in the extension period: *'to increase the capacity of vulnerable households in sub-Saharan Africa to adapt to climate variability and change',* while the purpose was slightly modified: '*Community-based adaptation (CBA) approaches for vulnerable communities incorporated into development policies and programmes in Ghana, Kenya and Niger, and replication ongoing in other countries in Africa'*. Direct work continued in Ghana, Kenya and Niger, while overall logframe outputs and geographical coverage in these countries and across Africa were adjusted to enable an enhanced focus on learning, evidence and outreach. CISU in particular contributes to ALP output 3 for support to civil society advocacy in relation to adaptation and adaptation finance. ADA contributes to outputs 1 and 2 on innovation work at community level and upscaling through capacity building. A final external evaluation was completed which reviewed the work funded by ADA in 2014 and 2015 and the full programme of ALP work from July 2015 to June 2017.

In total, ALP has received over $17M USD between 2010 and 2017 from the above-mentioned donors in addition to funding from the Ministry of Foreign Affairs of Denmark (Danida) and the Ministry of Foreign Affairs of Finland prior to 2015. Funds received under the two-year costed extension are valued at approximately $4.6M USD. Donor shares of the total were 75% from DFID, 16% from CISU and 9% from ADA.

The outputs and activities agreed with ADA, CISU and DFID involve work on the ground in Kenya, Ghana and Niger, with outreach across West, East and Southern Africa, and are incorporated under these four output areas:

1. Deepen CBA innovation and learning in approaches **for strengthening adaptive capacity, resilience, and gender equality**, including community access to and use of meaningful climate information and promotion of gender equality and women's empowerment in pastoralist, agro-pastoralist and semi-arid farming systems in targeted sites in Ghana, Kenya and Niger.

2. **Demonstrate and scale up good practice for integrating CBA into sector-specific work**, specifically in smallholder agriculture, local development planning and disaster risk reduction (DRR) systems in the three targeted ALP countries and across Africa. This includes enhancing ALP's role in promoting community-based and user-led climate information services; brokering linkages and facilitating dialogue between climate science producers, users and intermediary organisations; and building capacity for multiple actors across Africa for implementation of practical CBA approaches at scale.
3. **Influence access and accountability of adaptation finance** by national governments, Civil Society Organizations (CSOs) and Africa regional initiatives through support to: ensuring funds support vulnerable populations; blending of adaptation finance and government budgets for coordinated and climate resilient local development and disaster risk reduction (DRR) plans; civil society tracking of disbursements and results; influencing the emerging global adaptation finance architecture, including Green Climate Fund, and influencing the adaptation process in the build up to, during and after the United Nations Framework Convention on Climate Change (UNFCCC) negotiations at the Conference of Parties, COP21 in Paris.
4. Deliver a **stronger evidence base** of CBA impact and the value for money of an approach which responds flexibly to climatic changes, priorities of vulnerable communities and shifting opportunities and risks, and; exploring the potential to establish an '**Adaptation learning and innovation hub**' to enable a long-term multi-stakeholder social learning space for strategic actors at all levels to learn and reflect on adaptation and its relation to broader resilient development and risk management.

This is the final report for this ALP extension and refers to the full set of activities and outcomes relating to the agreed logframe. It covers progress made, results, reflections, challenges and lessons learned. Annex 1 provides the list of documents produced, published and disseminated from July 2015 to June 2017; Annex 2 summarises concrete results by goal, outcomes, outputs and their indicators and targets. Remaining annexes provide additional information which has not been published.

2. Findings from the ALP extension evaluation

The ALP extension final evaluation was completed by an external team in April and May 2017, covering the work funded by ADA in 2014 and 2015 and the full programme of ALP work from July 2015 to June 2017. CARE and the ALP teams participated in several discussions with the evaluation team who visited Kenya and Ghana and held remote discussions with key actors in Niger. The findings of the evaluation confirm the positive impact and influence of the ALP programme in shaping adaptation practice in Africa and beyond. They provide useful perspectives and ideas to reflect on, thereby adding to ALP learning and the case for CBA. Of particular note is the recognition of the broader impact and reach achieved through the extension period, which goes far beyond the three countries involved in the extension (Kenya, Niger and Ghana) – to at least 17 countries across Africa - as a result of ALP's efforts. The success of ALP in changing mind-sets of community members and a wide range of other actors, improving national advocacy capacity of civil society partners, creating knowledge products and leading Africa-wide learning processes that will carry on beyond the project, and the deepening of community-based adaptation (CBA) approaches to strengthen local adaptive capacity are all noted. Below follows a synthesis of key findings and recommendations made by the evaluation team.

Key evaluation findings

Overall, ALP has met or exceeded its intended outcomes in all but a few areas. Advancements have been made in scaling of the participatory scenario planning (PSP) approach across Africa (output 2) as well as learning about adaptation (output 4), building awareness, knowledge and capacity in CBA and contributing notably to the Community of Practice in this space. Sub-national and national scale-up achievements in Kenya, Malawi, Ethiopia and Zimbabwe demonstrate not only ALPs ambitious and persistent agenda to get PSP out there and into the world, but also the utility of PSP in helping governments better meet their climate resilience objectives and commitments to climate risk reduction. Laudable achievements on gender and women's empowerment have also been noted, particularly in Niger where a concerted effort to put women at the centre of ALPs activities has resulted in reported shifts in gender norms, including women increasingly being involved in household and community-level decision-making.

Although innovation of CBA approaches and strategies (output 1) took a back seat to scaling activities under the cost extension, significant efforts and investments went into refining and improving PSPs by better understanding its role in the larger value-chain of climate information services (CIS). This included refinements in how PSP is facilitated, how forecasts and advisories are communicated and disseminated, and how cross-jurisdictional sharing and learning can improve future PSP processes. A key contribution of PSP to the world of user-based CIS is the two-way dialogue facilitated between users and forecasters, with national met agencies noting the improved services and products they can offer based on PSP feedback forums discussing the utility and accuracy of the forecasts provided. Some refinements in how Community Adaptation Action Plans (CAAPs) were developed using peer-to-peer learning and facilitation models showed promise but their outcome could not be sufficiently substantiated in this evaluation. Improved access, availability and use of climate information to inform small holder farmers' agricultural planning and activities, at the household-level, continues to shine as an impact of ALP's intervention. Less evident is the impact that ALP has had on the ultra-poor – those with little to no means to invest in safeguarding measures beyond basic needs.

Influencing global adaptation finance was not without its challenges and ALPs ambitions were high. The shining stars of output 3 were the civil society networks with which ALP worked. In all three countries, improved capacity and understanding of gender-sensitive CBA, combined with strong supporting resources developed through ALP (e.g. the budget analysis in Ghana and newly minted advocacy strategies in Kenya and Niger) have led to commendable recognition of all civil society organisation (CSO) partners at national-level. Where ALP underestimated the still nebulous nature of adaptation finance was in striving to influence direct access opportunities for local-level and non-government organizations to tap into global climate funds. The greatest hope is that by having fostered strong relationships with national governments over seven years now, influencing and shaping the adaptation dialogue in each Kenya, Ghana and Niger, when it comes time for these same bodies to spotlight their accountability to community-level interests (as global funds undoubtedly will), they will reflect on the ALP experience and CBA efforts in their country more broadly.

A few missed opportunities to enhance ALPs ultimate impact were observed, most notably in (i) inputting towards the formulation of the GCFs Environment and Social Safeguards mechanisms as an entry point to ensuring the Funds' accountability to the needs and interests of local communities and those most vulnerable to climate risk; and (ii) in leveraging the social costing study of CBA completed under phase I to improve advocacy messages targeting global or national climate finance decision makers. Other missed opportunities were observed regarding the development of practical budgetary guidance for PSPs (to improve the ease with which the PSP process could be included in regular development planning and budgeting processes), and more targeted learning about adaptive capacity (due to the limited scope – and outlier nature – of the impact study completed in Northern Ghana).

The evaluation made recommendations for future CBA work by CARE and others:

1. **Reaching the poor and ultra-poor.** Noteworthy insights from ALPs learning are critical for further exploration and integration into future CBA programmes: (i) the need to identify and integrate social protection measures that help safeguard the basic needs of the poorest and ultra-poor. Recommended for further investigation:

   How to reduce economic barriers in participation in CBA planning processes and ensure the poorest and ultra-poor can also benefit from the outcomes of CBA.

2. **Linking CBA and ecosystem-based management.** Noteworthy insights from ALPs learning are critical for further exploration and integration into future CBA programmes: (ii) the need to better integrate principles of ecosystem-based management to improve assessment and monitoring of potential externalities. Recommended for further investigation:
   - **How to improve consideration of natural assets and the natural resource base in CBA planning and implementation, including clarifying links between CBA and ecosystem-based adaptation**
   - **What safeguards need to be in place so CBA activities at both a community and a landscape level are not maladaptive in the long term**

3. **Sustainability and securing ALP's legacy.** ALP has made inroads in demonstrating the value of CBA approaches (including Participatory Scenario Planning [PSP], Climate Vulnerability and Capacity Assessment [CVCA] and Climate Adaptation Action Plan [CAAP] development) to national governments. **To facilitate implementation, ALP/CARE should publish guidelines to inform government budgeting of these activities.**
4. **The Adaptation Good Practice (AGPs) Checklist holds good promise. CARE should continue to explore how the AGPs can map to the challenges faced by newly designated implementing and executing entities.** This includes making clear the fit between AGPs and Fund (Green Climate Fund [GCF] and Adaptation Fund [AF]) requirements, and how AGPs can help entities better meet these requirements (including environmental and social management criteria).
5. **CARE should conduct an ex-post evaluation of ALP's contribution to building local adaptive capacity in 2020.** Among other methods, the ex-post evaluation should replicate CVCAs / GCVCAs conducted with communities at the start of ALP's intervention. Financial and technical resources for such an evaluation could flow from CARE International (i.e. core funding, or learning/M&E budgets), or interested researchers and their respective institutes (e.g. 3ie), with an interest in contributing to the global state of knowledge on CBA, household vulnerability and local adaptive capacity.
6. **CARE should work to further embed ALP's CBA approaches in its resilience programming and continue promoting and learning about what works in enhancing local adaptive capacity through CARE's Climate Change and Resilience Platform.** It will be important to continue building on ALP's work with smallholder farmers, extension agents and meteorological agencies on user-led climate information services.
7. **CARE should build on successes from ALP in Niger in engaging men actively on gender and climate change in future CBA and resilience programming.** CARE's global gender equality approach emphasizes women empowerment and men's engagement, there has not been much evidence of the actual engagement of the men, save for the Niger example, which therefore calls for replication.
8. **Continued support of efforts by donors.** ALP has significantly contributed to learning about adaptation, a critical achievement given the continuously changing risks and uncertainties posed by climate change. This momentum for learning should be sustained. **CARE and donors should continue to support the various learning opportunities initiated under ALP. This includes efforts to develop and sustain an African-focused adaptation innovation and learning 'hub' (e.g., through the learning forum ALP initiated, ALFA2017), as well as efforts to institutionalize learning within broader, national or research organizations** (e.g., continued support for MoUs with the University of Development Studies (UDS) in Ghana)
9. **Donors should consider adopting a systems approach to evaluate programmes that address complex challenges such as climate change, poverty, and gender equality.** Specifically, a 'systems-level' evaluation under a collective impact framework and funded by a partnership agreement among donors would be an efficient way to pool resources and maximize learning on changes occurring at different scales and how they might relate to each other.
10. **Donors and practitioners should invest in rigorous adaptive management to accelerate learning about how to improve the capacity of vulnerable people and households in sub-Saharan Africa to adapt to climate variability and change.** Programs such as ALP, where outcomes are uncertain, with reach across countries, multiple community sites, alternative CBA models to apply, policy actors to influence, are ideal test cases for adaptive management.

CARE considered the recommendations and developed responses for consideration in a CARE management response shared to the ALP donors. See **Annex 1** ALP Publication list for links to the final evaluation report and CARE management responses to it.

DFID Project Completion Review 2017

In the final DFID Project Completion Review report, ALP was recognised as a well-run and high performing programme which 'was successful in developing CBA approaches and over the period of the programme they refined and amended them to make them relevant to new circumstances and the changing global narrative.' Key lessons highlighted by DFID were:

- There is a need to work at multiple levels to ensure that the lessons learned on the ground can be translated into policy and legislative change. The ability to demonstrate success and impact on the ground, combined with the networks established by ALP, contributed to the programme's ability to influence decision makers. Flexibility in programming is needed to allow for partners to engage with differing levels depending on when opportunities arise.
- As a learning programme, ALP was successful in establishing and inspiring a network of practitioners, thanks to the ALP team's work on getting messages out across the wider CARE organisation and within other groups at the international and regional level. The lesson learning events and publications helped in this process. This was built on establishing a good reputation and demonstrating the utility of the approach, which took time to imbed and develop.
- ALP has demonstrated that strengthening community ownership, systems and institutions with supportive engagement from local government/agencies, is necessary for building long-term adaptive capacity, achieving sustainable outcomes and creating transformative change. ALP examples that demonstrate this should be shared with other DFID resilience programmes, and these approaches of community ownership and institutional strengthening be central to approaches.
- The ALP programme tested and demonstrated the need for user-led approaches to information access, and getting information that informs decision making to users in a way that they understand and can use. DFID has integrated this thinking into approaches around weather and climate information services, such as through the DFID funded Weather and Climate Services for Africa (WISER) programme.
- The CARE ALP team have undertaken a series of events within DFID to demonstrate the approach they have taken and to inform DFID of how programming can be done to support innovative and adaptive programmes.
- CARE is also involved in other DFID programmes such as WISER and Building Resilience for Climate Extremes and Disasters (BRACED) programme, which has allowed the lessons learned in ALP to be integrated into projects within those programmes.

3. Status of programme outcomes and impacts

Impact (goal)	**Indicator G.1**	**Target 2017**
Capacity of vulnerable people in Sub-Saharan Africa to adapt to climate variability and change increased.	G1. # of people benefitting from investment in CBA through post-2012 adaptation financing.	2020 target is 10 million
	Indicator G.2	**Target 2017**
	G2. Policy & implementation guidance for international adaptation finance enable investment in CBA.	Guidelines for adaptation financing instruments (AF/GCF, CIF, LDCF) include principles which support CBA and direct access Target 2020: Local and national governments are funding and implementing adaptation projects which reflect CBA principles, funded by post-2012 adaptation financing instruments.
Outcomes (purpose)	**Indicator P.1**	**Target 2017**
Community-based adaptation (CBA) approaches for vulnerable communities incorporated into development policies and programmes in	P1: CBA approaches integrated into policies, national plans (e.g. National Adaptation Plans (NAPs)) and sectoral plans in Ghana, Kenya and Niger.	Five relevant plans and policies in ALP countries are operational and demonstrate CBA approaches
	Indicator P.2	**Target 2017**
	P2: # of climate vulnerable individuals benefitting from adoption of CBA approaches and strategies promoted by ALP	Additional to baseline: G= 290,000, N= 210,000, K = 164,000 Other countries = 100,000 T= 764,000 additional. TOTAL by 2017 = 2,356,640

Ghana, Kenya and Niger, and replication ongoing in other countries in Africa.	**Indicator P.3**	**Target 2017**
	P3: African regional and/or non-target country policy frameworks and plans include community-based adaptation	6 (cumulative) regional or non-target national policies/plans include CBA

See **Annex 2** Table of achievements for details of progress against ALP indicators, 2016 milestones and 2017 targets.

3.1 CHANGES IN IMPACT AND OUTCOMES

Capacity to adapt. ALP continued to contribute to significant changes in knowledge, attitudes and practices in ALP communities, as a result of improved access to climate information, adaptation planning and government services. Community members are now empowered to pursue their own development trajectories, and think differently about long term change and uncertainty and about gender roles. Improved access, availability and use of climate information to inform small holder farmers' agricultural planning and activities has been successful both in ALP sites and adopted by a range of organisations and meteorological services in 8 countries in Africa. ALP CBA approaches focus on strengthening adaptive capacity which has also become a key element of resilience frameworks and user-based climate services.

The UNFCCC Paris agreement established a 'global goal on adaptation of enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change with a view to contributing to sustainable development and ensuring an adequate adaptation response'. It supports learning and capacity building for adaptation and climate resilience. Implementation must reflect equity and the principle of common but differentiated responsibilities and respective capabilities in the light of different national circumstances. These and other statements reflect and uphold many of the key CBA messages developed by ALP. The Paris agreement also asks for finance flows to be consistent with a pathway towards climate-resilient development, which will boost commitment to adaptation finance through the Adaptation Fund and more so the Green Climate Fund (GCF) in line with these principles for good adaptation.

Beneficiaries numbers from investment in CBA through post-2012 adaptation financing by June 2017 reached 16,624,723 people, of which 400,000 were BRACED beneficiaries in Niger. The projects contributing to this achievement include Adaptation Fund Projects with CBA components in Ghana, Kenya, Uganda, Niger, Morocco, Mali, South Africa, Rwanda, Egypt, Djibouti and the regional Agricultural Climate Resilience Enhancement Initiative (ACREI) in East Africa, and GCF-approved projects for adaptation in Malawi. Numbers are as given in the proposal documents.

In the ALP extension phase, just over 3 million people in the three ALP countries and 1.1 million people from non-ALP African countries are benefiting from the adoption of CBA approaches and strategies. Adding to the numbers reached between 2010 and 2015, ALP's outreach across Africa contributed to almost 5,764,000 climate vulnerable individuals benefitting from adoption of CBA approaches and strategies promoted by ALP. These numbers only include known projects with CBA components funded post-2012, with beneficiaries as reported by the ALP country monitoring and the CBA adoption survey. In the 40 ALP communities, just over 10,000 vulnerable people have gained capacity, resulting in just over 69,000 people benefiting directly from implementing adaptation actions.

CBA approaches integrated into policies, national plans and finance guidelines. Neither the Adaptation Fund (AF) nor GCF have yet developed guidelines for quality adaptation. The GCF concept note users guide has some principles and paradigm shifts which support good practice. ALP has developed an Adaptation Good Practice (AGP) checklist with a range of organisations, which was launched at COP22 in Marrakech. The checklist is aimed at influencing design and evaluation of adaptation finance projects and roll out of NAPs. Testing has been done with the Kenya government. The government of Kenya and the Pan Africa Climate Justice Alliance (PACJA) have the opportunity of using the checklist at GCF board meetings. ALP collaborated on the AGP checklist with the United Nations Environment (UNEP), World Resources Institute (WRI), and the GCF readiness support programme. Financial flows to approved projects are slow, but gaining momentum. Direct

access is lagging behind internationally accredited entities. Direct and enhanced direct access are being encouraged through the readiness funds. The UNFCCC Adaptation Committee report from the 2015 expert meeting on 'promoting livelihoods and economic diversification to build resilience in the context of planning, prioritizing and implementing adaptation', includes ALP's learning and experience in one case study. Direct and enhanced direct access in Africa are slow to materialize, but increasing. Funds approved which reach to community level include the Ghana AF project on water management and the Malawi GCF project 'Saving Lives and Protecting Agriculture based Livelihoods in Malawi: Scaling Up the Use of Modernized Climate Information and Early Warning Systems'. The design of these projects followed extensive stakeholder consultations including the community members from targeted districts, civil society and local and international NGOs. The Adaptation Fund has also approved the Agricultural Climate Resilience Enhancement Initiative (ACREI) (Ethiopia, Kenya, Uganda) project, which includes climate services including the PSP approach, Capacity and Vulnerability Analysis, community-based participatory adaptation action plans and builds on discussions with ALP on Climate Field Schools in its approach to enhancing adaptive capacity with smallholder farmers.

The Local Climate Adaptive Living Facility (LoCAL) of the UN Capital Development Fund (UNCDF), supported by the International Institute for Sustainable Development (IISD), serves as a mechanism to integrate climate change adaption into local governments' planning and budgeting systems, increase awareness of and response to climate change at the local level, and increase the amount of finance available to local governments for climate change adaption (http://www.local-uncdf.org/) . Linked to mechanisms for enhanced direct access to adaptation finance, LoCAL was introduced in several side events at COP22. It was also showcased in the Africa Learning Forum on Adaptation (ALFA 2017) and the Mali CBA training. ALP Ghana held discussions on collaboration with LoCAL to build on ALP's engagement with the Ghana National Development Planning Commission (NDPC) guidelines and inclusion of adaptation in district assembly planning processes. LoCAL is implemented in Benin, Ghana, Mali, Mozambique and Niger in Africa. South Africa GCF NDA and accredited entities are implementing enhanced direct access and also attended the ALFA 2017 event and the CBA training in Kenya. The UNCDF programme on vertical integration of the National Adaptation Plan (NAP) Global Network is promoting integration of adaptation into local government planning (http://www.napglobalnetwork.org/resource/vertical-integration-national-adaptation-plan-nap-processes/). This reflects ALP's approach and is an opportunity to increase outreach, also through enhanced direct access projects.

ALP has influenced national policies and plans in Ghana**,** most notably i) the National Climate Change Policy (NCCP); ii) the National Climate Change Adaptation Strategy (NCCAS); iii) the National Development Planning Commission (NDPC) district planning guidelines for medium-term development plans (MTDPs); iv) the National Climate Change Learning Strategy; and v) the Medium Term Agricultural Sector Investment Plan (METASIP II, 2014-2017). In Kenya, the National Climate Change Action Plan 2013-2017 and Climate Change Bill include principles and practices promoted in CBA and the Kenya National Adaptation Plan incorporated in the Nationally Determined Contributions (NDC) promotes participatory risk and vulnerability analysis and county government integration of adaptation into development plans.

ALP established its place as a multi-country NGO programme working closely with governments and CSOs to influence and inform national policies, country positions for the Africa Ministerial Conference on the Environment (AMCEN) formulation of the African Common Position, and direct participation in the UNFCCC negotiation process. Within the UNFCCC, ALP has focused attention on the Nairobi Work Programme on adaptation and adaptation finance instruments, i.e., the Adaptation Fund, the Green Climate Fund and National Adaptation Plan processes. Through ALP presence at both the Climate Change and Development for Africa conference in 2015 and 2016 and COP21 and COP22, the programme maintained its influence on key CBA messages and evidence both directly and with civil society, in particular due to the partnership with the Pan-African Climate Justice Alliance (PACJA).

4. Progress and results by June 2017

Highlights of progress against the four revised outputs achieved in the ALP extension are given below. See Annex 2 for a summary of concrete progress and numbers against indicators.

4.1 RESULTS FOR OUTPUT 1

Community-based adaptation innovation, including climate information services (CIS) is increasing adaptive capacity, resilience and gender equality for the most vulnerable in target areas

Output 1	Indicator 1.1	Target 2017
Community-based adaptation innovation, including climate information services (CIS) is increasing adaptive capacity, resilience and gender equality for the most vulnerable in target areas	Number of vulnerable individuals (men/women) engaged in climate resilient livelihoods/ adaptation strategies informed by CBA	Additional to baseline Direct Ghana=2,350; Kenya=600; Niger=1,770, Total = 4,720 direct With families Ghana= 5,734; Kenya= 3,000; Niger= 4,956 Total= 13,690 including families 2010 to 2017 total = 42,325 Fully achieved
	Indicator 1.2	**Target 2017**
	Increased participation by women in community organisations and local planning related to adaptation and climate resilient farming systems.	35% of women in ALP sites record increased access to additional resources through their participation in community organisations. Achieved
	Indicator 1.3	**Target 2017**
	Number of adaptation plans developed and implemented by community groups and local government which integrate livelihood strategies and risk management and reflect the aspirations and priorities of women, men and youth.	A further 10 plans = 30 adaptation plans (2015 to 2017) are operational and strengthening adaptive capacity. Cumulative total = 58 plans Fully achieved
	Indicator 1.4	**Target 2017**
	Extent to which operational systems are in place for improved access to and use of climate and other relevant information for deciding livelihood and risk management strategies, particularly by women.	60% targeted women and men in ALP sites report that they have benefited from increased access and use of climate and other information. Achieved

Output 1 is specific to 40 ALP community sites in Ghana, Kenya and Niger, providing an opportunity for refining existing CBA approaches, direct innovation to improve and expand them; as well as generation of evidence of impact, all of which will inform the other outputs. Changes to the sites were made to allow for consolidation, replication and new innovation of successful CBA approaches. ALP worked in a total of 40 communities, some of which were original ALP sites and some new. In Kenya, ALP moved its community work to four dryland farming communities in the two dryland sub-counties of Embu county, an area hit increasingly hard by both drought and floods, where water access and soil erosion are key challenges for local smallholder farmers and livestock keepers, who make up around 70% of Embu County's overall population. ALP continued to support the Garissa Climate Change Working Group and Garissa County in their ongoing implementation of CBA in their County Integrated Development Plan. ALP also supported county adoption of Participatory Scenario Planning for seasonal climate forecasts (PSP) by the Kenya Met Department and the Ministry of Agriculture Livestock and Fisheries' development support programme across all 47 Kenya counties. In Ghana, ALP worked in six new dryland farming communities in Nadowli Kaleo District in Upper West Region and continued to strengthen CBA implementation in the former eight communities in Northern and Upper East regions. In Niger, ALP worked in 30 agro-pastoral communities, 20 of them new in the extension. Of these, ten were in two new communes (Birnin Lallé and Mai Yara) and 20 (five each) in two (Soly Tagriss and Bader Goula) of the four

original communes. This enabled learning from community-to-community exchange for replication in the original communities and learning from implementing improved CBA approaches in new communes. All communes are in Dakoro Department of the Maradi Region, where a government CBA project under the Niger National Adaptation Programme of Action (NAPA) and the United Nations Development Program's Global Environment Facility (GEF) has also now expanded such that between this project and ALP, all communes in Dakoro have been supported, making this department a flagship for CBA learning in Niger.

Output 1 provided an opportunity for refining existing CBA approaches and direct innovation to improve and expand them as well as generation of evidence of impact, all of which was planned to inform the other outputs. For example, CBA planning approaches used in the new communities used and tailored the process documented in ALP's 'Practitioner Brief 1: Adaptation Planning with Communities', to the local context to gain additional learning on what works well (see **Annex 1** for links to publications including documentation of learning from the Kenya process and **Annex 2** for results against milestones and targets).

Output Indicator 1.1 – Vulnerable individuals (men/women) engaged in climate resilient livelihoods/ adaptation strategies informed by CBA

ALP engaged a total of 10,644 direct beneficiaries (reaching over 40,000 when including family members, and almost 70,000 when including beneficiaries from the ALP sites in 2010 to 2015) to develop adaptation strategies and other activities designed to enhance climate resilience. This is largely through participation in climate vulnerability and capacity analysis (CVCAs), involvement in the community adaptation action plans (CAAPs) process, participation in participatory scenario planning (PSP) workshops or through community groups, including village savings and loans associations (VSLAs). It also involved with dry season gardening, use of improved seeds, small ruminants, alternative income generating activities through rechargeable solar kits, women's groups, control of invasive plant species, warrantage, etc. The high figures reflect high community participation in the CVCAs and CAAP processes in all three countries and ALP's ability to leverage rapid engagement and impact through supporting existing Village Savings and Loans (VSLA) groups in Ghana. In Niger, high figures reflect the 'cluster approach' of working with several community representatives at one time, who then return to work with their individual communities. This is an approach that ALP is looking to expand as it reduces the 'unit cost' of impact.

In 2015 and early 2016, ALP conducted gender-sensitive climate capacity and vulnerability analysis (CVCAs) in 30 communities in Niger, four communities in Kenya and six communities in Ghana. This resulted in building participants' capacity to analyse climate risks and vulnerabilities as well as engaging in initial steps towards a CAAPs process for planning and agreeing on adaptation actions in the communities. In Kenya, the CVCA forums also served to disseminate seasonal forecasts for the October to December season and therefore had the double benefit of demonstrating the added value of CBA to the new communities there. In 2016 and 2017 support was given to refining CAAPs and implementing priority strategies, which are described in more detail by country below. Exit activities in all three countries focused on sustainability of adaptation gains through strengthening the capacity of vulnerable households to take ownership of all activities including continued review and re-planning of CAAPs and PSPs, community organisational support to implementation of adaptation strategies, and encouragement to share successful strategies with neighbouring communities.

Kenya. Chiefs, crop farmers, livestock farmers, women leaders, youth leaders, community monitors and weather recorders participated in CBA capacity building and the planning process together with local government leaders at the county and sub-county levels from the planning, meteorology and agriculture departments. This set the scene for strengthened relationships to ensure continued support to CAAP implementation. Four farmers' groups, two youth groups and seven women's groups were selected in the four sites using agreed selection criteria (e.g. geographical location, avoiding household overlap across groups), to work with ALP Kenya in implementing CBA approaches and planning processes in Embu. The farmers groups are involved in crop farming and small business, like *boda boda* (bicycle transportation). The women's groups are involved in table banking, as village savings and loans (VSLA) are known, and farming, while the youth are engaged in VSLAs and small businesses like kiosks or chicken farming. Informed by the advisories developed during the PSP workshops and CVCA/CAAP priorities, ALP supported the community groups with certified

seeds (cow peas, maize and green grams) and climate resilient agriculture (e.g. soil and water management) at the household and community levels. Four farmer groups with a focus on women and youth were trained by county extension officers on agronomic practices for crop production, i.e. soil moisture management and soil conservation practices such as terracing, grass stripping, contour ploughing and use of organic manure at planting. They were also trained on livestock husbandry, pests, diseases, post-harvest loss management, and marketing. There has been reduction in livestock mortality due to poor livestock nutrition because farmers now possess the knowledge to make decisions whether to destock or adopt fodder storage and conservation strategies from crop after-harvest residues and pastures. The training strengthened individual and community adaptive capacity through practical hands-on skills that promote climate-smart adaptation strategies, resilience, agricultural enterprise diversification, and household food security.

Community members were trained on CBA, M&E, leadership, group facilitation, community mobilization, communication skills, reading and recording of rain gauge, advocacy skills, community entry protocols, use of CIS in decision on livelihood and disaster risk reduction (DRR), group dynamics and conflict management. Following the training, 20 participants were selected to become community monitors through participants proposing and debating on suitable candidates using agreed criteria. A subsequent workshop to train the monitors improved their knowledge and skills in community mobilization and facilitation, rain gauge recording and implementation of project activities. In 2017, a farmer exchange visit brought group representative farmers, community monitors and local extension agents to Makueni County to visit farmers living in areas with similar agronomic conditions and learn from climate adaptation activities established in the county. These included water harvesting/conservation for domestic use and farming, soil conservation, agro-forestry, apiculture, improved poultry keeping, dairy and meat goat management, and fodder production, harvesting and preservation. The representatives also visited the Mbamakaha Research Centre to learn about crop and livestock agronomy, bee and poultry keeping, etc. Community members have approached county and ward leadership for support to implement key community priorities projects like irrigation, piped water projects, health and education facilities repairs. The CAAPs activities have been taken up by various local government partners including a water project and feeder roads improvements. These activities not only reveal improved community capacity for planning, but also indicate adoption of sustainable adaptation strategies geared towards DRR.

Ghana. CVCAs were conducted in the six ALP site communities of the Nadowli-Kaleo district, followed by CBA planning. The Ghana Metrological Agency (GMET) participated in the process, learning first-hand how people are affected by climate change and understanding the potential value and need for climate information to support informed livelihoods and risk management decision making. Community plans (CAAPs) were developed in the six communities involving the following strategies.

151 VSLA groups were mobilized and supported with VSLA toolkits. These groups participated in the CBA process including community wealth ranking exercise, community awareness creation on climate change, PSP advisories dissemination sessions and access to weather forecast. Some VSLA members are trained as community monitors. Additionally, VSLA groups provide a vehicle for input support on sorghum and cassava multiplication. Promoting VSLA as a community safety net mechanism for building household resilience to climate change effects has increased women's engagement in and access to the savings and credit services in order to save to meet family basic needs such as food, clothing, health services and shelter. They have been able to reduce the hunger gap from a single meal a day for adults to three meals per day. They have also been able to invest in their wards' education, obtained business capital and purchased agriculture inputs including ploughing services on time. Men are now very much interested in participating in the VSLAs and are learning to save due to the benefits they have seen women enjoy. The VSLA groups assist communities to mobilize financial resources to carry out activities in CAAPs. Examples are repair of boreholes and electrification of communities. In addition, VSLA groups provide an opportunity for people to meet and discuss issues affecting their livelihoods and share knowledge and best practices. They have become a main channel for communication of climate advisories from the PSPs, daily forecasts, early warning signs and for distribution of agriculture inputs.

ALP in collaboration with the Nadowli-Kaleo District department of cooperatives supported the establishment of eight VSLA cluster level associations of 6-8 VSLAs each that come together to form one cluster and offer support to one another. This was done with the aim of increasing financial inclusion and strengthen sustainability. Leaders from the clusters constitute the members of the district VSLA apex body, which was formed, trained and linked with the district cooperatives department for sustainability beyond ALP's exit. The clusters ensure smooth running of VSLAs activities in their respective communities such as managing of conflicts, setting up of new groups, assisting groups during share-out, etc.

Climate resilient agriculture. 12,000 early bulking cassava cuttings were distributed to 600 farmers (of which 100 women) in the Nadowli-Kaleo District for multiplication and distribution. From these, 2,600 cuttings have been harvested to be distributed to 130 more farmers (secondary beneficiaries). Women reported that the leaves of the cassava produces delicious soup in addition to the food value of the tubers used for making *ampesi* and *gari*. Three dry season model gardens were constructed in three ALP communities with 30 people working together, including a majority of women. The District Assembly provided irrigation infrastructure. Mud fencing was adopted following a learning visit to Garu-Tempane district to observe onion and watermelon farming techniques. Individual farmer investment in dry season farming and needed equipment (pumps, watering cans, wheel barrows, and knapsack sprayers) increased and farmers cultivated new vegetables such as green pepper, cabbage, lettuce and carrots for the first time. Produce from the gardens are both for sale and household consumption providing a source of additional income to add to that from onions, which continue to be popular. These activities have been taken up mainly by men, while women face constraints of capacity to fence and confidence in vegetable growing and marketing. Hence in the demonstration gardens, they focused on beans and pumpkins. Dry season irrigated farming has increased employment from four to nine months in a year. This helps to reduce unemployment, increase on-farm labour for poor households, reduce seasonal migration, reduce food insecurity and increase household income, which in the long run enhances local economic development.

Many farmers diversified their crop varieties in order to spread the risk of crop failures and to experiment with new early maturing or drought resistant crop varieties introduced during PSP meetings. Adoption and use of these new crop varieties increased yields in good proportion after trials in the communities. For example, a woman got ten bags of *wang dataa* maize from her one-acre farm relative to the less than six bags that she got from her previous maize variety. ALP linked farmers to training on soybean and sorghum value addition, proper processing, and packaging organized by PATHWAYS.

ALP supported training of 56 community livestock health workers in 35 communities in the Upper West Region on animal husbandry practices and livestock pest and diseases. Farmers have started providing shelter for their animals, which before were left to roam about in the dry season. In Zambogo, women are being supported in their pig-rearing activities. In Chaang, both women and men constructed hives and have realized benefits from beekeeping relative to gathering honey from wild bees. The participants have found markets with external buyers. Beekeeping is an added incentive to control bush fires.

Environmental protection was included in the CAAPs to control bush fires and improve ecosystem management. An ALP learning event on the district anti-bush fire strategy led traditional leaders in the Nadowli-Kaleo District to agree on actions to be taken to curb and reduce incidence of bush fires and trees felling in the district. The Department of Agriculture worked with communities to improve soil health, structure, and quality with organic and inorganic material and conservation agriculture techniques. The beekeeping venture is a move to increase protection of trees and promoting planting of flowering trees. ALP partnered with the University of Utrecht in co-creating knowledge on the risk of adaptation initiatives generating conflicts or contributing to increase cooperation between sedentary farming and pastoralist livelihood systems in semi-arid areas of Ghana, Burkina Faso and Kenya. The study highlighted incidences where trade-offs between farmers and pastoralists during the hungry period require attention and management to avoid conflicts between neighbouring communities. The COCOON research project of Utrecht University also carried out studies in the ALP sites on 'Understanding the impact of changes in mobility on household adaptive capacity in semi-arid rural northern Ghana' and 'Community-based microfinance for adaptation: Panacea for inclusion at the household level, or source of Ggnder conflict?' In response to the

findings, a scoping study was conducted by ALP Ghana in collaboration with the Savannah Agriculture Research Institute (SARI) and the Ghana Developing Communities Association (GDCA) on the impacts of the Fulani-pastoralists enclaves in six districts. Presentation of the findings resulted in a plan for a multi-stakeholder forum in 2017 where district commissioners (DCEs), Fulani pastoralists, farmer groups, chiefs and members of parliament can work towards initiating a pastoralist policy in Ghana. The Northern Ghana Governance Activity program agreed to commit funds to support this policy dialogue workshop.

Niger. The adaptation strategies and risk reduction actions implemented by the communities based on their CAAPs include VSLA (group savings and loans) and warrantage, which are community-level inventory credit cereal stores. These mobilized stock of 1,446 50kg bags of millet, sorghum, cowpea and sorrel in 2017. These enabled communities to significantly increase the value of their crop harvest by selling much later than at harvest time with a profit beyond the loan refund. This gave access to a source of financing for investment in non-farm income-generating activities. The actions also extended the consumption period until the lean period contributing to food security. Support to small livestock farming enabled female beneficiaries to hold productive assets and generate income through the sale of young animals and milk. These animals breed within six to eight months, which together with rotation of parent animals, capacity in good animal management, and selling of young animals help meet the women's primary needs. The collective approach of this activity enabled beneficiary women to reinforce existing solidarity and cohesion. Implementation of adaptation strategies from the CAAPs also included dry season gardening, use of improved seeds, alternative income-generating activities through rechargeable solar kits, women's groups, control of invasive plant species, training of NGO partners, and awareness raising sessions on the different CBA and climate change approaches. Solar charging of mobile phones has significantly boosted communication and access to information for example about new opportunities, market prices, and weather forecasts. This in turn has increased capacities for engaging in both productive and risk management actions. **Warrantage** has enabled vulnerable households to access seeds and food during the lean season, and to facilitate timely access to food for communities. This meant they could avoid moving to other villages or other markets in search of millet for household need or consumption of wild green leaves. The availability of food during the lean season has greatly contributed to reducing the sale of goods such as fields and animals as well as the sale of wage labour for many heads of households, especially female heads of households. This has allowed vulnerable households to stay in their fields and focus on improving their own agriculture base. ALP supported the distribution of six tonnes of improved seeds to the benefit of 2,003 vulnerable people (50% women) to improve yield per hectare and – together with agronomic practices and rainfall information – reduce risk related to the early termination of the rains. Women groups learned techniques of good nursery management for *moringa oleifera*, disseminated seedlings and established home gardens, reducing the food gap through access to leafy greens from this drought-tolerant tree year-round. Demand for seedlings has exceeded supply as the popularity of cultivated moringa has spread across the communities and neighbouring areas.

Overall, **women groups benefited from coherence and synergy** across the employed adaptation strategies, thus minimizing risk. For example, participating in the warrantage (group inventory credit) and raising small ruminants reinforces income generation and food security, while participation in VSLA allows repayment of the warrantage loan without affecting working capital, and vice versa for repaying VSLA loans from eventual sales of stocks in the store. Mobile phones and solar power enables communication and access to information to guide agriculture, marketing and risk management decisions, and raises income through mobile phone charging services. This complementarity between strategies together with increased empowerment and solidarity among women enabled through VSLA and warrantage group coordination has greatly facilitated economic and social stability in women's activities.

ALP continued to support the establishment of **vulnerability monitoring and early warning and response mechanisms.** ALP supported 30 SCAP/RU community committees and four OSV commune observation systems with 379 members in extension phase. The systems enabled the communities to improve their level of knowledge on local indicators of vulnerability monitoring and link this to rainfall records and CAAPs so that emergency solutions were able to be incorporated in the plans and communicated upwards to commune and national levels. To cover the demand within the communes and enable the work of the community monitors

for early warning and emergency response (SCAP/RUs), communities were clustered according to geographical distribution in each municipality. The clusters allowed for training of monitors collectively and learning among them and the commune level local government actors involved as well as the commune vulnerability observers. The system supports integration of productive actions and DRR systems towards overall climate resilient livelihoods. The system has been documented in the 'ALP Practitioner Brief 2: Integrating disaster risk reduction and adaptation to climate change: Community-based early warning systems in Dakoro, Niger' (see **Annex 1**).

The enthusiasm demonstrated by the active participation of communities in the execution of the CBA process and experienced beyond the area of intervention of ALP is intimately linked to this integration of risk management and diversified adaptation strategies and livelihood opportunities. This improves resource management and living conditions of the most vulnerable populations to adapt to climate change and variability. This bears out the positive cost-benefit ratio calculated in the 2014 cost-benefit analysis of CBA in Niger.

Output indicator 1.2 – Participation by women in community organizations and local planning related to adaptation and climate-resilient farming systems

ALP has continued to make progress in making the case for **gender integration** and the three programme countries continue to report improvements in i) enhanced community participation in project activities, and ii) gender responsiveness and the involvement of women in decision making at district/county, community and household levels, alongside improvement of women's access to productive resources. Gender roles and dynamics were a focus of the GCVCAs (gender, climate vulnerability and capacity assessment), leading to decisions on who takes lead and how women can engage in the next steps of community planning processes. The percentage of women in leadership roles in ALP communities were 44% in Kenya, 55% in Niger, and 67% in Ghana. In Ghana, 85% of leaders of VSLA groups are women, while 74% of the executive leaders of the apex and cluster-level VSLA bodies are women.

In **Kenya**, 46% of the people attending the initial CVCA process were women. This share should have been higher as the team soon learnt that the majority of residents in these communities are women, while men often work away from home in urban centres or as casual labourers on commercial rice and other farms. Power dynamics for women are complicated by this with some able to take more household leadership than others. The ALP Kenya team has gone through a process of reviewing the PSP planning process with a view to integrating gender. This included reflections on the scope of and types of participation during the planning stages and also a definitive understanding of the concept of community during the dissemination of the advisories to ensure men's and women's participation and voice in the process. Older community members were reported being in more leadership positions compared to the young, which was also skewed towards men. For example, in Iria-Itune, the young men and women were unaware of existence of institutions like ward development funds and their functions in the community.

Capacity building for group members on group dynamics, proposal development and group management and fundraising aimed to empower women to raise resources to implement activities that would generate income for the members. Through women and youth empowerment initiatives by CARE and other development partners in the region such as Catholic Relief Services, Plan International, World Vision, etc., there is increased women participation at community-level meetings where they are given a voice able to express their opinions with confidence. VSLA groups have become a key resource for women. Women are now more empowered to access and control resources for instance livestock, land, farm produce and other family assets. They also enjoy economic empowerment by being able to support their spouses in paying school fees, buy household goods and owning family property, a role previously assumed by men. They have increased agency on social issues, including advocating for improved access to markets, representation in local committees such as Water Users Associations (WUAs) and the community security committees.

In **Ghana**, 34% of all CVCA participants were women in the six new communities. Women are also in community committees where important decisions are taken, e.g. Parents and Teachers' Association (PTA) / School Management Committee (SMC), church committees, water committees, and Community Health

Committees (CHC). Engaging women specifically in the CBA planning process and establishment of VSLA groups has made a major change in women's participation in decisions and leadership in these and other community fora. This has also influenced a change in household decision making with men consulting their wives, women being respected for the information and resources they now have access to, and joint decisions on financial management and use of VSLA loans, which in the past women were excluded from. A particular benefit from women's increased participation at community level and a new focus on business opportunities is that men have become more receptive to releasing productive resources including land and breeding stock for women to get involved in farming activities.

Women are gaining slightly more representation in community to local government bodies including the District Assembly social protection and leadership programme, the district Climate Change Science Policy platform, and in particular the district livelihood empowerment program, which reaches out to 4,489 vulnerable household and individuals, 80% of whom are women. The district assemblies also make it mandatory for farmer-based organisations to have 50% or more of women before they can access their interventions. Distract assembly collaboration with ALP influenced these changes towards increased women participation in local organizations' planning and activities.

In **Niger**, women took the lead in conducting community thematic discussions. Women are members of the groups and occupy positions of responsibility in various management committees covering warrantage, small livestock, livestock input, VSLA, and the DRR early warning and emergency response groups (SCAP/RU). In the CVCA discussions, they defended their points of view with respect to the concerns that affect them directly. Women groups are well organised and conduct regular meetings where issues affecting the communities are discussed. Community and collective action has strengthened women's voice in public and their relations with village chiefs.

As for Ghana, the VSLA and other women's groups have led to strong mobilization of women around their common objectives, social cohesion, increased credibility, and will to work together. Together with women participating in the CAAP process, this has influenced men to understand and respect the contributions women are making to the life of the household through the income-generating activities that women practice and the information they are receiving. Hence gender dynamics and adaptive capacity are changing hand in hand, influenced equally by increased agency, confidence, organisation and collective action by women, and by changing attitudes, expectations and respect of men in relation to women's roles.

Output indicator 1.3 – Adaptation plans developed and implemented by community groups and local government

ALP continued to support Community Adaptation Action Planning (CAAPs) in all three countries following the approaches that were developed under phase 1 of ALP and described in the 'ALP Practitioner Brief 1: Adaptation Planning with Communities'. The new communities in the extension phase and relevant public service providers participated in a Gender-sensitive Climate Vulnerability and Capacity Assessment (GCVCA) which informed a subsequent participatory visioning, prioritisation and planning process to design the Community Adaptation Action Plans. Following agreement on the plans and their implementation by different groups, ALP continued to facilitate community reviews and re-planning, based on PSP advisories and on opportunities and challenges emerging. Additional strengthening of community adaptive capacity and increased local institutional and government capacity to support communities in the face of climate change was an important aspect. This process was guided by and produced learning on how to support continuous adaptive management. The content of the plans is covered under output 1.1 above.

Capacity building on the CAAPs approach involved the engagement of both community representatives (representing chiefs, crop farmers, livestock farmers, women leaders, youth leaders, community monitors and weather recorders), local government leaders from the planning, meteorology, agriculture and other departments, local NGOs, and in some cases private sector service providers. In Niger, NGOs played a particular role with local NGOs directly involved in supporting community implementation of their plans. The activity facilitated collective learning on collective community adaptation action planning including better management of risks and uncertainties in addition to continuous vulnerabilities, thus contributing to building

the community's adaptive capacity. Community monitors have played a critical role in ensuring community members continue to be engaged in planning, reviews, community-level decision making as well as implementation of individual and group plans.

Kenya: In Embu County, four communities (Iriatuni, Ntharawe, Kamarandi and Mutwabare) in two wards were engaged in CVCA and CBA planning together with people drawn from local government departments, particularly the National Drought Management Authority (NDMA), Ministry of Agriculture, Livestock and Fisheries (MoALF) and its ASDSP programme, the National Environment Management Authority (NEMA), county planners and leaders, and the Kenya Meteorological Department (KMD). Community members participated in CVCA validation, identifying and prioritising adaptation strategies and development of community-level adaptation plans (CAAPs), which gained good ownership through the participatory process. At the county level, the community findings and institutional mapping findings were shared in a workshop that also doubled as a PSP refresher workshop conducted in February 2016 in Embu County. The county government supported the findings from the CVCA exercise and committed to supporting CARE in implementing adaptation initiatives in the county. Four CAAP documents, one from each the four ALP project sites, were finalized and validated by the community and local government decision makers. A combined CAAP was also developed mainly to ensure that transboundary issues are also jointly planned for and addressed. It also facilitated cross-learning among the four community sites. Communities reported they felt ownership over the plans. In 2017 the CAAPs were reviewed and refined, aligned to county sectors and mechanisms proposed for securing finances to implement identified activities. Funding had proved to be a constraint to community-wide and small infrastructure-related plans such as water harvesting and storage structures. The CAAPs process helped the community to move away from dependency on external support and to galvanize local-level support to implement less resource-intensive strategies such rehabilitation of schools and opening of feeder roads. During the 2017 election period, the community members resolved to share the CAAP documents with various electoral candidates within the region and seek their support in implementing prioritized CAAP activities. Further support for CAAPS has been sought through Tana River Development basin, NDMA and ASDSP though agricultural funding for small scale community projects within ALP sites. The Kenya CBA planning process has been documented and published (see **Annex 1**).

In **Ghana**, ALP supported the six new ALP sites in the Nadowli-Kaleo District to develop and review their CAAPs. Reviews of CAAPs was also carried out in the eight old ALP sites in East Mamprusi and Garu Tempane districts where the communities continue to implement their CAAPs with strengthened relationships between community members, district assemblies and other development-oriented institutions. For example, the Jawani community succeeded in their request to East Mamprusi District for electricity for the entire community and Farfar received support from Garu Tempane District to complete a self-initiated community health centre, which is now staffed and in use. The six communities in the Nadowli-Kaelo District were supported to design CBA initiatives towards enhancing their adaptive capacity. As in the original districts, local government agencies were involved in the CBA process to ensure that community plans link seamlessly into district medium-term and annual plans. These included the National Disaster Management Unit, the Environmental Protection Agency, and the departments of food and agriculture, environmental health, health, community development, social welfare and planning, which all took part in CBA training and planning for activity implementation. This broadens the knowledge base of such partners and stakeholders to understand climate risk and the CBA strategies that are carried out to reduce risk.

The CBA planning process began with community-level CVCA exercises documenting hazards caused by both climate and non-climatic events, their impacts on community livelihoods, coping strategies as well communities' strength and resources available address these climate impacts. Communities identified their visions for the various livelihood groups in the six ALP communities, which in turn fed into a vision statement for each of the communities. These visions and CVCA data and analysis for each community were the starting point for the development of the CAAPs process. The information was mapped against the components under the CBA framework, including disaster risk reduction, promoting resilient livelihood, building adaptive capacity, addressing the underlining causes of livelihood, creating an enabling environment, and knowledge on climate change and risk. Participants reviewed the CVCA results, which gave them an overview of the CBA

framework, and supported community members to map potential adaptation strategies and fill gaps identified. Strategies were prioritized through community group discussions. The prioritized strategies were subjected to feasibility studies and gender screening and activities designed to feed into each of the finalized strategies and documented in the CAAPs. Elders, assembly persons, community monitors and members informed the CAAPs development together with staff of the Department of Agriculture, district community development officers, district planning officer, Ghana Met services (GMET) from the regional level and experienced community workers from various CSO's, facilitated by the ALP team. The CAAPs outlined strategies and activities with the timeframe for implementation, resources needed, lead person, roles/responsibility, support needed and from whom. The CAAPs include actions as reported in output 1.1, and also pressing public goods issues affecting of the community, such as motorable roads and bridges to certain sections of the community in Kanyini, community-based animal health services, promotion of climate-smart agriculture, environmental protection and lobbying for basic services. With National Disaster Management Organisation (NADMO) participation and training of its officers, DRR actions were included in the CAAPs. The CAAPs were presented to the communities for their scrutiny, buy-in and as well for them to make input and ensure pertinent issues to the community were captured in the plan including issues of gender. Subsequently, the plans were shared with the district assembly for integration into the District Medium-Term Development plans (MTDPs). The communities also took the opportunity to advocate to the district assembly to provide support and where needed lead the implementation of the CAAPs.

ALP trained 29 community assembly members on the development of CAAPs. This training provided the opportunity for prior discussions and advocacy for the incorporation of the CAAPs in the 2018-2021 DMTDPs. The DA have particularly taken up ensuring agriculture activities are climate resilient and established a climate smart agriculture platform at district level with membership from the district agriculture staff and traditional authorities. Based on issues raised in the CAAPs, in 2017 a series of community and district meetings led by the CSA platform led to anti-bush fire by-laws being proposed to the district for enactment, gazetting and the release of a communique to the general public with national media coverage. ALP also provided advocacy and lobby training for selected community members, who constituted a community advocacy committee and developed community advocacy plans (CAP) that include issues such as promotion of girl child education, campaigns against alcoholism, demand for nurses and teachers and better market access. Beyond ALP, the Ghana team supported the CARE Pathways project to implement the CBA planning process in 30 communities in two other districts.

In **Niger**, 36 Community Adaptation Action Plans were developed by community representatives from geographical clusters in the four communes in the department of Dakoro, that is Mayara, Birnin Lallé, Soly-Tagriss and Bader Goula. The ten CAAPs in original communities were reviewed, revised and validated at community level with high participation of all social groups and a strong consideration of women's concerns. The mobilization of communities around the CAAPs was facilitated by the community vulnerability monitors, thus ensuring integration of CAAP plans, rainfall information, analysis of local indicators and responses to risk early warning. The process followed the GCVCA and CAAP planning approach, including training of key local actors and the community cluster members, problem and risk analysis and prioritisation, as well incorporating information from the PSP workshops conducted in all communities. 30 CAAPs were developed, validated and implemented with wide and effective participation of all social groups (men, women, and youth).

In addition to these 30 CAAPs, the clustering approach enabled the integration of these community plans into six cluster plans which were then integrated into the Commune Development Plans (PDCs) in all four communes. The main objective of the integration of climate change in the Commune Development Plan is to integrate adaptation into the commune development plan, reduce risks and disasters, and to improve systems of early warning, ecosystem management and sustainable development. It also serves to reinforce that adaptive capacity is essential for building resilience and to enable a response to changing and uncertain climate over time. In addition to the integration of climate change into commune development plans, the risk analysis takes into account the differentiated vulnerability and capacity of different groups of individuals to respond to the impacts of climate change based on their valuable knowledge, which is taken into account when developing responses. The Community Adaptation Action Plans were also taken into account during the

preparation of the annual commune plans such as the Annual Investment Plan (IAP) for the year 2017. This allowed municipalities to better take into account climate vulnerability and change. The municipalities are becoming more aware of the need to plan and invest more in risk reduction and vulnerability actions linked to climate change.

Output indicator 1.4 – Systems for improved access to and use of climate and other relevant information

ALP improved access, availability and use of climate information primarily to inform smallholder farmers' agricultural planning and activities at the household level through the continued implementation of the Participatory Scenario Planning (PSP) approach for seasonal climate forecasts. Demand for seasonal and short-term information has increased among farmers in ALP communities both among men and women. Refinement of the approach and capacity building for its use continued in ALP sites.

In **Kenya**, ALP supported implementation of **PSP in Embu County** twice per year for each rainy season. The PSP process for the October to December 2015 season provided a good entry point for ALP CBA work in Embu. The PSPs are led by the MoALF ASDSP project in collaboration with KMD and other county-level stakeholders through the ASDSP county thematic working group, which have existed in all Kenya counties since 2014. The PSP workshops combine the seasonal weather forecast by the Kenya Metrological Department and traditional weather forecasters with technical knowledge by specialists in agriculture, disaster mitigation (NDMA), energy, county education and health sectors and community knowledge by community members (civil and community leaders) to derive seasonal advisories that assist in early warning, preparedness, early action and risk management in agricultural crop and livestock production. Approximately 400 community members within Embu County were involved in the PSP workshops. Community and county level PSP reviews were conducted prior to PSP workshops to help community actors and other stakeholders review and get feedback on previous season activities and occurrence's, the state of preparedness and reflect on decisions made by the stakeholders and community. The workshops also helped to build confidence in climate information and from the Met department as the accuracy of previous season's forecasts and advisories was assessed, bearing in mind issues of uncertainty. Information acquired from these workshops was used to plan for the subsequent PSP workshops, incorporating the feedback from the previous season where necessary and incorporating the lessons learnt in the new plans. Participants in the PSP review workshop were similar to those invited for previous workshops, thus making it easy to facilitate further discussion and reflections on lessons learnt. These workshops have also contributed to more buy-in in the PSP model given the direct engagement and leadership by county-level stakeholders. Advisories developed in the PSP workshop were disseminated mainly by the ASDSP extensionists, but also via radio, twitter, SMS, chief's *barazas*, church gatherings, NDMA food security and risk bulletins, and the VSLA groups, reaching to up to 4,000 community members, households, and other community actors such as agro-suppliers, input dealers and produce marketers for planning and decision making. Use of advisories is shared during feedback and review workshops, though community monitoring is needed to gain a full picture of their usefulness and impact. Significant progress has also been achieved in the approach and mode of communicating weather uncertainties in PSP advisories through involvement of community members and CIS professional in the preparation process. Further avenues are being sought to translate the advisories to Kiswahili and other local languages.

Rain gauges were installed in two sites to improve community planning and decision making on a more day-to-day basis. Data is relayed to the KMD regional office to inform county weather forecasts. The installation of the rain gauges and locally produced information has helped in strengthening trust and buy in of climate information services. The county has also pledged to increase the coverage of KMD stations, with support from the ministry of environment, under which KMD is anchored. More extensive coverage implies improved local reliability of seasonal weather forecasts and a higher likelihood of predicted scenarios occurring, which is expected to improve acceptability and usage of weather forecasts.

Although no formal assessment of PSP has presently been conducted to ascertain its utility at improving crop yield harvest within Embu County, it is generally agreed by PSP participants in all PSP review workshops that agricultural crop harvests have increased due to early preparedness, positively impacting on the livelihoods and resilience of the communities. Moreover, the activity has increased the adaptive capacity for women in

particular to adapt agricultural practices and strategies in low rainfall forecasts (e.g. 2016 March-April-May (MAM), October-November-December (OND), and 2017 MAM seasons).

Finally, there are barriers limiting access to climate information. These include poor participation in dissemination forums, limited access to media or other channels of communication, and lack of resources to implement requirement of advisories. The advisories are in English language thus limiting community members who do npt understand the language.

In Ghana, the Ministry of Food and Agriculture (MOFA) is working with Ghana Meteorological agency (GMET) to communicate climate information and agricultural advisories to farmers, which has resulted in improvement of harvests compared to previous years in farms that directly received climate information from GMET. This has also built confidence in using forecasts from GMET and resulted in increasing demand for advisories from Participatory Scenario Planning (PSP) to inform farming decisions. However, improvements in packaging and dissemination of climate information is still needed. GMET collaborated with ALP Ghana to install rain gauges in all the six new communities and trained 12 new community monitors to manage the rain gauges aimed at building localised rainfall records in the district. The community monitors are also disseminating rainfall data and advisories to farmers and making it available to the Department of Agriculture for submission to GMET. Rain gauge monitors in two ALP communities have developed pictorial graphs from rainfall data collected and this has been replicated in three additional communities, one in each of the three ALP districts. This links with the Participatory Integrated Climate Services for Agriculture (PICSA) approach developed by the University of Reading and supported by the Climate Change, Agriculture and Food Security programme (CCAFS), which supports farmer crop decision making. Through ALP Ghana, district officials and community monitors in Nadowli-Kaleo District were trained in PICSA and efforts were made to integrate PSP advisories into the information used in PICSA to augment historical data with seasonal forecasts.

PSPs in ALP districts in Northern Ghana now include information and discussions on crop water requirements as part of PSP forums and advisories. Researchers at the Savanna Agricultural Research Institute (SARI) in Tamale in Northern Ghana have been studying the crop water requirements for various seed varieties for a number of years. As a result of ALPs strong engagement and knowledge brokering role, SARI researchers have introduced crop water requirements information to seasonal PSP forums, where the crop water requirements for different crops were matched with rainfall expectations and predictions of dry spells for the season. The study in Ghana on changes in adaptive capacity (see output 4) showed that this innovation has significantly increased the demand for participating in and receiving advisories from the PSPs, as farmers use the forecasts, advisories and crop water requirements to make their decisions.

PSPs continue and were conducted in all the three ALP districts with advisories disseminated via community meetings, community-based climate information centres (CICs), local FM radios, churches, mosques, VSLA platforms, etc. GMET is providing weather warnings/forecasts to district NADMO, agriculture officials, radio stations, CIC operators/monitors through SMS short code and emails. GMET officials have provided their contact numbers for climate information users to call them for information and feedback. Each of the VSLA groups in the Nadowli-Kaleo District receives climate information and disseminates it to other members in their community. Community members report that the information received informs the type of crop and seed variety cultivated for the season, the harvesting time and their daily activities including travel to market, pegging of animals, weeding, fertilizer application among others. Through the daily climate updates received, women are able to decide on when to dry their flour, do field work, etc. The Nadowli-Kaleo District community development officer indicates that the daily forecast from GMET is 75-80% accurate. Community members are asking for the schedule for the next PSP session for seasonal information. In addition, GMET are now forecasting based on district-level parameters as compared to the initial regional-level parameters, thus further localizing the climate information and enhancing accuracy and usability for communities.

Communities are also receiving short-range weather information from service providers ESOKO and IGNITIA, which provide market and other information in addition to climate information supported by other organizations. Two mobile network operators (MTN and Vodaphone) have collaborated with climate information service providers to disseminate the climate information. Only few farmers pay for climate

information provided by ESOKO as it is expensive and requires payment through mobile phones. The climate-smart agriculture (CSA) platform facilitates the dissemination of climate information as one its core mandates and participated in the training of trainers PSP workshop. The Climate Information Centres (CIC) in Duong, Saamini and Tariganga provide climate information, market information on agricultural inputs and produce, and social announcements to the surrounding communities. ESOKO has assisted the CICs to access seasonal forecast, crop information, input prices and market information, develop messages and record into voice/local languages for playing at CICs. Despite these advances, access to climate information from service providers remains low, and radio is still the most popular channel followed by GMET.

In **Niger**, a **combination of PSP and community rainfall records** has significantly improved planting decisions and subsequent yields. As part of the collection and dissemination of climate information, all ALP communities have community rain gauges. 30 rain gauges were installed and 60 rainfall collectors were identified and trained on the collection and dissemination of information throughout the rainy season. This system is accompanied by 30 mobile phones (from the met department and ALP) and communication / air time credits for all communities to facilitate the transmission of data to the Dakoro departments of agriculture and meteorology and then to the national and community radios that exist in Dakoro. At the beginning of the rainy season in June, participatory scenario planning workshops for the sharing of seasonal forecasts were organized in each of the four communes with participation of community leaders, technical services including weather, agriculture, environment, mayors of municipalities, and other projects in the department of Dakoro. Following these workshops, information related to the annual rainy season was shared and the advisories developed plus advice of meteorological and community experts was given to rural producers. After the PSP workshops, community radios were solicited to disseminate this climate information widely.

Since 2014 the **rain gauges linked to mobile phone and radio communication** have been guiding farmers on when to plant which crop. As the local rainfall records are kept from year to year, this information also allows communities to compare cumulative patterns between years and to compare a given period of rainfall to make decisions. Local monitoring of rainfall through the installed rain gauges has strongly led communities to use climate information for their decision making on rural activities which has supported the sharing and use of seasonal forecasts. Non-beneficiary communities come to request information from the rainfall recorders, who are also SCAP/RU monitors. For wider communication, the Muriyar-Dakoro community radio and the Haddin-Kay private radio, all based in Dakoro, partnered with ALP and the Departmental Directorate of Meteorology of Dakoro to provide daily broadcasts of the forecasts, PSP news and live discussions. The radio stations have gained expertise in the field of climate information dissemination. With the increase in access to information, in one case a farmer returned from casual labour in Libya to plant his farm when he learned about the high cumulative rainfall in his village by radio. Men and women reported in annual monitoring that climate information is fundamental to the success of their production activities in this changing climate. Some groups have suggested that they can finance the cost of communicating climate information from rain gauges through own (group) funds. The seasonal forecasts and advisories from the PSPs also allowed communities to prepare in time for forecasted onset dates and plan which millet varieties to invest in according to probabilities of rainfall quantity.

The establishment of a **community Early Warning System** (EWS) through SCAP/RU and commune voluntary observation system (OSV) has enabled municipalities to be more effective in accurately identifying the incidence and causes of food insecurity at the local level and also in identifying and targeting responses that are more responsive to the diverse needs and capacities of communities both for transient short-term interventions and longer-term resilience actions. The SCAP/RU has enabled communities to improve their knowledge of local vulnerability monitoring indicators, enabling them to anticipate and act on emergency solutions. The rain gauges are managed by the SCAP/RU community monitors to ensure these links. All the communities in the ALP area of intervention have been able to send the situation of their communes in time and precisely, ensuring municipalities can access information that they are not able to collect themselves. Communities have gained a mechanism for preventing and mitigating crises linked to climate change but also for protecting their environment through rational management of natural resources and to reduce the collapse of their livelihoods. These changes have improved inter-community relations and have led to effective

learning about adaptation issues in the face of climate variability and reducing the exclusion of certain strata with the participation of women in all community actions.

Analysis of results and key lessons for output 1

CBA planning and innovation. ALP continued to innovate and look for ways to achieve greater impact and up-scaling. For example, in Niger the cluster approach, working with several community representatives together who return to continue the work with their individual communities was designed to enable CBA planning across 30 communities in parallel, testing potential for cost-effective CBA planning at scale. Innovations were developed in expanding the role of community monitors and community-level institutional arrangements for CBA. Climate information services and early warning systems were embedded in livelihood decisions and promoting women's leadership as a route to strengthening their agency and voice. In the ALP extension, PSP forecasts and advisories were closely linked to CAAPs, particularly in Kenya. This coordination was mutually beneficial, supporting seasonal and long-term decisions and motivating continuous review and re-planning of livelihood and risk reduction plans. Including agronomic information in PSPs in Ghana and linking with PICSA as well as the CICs has high potential for developing into a coordinated set of climate services responding to community priorities.

Facilitation of participatory and inclusive processes was an important focus for the CBA planning work, with a goal of community ownership from the start. In this way the GCVCA was already part of the planning process and not limited to a start-up baseline research. The implementing team of ALP staff, partners and local actors fully engaged and led these processes. This is an important lesson as many resilience programmes are commissioning consultants to implement CVCAs, which effectively turns the exercise into extractive research and the implementing team neither develops their relationship with the communities, nor learns what the core issues are directly. This experience fed into wider ALP learning on knowledge brokering.

Strengthening adaptive capacity and resilience. The CBA process and implementation of CAAPs has enhanced community adaptive capacity, but exactly how has not been fully measured. The participatory CBA planning process itself, integration with climate services to allow access to climate information, support to implementation of adaptation strategies and efforts towards adaptive management through multi-actor linkages, ongoing CAAP reviews and the PSP and DRR systems all contributed to strengthening adaptive capacity. However, no explicit actions were targeted towards systematically strengthening individual elements of adaptive capacity. A clear value of CAAPs in Niger was their ability to create a holistic plan with coordinated activities which contributed to each other and to ensuring opportunities were maximised and risks minimised. These changes have improved intercommunity relations, led to effective learning about adaptation issues to climate variability and reduced exclusion of some women's participation in community actions.

In Ghana, a study of changes in adaptive capacity was carried out in two ALP communities be researcher Sebastiaan Soeters (see ALP publication list in Annex 1 for a policy brief and full report). The action research looked at how adaptive capacity has changed as a result of climate change impacts and adaptation approaches supported by ALP, in which adaptation action planning, VSLAs and climate services play major roles. It found that community members themselves had difficulty in attributing triggers to decisions they had made and often information that informed decisions in one livelihood strategy did not cross over to others. For example, there was strong motivation for agro-ecological practices and environmental protection on farmers own fields, but this did not extend to rented land for income generation from water melon production. VSLAs and access to inputs were clear drivers for change in decisions, while planning processes did not feature highly or were not differentiated from the range of activities ALP supported. For example, the value of the VSLAs was attributed to the institutional and social capital they provide rather than the financial benefits. For the poorest women, VSLAs were valued as a safety net and for enabling their inclusion and voice in a group context. Lessons emerging from the study, which resonate with experiences in Kenya and Niger, were:

- **Take differential vulnerability seriously in participatory adaptation planning processes.** Adaptation plans and strategies tend to benefit better off households most. Adaptation plans at community level need to account for differential vulnerability and recognize the need for targeted measures, which provide social protection and address underlying barriers such as land rights, so that they support inclusion of the most

vulnerable men and women to become climate resilient. Integration between adaptation strategies, financial services, climate information and risk early warning and action through CBA planning builds local ownership and adaptive management and should be designed to strengthen inclusion, voice and agency.

- **Balance social, economic and environmental benefits and impacts.** VSLAs and environmental management are critical drivers and barriers to climate resilience. To diversify risk, households need a portfolio of income opportunities which are synergistic. Economic opportunities are also critical drivers of innovation, decision-making and ability of individuals and households to implement adaptation strategies. Expanding choices are an indicator of increasing adaptive capacity and resilience, but if they come at a social or environmental cost or impact on other groups or communities their positive impact on adaptive capacity will be short-lived.
- **Community-based microfinance such as village level savings and loans (VSLA) groups provide an important social and financial platform** that strengthens capacity for implementing livelihood investment and risk management decisions made during adaptation planning processes. VSLA groups should not be seen as the magic bullet for resilience. They have different limitations of access and value for both better off and more vulnerable members and need to be sensitive to social and wealth differentiation, within and between gender groups. For example, while poorer women are now members of VSLAs thanks to the CBA process, their use is limited to safety nets, while only the richer households are able to use VSLA for improving their livelihood strategies.
- **Climate informed decisions: learning to work with information, risk and trade-offs.** Community decision making and attitudes to risk are influenced by a complex range of underlying causes, by culture, opportunities, wealth and barriers to change. Adaptation decision making needs to work with the inherent trade-offs involved and understand and communicate current and future implications, positive or negative, for men, women and youth in order to motivate innovation and action.
- **Collective action requires good governance support.** Community organisations and strong leadership are key to ensuring plans turn into action which is beneficial to all. Community organisations have succeeded in lobbying for public services where these are prioritised and rights to services are known. However, there are significant cultural, governance and financial barriers to engaging in and sustaining effective local advocacy, not least elite capture. Equally there are systemic barriers to local government services being fully responsive to community priorities.
- **Strengthen governance over natural resource management at community and ecosystem level** combined with climate informed forward-looking planning. This is essential to help ensure long-term climate resilience. There is a need for a stronger focus on this within the CBA planning process.
- **Migration is not always a negative coping strategy.** Migration in Ghana is often a risky and insecure coping strategy, but it is also driving innovation and economic development back home. Adaptation programmes should find a way of embedding migration patterns and aim to strengthen informed decision making which takes into account a widening selection of options at home and elsewhere for all family members.

The study reflects the need for further investigation of the drivers and barriers to changing behaviour in response to climate change impacts and how these differ in relation to differential vulnerability, cultural norms and underlying causes of vulnerability.

Focus on gender equality and women's empowerment

CBA work has resulted in attitudinal shifts on gender relations. Community members and their representatives talk about empowering rural communities and changing mind-sets. These have come about through, for example, creating income-generating activities to empower and enable women to contribute to the household asset base. As a result, men are now consulting women in household decision making. This change in attitude by both empowering women and engaging actively with men applies also at the community-level where more women can be found in leadership positions. ALP collected evidence of differential vulnerability and gender dynamics in the GCVCA exercises, while also developing and articulating methods for analysing gender dynamics in a CBA context. Improvements are reported in i) enhanced community participation in project activities, and ii) gender responsiveness and the involvement of women in decision making at district/county, community and household levels, alongside improvement of women's access to productive resources. These

include women and men's engagements in GCVCA processes (in Ghana and Kenya), VSLA membership and management, and in roles as community monitors in climate information activities (Ghana). Specifically, there is greater emphasis on not just reporting numbers when reporting on women's participation, but to encourage involvement in decision making in matters that affect women's own livelihoods in the climate context (e.g. when undertaking vulnerability analysis during GCVCA activities). The programme put a renewed focus on sensitivity to gender approaches, which are not only transformative in design, but also ensure to avoid those which may be harmful to the well-being and interests of women and men. A specific strategy for engaging men pursued towards gender-responsive CBA in Niger was called *Ecole des mariés.* It has predominantly been used for sexual and reproductive health issues using men as champions.

While results show CBA approaches supported increased gender equality, this did not extend to all the diversity of wealth, despite the inclusion of wealth ranking in the GCVCA process. The complex range of intersectionality among the communities was not captured in detail in the CAAPs. Poorer women and men benefited differently from VSLA membership, implementation of CAAPs and use of PSP information. Useful learning emerged on the need to better balance the focus on social safety nets and protection with adaptation strategy investment. With women being the majority of VSLA members, the link between VSLA and the CAAPs helped to increase their participation in and access to implementation of adaptation strategies and to ensure CAAP plans included actions targeted towards women benefits. Efforts were made to reach poorer members through encouraging broader membership of the VSLAs and in Niger, beneficiaries to the small ruminants system of 'pass on the goat', or *habbanyé,* were selected through a participatory targeting process of more vulnerable households. The success of this system and the positive comments reported from participants indicates that those with little to no means can indeed still benefit from CBA activities and outcomes.

Development of integrated climate communication systems

In all ALP countries, PSPs and their advisories and rainfall records from community rain gauges were implemented and communicated using existing channels identified through the CVCAs and at the PSPs. At the same time, PSP is a system that includes feedback loops, which often lack in other channels, to enable communities and other stakeholders to continually share their experiences and needs for climate information. In Ghana for example, the GMET director for Upper West Region indicated that while they used to only present data on TV and radio, PSP and the CICs have given them an opportunity for closer interaction with farmers and better collaboration with MOFA to effectively communicate climate information. In addition, feedback is critical for assessing content of climate information communicated through various channels to check its quality and relevance to decision making in different local contexts. Development of integrated communication systems supports trust building in climate information from both scientific and local sources for deciding climate-resilient livelihood and risk management strategies.

Climate information systems supporting resilient livelihoods

Improved access, availability and use of climate information to inform smallholder farmers' agricultural planning and activities at the household level has proven highly impactful. ALP activities sought to influence the use and utility of climate information across sectors, and across temporal and spatial scales, to enable better decision making at community level. Smallholder farmers who have secure land tenure and control over decisions on land use have benefited most from the impact of PSPs. This is evidenced by the multiple accounts of increasing demand for climate information by smallholder farmers. While met agency representatives continue to report increasing phone calls from farmers requesting this information, farmer accounts suggested that they could no longer proceed with agricultural planning and activities without this information. By contributing to both seasonal forecasts and advisories and by directly observing the benefits of following the advisories, farmers feel like they are contributing to their own wellbeing, making it easier to mobilize to resolve their own issues. Improved harvests from use of seasonal forecasts and advisories as observed in Ghana and Niger shows the contribution of operational systems for communicating climate information to an increased number of vulnerable individuals engaging in climate-resilient livelihoods and adaptation strategies.

Transformational change and sustainability

In Niger, communities with more years of recording rainfall have higher ownership to the use of climate information and knowledge of the future of uncertain rainfall patterns. Women and men talk about it being transformational for them to vary their choices of crop variety according to seasonal weather information. Their decisions to plant are better coordinated within the community and between communities, demonstrating that impacts are incremental, and time is needed for adoption and benefits from new practices. Community awareness of the risks of climate change, men becoming more accepting of women's participation in decision making and access to new opportunities (including in ICTs) are motivating behaviour and attitude changes towards transforming the way in which decisions are made and acted upon. Participation in the full CBA process and in stakeholder planning and review meetings with local actors have allowed communities to feel fully involved and accountable for CBA actions and to have understanding and ownership of the adaptation strategies in the CAAPs, as well as of new plans as they emerge. A clear process approach with a focus on innovation, flexibility and responsiveness to community determined needs has been key. Community organisations and committees are taking lead to manage natural resources such as bush fires in Ghana and grazing area re-seeding in Niger, and to sustain financial services through umbrella associations for VSLAs and warrantage with link to rural banks in all countries. In Ghana, lobbying for public services has had some transformational impacts on livelihoods. For example, Takpo community is now connected to the national electricity grid. Electricity access has increased access to communication and thereby improved security. The cost of running the shea nut milling machines has reduced and more businesses are being set up.People are able to sleep in their rooms even in warm weather since they can afford fans and are thus less exposed to mosquito bites. Students are able to study at night. In short, vulnerable households have seen their capacity for prevention and risk management improved and opportunities open up for innovation and systemic change.

4.2 RESULTS FOR OUTPUT 2

CBA approaches promoted by ALP up-scaled by mainstream organizations and programmes, particularly in the agriculture sector (and DRR and local planning), in ALP and other African countries

Output 2	Indicator 2.1	Milestone 2016 and Target 2017
CBA approaches promoted by ALP up-scaled by mainstream organisations and programmes, particularly in the agriculture sector, in ALP and other African countries	Extent to which **community-based climate information services are in operation**, promoted by national organisations / programmes, independently of ALP (e.g. National or Regional Meteorological and Hydrological Services, ministries of agriculture, disaster management authorities, mass media)	6 national organisations' programmes are: • promoting local multi-stakeholder interpretation & communication of seasonal climate information, targeted towards vulnerable men and women and • have increased their range and/or coordination of communication channels for short range to seasonal information and uncertainty in response to community needs
	Indicator 2.2	**Milestone 2016 and Target 2017**
	Extent to which **CBA approaches are integrated into local and national organisations' plans and programmes** (agriculture, development, disaster risk reduction) and implemented at scale.	Increased capacity of at least 8 (cumulative) organisations and programmes in target sectors in CBA approaches in ALP and other countries. 11 organizations/ programmes in target sectors using CBA approaches to plan and budget for integration of adaptation at scale.

Output 2 aims at enhancing ALP's role in promoting community-based and user-led climate information services, brokering linkages and facilitating dialogue between climate science producers, users and intermediary organisations in the three targeted ALP countries and across Africa and building capacity for implementation of practical CBA approaches at scale (both in terms of widespread use across Africa and for informing policy decisions at government levels).

Output indicator 2.1 – Operational community-based climate information services at scale

At programme level, ALP commissioned a **study to demonstrate the value and impact of PSP** and other climate services approaches developed by ALP in Ghana, Kenya, Niger, Ethiopia and Malawi. The study, co-funded by the WISER ENACTS project, compared and analysed differences, success factors and challenges, and made recommendations for further development of good practice for user-based climate information services. Through the link to WISER and partnership with the International Research Institute for Climate and Society (IRI) on the ENACTs project, a specific focus was put on understanding El Niño communication in 2015 and 2016, including a media analysis of radio, print and TV coverage in Kenya and Tanzania. This link also enabled learning emerging from ALP CIS work to gain broader communication at the Regional climate outlook forums in particular Greater Horn of Africa Regional Climate Outlook Forums (GHACOF) hosted by the Horn of Africa Inter Governmental Authority on Development (IGAD) Climate Prediction and Applications Centre (ICPAC) for the Greater Horn of Africa, the organisations involved in WISER, and BRACED implementing NGO consortia and Knowledge Manager. It also began to explore future potential for use of ENACTS data, products and tools to improve advisories developed in PSP workshops. This led to a significant product being developed by ALP to better communicate important elements of climate services reaching to the 'last mile' of famers and others actually using the information. The development of a **user-based climate services knowledge value chain** is gaining traction among other climate services (CS) providers and was used by BRACED as a framing for analysing INGO changing roles in this field.

In **Kenya**, KMD and ASDSP continued to collaborate with other stakeholders to implement PSP during the March-April-May (MAM) and October-November-December (OND) rainfall seasons in all 47 counties in Kenya, through which advisories were developed to inform livelihoods and DRR decision making. ALP continued to support quality assurance and the institutionalisation of the PSP approach. ALP facilitated a range of activities to support adoption, capacity, review and refinement of the process with the key stakeholders. These included the following activities.

PSP capacity support, review and refresher workshops to enable reflection, learning, capacity strengthening and planning for PSPs, attended by County Directors of Meteorological Services (CDMS) from the Kenya Meteorological Department (KMD) and Agriculture Sector Development Support Programme (ASDSP) staff from up to 15 counties (Samburu, Wajir, Kakamega, Embu, Meru, Garissa, Trans Nzoia, Baringo, Bomet, Kirinyaga, Murang'a, Busia, Elgeyo Marakwet, Murang'a and Kericho). ALP teams attended 13 PSP workshops across the country in OND 2015 in order to review the process, give feedback and support and inform the CIS impact assessment. From this experience, ALP identified the need for capacity building in planning and facilitating the PSP process, ensuring representative and active community participation, and elaborating advisories to incorporate uncertainty and respond to all livelihood strategies. Subsequent review/refresher workshops focused on these issues, supporting counties to develop a core PSP team to ensure good planning before the next workshop. ALP also noted that the KMD CDMs were providing more relevant information, such as rainfall start dates and expected temperatures, which expands the type of advice that can be developed. The review / refresher workshops took place twice a year, about six weeks before the MAM and OND PSPs. Participants reflected on the outcomes of the PSP for the previous season, discussed critical issues such as improving gender balance in the PSPs and relevance of advisories and enhanced capacity ahead of implementing the PSP processes in their respective counties during the next season through before season review meetings with KMD and ASDSP. Learning from the refreshers helps to better understand innovations that are emerging within the PSP model as well as cross learning on how to better and more effectively undertake the PSP process. More than 60 partners have undergone the refresher training as a means of entrenching PSP in institutional planning, decision and feedback systems thus strategizing PSP sustainability in Kenya counties.

Institutionalising county-level PSPs. The National Drought Management Authority (NDMA) has adopted an Ending Drought Emergencies Common Programme Framework that recognises the importance of climate information in supporting drought early warning and early response. With this backing and the country-wide implementation of PSPs, NDMA have become key PSP partners in the dryland counties they target. Counties are creating multi-stakeholder climate change task forces, which bring together KMD, MoALF, NDMA, county

planners, and other relevant sectors as a new county-level institution. In ASAL counties, NDMA is the traditional coordinator of such cross-sectorial groups as well as the secretary to the County Steering Group. The construct began with the Garissa County Climate Change Working Group under ALP and has spread widely under Kenya's devolution. Within these, county CIS plans are being developed by KMD which include PSP for seasonal forecast and advisory development. KMD have renamed the PSP workshop as County Climate Outlook Forums and was able to further refine their use through the WISER Western project. With WISER support added to ALP and other services work, institutionalisation of PSP in Kenya is looking likely. The next step is to embed PSPs within the process for County Integrated Development Plans.

The National Seasonal Agricultural Planner (NSAP) has been developed as a decision making and planning tool to produce and disseminate agriculture advisories for each agro-climate region. The NSAP continued for each of the MAM and OND seasons and has guided the development and implementation of climate-resilient agricultural strategies and advisories at the national and county levels. The NSAP is now spearheaded by the national seasonal planner network led by the Kenya Meteorological Department (KMD) and ICPAC, in partnership with Ministry of Environment and Natural Resources and the Ministries of Agriculture, Livestock and Fisheries in collaboration with other government departments and Non-Governmental Organizations. The 2015 OND planner was well attended by private sector concerned to prepare well for the El Niño season to maximise benefits and limit losses from for example flooded roads during harvest time. The 2016 MAM season seasonal planner stakeholder forum saw the largest number of participants, with 41 participants drawn from national and regional met agencies, researchers, academia, CSOs and networks and the private sector. A blog on the process was produced in March 2016 by ALP Kenya, CCAFS and KMD. The private sector continued to play a key role in the exercise during the OND season, which has since resulted in richer advisories that included markets, insurance and post-harvest handling issues.

Adoption by the DFID-funded Finance Innovation for Climate Change Fund (FICCF), which has a strong focus on climate-smart agriculture value chains and financial services. Through FICCF with ALP support, PSP workshops were tested successfully at the community level as a platform where smallholder farmers received climate information (including agro-advisories) and linkages to the private sector (including markets and insurance companies). The FICCF implemented PSP workshops in communities in Homabay and Siaya in Western Kenya (two of the nine WISER Western counties of implementation). This made connections between climate services at short-term timescales as a core part of the FICCF, Kenya CSA and WISER programmes and the PSP approach, and also linked to ICT innovations and other services such as market information, insurance and early warning.

Adoption by the WISER Western project in nine western Kenya counties aimed to downscale forecasts at the county and sub-county levels. The counties participating were Kisumu, Trans Nzoia, Siaya, Kakamenga, Bungoma, Busia, Vihiga, Homabay and Migori. The WISER project built on the already ongoing PSPs initiated by ALP and planned to fill gaps identified by ALP and partners (including ASDSP), for example providing more regular and systematic sub-seasonal and short-term updates that also have advisories. It would also incorporate ICTs better in the dissemination of climate information and have a wider range of CIS distribution partners including at a multi-county level and building the capacity of the Met Department (through improved equipment and increased capacity to better downscale forecasts, for example). The department is thus able to provide better quality and more timely forecasts (daily, monthly and seasonal). CARE's role focused on facilitating reviews and collective learning for improvement of the approach.

ALP facilitated two **training sessions for County Directors of Met on communicating probability and uncertainty** using case studies and on interpretation and value addition of downscaled county forecasts on request from the Institute for Meteorological Training and Research (IMTR) and the Met Office College. This was part of a larger training conducted within the WISER Western project as well as IMTR's work on course development under WISER.

Innovative communication systems. KMD, ASDSP and several supporting actors in the counties are paying more attention to innovative communication systems to ensure seasonal forecasts and PSP advisories are reaching different targeted users e.g. using social media platforms such as Whatsapp to reach a wide variety

of users (government departments, communities, business people, researchers, etc.) in Trans Nzoia and Murang'a counties, carrying out road shows in Elgeyo Marakwet County for wider spread communication, using pictorials to illustrate the forecast and advisories in Wajir County to ensure that the information is also understood by illiterate people. The innovations in communication channels are demonstrating that the different organizations are thinking about effectively reaching the targeted audience of the information. They address the challenge of limited numbers of staff from different government departments and funding that is required for face-to-face communication of the information, although communities still prefer face to face information over other media. Cross-county exchange in the PSP refresher workshops allows for sharing of new communication methods and the importance of planning the channels to be used with all participants at the PSP events to ensure wide coverage to all users.

PSP sustainability. In 2016, issues of sustainability were increasingly included in the refresher trainings as a way of encouraging better institutionalisation and resourcing for the PSP approach. To support long-term sustainability of PSP, ASDSP established county agricultural thematic working groups. KMD are developing county CIS plans and many counties have developed climate change task forces as mentioned above. Institutionalising PSP at county level is becoming a reality, but gaps remain in terms of country-wide support to cross-county exchange, mobilizing policy and financial support to the PSP events, and quality assurance once ALP ends. To address this, in May 2017, ALP hosted a meeting to discuss how to enhance the sustainability of PSP multi-stakeholder approach and effective communication of advisories and seasonal forecasts across Kenya with 46 participants from 13 counties and a range of national actors from KMD, ASDSP, the Council of Governors and NGOs. Participants reflected on the evolution of PSP as a core platform for localised climate services in Kenya and the ongoing adoption by KMD and ASDSP at county level. They discussed possible pathways for embedding the approach nationally and developing sustainable support systems and higher policy level engagement. Recommendations from the meeting were especially centred around integrating the approach into county integrated development plans (as well as the proposed county CIS plans) and taking advantage of the Kenya Climate Change Act, which helps to define structures that can be leveraged at national and county level to ensure sustainability. A national level multi-stakeholder PSP task force was proposed with KMD, the Council of Governors and MoALF as key actors together with CARITAS and other NGOs as well as CARE. This is an important step to expanding the responsibility for PSP quality assurance and national advocacy to a mandated group of organisations and out of a one INGO project (ALP).

PSP outcomes. With the 2015 OND season forecasted to be a strong El Niño event, PSP advisories fed into El Niño preparedness plans developed at county level during that season. The CIS impact assessment study attended PSPs in the 2016 MAM season and together with a media analysis report, information was gathered on how the El Nino forecast affected seasonal decisions. Given the seriousness of the 1997 El Nino, preparation for floods was taken seriously. Across many parts of Kenya, drainage and flood management plus investment in suitable crops – that require good rainfall – resulted in positive impacts in agriculture productivity. Since then, the country has experienced very low rainfall such that as at the end of the programme, Northern Kenya is facing serious drought. Overall, feedback on the value of PSP in Kenya is high and more information is available for better anticipating and planning for the coming season.

In Ghana, ALP partnered with GMET and MOFA in Northern Ghana in relation to the ALP districts. Extending this relationship, ALP supported GMET towards its goal of well-capacitated staff who can better generate and interpret climate information and have a strong working partnership with other government institutions and private sector organizations to generate, package and communicate accurate and timely weather and climate information to meet various needs of users. ALP conducted training of trainers (ToT) on PSP in 2016 and 2017 for regional officers of GMET, Department of Agriculture, District Planning Officers, the National Disaster Management Organisation (NADMO) and CSOs/NGOs in the three Northern regions of Ghana. The trained PSP Champions from MOFA co-facilitated the training for PSP facilitators and GMET provided information on the forecast for the raining season as part of the training.

The Ghana MET services are promoting PSP across Ghana, providing timely seasonal forecasts with an increasing range of information, including on set and offset dates and predictions of dry spells. GMET field-based and national staff are collaborating with NADMO and MOFA at the national and district levels to support

PSP facilitation, co-generation of climate information, and farmer-based rain gauges for rainfall recording, for disaster preparedness and for agriculture extension planning respectively. GMET is now also providing daily forecast based on district-level weather parameters as against earlier forecasts that were based on regional level parameters. ESOKO and Farm Radio International (FARM Radio) in Ghana continue to receive seasonal and weekly and daily weather forecast through SMS alerts from GMET. This follows the national roundtable that ALP organised in 2014, which brought together public and private sector CIS players to improve quality of information disseminated. FARM Radio have trained eight radio stations from the three Northern regions at the initiative of Oxfam. These initiatives have improved the reach level of accuracy of the forecast. GMET in collaboration with district assemblies, MOFA and other organisations continue to facilitate PSP in Upper East, Upper West and Northern regions. This is resulting in more farmers relying on seasonal forecasts and PSP advisories communicated through Climate Information Centres to plan their farming activities.

PSP has been included in GMET's orientation programme for new graduate recruits as regional meteorological officers. ALP joined with other programmes to contribute towards GMET's capacity for a wide range of coordinated climate services. This created links between PSPs and CICs promoted by ALP and GMET's partnership with the University of Reading PICSA approach, UK's National Environment Research Council (NERC) project (BRAVEII) and African Institute for Mathematical Sciences (AIMS) Ghana projects to explore more innovative ways of making climate information available and relevant to vulnerable smallholder farmers through building synergy between them.

The Ministry of Food and Agriculture (MOFA) has recognised PSP as a useful extension methodology to support decision making for appropriate farming technologies and inputs suitable for climate-resilient food production and value chains. The vision is that all departments are equipped with the requisite expertise to access and use reliable climate information. PSP enables farmers knowledge to be incorporated and improved trust and confidence between farmers and MOFA. PSP has been mainstreamed into the Medium Term Agricultural Sector Investment Plan (METASIP II), 2014 - 2017 which operationalises the Food and Agriculture Sector Development Policy, FASDEP II. Through MOFA PSP has been out-scaled across Ghana. MOFA has adopted PSP in one district each in Central Region, Brong Ahafo Region, Southern Ghana CSA learning sites in the Ho West, Abura-Asebu-Kwamankese, Tain and Birim South districts of Volta, Central and Eastern regions respectively. This is done in the implementation of their component of the World Bank's West Africa Agricultural Productivity Program (WAAPP). This is a new milestone in adoption of PSP, which ALP has been working towards with MOFA since 2014. The widespread adoption links with MOFA's Climate-Smart Agriculture national platform and corresponding district platforms, such as the one supported by ALP in Nadowli Kaleo District, others are established in Jirapa and Lawra districts by the Council for Scientific and Industrial Research, Ghana (CSIR) in partnership with CCAFS. At a stakeholder meeting to develop climate smart agriculture information materials, the need for timely and accurate weather information for decision making at farm level (using PSP, mobile phones etc.) was highlighted. These platforms champion goal 13 of the SDGs and the integration of PSP and other CBA approaches into relevant district and national level plans. MOFA is implementing the project 'Transition Towards Climate Smart Agriculture Food Systems' and is looking at mainstreaming PSP into the CSA platforms that have been established upon the near exit of West African Agricultural Productivity Programme (WAAPP) one each in the Brong Ahafo, Volta, Central, Eastern and Greater Accra regions. MoFA, in collaboration with research institutions (CSIR/CCAFS) has established five district level CSA platforms linked to the national CSA platform to facilitate continuous learning and adoption of CSA practices, including PSP. MoFA and Food and Agriculture Organisation (FAO) coordination of the CSA platforms have been weak and ALP influenced the design and roll-out.

ALP with GMET hosted a launch of the Ghana Enhancing National Climate Services (ENACTS) map rooms which included training of 33 district planning, NADMO and Department of Agriculture officers, regional GMET and MoFA staff, community monitors, civil society organizations and INGOs on how to use the online map rooms to improve availability, accessibility and use of historical climate information needed for any period, ranging from information/forecast on dry spells, floods, rains, winds, storms among others. Users can access past data analysis and generated forecasts specific to their area of interest, timescale and location.

Several initiatives by other projects have partnered with GMET and adopted PSPs. The director for research at the GMET Head office and a technical partner to the CFTC/CHANGE project in Northern Ghana, independently supported Trade Aid Integrated to organize four PSPs at the community level including Nyariga, Vea, Sumburungu, and Yoriga in the Bolgatanga Municipal Assembly in April 2014. Oxfam is also promoting PSP at the community level. Oxfam sponsors farmers under its Climate Resilient Agriculture and Food Systems (CRAFS) project to participate in PSP annual workshops and has supported a local partner, PRONET, to gain the capacity to facilitate PICSA/PSP. The CARE PATHWAYS project has adopted PSP and organizes annual PSP workshops for farmers in their project locations. PATHWAYS project in CARE and also Oxfam supported their staff, stakeholders from Lambussie district and their partner staff (PRUDA) have organized PSP sessions in the Garu-Tempane, Lambussie and three other districts.

The Ghana Adaptation Fund project, 'Increased Resilience to Climate Change in Northern Ghana through the Management of Water Resources and Diversification of Livelihoods', implemented by EPA also adopted PSP and the reflection methodology designed by ALP. Output 2.5 of the AF project proposes the establishment of learning platforms on systems for integrating climate change related risk into community management of water resources and livelihood activities in northern Ghana institutionalized in ten districts. To achieve this output, the proposed activities among others are to organize participatory scenario planning sessions.

In **Niger**, at the national level, the **Department of National Meteorology** has a monopoly on production, analysis and dissemination of meteorological data and information (decision making and forecasting) as well as at the regional level. AGRHYMET is the specialized climate science agency in West Africa. Information is made available to decision makers, national and international partners, communities through various national and local channels (broadcast media, radio, e-mail, newsletters and newspapers, periodicals, etc.). The 2016 annual meeting of regional forecasting experts on climate information resulted in weather forecasts for the 2016 season together with practical advice on the different scenarios. The Nigerian government formally approved and authorized sharing with rural producers following a council of ministers of the government. ALP Niger and BRACED initiative organized, in close collaboration with the National Directorate of Meteorology (DMN), a national workshop to launch the sharing of weather forecasts for the 2016 rainy season using a multi-stakeholder PSP approach.

The Department of National Meteorology (DMN) is increasingly supporting the various actors in strengthening their capacity to share climate information through channels accessible to grassroots communities (direct reading of rain gauges, community radio, etc.) This support is a guarantee of sustainability even if there is a delay in the provision of information as regards seasonal forecasts and the advice of meteorological experts to the benefit of rural producers. Some stakeholders reported a limit on the availability of climate information in the sense that there remains some mistrust of the farming and pastoral communities vis-à-vis the forecasted data announced at the national level. Transposing data from the regional or national level to the community level is a challenge. There is inadequate meteorological information services at local / community level due to the low coverage of weather station and equipment to improve the climatic data through meteorological stations. Community rain gauge records and PSPs are both proving to be approaches that can overcome these challenges.

Training on PSP and PSP workshops were implemented in June ahead of the 2015 and 2016 rainfall season by ALP in collaboration with the Regional Meteorological Services in Tillabery region for BRACED project, in Maradi for GARIC project and in Dakoro where ALP and the GEF NAPA projects operate. DMN and Agrhymet participated in the 2015 training, provided the initial forecast and are supportive of PSPs. There are now more than 3,600 gauges installed nationally not only by the DMN, but also by other projects and programs implemented by various actors in all regions of Niger. Staff from the ALP partner Association for the Revitalisation of Livestock in Niger (AREN) supported communication of seasonal forecast, scenarios and advisories to pastoralists resulting in large-scale livestock destocking to manage risk of livestock loss due to forecasted drought. AREN is also supporting the establishment of a community system to communicate information on climate and innovative strategies for livestock keeping. In 2017 the capacity of meteorological services was strengthened in the scale-up of climate information through ALP's seasonal forecasting PSP

workshops, where interaction is enabled between farmers, pastoralists, meteorological services and the other deconcentrated services of the state (agriculture, livestock, community planning/development). PSP is gaining popularity, but upscaling as has been done in Kenya and Ghana is limited without continued project support to both met services and availability of relevant information at commune level. The SCAP/RU system is being adopted in other parts of Niger, e.g. through BRACED in Tillabery, but is not yet nation-wide and national response to alerts remains weak. From an evaluation of information communicated from PSP in 2016, communities in the region are taking action on advisories from PSP such as on the recovery of degraded lands (through the construction of *zai*, half-moon, bench, etc.) improved seed, combination of crops, use of organic fertilizer and avoidance of flood-prone areas. Communities want to receive more forecasts on the characteristics of the season to support preparedness action.

Beyond the ALP countries, interest in PSP continued to expand and have been implemented following training provided by ALP in the following locations.

In Ethiopia, PSP was implemented in Oromia, Afar and Somali regions by CARE Ethiopia through the USAID-funded Pastoralist Resilience Improvement Through Market Expansion (PRIME) consortium project. PSP in the 2015 rainfall season resulted in improved rangeland management, planning for sale of animals and mobility patterns, informed farming investments such as seed variety selection and fodder production as well joint decision making between men and women, a culture of saving and improved early warning to manage disasters. PSP has been institutionalised by the Disaster Prevention & Food Security Programme Coordination Office in Afar Region and the respective Disaster Prevention and Preparedness Bureaus in Borena and Liben zones. In Kebribeyah and Gashamo districts, Somali Region, PSP advisories were integrated in the district early warning information package. This is being scaled out and institutionalised as a disaster risk management tool. The African Climate Change Resilience Alliance, ACCRA / Oxfam is supporting PSP, working with the Ministry of Agriculture and Ministry of Environment, Forest and Climate Change on climate resilience and green economy (CRGE) planning. A regional-level ToT training for experts of nine regional states and two city administrations in two clusters has been conducted. The Red Cross Climate Centre is supporting the PSP approach for agriculture seasonal planning in their operational regions. There has been increased government investment in and responsiveness to community adaptation needs.

While it is not possible to attribute changes in government budgeting or actions to PSP definitively, governments are implementing activities (e.g., adaptation planning, fodder production and hay making, rangeland rehabilitation, livestock management, livelihood diversification) that PSPs advisories are proposing. The Oromia Region Disaster Prevention and Preparedness Commission (DPPC) has requested all non-PRIME zones in the region to adopt the PSP model. With discussion ongoing to integrate PSP in government structures on DRR, the PRIME project joined with ALP to bring 26 participants from the Ethiopian NMA, government DRR structures at regional to zonal level, CARE and Mercy Corps to Kenya for exchange and learning on implementation of the PSP approach at community and county levels and how the Kenyan government has institutionalized the PSP process into its governance structures. The visit was combined with a launch of the Kenya and Ethiopia impact assessment reports. PSP has been written into a USAID Development Food Assistance Program (DFAP) that is implemented by a consortium composed of World Vision, CARE Ethiopia and ORDA (a local NGO). This will build on work by the PRIME project on integrating PSP with natural resource management and soil and water conservation, and support scaling of PSP in other regions in Ethiopia. In mid-June 2017, with World Vision International (WVI) PSP champions trained by ALP in 2015 trained DFAP/ Development Food Security Activity (DFSA) staff working on climate change adaptation and DRR and key government staff on the PSP approach with the aim of cascading the training and implementating PSP in 14 DFSA operational *woredas*, and involving government staff and other DFSA working on agriculture, gender, water and sanitation (WASH), livelihood, value chain and institutional strengthening. Christian Aid, Mercy Corps and Farm Africa have adopted and replicated a form of PSP approach as part of resilience and agriculture work in their BRACED programmes. Enhanced collaboration with NMA is being built through a MoU that will define collaboration with the various stakeholders.

In **Malawi**, PSP was implemented in 2015 as a pilot in Karonga District with plans to replicate the approach in more districts in 2016. With emphasis on sustainability, member organisations of the Civil Society Network for

Climate Change (CISONECC) continue to organize and promote PSP in collaboration with the Enhancing Climate Resilience Project (ECRP). CISONECC brought together different organizations, including the Malawi Department of Climate Change and Meteorological Services and the Department of Disaster Management Affairs, to form a national stakeholder platform to support:

- Integration of PSP in adaptation and contingency planning, and all development-related programmes targeted at improved community resilience;
- Building capacities at technical and community levels for implementing PSP to support climate change and livelihoods programmes;
- Coordination among stakeholders and linkages with national processes and resource leverage to ensure widespread communication of PSP advisories.

National dialogue has contributed to the inclusion of PSP/CIS in the Malawi national draft meteorology policy and Green Climate Fund project on Climate Information and Early Warning systems, which was approved in 2015. A training on PSP was held in September 2016 for the Department of Disaster Management Affairs (DODMA), Department of Climate Change and Meteorological Services (DCCMS) and Ministry of Agriculture, and a range of NGOs. Work plans were developed for the respective institutions to integrate and implement PSP in their programmes and periodically share with the PSP coordinating team in Malawi. Building on this, national stakeholders composed of government departments and CSOs are in the process of forming a taskforce/core team that will lead PSP implementation with integration of multi-stakeholder interpretation of climate information into disaster risk management processes. Key organisations are CARE International in Malawi, Centre for Environmental Policy (CEPA), Act Alliance, Christian Aid, Evangelical Association of Malawi (EAM), Total Land Care (TLC), Churches Action in Relief and Development (CARD), World Vision International (Malawi), Trocaire, ActionAid and Catholic Development Commission (CADECOM). The Malawi PSP champions trained by ALP are planning for a national training of trainers so as increase support and coordination in implementing PSP. A concept note is being developed for presentation to the Department of Disaster Management Affairs to support PSP under the UNDP GCF project, which focuses on climate services.

The programme 'Developing Innovative Solutions with Communities to Overcome Vulnerability through Enhanced Resilience' (DISCOVER) led by Concern Universal and the 'Lake Chilwa Basin Climate Change Adaptation Programme', led by Leadership for Environment and Development for Southern and Eastern Africa (LEAD-SEA), are implementing PSP linked to early warning systems. In Nsanje District and Karonga District people who received advisories from PSP were able to manage the floods experienced in 2015 and 2016 respectively. DISCOVER and ECRP planned and budgeted for PSP of 2016/17. ECRP in Malawi ended in March 2017. There is interest in CARE Malawi to integrate PSP and climate information into other projects, e.g. United in Building and Advancing Life Expectation (UBALE) project.

Zimbabwe. ALP fed into the development of an integrated agriculture model by CARE Zimbabwe in November 2015. The training was supported by Malawi PSP champions to strengthen their understanding, skills and confidence in facilitating PSP. The training was immediately followed by a PSP workshop where local level advisories were developed and targeted at possible El Niño impacts of low rainfall levels during the 2015/2016 rainfall season in Zimbabwe. PSP has been included in an ECHO-funded El Niño response project where it is aimed at preparing communities for future shocks and supporting community-based disaster risk management so as to enhance resilience building activities in eight of the 62 districts in the country. 19,000 estimated community members in five wards of Gokwe South District have accessed climate information due to PSP. After PSP training, CARE facilitated the printing of seasonal forecast at the request of Met Services. Met forecasters then disseminated the forecast in the communities using the awareness generated from PSP to incorporate and share locally relevant forecast. PSP has also been incorporated in a UNDP funded three-year resilience building project that will be implemented by CARE Zimbabwe and PLAN International in two districts.

In **Botswana**, the National Climate Change Network requested PSP training to support building community resilience to climate. The aim was for the Malawi PSP champions to support this, as they did for Zimbabwe.

In **Mali,** the USAID funded Harande project implemented by CARE Mali introduced PSP in the 2017 rainfall season in the seven communes where the project is implemented with support from Mali Meteo. This followed the CBA and CIS training provided by ALP in April 2017 to all the Mali DFPA projects and others from West Africa. Harande will integrate PSP with ENACTS and community rain gauges as part of climate services work in the project, though they face severe constraints related to insecurity in Mopti region and from limited capacity of Mali Meteo.

In **Burkina Faso**, following the April 2017 training, the BRACED consortium (composed of Welthungerhilfe and Self Helf Africa) trained 96 technical government staff to apply PSP in the 2017 rainfall season in the 32 districts covered by the BRACED project. In April, the United Kingdom Met Office (UKMO) planned a brief on PSP to present to ANAM (Burkina Faso Meteorological Services) to raise their awareness on the value of PSP and explore possibility of piloting the approach for PSP with ALP support, though this has not yet been developed. ALP linked UKMO and BRACED Burkina contact points.

In **Rwanda**, UKMO is supporting capacity building for Rwanda Meteo which includes PSP approach for seasonal forecasts. CIAT is supporting implementation of PICSA and use of the ENACTs map rooms linked to CCAFS. CIAT staff attended the ALP hosted CBA/CIS training in Kenya in order to learn more on ALP's CIS approaches and gain better understanding of its contribution to adaptation and towards integration of PSP in the portfolio of services they support.

In **East Africa**, the Agricultural Climate Resilience Enhancement Initiative (ACREI), funded by the Adaptation Fund and implemented by FAO and ICPAC was approved. With PSP written in, the project has the potential to enhance PSP capacity in Kenya and scale the work in Uganda and Ethiopia. It will be useful to bring together organisations implementing PSP in Ethiopia and Uganda for knowledge exchange and also ensuring collaboration and coherence in principles guiding their implementation.

Africa-wide, ALP has been active in the **growing dialogue and programme development in climate information services**. Relationships were strengthened with key actors including ICPAC, UK Met Office, Global Framework for Climate Services (GFCS), Future Climate for Africa (FCFA), Climate Change, Agriculture and Food Security (CCAFS), Reading University Walker Institute, IRI at Columbia University, Stockholm Environment Institute (SEI), and others. ALP participated and presented in the Climate Change and Development in Africa conferences, CCDAV and CCDAVI in 2015 and 2016, Greater Horn of Africa Regional Climate Outlook Forum (GHACOF) meetings for the MAM and OND seasons, a range of climate services related side events at UNFCCC COP21 and COP22 and in five sessions and the market place at the 5th International Conference on Climate Services (ICCS5) in February 2017. These allowed for wide sharing of ALP experience, learning and results in user-based climate services and scaling up and enabled in-depth face-to-face discussions with a range of actors. Discussions focused on how better to fully engage climate information users and intermediaries (farmers, pastoralists, extension officers, adaptation programme staff, etc.) actively in developing, contributing to and using climate information services, how to ensure climate services are embedded within adaptation and resilience decision making processes in an effective way, and exploring collaboration to support improved learning among the CIS programmes as they develop. See also output 4.1 and 4.2.

ALP was a partner in two of the quick-start **DFID-funded Weather and climate Information and SERvices for Africa (WISER)** project proposals, the WISER Western project with KMD and UK Met in Kenya and the WISER ENACTs project with IRI Columbia. The WISER project with IRI also led to greater engagement with the ENACTs map rooms and potential for using the map rooms to increase the information used to downscale seasonal forecasts to local level where PSPs take place, and to explore their use for agriculture and DRR. Kenya now has an ENACTS map room and training of KMD and other actors in its use holds promise for improved climate product development for PSPs (seasonal) and other timescales. In East Africa, ALP's participation in WISER contributed to expanding the scope of PSP and ENACTs map rooms and increasing synergies between them. WISER provided an opportunity to strengthen links with National Meteorological and Hydrological Services (NMHS) and ICPAC and their engagement with user-based CIS. The 2015 to 2016 El Niño provided strong learning ground for improving scientific communications for decision making.

The IGAD Climate Prediction and Application Centre (ICPAC) has been a strategic ALP boundary partner to enable scaling of learning from ALP's CIS work. ICPAC has reach to national meteorological and hydrological services (NMHS) within the Greater Horn of Africa Region, where IGAD works, as well as other regional organisations involved in CIS in the region. The Greater Horn of Africa Climate Outlook Forums (GHACOFs) were a key entry point for ALP's work with ICPAC to strengthen the forums as a system for regular development of user-based climate information services, informed by exchange and learning between CIS actors including NMHS in the region. ALP presented preliminary results from the PSP impact assessment in Ethiopia and Kenya and from the El Niño media analysis at the 44th GHACOF in Kampala in August 2016. This established stronger links with ICPAC. Learning from the PSP impact assessment was considered useful in informing ICPAC's work in technical coordination and support across the region for better user engagement in CIS. The lessons from the social learning approach used in the PSPs – now named County Climate Outlook Forums in Kenya – have sparked ICPAC's interest to inform the strengthening of GHACOF as they seek to revisit the format of the RCOFs. ICPAC has the potential to enhance regional coordination, institutional linkages and cross -learning among the different actors in the GHA for development and sustainability of user-based climate information services in the region. This also aligns with supporting ICPAC's mandate at a newly designated WMO Regional Climate Centre. Continued support for multi-stakeholder forums for co-developing and delivering user-based climate information services is planned through the next phase of the WISER programme.

Adoption of PSP across Africa independent of ALP is occurring through a combination of factors:

- The champions from nine countries trained by ALP in early 2015 have trained stakeholders nationally and locally including in new countries such as Zimbabwe. ALP responded to training demand in Ethiopia, Tanzania, Zimbabwe, Malawi, Botswana by designing tailored trainings, recruiting trainers from Kenya met, the champions, and NMHS in the country. The champions have focussed on integrating PSP in existing and upcoming plans and programmes while setting up national coordination teams.
- PSP is recognised as a process that supports decision making and climate resilience in agriculture, food security and disaster risk management sectors. It draws attention from these actors as an affordable and local approach to meet their goals and thus goes beyond a stand-alone CIS activity.
- PSPs have multiple benefits beyond seasonal forecasts. By bringing a range of actors together on a seasonal basis, relationships, trust and confidence grow, development plans become more inclusive, farmers and community members gain a voice and inform local development planning, and local government sector plans are better coordinated. The primary goal of local downscaling and interpreting seasonal forecasts provides useful information for all of these.
- PSP is relatively simple to upscale or institutionalize as the purpose and activities involved are concrete, and the format is both replicable and flexible. PSP can be linked to other climate services for different timescales and other services, in particular agriculture, inputs, crop water requirements, and market information. National dialogue on climate services development systems and integration in resilience projects is growing, and PSP provides a practical approach and a local level platform on which they can be built.
- PSP has been recognised as an effective approach to user-based climate information services in many publications (see publications list), as well as being referenced in an increasing number of media articles in the countries where it is being implemented.
- Regional trainings in Mali and Nairobi in 2017 (see output 2.2) exposed participants to not only interpreting, communicating and using seasonal forecasts through PSP but also to using historical climate information through the PICSA and ENACTS approaches. Trainings also looked at using community rain gauges and climate information centres for links with early warning systems and localised short-range information for agriculture decisions.

User engagement and co-development of climate services has proven to be challenge for many climate services projects and has become a focus of attention, e.g. at ICCS5, and in the GFCS, WISER and BRACED programmes. Based on learning from CIS work, ALP developed a user-based CIS value chain aimed at giving guidance on targeted user engagement, essential steps, and the roles of different actors. The value chain

provides a structured way of involving all actors, in addition to NMHS, and capitalising on their different roles to support service design and delivery. ALP presented the framework in DFID, at GHACOF 44, to several WISER events, at CCDAVI with the Africa Climate Policy Centre (ACPC), and others. BRACED has documented it in relation to the changing roles of NGOs in climate knowledge brokering and intermediary roles in climate services (see publication list). Emphasis is placed on the multiplier function that is played by knowledge brokers such as ALP, agriculture and other extension services, and NGOs working on adaptation/resilience among others to:

- Facilitate linkages between CIS actors, approaches, and timescales of information produced and decision making processes;
- Support two-way communication, monitoring, feedback loops between all actors and functions in the CIS value chain;
- Maintain institutional frameworks and resource flows to support user-based CIS;
- Sustain multi-stakeholder engagement to enable co-designing of services for a range of goals, interests, uses and enable consensus, trust and confidence building;
- Ensure continuous learning from users and across all actors to maintain flexibility and dynamic evolution of climate services as the climate changes, science evolves, and user demand grows.

With the current global focus on co-developing climate services, the value chain provides guidance on what this involves. Further, the PSP approach developed by ALP and now scaled to several countries in Africa and South-East Asia provides a good demonstration of how this value chain can be implemented in practice.

Need still exists for additional capacity building on CIS approaches, communication and interpretation of climatic uncertainty and better linkage to climate informed decision making at a range of timescales. Work also remains to be done to ensure institutionalisation and sustainability of user-based CIS approaches, within the adaptation and resilient development context. The CIS assessment studies conducted by ALP in collaboration with WISER in five countries provide a wealth of learning on how to further improve and elaborate the PSP approach which should be taken into account in future programmes. See publication list for the assessment reports and key findings. The value chain is a useful way of informing further engagement of stakeholders in climate services, especially with the users, and in discussion around co-development and co-delivery of climate services to meet evolving needs in the different contexts, and to feed into broader decision-making contexts. Co-development of climate services therefore provides opportunity for widespread adoption of multi-stakeholder and user-based CIS.

Output indicator 2.2 – CBA approaches are integrated into local and national organisations' plans and programmes

ALP country teams mapped the status of adaptation interest and adoption by government actors, bilateral donors and NGO's implementing programmes regionally, nationally and locally. The outcome mapping linked with output 3's focus on adaptation finance as the expected source of future funding for such projects and the development of National Adaptation Plans. A learning and capacity building strategy was developed from the outcome mapping work and elaborated in roadmaps that were developed in mid-2016. ALP continued to receive requests for capacity support and opportunities to work alongside mainstream government systems and services to support integration of adaptation. Outputs 2 and 3 depend largely on changing behaviour of actors engaged in implementing adaptation, deciding policy direction and systems, or influencing both of these. Boundary partners who ALP worked with in the three countries and whose role enables them to directly influence adoption and integration of adaptation in priority sectors (agriculture, planning, DRR) were a mix of:

- National (and some local) **government**: agriculture, met services, environment ministries responsible for climate change and NAPs, and disaster or drought management authorities;
- **Civil society organisations** (CSOs): ALP partners for influence and advocacy in output 3 and related CSO networks, membership associations which reach from grassroots to national level such as peasant farmers associations in Ghana and Niger and the pastoralist association, AREN, in Niger.

In **Kenya**, the Gender and Climate Change Working Group (GCCWG), a network hosted by the Institute for Environment and Water (IEWM) and the partner for the CISU-funded advocacy work in output 3 (Adaptation Learning and Advocacy Project, (ALAP)), conducted a training with ALP facilitation on gender and CBA to support their members in CBA implementation and knowledge of good practice to inform advocacy messages. The 35 participants came from a wide range of national CSOs, networks and institutes engaged in community agriculture, DRR or adaptation programmes, climate change research, adaptation advocacy, and a number of local government service providers from KMD and ASDSP, who have been engaged with PSPs but require broader knowledge on adaptation practice. Participants identified capacity needs and gaps with regards to adaptation. A follow up workshop was held in 2016 to develop a CSO strategy on advocacy with a specific focus on gender and adaptation. The strategy was finalised and validated in October 2016 with participation from the Kenya National Climate Change Directorate.

In 2017, ALP Kenya conducted a four-day CBA capacity building workshop for ten dryland counties with partners from NDMA, KMD, ASDSP, members of a network promoting agro-ecological practices, PELUM and county departments of livestock and agriculture. With Kenya's devolution rolling out, ALP strategy was to support coordination between government sectors and CSO actors by strengthening the capacity of a group of government and NGO organisations from each county such that they will be able to work together in planning and implementing adaptation going forward. The training was structured around the Adaptation Good Practice (AGP) checklist (see below). The aim was to build stronger linkages within the counties and between participating counties and to influence these counties towards well informed integration of adaptation in their County Integrated Development Plans (CIDPs). ALP developed links with the Kenya Council of Governors, which provides oversight and support to the county governments, in particular the executives leading agriculture and environment. The processes leading to the review of CIDPs for the 2018-2022 period as well as the 3rd Medium Term Development Plans to operationalise the national Vision 2030 development document provided an opportunity for promoting CBA and PSP and their inclusion in the national and county development plans. ALP ended before these processes had progressed far. The Agriculture Sector Development Support Programme (ASDSP) of MoALF completed design of its phase 2 to include a continuation of support to county-level PSPs as a strategy for climate-resilient agriculture over the next four years.

Contacts made with key potential capacity building partners include the Kenya Council of Governors for linking with county leadership, where adaptation action needs to occur; the USAID Planning for Resilience in East Africa through Policy, Adaptation, Research and Economic Development (PREPARED) project, which supports capacity for the East Africa Community (EAC) climate change focal points and engaged ALP to collaborate in providing training in early 2016; and the Kenya School of Government which took part in the testing of the Adaptation Good Practice checklist and works with UNDP and Kenya’s Climate Change Directorate to prepare training curricula.

ALP CBA messages were taken into account in the development and finalisation of the Kenya National Climate Smart Agriculture (CSA) Framework Programme. These focused on gender and differential vulnerability issues in agriculture value chains, paying attention to agro-ecology as a means of sustainable, productive and resilient agriculture. They also focused on strengthening farmers’ adaptive capacity to better manage risk and uncertainty, organize links with markets, and make informed decisions for integrated DRR – all contributing to adaptation good practices. ALP inputs to these frameworks was developed in collaboration with CARE’s Africa-wide engagement in the Africa Climate Smart Agriculture Alliance (ACSAA) and development of CARE’s positions, which are also informed by ALP learning.

ALP participated in the later development of a national concept note by the CSA Alliance of Kenya (comprising CARE Kenya, World Vision Kenya, The Nature Conservancy, Catholic Relief Services, Concern Worldwide, Oxfam and CIAT). ALP pushed for the inclusion of processes and capacity building in addition to hardware (irrigation equipment, seeds, equipment and infrastructure for green energy, etc.) in the proposal, which was presented to potential donors at a conference in Rome, Italy and to a World Bank meeting on climate-smart agriculture in 2016. The World Bank is funding CSA in Kenya.

In **Ghana**, capacity building to support implementation of CBA as an integrated part of ongoing programmes continued to be provided through training and technical support to three CARE projects: WA WASH, Pathways, and PROMISE. The trainings focused on CVCAs, CAAP and CBA design process in preparation for implementation in ten communities in the Lambussie-Karni. CARE's Pathways project trained and supported the partnership for rural development (PRUDA) to develop 15 CAAPS in the Lambrusie District and supported another 15 communities in the Garu-Tempane District to develop their CAAPs. Pathways programme has adopted the full range of CBA approaches, including CVCA, CAAPs, VSLAs, agro-ecology practices and support to district-level PSP for community members in the Lambussie and Garu-Tempane districts.

Local NGOs – PRONET, CDA, FRI, and CAPECS – have been trained on CVCA, CBA design, CAAP development, and PSP and are using these skills in their programs. CDA for instance is implementing a WASH project funded by UNICEF in six districts in the Upper West Region where they adopted the CAAP process and tweaked it to suit their Community Led Total Sanitation (CLTS) methodology. The gender tool developed in ALP helped CDA to understand challenges faced by men and women in the communities with regard to Open Defecation (OD) and design activities appropriately. With their knowledge of the CBA design process, CDA was able to advise UNDP and Ghana's Environment Protection Agency (EPA) to conduct feasibility analysis of proposed adaptation initiatives under the Adaptation Fund aimed at preserving the water infrastructures in the project districts. Farm Radio International (FRI) adopted the ALP CVCA tools to independently conduct formative research with farmers in 16 communities towards developing content of climate change programs for radio broadcast at radio stations they engage. CAPECS has introduced backyard dry season gardening in the livelihood project called Greater Rural Opportunity for Women (GROW), learning from the CVCA/CBA training and design workshops. They have also introduced early maturing varieties of soya beans (*Janguma* and *Afayak*) to over 2,000 women farmers working in 57 communities in the Wa West district in the Upper West Region and linked them with ESOKO climate services. Through 131 VSLA groups, they introduced other adaptation and livelihood initiatives of soya production, conservation agriculture notably composting and zero tillage technology. Consequently, mechanized traction is on the decline in the Wa West district. The gender tools learned under CVCA enabled CAPECS to better target their support for women. Nandom Deanery integrated Rural Development Program (NANDRIDEP) through the facilitation and training by Oxfam developed nine CAAPS for nine communities including DRR plans and district food security action plans, of which five plans are integrated into the Nandom Distict plans.

The Ghana Adaptation Fund project, 'Increased Resilience to Climate Change in Northern Ghana through the Management of Water Resources and Diversification of Livelihoods', adopted CBA approaches including PSP and VSLA. The large-scale adoption of PSP and VSLA is attributable to their simplicity in application, relevance and provision of immediate solutions to the livelihoods of the users and the fact that they are very easy to tweak by adopters to meet their specific needs.

By relating climate change to disaster risk reduction, the ALP supported communities develop a disaster preparedness plan. A bottom-up approach is used in the development of disaster risk reduction, which has been adopted by NADMO. MOFA's Ghana Agricultural Sector Investment Programme (GASIP) has an adaptation component which conducts vulnerability analysis as the basis to designing adaptation initiatives.

In **Niger**, the annual national adaptation stakeholders learning meeting continued each year, bringing together participants from all regions of Niger to share best practice and learning and establish synergy across interventions. ALP Niger hosted the key consultative actors involved in climate change to share experiences, build capacity and develop lessons and best practices for CBA. Participants reflected on how to capitalize on and communicate national experiences in the field of adaptation; strengthen the framework for dialogue on adaptation and discuss CBA as a method for community resilience to climate change; and identify and share best practices, lessons learned and tools related to the CBA approach. Meetings were attended by government, civil society and donors. Key themes were the use of agro-met information, livelihood diversification, tools and approaches for local adaptation planning, gender and adaptation, advocacy, monitoring and evaluation, and adaptation finance. ALP led sessions on advocacy, agro-met information and finance, sharing experiences of implementing PSP and innovative M&E systems. The output of the 2015 meeting was a draft action plan framework, under which several ALP activities are outlined including co-

hosting a capacity building workshop with the Niger National Adaptation Plan of Action (NAPA) and the Global Environment Facility (GEF) UNDP CBA project. The theme of gender and adaptation and advocacy emerged as key for future plans. ALP will share good adaptation practices and successful experiences on gender and advocacy in the context of addressing adaptation and climate change issues in general.

Three CBA training of facilitators workshops were conducted in Niamey and Zinder for practitioners and CSOs with a focus on sharing lessons from implementation experience. The latest one used the ALP Adaptation Good Practice checklist for systematic coverage of topics. The CBA regionalization project (implemented by the NAPA Program in Dakoro) draws on ALP CBA approaches in several ways in its interventions in the identification of strategies and support to communities in implementation, monitoring and evaluation. In relation to achieving CBA at scale, ALP Niger identified the National Council of Environment for Sustainable Development (CNEDD), which is in charge of all climate change matters, and the Ministry of Community Development & Planning (M/DC/AT) as partners for influencing updated planning guidelines in 2016, when Niger developed its five-year development plans nationally and locally. ALPs' collaboration with CNEDD in the NAPA project in Dakoro since 2011 provided a good platform for ensuring that adaptation was integrated. Many commune development plans have done so with support from various programmes. However, CNEDD did not update the national guidelines for development planning accordingly.

The community-based adaptation approach has been adopted in Niger by several project and program stakeholders, who implement it with or without the support of ALP in their respective areas of intervention or administrative entities. As above, at the commune level, the commune development plans increasingly integrate climate risks and take into account CAAPs resulting from the CBA approach. The most successful adoption is by the PRESENCE project of BRACED also implemented by CARE Niger in the region of Tillabéry. This project was designed entirely on the basis of the ALP approach and uses CVCA and CBA planning tools. The PRESENCE project is scaling up CBA in the communes of the region of Tillabéry including the innovation of using a cluster approach, which makes it possible to regroup a set of communities with similar land uses and achieve efficiencies of planning and reach. The CBA regionalization project implemented by the PANA Program in Dakoro is currently the only dedicated CBA project in Niger beyond ALP and BRACED. However, several local non-governmental organizations have incorporated CBA into their respective strategic plans and are implementing CBA micro-projects. This is the case of DEMI-E in the Zinder region, the NGO Leadership Challenge in Maradi, AGIR in Dakoro, AREN in Maradi, and ISCV in Konni.

At programme level, ALP contributed its experiences in mainstreaming successful CBA approaches – PSP and integrating adaptation into local development planning – towards the World Resources Institute (WRI) adaptation scaling framework, which WRI then developed into a training module for their role in GCF readiness capacity building with UNDP and UNEP. ALP has shared its learning on how to achieve scale with PSP in Kenya at a two- day World Resources Institute (WRI) conference in India, a WRI side event at COP21, at the CCDAV conference and at the climate services conference, ICCS5. As a consequence, ALP joined with WRI and the Climate and Development Knowledge Network (CDKN) in Kenya to support capacity building of proposal development teams for GCF. Demand for capacity building and CBA adoption continued. For instance, CARE Benin requested support to develop their links with the Agriculture Ministry capability building on adaptation. CARE Chad has adopted the ALP CBA planning approach. An ACSAA concept note in Zambia, Kenya and Tanzania included approaches to community-based adaptation developed by ALP. The Adaptation Fund East Africa ACREI project includes PSP and climate field schools.

Regional CBA and CIS trainings. ALP contributed to and hosted a series of regional CBA and CIS trainings. ALP was a co-trainer with GCAP in an East Africa adaptation training under the PREPARED programme with East Africa Community (EAC) to strengthen the capacity of EAC stakeholders to design, coordinate and implement cross-sectoral climate resilient plans and strategies. The African Centre for Technology Studies (ACTS) and University of Nairobi hosted a training on the Green Climate Fund (GCF) for East African participants, in which ALP provided the training sessions on adaptation.

CARE is implementing a large USAID DFAP programme in Mali, Harande, focusing on pastoralist resilience. Based on their request for capacity building and ALP goals of regional outreach, ALP delivered a webinar to

introduce the main concepts, after which ALP and the Harande project partnered to host a francophone training in Mali for West African, mainly Sahelian, countries on adaptation and climate resilience in practice including CBA and CIS. Participants were drawn from all the USAID DFAP programmes in Mali; the Canadian International Development Research Centre (IDRC) CARIAA consortium programme, ASSAR, which researches dryland adaptation; CCAFS and ENACTs in Mali; BRACED programmes in Mali and Burkina Faso; CARE in Ivory Coast; IeD Afrique in Senegal and others from Benin and Cameroon. Commitments were made to implement CBA and PSP (see output 2.1 country PSP adoption). The West Africa training provided the momentum to develop a four-and-a-half-day training curriculum with detailed session plans, power points and exercises and with inputs commissioned from related programmes beyond ALP. Hence ASSAR shared a vulnerability walk game developed from the Red Cross Climate Centre and shared on their participatory scenario development and transformative adaptation work; ENACTs map rooms were explained by partners of IRI; and two participants shared their work with adaptation finance. The same training design and content was delivered by ALP in an Anglophone training for East, Horn of Africa, West and Southern African countries, also with ASSAR and ENACTs inputs as well as sessions from CCAFS, ICPAC and CARE Ethiopia's social analysis and action tool. This allowed for the training materials and session plans to be further elaborated and produced in English as well as French. See publication list for links to the curriculum and materials.

Both trainings were advertised widely across the Africa region and were oversubscribed. Participants were selected from the information they provided in the registration forms to ensure a group which was motivated to learn and needed the information in their work context. From the two trainings, a total of 60 participants from 19 African countries enhanced their conceptual understanding and knowledge of practical approaches towards achieving climate-resilient development, adaptation good practices, and the role of climate services in adaptation decision making. The USAID DFAP projects in Mali, BRACED programmes, CARE country programmes in food and nutrition security and resilience, and a range of other, mainly INGO and research (CGIAR), organisations appreciated the interactive training approach and content based on ALP learning combined with standard adaptation knowledge. Participant evaluations in both trainings were highly positive. Participants have continued communicating from the English training through a WhatsApp group. BRACED Burkina Faso and the WWF Africa Adaptation Initiative are adopting tools to improve capacity and responses to differential vulnerability. The CARE participants have been linked to CARE's Southern Africa learning group on climate resilience agriculture to maintain momentum and support mainstreaming of CBA and CIS in CARE's work in this region.

Adaptation Good Practice Checklist (AGP) development. In 2016 ALP identified the need for more structured breakdown of adaptation in practice which applies to all types of adaptation – whether 'mainstream', CBA or ecosystems based – to better communicate and increase understanding and use of core adaptation concepts, principles and practices. ALP's practical learning and evidence, the results of cost-benefit analysis done in ALP phase 1, and learning from several other programmes, including ACCRA and BRACED, has shown that adaptation success depends as much on 'software' processes such as risk and vulnerability analysis, adaptive capacity strengthening, and decision making and information systems as it does on 'hardware' interventions or adaptation strategies which are development sector-specific or DRR-related. However, many adaptation programme designs and National Adaptation Plans continue to predetermine adaptation strategies and under-resource support to flexible and anticipatory, locally determined multi-stakeholder decision making.

ALP developed an Adaptation Good Practice checklist (AGP) towards multiple purposes to help guide adaptation finance, proposal design, screen adaptation interventions, mainstream climate resilience into sector programmes, support training content and curriculum design, and overall to provide a synthesis of all of ALP's practical adaptation learning over seven years of implementation. The checklist was developed through consultation with ALP's strategic regional partners and Kenya national collaborators and analysis of a wide range of existing frameworks and documents including adaptation practice from ALP and others, UNEP adaptation gap reports, the Paris Agreement, and existing guidelines for Adaptation Fund and GCF. The AGP checklist consists of nine good practices, each with three to four criteria, which together present a coherent set of people-centred processes, which will ensure a project has fully considered the necessary elements for achieving adaptation and climate resilience (see ALP Publication List in Annex 1). The AGPs were tested in

Kenya and used to inform trainings in Niger, Kenya and the two regional trainings, all of which provided useful feedback for improving their presentation, guiding their use, and identifying the aspects most in need of further attention. For example, adaptive management is a critical requirement to ensure ongoing and responsive action, but there is limited information on its practical application. As noted by the 2017 ALP evaluation, 'The AGPs hold good promise, although an enhanced communication effort is required to ensure uptake and that their application unfolds as ALP intended'. ALP embarked on an elaboration to unpack each practice and criteria and link them to practical tools and approaches as well as to adaptation finance guidance. There were insufficient time and resources to complete this work before ALP closed. However, the AGP checklist as it stands has potential for wide dissemination of core adaptation practices in a short and relatively simple document. In this regard, it has potential to influence adoption of improved quality adaptation by programmes and others (see also output 3).

Analysis of results and key lessons for output 2

ALP conducted a survey on CBA adoption and capacity in 2016. Of 69 survey respondents, the highest number of CBA adopters were among people whose role focuses primarily on agriculture and food security, followed by ecosystems related work, adaptation and resilience, planning, disaster risk reduction, and lastly gender equality. NGOs are leading among the respondents adopting CBA followed by government institutions with the most adopted CBA approaches being PSP, CVCA, CBA planning and gender in CBA. 37 of the respondents gave details of projects where CBA approaches are used, reporting a total of 3,209,542 beneficiaries, of which 57% were women, from projects in Benin, Cameroun, Ethiopia, Ghana, Kenya, Uganda, Zimbabwe, Tanzania, Lesotho, Malawi, Mozambique, Niger, and Zambia. The type of adaptation benefits most cited for a range of livestock keepers, farmers and small-scale entrepreneurs primarily in dryland areas were increased participation in planning and decision making, access to new varieties and inputs for agriculture and livestock, and higher crop yields/livestock production/health. 96% of the respondents said that attending ALP capacity building and learning events was useful or very useful and had led to useful knowledge/learning/insights, changed understanding and commitment to adaptation, and practicing what they learnt on adaptation. Most important remaining capacity needs were for CVCA analysis, DRR, gender analysis in adaptation, early warning using climate information, integrating DRR and livelihoods, PSP and participatory community adaptation action planning. See Annex 3 for a summary of the survey findings.

Promotion and scaling of community-based adaptation and climate information services

ALP paid attention to raising visibility and capacity for upscaling of CBA through parallel activities, which work together. Training and mentoring of partners and other organizations involved in adaptation work in Africa contributed to building the body of expertise needed. Institutionalizing CBA approaches through collaborative engagements from the start with the actors such as local governments provided the basis for subsequent mainstreaming and integration into policy. Collaboration and joint curriculum development with potential training institutions in the region would ensure sustainable access to adaptation learning from practice – see output 4 for more on this. Key to successful scaling is a focus on establishing at scale systems for information access and co-generation of knowledge where local knowledge has a role to play in multi-stakeholder decision making processes.

In strengthening CBA at scale, ALP focused primarily on scale-out and scale-up of climate information services, and on providing capacity building. The most successful examples of PSP scale-up come from Kenya, Malawi and Zimbabwe where PSP has been successfully scaled both out and up. In total, it would appear that there is potential for CBA activities to be ongoing in at least 17 countries across Africa as a result of ALP's efforts. PSP has been adopted by different organisations and institutions in several countries. Ensuring good and sustained quality of climate information services continues to be a challenge, especially given the rapid spread and use of the PSP approach. In Kenya, ALP changed its role from direct PSP facilitation and technical support to facilitating review workshops where the range of PSP practitioners are able to reflect and learn together on good practice, new innovation, assessment of participation, gender responsiveness, cascading benefits across geographical scope, and on harder challenges such as sustainable funding for PSPs and institutionalisation of local government-led multi-stakeholder forums. ALP's contribution has evolved from direct support in ALP countries to training of trainers, to facilitation of review, reflection and refinement of the approach, to design

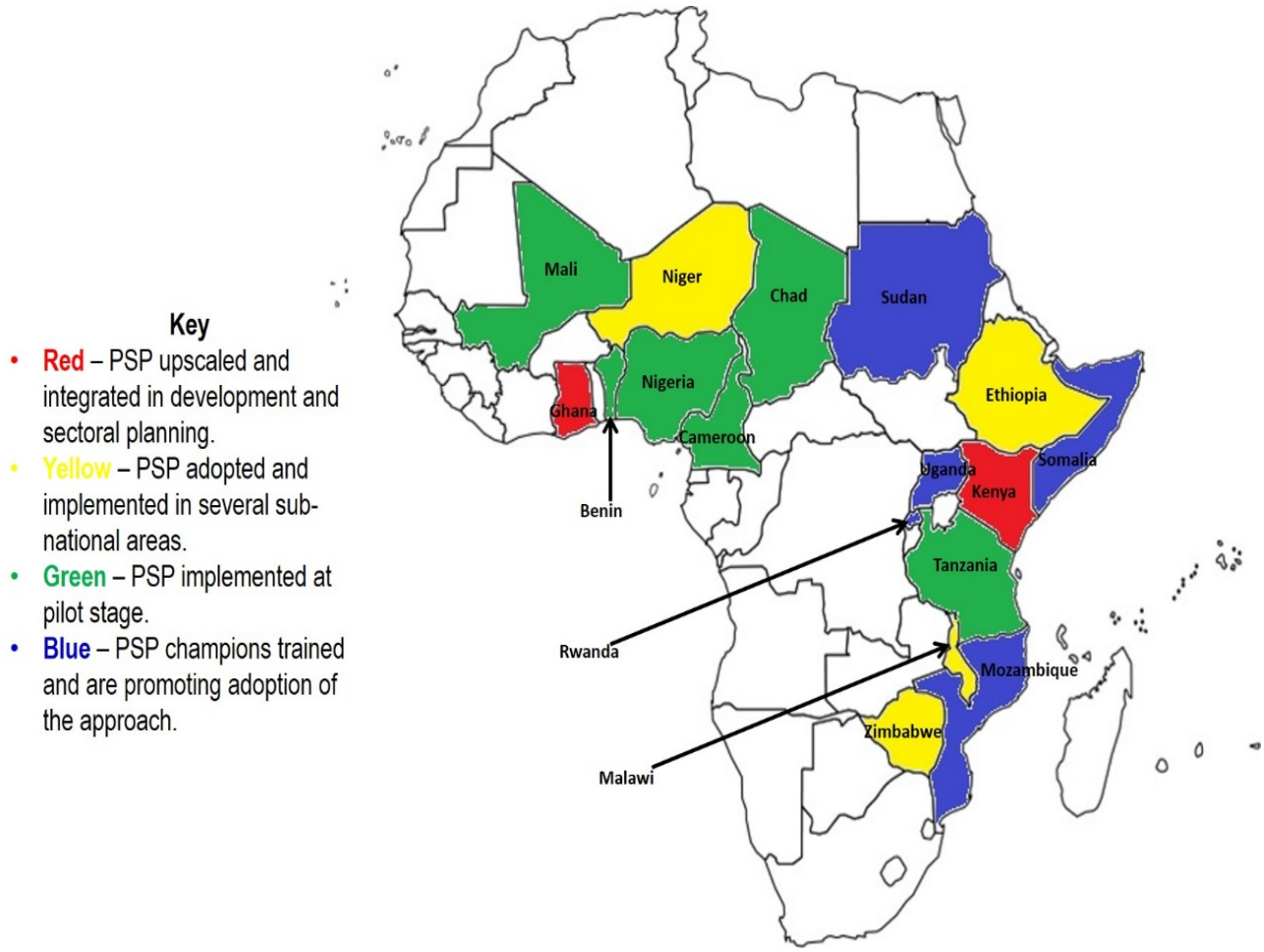
and mentoring of PSP champions to conduct trainings, and to an impact assessment study to inform future improvements. As more organisations and institutions adopt PSP, the focus of work is on ensuring long-term sustainability of the approach through integration into sectoral, development and adaptation planning and policies at district, county, national and regional levels. ALP is encouraging others to start using PSP and looking towards IGAD Climate Prediction and Application Centre (ICPAC) and AGRHYMET as potential organisations for maintaining quality and dynamic evolution of PSP within the landscape of CIS development. Learning events in Ghana sharing the practical relevance of ALP CBA models and strategies led to requests for help with their institutionalization and upscaling. FAO in Ghana has adopted the ALP Community Information Centre (CIC) model and modified it as Village Information Centres (VICs) to enable MOFA in their communication of CSA strategies to farmers.

Overall, investments in training and multi-stakeholder engagement processes resulted in a renewed focus amongst national and county stakeholders and partners in developing further the utility of climate information services across the programme areas. A key outcome of this has been the continued review and learning from diverse experiences across counties and enhanced spread of relevant climate advisories to lower geographical levels. In line with the objective of scaling, ALP supported partner institutions who are already mainstreaming CBA, for example PSPs nation-wide by KMD and ASDSP in Kenya, to consolidate, deepen and continue to ensure quality, learning capacity and improvement in their application of the approaches, as well as ensuring evidence of their value and impact is generated.

With the current global attention on improving climate information services to better support adaptation and resilient development (e.g. DFID-supported WISER and BRACED projects, ACPC and AMCOMET events, USAID Climate Services for Resilient Development and Global Framework for Climate Services), evidence from the impact assessment will be useful for influencing further scaling of good practice in user-responsive climate information services from ALP's experiences and learning.

PSP adoption in December 2016

NB. In 2017, PSP has also been adopted in Burkina Faso.



ALP also has a role in ensuring a clear focus on users and their needs and capacities for CIS. Climate information services is not just a matter of participation but also representation in terms of whose interests and perspectives are served by climate information services. For example, how to design climate information services in a gender-sensitive way will continue to be a key area of focus. The user-based climate services knowledge value chain has potential to influence climate services which reach the 'last mile' and enable active participation, ownership and decision making by community members and local sector service providers in the context of co-developing climate services.

Demonstrating the utility of CBA and PSP at the local level and how this has benefitted communities and then translating and showing this to both regional and national bodies has been extremely effective in realising the adoption and recognition of these approaches. ALP developed a good reputation which enabled the programme to receive requests for capacity support and opportunities to work alongside mainstream government systems and services to support integration of adaptation.

Climate resilience in sector development. ALP made efforts to integrate its learning into the growing body of work on climate resilience. One of the reasons ALP remained relevant was its ability to adapt to the changing narrative around climate change and stay at the vanguard of approaches while demonstrating their usefulness. ALP learning on adaptive capacity, its unpacking into the five elements developed by ACCRA and focus on adapting in the face of continuous change and uncertainty influenced CARE's framing on smallholder agriculture and climate resilience. With its learning and people-centred focus, ALP aimed to articulate concepts and changes in adaptive capacity as simply as feasible and at the same time show the links and importance of embedding absorptive, anticipatory and transformative capacities as promoted by CARE's framework and by for example the BRACED programme. Learning on the relationship between adaptive

capacity, decision making for action, local ownership, and long-term resilience is widely documented by ALP from CBA experiences in each country. Bringing this learning into specific sector programmes has been a challenge, though there has been some success with CSA programmes in Kenya and Ghana and DRR systems in Niger and Ghana. There is a real risk that the contribution of adaptation to resilience is reduced to climate information and technical interventions, which must be countered by evidence from and economic benefits of social multi-stakeholder processes and strengthening of capacities.

Climate knowledge brokering. In its facilitation, capacity building and upscaling of CBA and CIS ALP recognized a critical capacity gap that requires further attention in adaptation and resilience building programmes and policy frameworks. Climate knowledge brokering encompasses all aspects of learning, evidence, information provision, linkages across actors which enables multi-stakeholder engagement, decision making, and action on an ongoing basis. The conscious role and skill of a knowledge broker – who may be from any and all the institutions involved – is a determinant of the success of adaptation planning processes, climate services, vertical and horizontal linkages, shaping of the enabling environment, relevance and appropriateness of content of national policy, NAPs and adaptation finance proposals. Good knowledge brokering will ensure well-informed decisions at all these levels with understanding of the importance and practical implications of inclusive action centred on the most vulnerable people. Over the seven years of ALP, the ALP teams developed skills in workshop facilitation and training using innovative and participatory techniques, which were further enhanced in the ALP retreat in 2016 (see output 4.1). ALP developed a relationship with the Climate Knowledge Brokers group to help bring this aspect into the limelight and start to elaborate ways in which it can be better taken into account (see output 4.2 on the ALFA event).

4.3 RESULTS FOR OUTPUT 3

Access, allocation and use of adaptation finance is influenced in support of CBA in ALP countries and regions

Output 3	Indicator 3.1	Milestone 2016 and Target 2017
Access, allocation and use of adaptation finance is influenced in support of CBA in ALP countries and regions	3.1 Extent to which budget allocations are influenced to include CBA approaches with direct access by local level and non-government organisations, in ALP countries (by AF/GCF/CIF/LDCF implementing entities/NDAs and national government budget decision makers for development and DRR)	2016: Knowledge and capacity built for including CBA approaches in adaptation finance allocations by AF/GCF implementing entities/NDAs and national government budget decision makers for development and DRR 2017: CBA approaches and direct access included in national criteria and implementing guidelines for adaptation finance in ALP countries
	Indicator 3.2	**Milestone 2016 and Target 2017**
	3.2 Extent to which civil society organisations advocating locally and nationally for accountable, transparent and effective allocation and use of funds in support of community-based adaptation actions	2016: 3 CSO networks with mechanisms developed for tracking adaptation finance allocation and flows and analysis of inclusion of CBA approaches in ALP countries 2017: CSO tracking of adaptation finance has influenced transparency and accountability of flows to vulnerable people in at least 3 countries
	Indicator 3.3	**Milestone 2016 and Target 2017**
	3.3 Extent to which global civil society organisations are advocating in the UNFCCC agreement process for an enabling environment for inclusion of CBA principles in adaptation finance commitments, mechanisms and criteria	2016: CSO promotion of CBA approaches and direct engagement in negotiations at COP21 in Paris and for GCF and AF guidelines 2017: Coordinated and sustained CSO advocacy for meeting adaptation finance commitments that are informed by CBA and direct access principles.

ALP countries are at very different levels of national accreditation and direct access to the main climate funds, i.e. the Adaptation Fund (AF) and the Green Climate Fund (GCF). ALP output 3 aimed to influence Ghana, Niger, Kenya and potentially other African countries to ensure that adaptation finance is accessed and used in support of effective and well-informed climate resilient development for those who are most vulnerable to

the impacts and uncertainty of climate change. This means not only engaging directly in the finance processes but also in the surrounding policy environment, which determines priorities, such as the INDCs submitted to UNFCCC in advance of the Paris COP21 and the process of developing National Adaptation Plans (NAP). Where these are agreed, those responsible for implementation are still in need of capacity and resources to act, as well as convincing evidence of success of good adaptation (and CBA) practices and principles. Aspects such as the need to resource adaptive capacity as a pre-condition to success of 'hardware' interventions under changing climatic conditions, the role of planning at a local level, and ensuring that climate finance reaches the most vulnerable need to reinforced. Basic capacity on how to apply CBA is needed. Assuring transparency and accountability in the governance of adaptation finance requires civil society organisations to play a watchdog role nationally and locally. The targets for outputs 2 and 3 are different, but interrelated – successful practical up-scaling in output 2 provides a supply of CBA, while policy and finance influence in output 3 creates a demand for targeted finance for up-scaling of CBA under output 2. ALP's strategy was to build on its existing relations with adaptation finance actors, relevant networks and ability to engage at all levels from local to global.

Formal partnerships were developed with three national CSO networks (one in each ALP country) and with PACJA regionally to ensure that ALP advocacy and policy engagement were fully grounded in, supported and learned from African CSO initiatives. This initiative, dubbed ALAP (Adaptation Learning and Advocacy Project, the channel for delivering output 3) was supported by the Danish Climate and Environment Fund under CISU. The CSO networks were the key vehicle through which country-specific results were achieved. ALP strengthened their national advocacy capacity for accountable, transparent and effective use of funds to support gender-responsive CBA. ALAP's support to the development of advocacy strategies contributed significantly to results accrued on gender-responsive CBA (Kenya), and innovative climate finance (Niger). The national CSO partners demonstrated dexterity and determination to achieve national recognition and contribute to influencing national decisions in NAPs and adaptation finance.

The second major contribution to ALP's ability to influence adaptation finance at different stages of readiness, design, proposal development, implementation planning and monitoring was the development of the Adaptation Good Practice Checklist (AGP) as described in output 2.2. The AGP checklist is intended for use by all actors involved in project development and implementation when considering how to plan and act on priorities for adaptation proposals and NAPs. The checklist guides systematic and practical review of concepts, proposals, work plans and adaptation initiatives at all stages of development and implementation to ensure that adaptation has been mainstreamed comprehensively. The set of practices incorporate core requirements laid down in the NAP guidelines and GCF concept guidance note, though this could be more explicit. They complement the Joint Principles of Adaptation (JPAs) developed by the Southern Voices programme, which supports CSO advocacy on accountability and transparency as well as key policy messages for decision makers to focus on inclusion and vulnerable groups.

Output indicator 3.1 – Budget allocations are influenced to include CBA approaches

In **Kenya** ALP initiated its **engagement in adaptation finance** by hosting a breakfast roundtable for policy makers, donors and CSOs on climate finance in June 2015 to interrogate the current status of climate finance budgeting on what and for whom and emphasise inclusion of the most vulnerable and CBA principles in the approaches undertaken. The National Implementing Entity (NIE) for the Adaptation Fund, the National Environment Management Authority (NEMA), and the GCF National Designated Authority (NDA), the National Treasury, shared their perspectives while ALP shared good CBA practices. From this start, ALP engaged over the extension phase with climate finance readiness actors such as UNDP, UNE, CDKN, and WRI in a range of activities. These included a national preparedness process to develop indicators for climate change plans and budgets in the County Integrated Development Plans (CIDP); providing comments on the Draft Climate Finance Policy; contributing adaptation sessions to the GCF readiness training co-hosted by the Treasury, CDKN and WRI; and supporting the Climate Change Directorate (CCD) adaptation team in assessing the NAP towards practical roll out.

In February 2016, the National Adaptation Fund Programme managed by NEMA was launched in Nairobi. NEMA expressed an interest in using CVCAs for the baseline for all the eleven implementing institutions and ALP finally supported this for the Coastal Development Authority-led project. NEMA was accredited as an Accredited Entity (AE) by the GCF board through the fast track process, having already gone through the accreditation process under the AF. The GCF NDA (Treasury) and AE (NEMA) developed GCF proposals. While ALP contributed to the inception and initial training, the government decision for participation in prioritisation and proposal development teams excluded non-state actors from the process. No further opportunities were gained to influence the proposals, which were all eventually rejected by the GCF. An option to assess the agriculture proposal against the AGP checklist was proposed, but by this time ALP was already closing.

AGP testing for NAP roll out. ALP shared the content of the AGPs and their key messages on adaptation in practice, such as ensuring a balance between hardware and software, investing in long-term processes that ensure ongoing planning informed by risk analysis, gender-responsive financing, and ensuring the engagement and input from the affected communities. This was done in two events: i) a workshop to present the AGPs and test them against two sections of the Kenya NAP (livestock and vulnerable groups) with participation of key stakeholders at the national level, including the climate change directorate, MoALF including livestock, NEMA, the Treasury, the Kenya School of Governors, CDKN, and others, and ii) at a Kenya pre-UNFCCC COP22 workshop co-hosted by ALP to strengthen the capacity of negotiators and CSOs to engage in the climate talks with regard to adaptation and adaptation finance. As a result of the two events and feedback from the Climate Change Directorate (CCD), the Kenya government logo features in the final AGP publication as a collaborator in their production. Building on this, ALP co-hosted a side event at COP22 with NEMA and CCD discussing the value of the AGPs in the context of Kenya's NAP and adaptation finance intentions, following which they expressed interest to test it further.

Two further pre-COP22 meetings were held with the climate finance governance network, CARE's Southern Voices on Adaptation programme, and the Kenya Climate Change Directorate on key agenda items at the COP22 including transparency and accountability in the UNFCCC agreements. ALP and the CCD co-hosted the pre-Bonn strategy meeting to build capacity for negotiators to be more effective on adaptation, agriculture and gender in the Bonn intersessional talks in May 2016. ALP worked with the national government to review the unsuccessful draft decision presented by the Africa Group of Negotiators (AGN) in December 2016 at the COP22 in Marrakech. The discussions at the meeting fed into the AGN draft decision, which was adopted by Group of 77 and re-introduced in the Bonn 2017 talks on agriculture.

The Kenya Climate Change Act passed by parliament in May 2016 is a progressive bill which incorporates adaptation principles and practices which support CBA as a mainstream approach particularly at county level. ALP participated in the county awareness raising events and contributed to the national level consultations, with GCCWG and ACTs. Through the process to develop the next round of County Integrated Development Plans and MTP3 in the context of county devolution and the Climate Change Act, interest is growing in Kenya to see climate finance reaching the county level. The challenge remains to ensure that finance is used to support climate resilient development. For this, more attention and effort is needed in county level capacity building. The executive for environment in Kenya's Council of Governors attended the Africa Learning Forum on Adaptation (ALFA 2017) learning event (see output 4) together with NEMA, ACTs and others, adding to their exposure, buy-in, capacity and motivation to promote high quality adaptation. The Climate Finance Policy and Kenya Climate Change Fund are in process of being agreed and will contain guidelines.

As a result of the long-term working relationship built with government departments (including CCD) working on climate change, ALP Kenya was invited to join a national level adaptation committee being formed by the Government of Kenya to provide technical support to the overall NAP roll-out in Kenya. ALP engagement and position in the national adaptation committee has potential to influence the inclusion of CBA within these policies if CARE Kenya maintains the link. More active advocacy will be needed to ensure the Joint Principles on Adaptation (JPA) and the AGP practices are used for advocating on programmatic and technical finance decisions.

In **Ghana**, at **policy level**, CBA has been included into Ghana's 10-year National Climate Change Learning Strategy (NCCLS, 2016-2025) developed by EPA and submitted to UNFCCC in January 2016 and the Medium Term Agricultural Sector Investment Plan (METASIP II). The National Development Planning Commission (NDPC) launched a 40-year development planning framework for 2018-2057, which includes resilient development. Increased capacity by government institutions on CBA approaches and climate finance is observed to be a key influencer in the budgetary decisions and allocations for CBA interventions. A comparative analysis of the 2010-13 MTDPs against the 2014-17 MTDPs of the three ALP-supported districts clearly reveals that an increase in the knowledge and skills of the District Planning and Coordinating Units (DPCUs) resulted in effective integration of CBA approaches into their MTDPs and an increase in allocation of funds in their plans and budgets for CBA initiatives. This is attributed to ALP's influence on the MTDPs guidelines and nation-wide capacity building of the MMDAs in collaboration with NDPC prior to the development of the 2014 Medium Term Development Plan (MTDP). Findings from a study conducted in 2015 on climate change finance in Ghana by the Overseas Development Institute (ODI) and Institute for Statistic, Social and Economic Research (ISSER) showed that the NDPC guidebook for the MTDP represents a significant policy instrument in terms of climate change mainstreaming at district level (ODI/ISSER 2015, page vii).

Climate finance. Implementation of the US$8,293,972 Adaptation Fund project on 'Increased Resilience to Climate Change in Northern Ghana through the Management of Water Resources and Diversification of Livelihoods' in ten districts and 40 communities in Northern Ghana provided an opportunity to influence adoption of CBA approaches. PSP and dry season gardening have been taken up. ALP supported a local stakeholder review workshop to bring together chiefs, district assemblies and local NGOs with the implementing agency, EPA, to ensure vertical linkages from the start.

The AF project is implemented by UNDP as Ghana does not yet have an AF NIE. The Ministry of Finance (MoF) has been appointed the GCF NDA but does not have access to the GCF. Accreditation of the appointed AEs (Ecobank and Social Investment Fund) is continuously delayed, although the process is moving ahead. The Ministry of Finance have committed to address climate change in their budget and developed a tracking tool to identify climate change-related expenditures. In readiness for the GCF, ALP developed links with the Ministry of Finance and included them in the Learning Route (see below).

The Ministry of Environment, Science, Technology and Innovation (MESTI) and MoF have taken significant steps towards meeting civil society demands, such as opening up the selection of Accredited Entities (AEs) for GCF to competitive and transparent process, timely information sharing on the selected AE (ECOBANK Ghana), and ensuring accessibility to relevant official climate documentation by general public. Further steps towards public transparency include the introduction of the Ghana Climate Data Hub (http://www.climatedatahubgh.com). Under the UNDP GCF Readiness programme, MoF has developed a Climate Change Tracking Tool. The tool builds on the UNDP Classification of Climate Relevant Activities Approach linked to the generic Climate Public Expenditures and Institutional Review (CPEIR) tool. The tracking tool informed a new set of guidelines by MoF and MESTI to account for climate change expenditures in the 2016 national budget. It includes climate change specific budget codes to enable monitoring of quantities and flow of climate change resources at level of central government. They also developed a prioritization tool, according to which GCF proposals are developed and selected according to criteria aligned with the National Climate Change Policy, a template to record successful projects, and a guide for the operationalization of the GCF Technical Advisory Committee.

ALP influence. ALP provided feedback on these tools and manuals using and promoting the Adaptation Good Practice Checklist and Joint Principles of Adaptation through CSOs, including the Ghana ALAP organisational partner, ABANTU. ALP helped in bridging the space between the NDA, NIE and civil society and in tabling the need for Enhanced Direct Access. This was done in meetings between government and CSO (see 3.2) and through targeted lobbying of the MoF GCF Secretariat, and through involvement of key donors such as UNDP, EU, and the French Embassy.

A key means of influence was a Policy Learning Route, organised by ALP in June 2016. Key actors including the Ministry of Finance (GCF NDA), the Environmental Protection Agency (EPA, which supervises the Ghana AF

project), the Ghana Agricultural Sector Investment Program (GASIP hosted by MOFA), NADMO, GMET, NDPC, and FAO participated. The learning route gave participants a practical learning experience on CBA interventions in the ALP community of Tariganga in Garu-Tempane District. The learning visit provided a space for exchange of experiences between District Planning Officers and District Chief Executives of the participating ALP districts. The Nadowli-Kaleo District Chief Executive, Hon John Bosco Bomansaang, approved budgets for the construction of four dry season vegetable gardens after having learnt first-hand from the experiences in Tariganga. The trip was an opportunity for Accra-based policy coordinators to better appreciate community-driven problem solving. Many noted the impact of communally built wells and granaries. Through critical debates, the visitors also provided useful feedback to the ALP team, such as the need to cost models or elements of CBA for better uptake.

In **Niger**, collective learning from ALP and the UNDP NAPA project joined together to influence the Niger NDC, which (as in other francophone West African countries) was heavily weighted towards mitigation while adaptation was linked to sustainable natural resource management. ALP and UNDP pushed for a holistic approach to adaptation incorporating the soft aspects (planning processes, DRR, local adaptive capacity, climate information, etc.), adapted to the Sahelian context, but this was not entirely successful. ALP used its learning on early warning, climate information, and local adaptive capacity to influence the design of a risk management and resilience programme by the national High Commission for the Niger '3N' initiative, which focuses on achieving and sustaining food security in Niger. The final draft programme document has an adaptation component, which incorporates core CBA principles, including adaptive capacity building for analysis and anticipation of crises.

ALP Niger continued to have a direct relation with CNEDD (Conseil National de l'Environnement pour un Développement Durable) and to support CSO participation in the CNEDD technical committees. CNEDD is responsible for issues of variability and climate change and is accredited as the Niger National Designated Authority (NDA) for the GCF and currently directly manages all adaptation funds, e.g. for the NAPA implementation. However, adaptation finance mechanisms and capacity in Niger remain at a very low level. Discussions are underway for the Agricultural Bank of Niger (BAGRI) to be an AE for the GCF. BAGRI participated in COP22 in order to participate in the negotiations between Niger and the other partners and reinforce the link with the GCF and participated in the ALP hosted ALFA event (see output 4).

Integrating the climate change dimension into national plans and programmes is a clear commitment of the Nigerian government towards taking into account the concerns of more vulnerable people. Integration of climate change into local, regional and national planning in health and livestock sectors are taken into account in the National Determined Contribution (NDC). In other respects, Niger is slow to develop its NAP and access to adaptation finance.

The National Assembly of Niger has guaranteed to pass a law through the network of Nigerian parliamentarians on developing a National Climate Change Adaptation fund and have it promulgated by the competent authorities. A draft law is available based on the influence of the CSO Platform (see 3.2). The creation of this fund will, among other things, involve the social and societal responsibility of companies that pollute the environment in the process of self-financing of actions to adapt to climate change. Lack of adequate financial resources limits the adaptability and resilience of Nigerian populations. The Niger Climate Fund is intended as a tool and mechanism to assist Niger in directing funding for community-based adaptation and climate change projects and programmes in accordance with national priorities. A study into opportunities for climate finance and the draft law developed by the CSO platform was formally submitted to the Ministry of the Environment and Sustainable Development (the umbrella ministry for CNEDD) in June 2017. This resulted in the response that the ministry 'commits to bringing forward the proposal for a law initiated by the Platform with regard to the creation and operationalization of the national climate fund for the benefit of other countries in the sub-region'. It is hoped that this will prompt increased momentum by the Niger government move faster on financing adaptation.

At the local level, authorities are working to integrate climate change adaptation issues into municipal development plans (PDCs) and regional development plans (PDRs). The latter systematically integrate

community-based adaptation principles at the time of their elaboration and/or revision with finance from state projects, as well as national and international NGOs (CARE, Oxfam, CRS, and others).

Output indicator 3.2 – CSOs advocating locally and nationally for accountable, transparent and effective allocation and use of funds in support of CBA

The activities described in this section were supported by ALP teams and led by the CSO networks that ALP has partnered with. MoUs, work plans and sub-grant agreements were put in place with the four partners with subsequent funds disbursements and reporting for agreed activities. An advocacy capacity assessment tool was developed and self-applied to assess the CSO network activities and capacities.

Climate finance tracking. ALP collaborated with PACJA and Transparency International (TI) to develop a joint finance accountability tracking tool that draws on the draft tracking tools originally developed separately by TI and PACJA as well as learning from ALP on CBA. The tracking tool is currently being populated and it is expected to be launched in the course of 2017, with testing to follow in Kenya. It has taken longer than expected to develop the tool due to the complexity of climate finance modalities and the difficulty of a tool being relevant in different country contexts. It will be hosted on the TI website. In the ALP countries, within their adaptation advocacy work, national CSOs and networks have followed climate finance mechanisms, budget allocations and fund flows in a variety of ways as described below.

In **Kenya**, ALP partnered with the Institute for Environment and Water Management (IEWM), which hosts the network, **Gender and Climate Change Working Group** (GCCWG). ALP strengthened the capacity of GCCWG and its members for more coordinated advocacy and dialogue on CBA, clearer and jointly developed advocacy messaging on CBA and climate finance, as well as gender-sensitive, flexible, transparent and inclusive adaptation planning processes. From 2015 to 2017, the network strategized on integration of gender, identified CBA capacity gaps, developed and implemented CBA capacity building plans and developed a targeted GCCWG gender and climate change advocacy strategy. 50 members applied the self-assessment tool to identify capacity building needs for advocacy which fed in to this. The strategy targets specific government actors and identified allies, including the Climate Finance Governance Network, Transparency International, Kenya Climate Change Directorate, Kenya Met Department, and the National Gender and Equality Commission, whose chair is a lead negotiator on gender in the UNFCCC. The strategy was finalised and validated in October 2016 with participation from the Kenya National Climate Change Directorate: It helps ensuring that the messages reach decision makers and contribute to improved coordination of advocacy efforts at the national level. The CBA training reported in output 2 strengthened linkages between CSOs and county-level governments, which is important for continued collaboration and accountability tracking.

GCCWG worked with PACJA and Transparency International's Climate Finance and Governance Network (KCFGN) to host a national CSO strategy workshop, in which Kenya national CSO networks jointly identified areas of collaboration in influencing policymakers on climate finance. This was aimed at drafting a national CSO advocacy strategy and common advocacy messages. The main concern of ALP's Kenya partner network has been to bring many CSO's and their networks 'on the same page' in the preparation of a joint advocacy strategy. As a step towards that, these networks together with Practical Action formed a broader national-level CSO network dubbed the COP21 CSO Momentum for Change Committee for joint influencing of climate positions and policies favouring Kenya's most climate vulnerable groups. Following COP21 in Paris, the Momentum for Change initiative has continued to bring the various CSO networks together on advocacy issues particularly relating to accountability and transparency, but it has not developed further as a common CSO voice. ALP Kenya continued to partner with and to support links with GCCWG, the Climate Finance and Governance Network, and the Youth Network on Climate Change to push for participatory, flexible, transparent, accountable, and gender sensitive adaptation processes in the country, supporting the implementation of the GCCWG advocacy strategy with its focus on gender and adaptation.

GCCWG co-hosted a pre-COP22 workshop on gender issues in COP22 in collaboration with the National Gender and Equality Commission and the Kenya Climate Change Directorate. Key messages were shared with network members to enable them engaging more effectively in the gender negotiations at the COP.

GCCWG organized a first review workshop for network members to share the progress of implementation of the gender and climate change advocacy strategy and plans, discuss issues of capacity building and financing as well as share available opportunities for partnerships, collaboration, and advocacy. Five priorities were agreed:

- Documentation and reporting of practical stories and case studies of change to share members feedback and reports on advocacy strategy implementation;
- Heighten money mobilization;
- Continue to address capacity gaps – inasmuch as network members have basic knowledge of gender and climate change, tailor-made training based on member organization needs on the nexus between climate change and gender at different levels, community, and county government is still needed;
- Strengthen partnerships among network members;
- Design a convincing advocacy campaign which would be strategic for a national wide engagement on gender and climate change agenda.

In response, the GCCWG network members finalised documentation of five case studies on good CBA practices, which are compiled in an adaptation case studies compendium, to help promote good practice amongst key decision makers among practitioners and policy makers. The case studies link to the AGP checklist, the Kenya 2016 Climate Change Act and NAP, as well as the GCF proposal development processes. The case studies focus on livelihoods, energy and environment, ecosystem conservation, and water issues. A resource mobilization training workshop was conducted. Some of the GCCWG members trained in 2016 following the capacity assessment provided further training to their own organisations, communities, and decision makers on gender and climate change, showing positive progress in knowledge transfer and information flow among the network members working together and also becoming trainer of trainers. GCCWG now have greater visibility among national adaptation actors, having identified profiling and raising visibility as key action points in their advocacy strategy. It also has a deeper understanding of adaptation issues and policy processes in Kenya and clarity on who to target for influencing.

GCCWG continued to engage with NEMA on the AF project and organised a visit of NGO and UNDP members of the network and county representatives to one AF project site implemented by a community-based organisation in Kajiado. The learning visit raised awareness on community realities and adaptation needs among the participating national advocacy institutions and was an opportunity for the communities to give feedback on their AF experience. A clear lesson was the need for community priorities to be better included and reflected in climate change project proposals. This should involve technical support to community organizations own analysis, planning and articulating priorities so that their needs are captured in ways that also meet project proposal and funding criteria.

In **Ghana**, ALP partnered with **ABANTU**, which hosts the **Gender Action on Climate Change for Equality and Environmental Sustainability** (GACCES) network that champions gender equality and climate adaptation across various policy sectors. In light of their contribution of the gender chapter to Ghana's National Climate Change Adaptation Strategy, ABANTU secured itself a reputation. Consequently, it holds a seat on the Technical Steering Committee of the Implementation Committee of the National Climate Change Policy as a NGO representative, thus influencing the inclusion of CBA and gender in the NDC. Most recently GACCES has engaged directly with the Technical Advisory Committee (TAC) of the Nationally Designated Authority (NDA) to the GCF advocating for gender parity among the committee members. In addition to ALP and PACJA, ABANTU also work with Oxfam IBIS on private sector financing of climate adaptation.

Climate finance capacity with AGP and JPA. ALP hosted a learning event with the Ghana Climate Adaptation Network (CAN), GACCES, and Ghana Climate Change Coalition (GCCC, the national PACJA chapter) to deepen knowledge and message targeting on CBA and adaptation finance and prepare towards CSOs involving in tracking climate resources. ABANTU partners with ALP and CARE's Southern Voices on Adaptation programme, promoted the use of the Joint Principles for Adaptation (JPA) and Adaptation Good Practice (AGP) principles amongst government institutions and civil society in Ghana with the aim to ensure that national policies and plans meet the needs and fulfil the rights of the most vulnerable people for adaptation to climate change. ALP

supported ABANTU in training of 102 district planning officers, CSOs, and ALP staff in the Northern, Upper East and Upper West regions on the JPA and AGP. The training outlined the principles, checklist and criteria for appraising developmental plans and proposals to ensure that they are adaptation-compliant. To ensure greater impact, ABANTU also targeted CSO networks such as the Women's Manifesto Coalition and Ghana CAN, who were trained on the JPA and adaptation policy implications of the NDC.

Adaptation Fund Project. Some GACCES members are on the national M&E committee for implementation of Ghana's single Adaptation Fund (AF) project and have tracked the implementation of the AF from work planning onwards. ABANTU, together with CSOs such as CDA, demanded more transparency in the implementation of local AF project activities. Specific asks included informed and explicit community consent, and for allocation of more financial resources for MDAs to address local climate change adaptation challenges and opportunities. Advocacy for accountable, transparent and effective allocation and use of funds in support of CBA actions resulted in the publicly declared revision of the National Advisory Committee (NAC) operational manual to include an additional CSO representative on gender interests. This followed direct lobbying and a press release to decry what was considered lack of accountability.

Budget analysis. ABANTU commissioned a consultant to analyse the Ghana national budget statements from 2014-2016 from a climate change and gender perspective. The report presented a track record of budget allocations and expenditure by key ministries, departments and agencies (MDAs) on climate change adaptation and gender issues at a workshop of CSOs and media. The report acted as an accountability mechanism for ensuring that MDAs increase their expenditure on adaptation activities. Major sectors such as roads and housing, mining, and trade and industries, which have high potential of impacting negatively on the environment, had low budget allocations for addressing climate change issues. ABANTU were able to raise the issue that government institutions appear to be more climate insensitive in their budgeting as compared to two years earlier.

Civil Society Advocacy. The GACCES advocacy strategy lays out how tracking of adaptation finance will be done using a JPA-adapted score card in which district officials will be trained, in addition to training on the more recent AGPs. GACCES held a validation workshop on its advocacy strategy with other projects and networks, at which they shared experiences on advocacy with Transparency International Kenya, which hosts the Kenya finance and governance network (see above). ALP and PACJA supported this opportunity for cross-country CSO-sharing of expertise and knowledge.

An SDG13 ('Climate Action') CSO Platform has been set up by ALP Ghana with the Kasa Climate Change Working Group as chair. The platform is an open forum for knowledge sharing with potential for reaching out to broader civil society in relation to roles in the GCF. GACCES, GCCC, Ghana CAN, and Kasa Climate Change Working Group are all members, which provided an intentional opportunity for continued cross-CSO coordination and learning also with a view to securing the sustainability of the climate advocacy outcomes under ALP.

ABANTU and GACCES encouraged the Minister for Gender, Children and Social Protection (MoGCSP) to take an interest in the climate change discussions and influence decisions from a gender perspective and be represented on the National Implementation Strategy Team (NIST) for the GH-NDCs.

In **Niger**, ALP supported the **National CSO Platform for Climate Change and Sustainable Development** (National Plateforme de la Société Civile sur le Changement Climatique et le Développement Durable, PFSC/CC/DD). The CSO platform emerged from three previous networks to allow for a CSO network dedicated to adaptation. The network conducted a rapid advocacy assessment workshop in 2015, raising a need for more open communication and responsiveness of the network to members. They made plans for a reorganization of its structure, but have continued to face challenges in mobilizing members of the network for planning of activities. The platform is closely linked to PACJA and to youth networks across Africa. For some time, the platform focused on its internal network issues, which led to development of its advocacy strategy around the issue of climate finance. **The Platform Advocacy strategy** was developed and finalized and validated with a strategic plan in January 2017. ALP and the CSO Platform facilitated a two-day workshop and training for their

members on the Joint Principles for Adaptation (JPA) and CBA. The platform promoted CBA in the second national youth forum as a key issue for youth and development.

The Civil Society Platform on Climate Change and Sustainable Development (PFSC/CC/DD) drove the initiative in Niger to create a **National Climate Fund**, i.e. the Fonds Climat Niger (FCN). This is an innovative financing mechanism to support climate change-related activities that reach the local level. The objective was to bring the government and policymakers together to take charge of adaptation through the national budget and to create national ownership of climate finance. The idea for the creation of this fund was strongly inspired by arguments and evidence from the community-based adaptation approach (CBA), which was used to persuade the Nigerian parliamentarians to accept and vote for the law establishing the Niger climate fund. It will ultimately be promulgated by the president of Niger. Advocacy with the National Assembly of Niger, CNEDD, and the Ministry of Environment were needed.

To achieve this and implementing their strategy, the Civil Society Platform embarked on a series of actions:

- Conducted a feasibility study to set up an innovative financing mechanism for actions to combat climate change in Niger (resulted in the National Climate Fund). It studied how climate finance could be better reflected in the national budget and potential mechanisms of finance under the national Fund. The study was shared with the technical advisors to the government parliamentary committee on environment, DRR and climate change.
- Hosted one parliamentarian to attend COP22 and a dinner hosted by the Southern Voices programme in Marrakech. This exposure helped in the successful organization of a parliamentary day in Niamey during which the AGP and JPA were shared, discussions were held with the parliamentarian commission on DRR, and meetings took place with ministers for ensuring budgets reach to local level.
- Promoted the fund idea through the parliamentary committee at the same time as hosting media debates on community radios and television for wide coverage.
- Drafted the bill with support from parliamentarians and hosted a validation workshop where the draft bill was formally submitted to the Ministry of Environment and Sustainable Development. The event was given coverage by national media. The ministry confirmed their enthusiastic interest to present the draft to the national assembly, which is already conversant through earlier engagements with parliamentarians.

The process of consultation and final formal submission has increased the government respect for civil society engagement. Challenges continue to constrain the effectiveness of the CSO Platform in their advocacy for the financing of community-based adaptation to climate change at local and national level. The network capacity is still weak in terms of bringing together the constituent networks and organisational members into a single structure, and funding for their activities is low. CARE Niger is the only technical and financial partner that accompanies the structure through capacity building on advocacy, community-based adaptation, etc. With these constraints and lack of national progress on actual climate finance, the platform has not engaged in tracking finance flows or demanding accountability. However, the success with the National Climate Change Fund and goodwill among other actors opens the way for civil society to progress on improving adaptation finance and following direct access and adaptation good practice principles.

Output Indicator 3.3 – Global civil society organisations advocating in the UNFCCC agreement process for CBA

ALP and CSO partners participated in a range of ways at UNFCCC COP21 in Paris and COP22 in Marrakech. African CSOs, governments and international agencies, including ALP, focused energy on ensuring a positive outcome in the Paris Agreement, i.e. a fair, equitable, sustainable and ambitious climate agreement that meets the needs of the most vulnerable people in Africa. ALP's strategy in both the COPs and the Bonn intersessional meetings was to engage i) at all levels, nationally, regionally, and globally; ii) directly as an international NGO through CARE, and through support to CSO activism; iii) in the negotiations themselves on adaptation-related text and issues with key African partners (finance, capacity, Article 2, Nairobi Work Programme, the Africa Negotiators Group, agriculture, gender, etc.); and iv) chairing and presenting at a wide range of the many sessions and side events in several build-up workshops and at the COP events.

PACJA continued to demonstrate its position as a leader and convener among African CSO networks leading up to, during and after the COPs. Information sharing and consultations have been enhanced among PACJA network members including the ALP CSO partner networks. PACJA continued to lobby regionally through working on adaptation finance tracking tool, participating as an observer at GCF board meetings, preparing CSO position papers ahead of AMCEN and the COPs, and hosting side events with CSOs at strategic events. In 2016, those supported by ALP were CCDAV in Zimbabwe, AMCEN in Cairo, CSO pre-workshop and CCDAVI in Ethiopia, and COP22. PACJA's 2016-2020 Strategic Plan was endorsed and adopted during 2016 AMCEN in Cairo by the PACJA Assembly including a component on holding governments accountable by tracking adaptation funds. PACJA's strategy focuses on support to national-level CSO networks and national-level PACJA members to enable their advocacy and budget tracking. At the Climate Change and Development in Africa conference – CCDAV and CCDAVI – PACJA focused on adaptation advocacy at the regional level including CBA messages in the presentations made during a Pre-CCDA consultative workshop jointly organized by PACJA and World Resources Institute to develop key messages on adaptation and adaptation finance, and again at the CCDA conference sessions. PACJA participated in pre-COP meetings in Kenya and partners attended national ones in their countries, where they developed key messages and had a capacity building and strategy development session. ALP also participated as key resource. At COP22, PACJA held media conferences, pushing for finance to be fair and sufficient, especially for adaptation, demonstrating the deficit in financial commitments to adaptation, in addition to addressing other key technical, capacity building and transparency issues. ALP support to PACJA was in the development of the adaptation section of the national CSO position paper and analysis of the national Kenya government position paper as presented by the Climate Change Directorate ahead of both the AMCEN and COP22.

PACJA convened the African regional civil society post-COP22 and pre-Bonn UNFCCC-SB46 consultative workshop in Kampala, Uganda in April 2017, aiming to:

- Interrogate the COP22 outcomes, implementation of individual countries' NDCs and challenges thereof, emerging geopolitical obstacles and their interface with the agenda of the Bonn climate change conference.
- To deeply examine, identify and define the action agenda for different stakeholders towards the UNFCCC SBI/SBSTA 46 and in the build-up to COP23. This was done for policy makers (parliamentarians), civil society, and government negotiators to build a strong and unified African voice moving forward.
- To formulate concrete recommendations for the African Group of Negotiators as input to the African position to the Bonn climate change conference. A discussion paper on key provisions of the Paris Agreement was developed and shared among potential participants ahead of the workshop. CSO messages emphasised the need for increased commitment and finance to adaptation, implementation and review modalities of the Paris Agreement, Nationally Determined Contributions (NDCs), and the Adaptation goal. Policy messages on Adaptation finance were to provide the required capacity building support to assist developing country parties to meet their NDCs adaptation commitments in the agreement (Article 11 of the Paris Agreement), stronger adaptation communications and NAPs, and that 'the Adaptation Fund should continue to serve the Paris Agreement'. Messaging was targeted at the development of the Paris Rule Book, which will ultimately determine the standards against which implementation and performance of the Paris Agreement are set and judged. The messages informed the African CSOs recommendations and position to the May 2017 Bonn UNFCCC-SBI46, the African Group of Negotiators (AGN) at the SB46, and COP 23. PACJA participated and supported other CSOs to join in global level discussions, the GCF-CSO listserve and coordination calls, which feed directly into the CSO position at the GCF Board meetings.

PACJA members across Africa have integrated community-based adaptation through the PACJA national platforms as part of their messages on adaptation strategies. The ALP/ALAP national CSO partners shared their community and national experiences in these platforms. Strengthened links between PACJA, Southern Voices, Transparency International, and through the GCF CSO Readiness project also with CISONECC and ENDA, and

their common agenda of adaptation finance access and governance are strengthening the collective voice of CSOs across Africa.

National CSO action towards UNFCCC COPs. ALP supported delegations in ALP countries in advance of the COPs, together with PACJA and national CSOs. Building on past years engagement, ALP staff were accredited as official delegates in Kenya and Niger. CSO network partners in all three countries also gained accreditation either as government officials or through PACJA as CSO observers to the negotiations. This gave them increased access to dialogue in preparing positions in the build-up to Paris.

In **Kenya**, ALP inputs supported the development of the Kenya CSO COP21 position paper, the Kenya national position paper, and ensured that CBA messaging on gender and accountable and transparent finance that reaches the most vulnerable was included in all documents. ALP supported two members from the climate change secretariat to attend COP21 and COP22, which increased voice and leverage for the CBA messages. In 2016, ALP CBA messages on gender and adaptation financing were included in the Kenya CSO position paper, the Kenya national position paper, and the CARE COP22 expectations, briefing and position papers. ALP Kenya supported two Kenya pre-COP workshops on adaptation and finance. It also participated in three more on agriculture, gender, and general strategic planning to raise awareness and improve the capacity of CSO partners to engage in the UNFCCC process. The GCCWG Network members participated in the 2017 Bonn intersessional meeting following gender and climate adaptation agendas, finance and technology and kept other network members informed through the GCCWG Google Group and Whatsapp. These communication mechanisms reach all members in an interactive way and are a good incentive for maintaining momentum of advocacy action. GCCWG are becoming experienced in CBA, which also informed their advocacy strategy. Hence the messages brought to the Kenya negotiation team and to the UNFCCC meetings are informed by CBA knowledge and evidence.

In **Ghana**, ABANTU are building the capacity of other CSOs in Mali, Burkina Faso, etc. ABANTU wrote a chapter in and gave inputs to the development of a book on climate financing, which includes lessons drawn from their CBA work and advocacy. ABANTU hosts the national PACJA platform in Ghana through which they have disseminated CBA learning and messages for advocacy. ABANTU organised a pre-COP event in collaboration with the Institute of Environment and Sanitation Studies (IESS) of the University of Ghana, the Media Platform on Environment and Climate Change (MPEC Ghana), and the French Embassy. Participants were drawn from GACCES, GCCC, the Ghana-CAN network, the media, and academia. Critical issues such as the promotion of inclusiveness in terms of adaptation and gender particularly in the INDCs were discussed by seasoned researchers and negotiators.

In **Niger**, the COP21 build-up provided an opportunity to profile the work of ALP and continue the process of political dialogue and networking with key institutions in Niger. Niger pre-COP workshops were held jointly with the government and the CSO Platform in 2015 and 2016, with the platform as official secretary, reflecting ongoing recognition of the platform by the government. The platform is increasingly sought by sub-regional, regional (ECOWAS), and some international bodies for sharing their experience on advocating for the creation of a national Niger Climate Change Fund.

Africa regional preparation towards COP21 and COP22. ALP supported the formulation of key regional advocacy messages on adaptation based on evidence and practical approaches from national ALP and CSO experiences and African CSO positions. These in turn influenced international CSO positions and the African delegations. ALP supported participation in the second African CSO Winter School on the Ad Hoc Working Group of the Durban Platform (ADP) co-hosted by Heinrich Böll Foundation and PACJA in South Africa in September 2015. In October, the ACPC-hosted CCDAV focused specifically on Article 2 of the proposed climate agreement. African CSOs developed positions on adaptation finance and developed consensus on priority areas in the agreement for Africa, such as equal focus on mitigation and adaptation, Loss and Damage as a stand-alone article, emphasis on the means of implementation for adaption (finance, capacity building, technology transfer, etc.), and inclusion of gender. Also discussed at the events was how to achieve an ambitious deal at COP21 that delivers on these.

The relationship between CSOs and the African Group of Negotiators (AGN) has strengthened. The AGN has become more engaged and open to CSO inputs. It is more willing to participate in CSO events and include CSOs on official delegations to share intelligence on negotiation status, expectations on contentious issues across the negotiating blocks, how best to package messages and what channels to use in order to have the most impact in influencing the negotiations. Ahead of the COP22, ALP gave technical support to the African Group of Negotiators Expert Group on the development of a draft decision on agriculture. ALP's contribution focused on ensuring gender considerations and differential vulnerability in agriculture, the inclusion of smallholder farmers' needs and priorities, as well as ensuring people-centred approaches in addition to technology-focused ones. The resulting decision provided the basis for the AGN on agriculture negotiations in COP22. ALP contributed to the African working group on gender in advance of and at COP22, elaborating demands and working with the co-chair of the global gender negotiations. Key messages were reflected in the discussions, including at learning forums for women negotiators as well as gender specific reporting from countries in their national communications. ALP attended the pre-Bonn meeting of the regional AGN and their expert group (AGNES) to review and update positions following COP22. At the CCDAV conference, ALP presented CBA messages on integration into planning, climate information services, and gender equality to the range of delegates. At the CCDAVI conference, ALP presented on climate services.

Participation in COP21 and COP22

ALP and CSO partner representatives participated as official delegates and observers in COP21 and COP22. ALP participated as a part of the global CARE UNFCCC team. ALP supported participation of CSOs from all ALP countries and others involved in the GCF CSO Readiness project from Malawi and The Democratic Republic of the Congo. They followed negotiations in the areas of adaptation, climate finance, and gender and interacted with the Africa Group, G77 + China, and LDCs.

ALP hosted three side events at COP21 at the Africa Pavilion, the EU pavilion (with PACJA), and the Generation Space for CSO events. All had the emphasis on how adaptation finance can reach those most vulnerable to climate change through good adaptation practice. ALP spoke in a range of other side events hosted at the Generation Space, Global Landscape Forum, and Development and Climate Days particularly on scaling adaptation, gender equality in CBA, climate information services, climate finance, and gender issues with CCAFS, PACJA, WRI, CARE, Kenya Climate Change Directorate, and others. Following the Paris Agreement, the focus at COP22 was on ensuring fair and effective implementation of the adaptation-related commitments.

At COP22, ALP launched the Adaptation Good Practice Checklist (AGP) in two side events, one of which was conducted with the Kenyan Government. ALP also had discussions with the GCF and AF about the application of the checklist by accredited entities and implementing partners. ALP shared learning and evidence as panellists in other events including the Development and Climate Days and side events hosted by CCAFS and UK Met. Here, ALP shared on gender integration in CBA, adaptation planning, and climate information services. ALP has continued to contribute learning and evidence to calls for submissions to the Adaptation Committee, most recently on livelihoods and economic diversification, adaptation M&E, and gender. Key messages included in these submissions were on the value of CBA as an essential approach in achieving resilience, helping to influence the strategic focus and direction of Adaptation Committee and the content of the technical support and guidance they provide to parties. ALP CSO partners at the COPs promoted CBA goals and successful approaches to a broad audience using lessons from their national contexts. For example, IEWM, TI and PACJA worked together with ALP on the Kenya agenda and pan-African issues of accountability, transparency and climate finance tracking. Lessons on CBA for inclusive development were shared by ABANTU and their member, CDA, during side events and other bilateral and multilateral platforms during COP21. Ten people from the Niger CSO Platform attended COP22 and followed issues of gender, loss and damage, technology, finance, and youth, working closely with PACJA. The platform hosted a Nigerien parliamentarian at COP22 to participate in meetings and negotiations, a side event organized by Niger where adaptation projects were presented, and in a Southern Voices meeting. Through the presence of ALP in the COPs, relations were made or strengthened with direct opportunities to share experiences from vulnerable people in Africa and influence high-level delegates on CBA and gender equality, inclusion, CBA planning, and adaptation strategies.

The COPs provide opportunities for African CSOs to network, building links across PACJA, ALP and Southern Voices, learn from their peers and from side events, and build their capacity and confidence to understand and influence the content and process of the UNFCCC agreement. See Annex 4 for details of ALP contribution to COP side events and negotiations.

CSO engagement globally with AF and GCF. In response to the GCF observer guidelines, CARE with input from ALP submitted the 'Joint CSO Submission on Issues to be Addressed and Improved in a Comprehensive Review of the Participation of Observers in the Activities of the GCF Board' petition for consideration by the GCF Board. This work was done together with CAN International and led by Heinrich Böll Foundation US and Friends of the Earth US. The submission calls for more funded participation of Southern CSO observer organisations to the GCF, and more transparency in GCF Board decision making processes, including timely access to information by observers. Among others, PACJA and three Ghanaian CSOs have now been accredited as observers to the GCF, two of which are GACCES members. ALP had some dialogue with GCF readiness programmes managed by World Resources Institute, WRI, CDKN, the Africa Climate Change Fund (ACCF) of AfDB, and the emerging community of practice of African accredited entities for AF and GCF with the aim to introduce and use the Adaptation Good Practice checklist and assist the community of practice to start focusing on quality adaptation programmes. The AF and GCF Board secretariats acknowledged at COP22 that there is a gap in quality and effectiveness as the impact to date has been on fiduciary procedures.

With ALP support, CARE succeeded in accessing new funding for support to CSOs in Africa, implemented by CARE and GermanWatch, PACJA Africa-wide and national CSOs for lobbying on GCF and adaptation priorities in Kenya, Ghana and Malawi. The approach to strengthening civil society advocacy on climate finance, particularly under the GCF builds on ALP's work. An inception meeting was held at COP22 and the project started up in 2017.

Analysis of results and key lessons for output 3

Direct access to adaptation finance. Implementation of adaptation projects in Kenya, Ghana and Niger funded through global climate finance is in early phases. ALP's experience has shown that it is possible to influence initial implementation phases of major adaptation projects such that they integrate CBA approaches, even though these features may have been absent at the design and approval stage. ALP has had significant influence on national climate policy processes including NAPs and adaptation proposals to AF and GCF. Kenya is the only ALP country benefiting from direct access, although at a small scale. Influencing financing for direct and enhanced direct access, which results in implementation of CBA, in which communities participate and decide their action plans, was not possible. The countries and the financial flows from GCF have not yet reached this stage and have not been fully open to the paradigm shift needed to bring decisions to the lowest possible level. Sector silos and the fact that NAPs are encouraged to relate to sectorial development plans add to the problem. While the AGPs were tested and appreciated in all ALP countries and at COP22, ALP was not able to move forward to using the checklist in the context of NAP roll out, GCF readiness, proposal development, or GCF proposal reviews. This was a factor of the AF and GCF not yet being ready for good practice-based criteria for proposal quality, and insufficient time and reduced staff capacity as ALP came to an end to both elaborate the AGP and engage in the ongoing AF and GCF processes in-country. The GCF and AF arena is also highly complex and crowded with readiness and procedural compliance support. ALP and the CSO partners nationally focused national advocacy efforts on policy dialogue, NAPs and UNFCCC processes with the intention of influencing national policy and plans. Opportunities used to overcome these issues were to link with sub-national development planning and climate services, where multi-stakeholder and cross-sector platforms are feasible. The rhetoric is increasingly towards multi-stakeholder action for adaptation and climate resilience, using climate services to support the nexus between development, DRR, and humanitarian response. However, national government budgeting in the context of the GCF's adaptation focus areas has not extended yet to the needed resourcing of flexible and anticipatory decision-making processes.

The achievement of the Paris Agreement and the positive focus of a goal on adaptation and on limiting temperature increase to 1.5°C amongst other issues were a result of collective effort from the CSOs, parties,

media, and creation of awareness and messaging through side events. In Marrakech, CSOs built on the success of COP21 and these relationships and engagement in the negotiations to push for principles which uphold gender equality and rights of smallholder farmers, fair and accountable implementation of the Paris Agreement, and increased commitments to financing adaptation and Loss and Damage. In addition, gains were made in ensuring CSO representation at the highest decision making levels of UNFCCC and GCF. CARE is respected for its contribution to the interface between adaptation, food security, and gender equality. CARE's messages in the COPs focused on the importance of empowerment through adaptive capacity building linked to concrete adaptation livelihood strategies (in agriculture, financial services, water, etc.) and to risk management.

ALP strengthened CSOs to promote enhanced transparency and accountability in the governance of adaptation finance by working with CSOs and networks and supporting them to play a watchdog role nationally and locally. Overall, the national CSO networks demonstrated the value of joint advocacy campaigning and lobbying within and among networks to achieve greater influence. All networks found an advantage in the increased access to the information and knowledge they gained from networking and from their relationships with ALP, other INGOs, and the UNFCCC process, which reinforce credibility and voice back home. A challenge in the past has been inconsistent participation of CSO members in regional and international events. Support from PACJA and ALP, and PACJA's wide links has enabled national CSOs to voice their concerns and contribute to international policy processes related to climate change at home and through regional engagement and to share their learning with a wide-ranging audience. Participation in international events has also allowed national organisations to establish linkages with international networks like WEDO and CAN International for membership and engagement on international issues related to gender and climate change. International exposure and participation at UNFCCC has also strengthened respect and relationships between CSOs and national government.

In ALP countries, one learning was that while national CSOs can successfully influence policy, implementation and finance, on the other hand, require on the ground monitoring. The CSO networks with local members have an advantage in this, but often they lack capacity and access to information to fully track financial flows and work collectively with national partners. There will be a need to develop relationships, tools and mandates for this, which can build on the ongoing initiatives for national climate funds in Niger and Kenya. Working with the CSO networks also raised the need for a flexible and responsive advocacy strategy, which can accommodate new developments from the UNFCCC, national policy and programmes, the widening or narrowing space given to CSOs in public forums and policy processes, and new, changing and diverse CSO goals and capacities. In Ghana and Kenya, CSOs have faced challenges in bringing together the multiple networks and platforms. In these countries, governments have reached out to include CARE and/or CSOs in national committees and coordination for adaptation.

4.2 RESULTS FOR OUTPUT 4

Learning, evidence and capacity support is contributing to adoption of CBA in policy and practice in Africa

Output 4	Indicator 4.1	Milestone December 2015
Learning, evidence and capacity support is contributing to adoption of CBA in policy and practice in Africa	Extent to which learning events and studies demonstrate value of CBA in achieving resilient development and risk management in African drylands, particularly for women.	2016: Co-generated learning and evidence with national and Africa regional government, NGOs, research and private sector demonstrates value of CBA principles and reflects impacts from ALP learning events and studies. 2017: Evidence of CBA principles and approaches being referenced in dialogue, publications and programmes in the West and East African (Sahel and Horn of Africa) region on adaptation, drought resilience, DRR and/or climate smart agriculture.
	Indicator 4.2	

	Opportunities are created and tested for on-going CBA learning and capacity development accessible to adaptation practitioners in Africa.	2016: 2 training institutions with plans in place to incorporate CBA into training curricula relevant for adaptation practitioners and policy makers. 1 Scoping study on potential for a learning and innovation hub 2017: Learning and innovation hub/ initiative designed with African learning institutions, communities of practice and other interested stakeholders

Output 4 focused on making CBA learning and evidence accessible to stakeholders in Africa and globally. ALP used a strategy of brokering linkages and facilitating dialogue between practitioners, research and policy decision makers, and between climate science producers, users and intermediary organisations in the three targeted ALP countries, and across Africa to foster a culture of learning. Efforts were made to promote adaptation learning and climate knowledge brokering as central and critical to successful resilience outcomes, recognizing the need for ongoing adaptation to an uncertain future climate.

Output indicator 4.1 – Learning and evidence demonstrates value of CBA in achieving resilient development and risk management in African dry lands, particularly for women

Outcome mapping and monitoring

ALP used an outcome mapping approach to design and plan the ALP extension, building on the findings and recommendations from the ALP final evaluation, and an initial programme mapping exercise. This was followed by in-country mapping of actors and the links and routes of influence between them conducted by the ALP teams and core existing or expected partners. Outcome mapping was most helpful for outputs 2 and 3, which had the aim to influence adoption of CBA by other actors at scale, in programmes, policy, and finance decisions. Boundary partners were selected for these outputs in each country, who were subsequently engaged in ALP activities and ALP planning, monitoring and reflection meetings. Outcome mapping assisted the teams to link the objectives of the ALP extension to the changes that would be needed among these key stakeholders from local to global level. Output 1 stakeholders broadly work together to impact on community beneficiaries. Outcome mapping for output 4 generated a list of potential institutions and programmes for further exploration. Outcome mapping also helped identify roles of individuals, groups and organizations and the types of activities necessary to influence the change required to achieve ALP's overall goal and purpose. This guided strategic planning for developing relationships, partnerships and actions at the above country level. For output 1, the GCVCA exercises were used to produce new baseline data for new communities and local government areas with collection of some additional baseline information for new indicators and milestones.

ALP built on the monitoring systems developed in the first five years of ALP and elaborated them in line with the outcome mapping approach and the revised logframe. Reporting templates and accompanying guidance for monitoring the ALP extension logframe were developed and used by the country teams. The ALP guidelines for regular stakeholder reflection meetings and accompanying M&E questions were modified to incorporate dialogue on progress towards desired changes among boundary partners. Guidelines for annual evaluative exercises, which monitor changes in knowledge, attitude and practice were also updated. ALP attempted to also use thematic work streams to encourage exchange between the three countries as well as with the programme coordination team. However, this proved to be demanding on staff time and did not lead to the expected added value. The coordination team therefore continued to lead the strategic direction at programme level and to hold discussions and visits with each country to bring them into play at country level.

Learning and evidence generation

ALP has developed a learning, evidence and capacity building strategy to guide strategic decisions and plans in relation to learning, capacity building, monitoring, evidence, and documentation for the extension. The strategy outlined approaches to learning on effective capacity building approaches such that training events formed only one of a range of activities that included learning by doing and social learning opportunities. The strategy included a documentation plan with programme-wide learning themes, target audiences and

documentation priorities for thematic knowledge products. It laid out the approach for linking with training institutes and conducting CBA trainings and learning events including scoping out potential for Africa adaptation learning coordination. The ALP mid-year retreat in 2016 focused on team learning and reflection on the underlying requirements for CBA practitioners to be successful, in particular facilitation skills, facilitation of learning, leading change, and decision making. This retreat theme emerged from ALP experiences supporting scaling up of CBA approaches such as CAAP and PSP, where it was clear that successful outcomes were highly dependent on the skill of the facilitator of the planning, climate services and decision-making processes involved. ALP realised the need to ensure these skills are visible, recognised as key to achieving quality of adaptation approaches, and consciously acquired. ALP evolved its social learning approach since 2011 when CCAFS elaborated this in relation to climate change. Since then, all ALP events and facilitation of learning have followed this approach. Co-production or co-development have become increasingly popular particularly terms in the climate services space, and ALP experiences with social learning in PSPs are an excellent example. The choice of outcome mapping was partly due to its ability to structure interactive multi-stakeholder processes. The discussions at the retreat shaped the strategy for learning and training to include a clearer climate knowledge brokering focus bringing social learning, facilitation of CBA processes, documentation and evidence together (see output 4.2) At the same retreat, strategic roadmaps for each output and for the learning and capacity building strategy for the final year of ALP were developed. The ALP annual meeting in late 2016 reinforced and adapted the roadmaps and developed plans for the remaining period of the extension. The annual meeting shared learning across the ALP programme on progress in each country in CBA innovation (output 1) and scaling through mainstreaming, capacity building and influencing (outputs 2 and 3). Progress was linked to the AGP checklist, the results of a CBA adoption survey and planned capacity and learning events. The team planned for securing ALP's legacy and linking ALP learning to future opportunities development. Held in Niger, the ALP teams visited the BRACED Niger project to learn first-hand how CBA approaches have been adopted and adapted from ALP.

Collaborative research. In addition to ALP using a social and experiential learning approach where multiple stakeholders learn from and with each other in order to develop new knowledge together, it also implemented plans to generate knowledge and evidence from more conventional research-based learning. Based on recommendations of the ALP final evaluation and discussions around evidence needs, which would reinforce the case for adaptation good practices and promote the adoption and up-scaling of CBA approaches, three studies were undertaken: i) an assessment of value and impact of the PSPs and climate information services promoted by ALP (reported under output 2.1); ii) exploring the value and contribution of adaptive capacity for resilient development in Ghana (reported under output 1 analysis of results); and iii) a follow-up online survey on CBA adoption and its impact by participants in ALP learning events up to 2016 (reported under output 2 analysis of results).

ALP developed collaborative work with a number of research entities. In Ghana, ALP partnered with the University of Utrecht, which conducted research in ALP sites in Northern Ghana, using ALP CBA approaches as basis of analysis and drawing references from the ALP publications and documentations. Researchers from these studies conducted the ALP commissioned adaptive capacity study to build on the local knowledge they already had and strengthen the link to a university. ALP also collaborated with the Walker Institute of the University of Reading in global climate services dialogue and on the ground in Ghana with GMET and the water resources institute in a NERC research project, 'Building understanding of climate variability into the planning of groundwater supplies from low storage aquifers in Africa' (BRAVE2), and in relation to PICSA led by Reading as part of the CCAFS flagship on climate services. CCAFS continued to be a key partner at regional and global level. ALP climate services work and the link to WISER led to strong links with UK Met Office and IRI Columbia University. ALP influenced BRACED thinking in climate services and reviewed a report produced by ODI on the changing role of NGO's in supporting climate services, which underscores the value of climate services in achieving resilience in Africa and, more importantly, the role of 'brokers' like ALP.

Communicating ALP learning

The adoption survey report summarizes capacity building demand and impacts of ALP capacity building from 2010 to 2016 as reported under 2.2 and in Annex 3. Beyond capacity building and training events, from 2015,

ALP hosted and participated in a range of national to global learning events sharing ALP adaptation, resilience and climate services learning and publications with African and global audiences:

Regional to Global learning events

1. **ALP hosted two trainings on adaptation and climate resilience in practice** for francophone West Africa and for East, Southern, Horn of Africa and West Africa Anglophone countries (see output 2.2).
2. **ALP hosted the Africa Learning Forum on Adaptation (ALFA 2017)** with IDRC, CKB, ENDA and others (see output 4.2).
3. **IIED CBA10 and CBA 11 conferences.** ALP shared learning on adaptive capacity in context of urban resilience and co-hosted a session on climate info services in 2016 and shared findings from the Ghana adaptive capacity study in 2017, relating CBA and Ecosystems based Adaptation (EbA) approaches.
4. **CARE Horn of Africa Learning Event on Resilience** attended by CARE staff from the Africa regional office, Somalia, South Sudan, Ethiopia and Kenya, and a regional CARE enhancing pastoralists' resilience workshop on defining and prioritising pastoralist value chains and market systems in the Horn of Africa. ALP exhibited its Kenya work in the market place, facilitated sessions on CBA, provided technical support on adaptation and development of a pastoralist causal model for CARE's work in the Horn of Africa.
5. **ALP delivered three learning sessions for DFID** and key external stakeholders on i) achieving adaptation at scale through local development and sectoral planning: how to ensure good practice and access to finance ii) learning about learning: why effective learning and knowledge management is essential for climate resilience, and iii) making sure users get the climate information they need for decision making: bridging the gap in demand driven user-based climate information services.
6. **ALP presented at Adaptation Futures Conference 2016** in Rotterdam on CBA approaches and CAAPs.
7. **At COP21 and COP22**, ALP presented learning on CBA in several side events and the Development and Climate Days, teaming up with IDRC, UK Met Office, BRACED, CDKN, CCAFS, IFAD, and the Kenya government (see output 3.3 and Annex 4 for details).
8. **ALP presented climate information services** work and user-based knowledge value chain to DFID at a GFCS learning event, GHACOF44 in Uganda, the Africa Climate Policy Centre (ACPC) hosted CCDAV and CCDAV1 conferences, the National Climate Information Service Providers Stocktake, El Niño conference 2015, COP22, WISER strategic and knowledge management workshops with ICPAC and ACPC, in the curriculum of an IMTR training for Kenya NMHS, and at the International Conference on Climate Services 5 in 2017. Events focusing on climate information are increasing and with an increasing range of stakeholders and non-climate science stakeholders with focus on user needs and the role of brokers (see output 2.1).
9. **Dialogue on ALP approaches in BRACED learning events** and with climate services providers in the Sahel.

National learning events

1. **Learning events in Kenya** brought farmers from Embu to Makueni and GCCWG members to communities in Kajiado, in both cases highlighting the climate change impacts being experienced and the adaptation actions prioritised and being taken to address them.
2. ALP Ghana organized a **policy learning route** to the CBA sites in the Garu-Tempane District (see output 3.1).
3. The **Northern Ghana interagency group of NGOs and adaptation programmes** hosted by ALP with Oxfam and GIZ continued to hold meetings to receive updates on climate finance from the MOF (NDA), developments in climate information, and discuss how to localise SDGs to the district level.
4. In Niger, ALP and BRACED joined together to host a **Round Table** on the theme, 'Community Strategies for Resilience to Climate Vulnerabilities: Successes, Limits and Proposals for Improvement'. The event aimed to strengthen the intervention strategies of BRACED-PRESENCES and other resilience initiatives carried out by the sector's key stakeholders at the national level. AGRYHMET, DMN, staff of ALP and BRACED, commune representatives, CBA project staff from CNEDD, ENDA, M / DC / AT, Oxfam, AREN, and IDEE Dubara attended.

ALP documentation has deepened the evidence base, learning and credibility of the CBA approach, demonstrating and disseminating adaptation good practice and its contribution to resilient outcomes across

Africa. Documented learning and evidence provides lasting contributions to the body of knowledge on effective adaptation and helped to respond to increasing demands for capacity building resources and to convince adaptation finance and policy decision makers on what to prioritise. **Annex 1** provides the complete list of ALP publications from July 2015 to July 2017, including those produced by ALP and those produced by others which feature ALP. ALP focused on two types of publication, Practitioner Briefs to share practical how-to guidance and Learning Reports to share evidence of what works, changes and impacts. The Adaptation Good Practice checklist provides an umbrella to these. In regard to practical guidance, ALP contributed to other initiatives as well, such as developing CARE's global strategies for food and nutrition security, resilience and gender equality as core approaches to be mainstreamed in all CARE's work; World Bank/FAO/IFAD Gender in climate-smart agriculture source book; and a gender briefing note and case studies commissioned by GGCA and CIFOR respectively for the gender pavilion at the Global Landscapes Forum during COP21. A detailed how-to guide for implementing the PSP approach is under completion. The content of the publications draws from ALP experience, evidence and learning with others since 2010.

The publications were designed and published and many of them printed in time for disseminating at the key events at which ALP presented during the two-year period, as listed above. Training materials and links to ALP publications are hosted on the two regional training websites for easy access by participants and others, and on the ALFA website. ALP established a page on the WeADAPT platform to enable access to ALP publications. From analytics shared by WeADAPT in 2017, four publications had over 100 views, and two of these (the AGP checklist and the gender and adaptation learning report) had over 200 views. ALP publications have helped to draw attention to the importance of working on gender in the context of climate change and integrating climate services into resilience work, and in positioning ALP and CARE as the go-to organization for good practice approaches in these areas.

The ALP evaluation found 17 publications where ALP publications are referenced, six of them peer-reviewed, in research reports, books, online portals, organisation website resource pages, UNFCCC case studies, etc. The practitioner briefs and the two CIS briefs on PSP and 'Facing Uncertainty' are most widely referenced. In the ALP extension, ALP contributed to eight other non-ALP/non-CARE publications from the World Bank, CIFOR, Global Gender Climate Alliance (GGCA), Adaptation Committee, UNFCCC, ODI, IDRC/CARIAA, and others. ALP CBA approaches, in particular CVCA, CAAPs and PSP are included in numerous Africa-specific project and programme documents, three AF and GCF proposal documents, CARE country programmes on resilience, DRR and agriculture, USAID DFAP programmes in Ethiopia and Mali, BRACED Niger. At least eight INGO project and programme documents (STORRE, Harande, BRACED Niger, PRIME, CARE Uganda, CARE/PLAN Zimbabwe, Ethiopia DFAP, and Ethiopia Red Cross) contain CBA approaches. The ASDSP Phase 2 programme document in the Kenya Ministry of Agriculture Livestock and Fisheries is financing PSP in all 47 counties for another five years from 2017. Two WISER quick-starts (WISER Western and ENACTS) incorporated refinement and impact assessment of PSPs for early warning and agriculture decision making. See **Annex 1** for the full list of publications.

Output indicator 4.2 – Opportunities are created for on-going CBA learning and capacity development accessible to adaptation practitioners in Africa

ALP has consolidated and up-scaled learning on community-based adaptation in Africa in a range of areas related to DFID's engagement in climate change adaptation, climate information and resilience. ALP used two key activities to strengthen sustainable access to capacity for adaptation good practice including skills for facilitating learning and climate knowledge brokering: 1) through linking with training institutions developing curricula for adaptation, and 2) through scoping interest in establishing a coordination mechanism or learning exchange hub for African actors from practitioner, research, training, and policy and finance decision making organisations. The learning events and publications reported in 4.1 and the capacity building and training led by ALP in output 2 were key inputs to these two activities.

Training materials. The AGP checklist (see outputs 2.2 and 3.3) has potential as a foundation resource for training and curriculum development. Its use for this was tested in the Kenya CBA practitioners training course for government staff and CSO partners, trainings in Ghana and Niger, and the two regional trainings. The

checklist provides a useful summary for trainees to refer to and test their knowledge with, but does not easily translate into a training structure. The original CBA framework and the adaptive capacity framework were found to be more user-friendly for participatory training purposes. New uses emerged at the ALP annual meeting for CAAPs screening and developing communications targeted to communities (e.g. translate into Hausa and other local languages), and for monitoring and evaluating adaptation projects. A start was made, but further work is needed to elaborate the AGP checklist for practical and training use and link it with specific approaches, practitioner guides and training manuals from CARE and elsewhere. The two regional trainings established a set of useful training materials and power point presentations, which are open access. They are in use by some participant organisations but not yet within a training curriculum. The UNCCLearn MOOCs on adaptation for example developed with FAO on NAPs and agriculture have used material from ALP publications in their resources lists.

Collaboration with training institutes. A matrix of CBA capacity needs and potential providers in ALP countries and Africa-wide was developed as part of the outcome mapping process. Understanding the potential landscape and institutional interest was helped by a range of discussions with African and wider institutions at the African and global learning events, particularly at CCDAV, CBA10, and the COPs. Attempts were made to establish strategic partnerships with regional training institutions in developing tailor-made curricula on CBA approaches. Discussions took place with ACTS, MS Arusha, the Kenya Institute of Climate Change and Adaptation in the University of Nairobi, the Institute of Local Government Studies (ILGS) at the University of Development Studies in Ghana, ENDA Energie (West Africa), and the University of Maradi in Niger to scope interest in collaboration and links to ALP practical learning in their curricula. ALP was also invited to join training development efforts by other institutes, which proved to be more successful. Other institutes were not able to dedicate their own time and resources to working with ALP. They were not prioritising adaptation or preferred to continue with traditional academic approaches unless additional finance could be sourced.

In this light, ALP Kenya was invited by the national Climate Change Directorate to participate in the Kenya School of Government's development of a curriculum for integrating adaptation into local development plans at the county and other sub-national levels. The African Centre for Technology Studies started a regional training on the Green Climate Fund and invited ALP to be part of the design and to develop and deliver the adaptation session in the first training. ACTS continued to partner with ALP at ALFA 2017 and is one of 13 International Network of Climate Change Centres of Excellence and Think Tanks for Capacity Building (INCCCETT-4CB). The University of Nairobi Institute of Climate Change and Adaptation (ICCA) is developing a range of short and post graduate courses and have an interest to incorporate ALP's knowledge and learning on adaptation.

In Ghana, the University for Development Studies (UDS) invited ALP to discuss areas of collaboration and build CBA into their new academic program and department on climate change. CARE will participate in the development and design of two new graduate courses, one focused on climate information services and the other on climate change and sustainable development. The Wa and Nyamkpala campuses of UDS wrote formally to CARE Ghana requesting partnership in climate course development and the use of ALP documented resources, which they are using for research and teaching. UDS also sent students on placements to ALP site communities for their third trimester field work. The Institute of Local Government Studies (ILGS) agreed to partner with ALP to review ALP knowledge products on CBA and integrate them in their curriculum. However, it became clear that ILGS motivation and finances were too limited to proceed. Ghana has a national climate change learning strategy, which envisions a climate resilient nation by 2025, characterized by a population equipped with climate change knowledge and adaptation skills, resulting from enhanced public awareness, public participation and an enhanced education system. ALP's efforts to embed climate adaptation and CBA evidence into university curricula will help deliver on Ghana's ambitions on climate change learning.

Coordinating adaptation learning in Africa through ALFA 2017. Informal scoping discussions for a learning hub were held with WRI, CDKN, GCAP, the BRACED Knowledge Manager, ACPC, and several climate information actors looked at opportunities for coordinated learning, knowledge management and brokering for sustained learning and innovation on climate change adaptation. ALP attended an Africa Climate Knowledge Brokers workshop in Addis from which discussions with CKB hosted under CDKN continued. Rather

than commission a study, it was agreed to host an event at which participants could already experience the value of learning exchange and discuss the importance of social learning for realising quality and impactful adaptation and climate resilience in Africa. The aim was to bring together relevant learning institutes, practitioners and adaptation finance bodies across Africa to allow for a co-generation of ideas and cross exchange to support the foundation for coordination of future learning on adaptation in Africa. Convening an event aimed to enable both co-creation and African ownership of the outcome. This collective scoping and engagement would be more likely to lead to further action as well as creating linkages across disciplines and better knowledge of where and how to source African expertise. As noted above, universities are already starting to coordinate. The African NIEs for the AF and AEs for the GCF – most of which overlap – have also initiated a community of practice with support from WRI and AfDB, as referred in output 3.3. They plan to develop a roster of experts and enable cross-learning among themselves to improve their success with direct access to the funds. The missing piece was to link these two disciplines with each other and with practitioners such that existing practical learning and evidence could also inform research, training and finance decisions.

The **Africa Learning Forum on Adaptation (ALFA 2017)** was held in March 2017 to discuss options for sustained learning and knowledge brokering on adaptation in Africa. The collectively agreed ALFA 2017 objectives were:

To support **continuous adaptation learning,** towards…

1. **Adaptation knowledge into action:** drawing from successful adaptation initiatives, knowledge and evidence, and analysis of drivers and barriers.
2. **An African cadre of experts:** exchange on adaptation learning, capacity building and training opportunities in Africa, their current and future potential for sustainability and up-scaling.
3. **An enabling environment:** exploring ideas for improved coordination, continuous learning, knowledge brokering and exchange relating to adaptation decisions, capacity building and action.

ALFA was co funded by ALP, IDRC, ENDA Energie from the BRACED KM, and CDKN. It was organised by ALP, in collaboration with IDRC, ENDA Energie, CDKN, CKB, Makerere University, the African Centre for Technological Studies (ACTS), and CCAFS. ENDA Energie hosted the meeting in Saly, Senegal. This group of organisations and three recruited facilitators formed a core design team in order to create a social learning space and an interactive participant-led event which met the purpose. The core group worked together to select participants from the over 200 who registered interest, using criteria based on achieving a balance of countries, French/English speakers, gender, and the targeted disciplines. The event was planned to explicitly enable cross-exchange between francophone and Anglophone speakers. CDKN worked with CARE on the event communications.

76 participants from 52 adaptation policy, finance, practice, capacity building and research organisations across 23 countries in Africa attended the learning forum. Deliberations focused on how the reality of climate change poses a significant threat to Africa's sustainable development efforts and what can be done to respond effectively to the dynamic and uncertain impacts on vulnerable communities. Strengthening of ongoing and multi-actor learning structures and knowledge brokering mechanisms on adaptation emerged as an essential pre-condition to achieving climate resilient development in Africa. ALFA 2017 created a momentum for 'continued knowledge brokering between disciplines, sectors, government and non-government actors to ensure that adaptation initiatives, plans and financing have access to the quality knowledge, services, approaches and capacity needed to realise a climate resilient future for Africa'. Participants resolved that establishing an open and collaborative network of practitioners, policy and financiers, and strengthening the role and capacity of knowledge brokers is a critical step toward addressing African adaptation. The ALFA communique pledges commitment to adaptation good practice, relevant and effective finance and knowledge brokering for results. ALFA website link: https://sites.google.com/site/adaptationlearningforum2017/home.

Members of the African climate finance NIE and AE community of practice and African Development Bank participated in ALFA 2017 and convened a side meeting of approximately 40 participants to share information on the community of practice and progress towards direct and enhanced direct access to the GCF/AF. Interest was expressed in linking the ALFA core group with capacity building plans and development of training modules on effective adaptation for the accredited institutions.

Immediately after the ALFA workshop, a group of 15 participating organisations met to discuss how to take forward the interest created by ALFA and work towards developing an African learning hub for cross-exchange between policy, finance, practice, research, training, and strengthening of knowledge brokering capacity. This group worked together to prepare a communique for publicising the outcomes and communicating five core messages on adaptation learning, knowledge brokering and finance. The communique was shared by Makerere University at CBA11. Some discussions were held on linking the ALFA outcomes with LDC Universities Consortium on Climate Change (LUCCC) and the NIE/AE community of practice. ALFA participants attended the regional trainings hosted by ALP. The ALFA website and mailing list has since been maintained by CARE and CDKN.

ALFA also strengthened relations between key actors in ALP countries, for example from Kenya NEMA (the AF NIE and GCF AE), UNDP Kenya (GCF readiness), the Council of Governors executive commissioner for environment, the Kenya Institute for Public Policy Research & Analysis (KIPPRA), ACTS, CCAFS, and CARE. These actors had the opportunity to discuss taking forward cross-disciplinary learning in Kenya. The West Africa Grains Network based in Ghana, NADMO, and the Head of Strategy of the Ghana-based Africa Resilience Collaborative Centre, which supports Business-University Partnerships for Sustainable Development in Africa, attended. The latter contributed to the development of the communique, lending a new angle to potential links with private sector.

Since ALFA took place, several initiatives to coordinate research and university action on climate change have emerged. ACTS is hosting the African Sustainability Hub with STEPS and SEI, which will play a pan-African convening role for research users, enabling them to articulate priority research needs. The LUCCC was launched at CBA11 to support exchange between them, with Makerere University and Eduardo Mondlane University taking lead roles in Africa. SARUA is coordinating seven universities across Southern Africa. These initiatives emerged in the last six months of ALP and were shared during and after ALFA, but without opportunity to build on them.

Analysis of results and key lessons for output 4

Learning and knowledge brokering. ALP set up structures to ensure adaptation finance and programming in Africa can benefit from regional research and on-the-ground experience. ALFA 2017 validated levels of commitment to collective action to sustain learning and knowledge brokering. A number of participating NGOs and research institutes were unanimous in their willingness to find a sustainable way of collaboration and discussions continue. Appreciation of the role of learning and knowledge brokering as an essential and continuous component of adaptation and climate resilience has grown, as has demand for cross disciplinary exchange. ALFA outcomes are evidence of growing recognition that the core values and practices of CBA and knowledge brokering are mainstream adaptation actions that should be resourced in any adaptation programme. The goal of an Africa Learning Hub was ambitious, and ALP intended to kick start relations and dialogue towards this, enabling new ways of collective knowledge generation. The stage is set to build on these foundations both among African organisations, who could play a lead role, and among potential sources of future funding such as CARE, IDRC, CDKN, and BRACED. ALP prepared a 'Climate Learning Africa' concept note with inputs from a number of the ALFA core group organisations, which has been submitted by CARE to the Austria Development Agency, shared with DFID, and key elements incorporated into CARE Denmark's new Danida-funded programme. In the meantime, relations built at ALFA continue to be strengthened independently of ALP and CARE, as new initiatives like LUCC are established. However, the ALFA platform has created the possibility to ensure that CBA practitioners can share lessons and inform future implementation of climate adaptation measures. New funding would be needed to avoid the risk that these links and lessons learned could be lost.

Linked evidence and learning. Beyond ALFA, ALP experience shows that well-facilitated social learning events have been key to raising knowledge and use of ALP learning and publications by a wide range of organisations, and to co-generating knowledge that is documented by ALP and others. For example, ALP engagement in discourse on CBA and climate services through global forums like the International CBA conferences and ICCS5 in 2017 influenced ALP thinking and later development of approaches. CARE has become known for high-

quality people-centred adaptation and climate services. CARE was among the first INGOs to engage in climate services and is looked to for information on practical ways to reach the last mile. Coordination of knowledge management in climate services under the Global Framework for Climate Services (GFCS), African Ministerial Conference on Meteorology (AMCOMET), and ACPC, and support from WISER provide a potential opportunity to build on existing collaboration. ALFA adds the opportunity for cross-disciplinary learning exchange with community-level impacts and vulnerabilities at the centre.

To achieve this, ALP and partners needed to become better facilitators of change and of development of change leaders at community and local to national level, which was addressed at the 2016 retreat. ALP focused energy in publishing reports and policy briefs to inform stakeholders both on ALP activities and also on methodologies around CBA approaches, using the two-year extension to capture and share learning from six years of work from 2010.

5. Development of important assumptions and risks

ALP continued to pay attention to risks and assumptions that could or did affect the programme, mitigating these where possible. A record of how these played out in the extension phase with details of the development in risks and assumptions are provided in **Annex 5.**

6. Reflections and priorities for adaptation learning in Africa

This section builds on the output specific analysis of results and key lessons provided at the end of sub-sections 4.1 to 4.4. It presents some overarching reflections, which could be used to shape future programming by CARE and other agencies, both in relation to adaptation and also learning programmes more generally. ALP has worked at multiple levels and with a wide range of actors towards the goal of vulnerable communities becoming climate-resilient over the long term. A key value added of ALP was its ability to learn at all levels from community innovation and evidence to national and global civil society and policy engagement. The learning generated from the seven-year programme has contributed to global knowledge of community-based adaptation approaches and their importance for mainstream adaptation. ALP's understanding, approaches and activities evolved over the seven years alongside the evolution in thinking that took place within the development, climate change adaptation, and risk response sectors. In particular, ALP accompanied and contributed to the move towards climate resilience and climate services as critical issues and approaches for successful adaptation. ALP's core messages on reaching the most vulnerable through empowering their agency and organisation and through increasing equality as well as adaptive capacity did not change over time, but were enhanced with other messages which were finally captured in the Adaptation Good Practice checklist. ALP put a spotlight on the need to work with the reality of climate uncertainty and to enable communities and sector services to make better informed decisions in the face of uncertainty, using risk analysis and scenarios and flexibility in decision making. ALP promoted and facilitated multi-level, multi-actor relationships which bridge sector silos and the nexus of development, risk reduction and humanitarian action. These have all been better acknowledged, but top-down and predetermined solutions are still the norm in development funding and in Green Climate Fund (GCF) approved projects. As recommended by the ALP evaluation, CARE's new Climate Change Resilience Platform (CCRP) will build on ALP products and achievements and ensure that the successful approaches are mainstreamed and adopted in the design and implementation of the numerous projects that CARE works across the world. This is already happening in many countries where community-based adaptation (CBA) planning and participatory scenario planning (PSP) are becoming go to approaches. Some final thoughts at the close of the programme follow.

Community-based adaptation revisited

Strengthening adaptive capacity has no one blueprint for action but requires synergy between facilitating decision-making processes and supporting tangible interventions that are prioritised. Strengthening community ownership, systems and institutions with supportive engagement from local governments and

agencies is necessary for building long-term adaptive capacity, achieving sustainable outcomes, and creating transformative change. Local governments, or meso-level institutions, have emerged as key actors with policy mandates for climate change adaptation but often have limited funding and lack expertise in building adaptive capacity. This is an area for continued engagement and out-scaling for CARE and other agencies.

Strengthening of communities' adaptive capacity and decision-making processes lie at the heart of an effective approach to climate resilience. ALP's practical approaches all work towards this, focusing on software as the driver to hardware choices. Learning from ALP has shaped thinking on the capacities needed for resilient development, in particular how to strengthen adaptive capacity and anticipatory capacity in the context of integrated livelihood and risk management actions.

Many opportunities and questions remain unanswered. Adaptive capacity is characterised by the ability to make and act on informed decisions but is location and gender specific and is influenced by many different factors. Thus, it is extremely hard to identify, let alone measure, what is changing and what is driving this change. Despite these difficulties, testimonies from communities, women and men in all ALP countries reported the critical importance of capacity to organise and plan together, access new information and resources, innovate with new technologies, have a stronger voice for decisions, and demand change and services. How they acquired these strengthened capacities appears to be from the combination of planning processes, early warning systems, and adaptation strategies. Village savings and loans has proven to be one strategy, which ticks many boxes including being versatile in supporting safety nets, social solidarity for dialogue and planning, investment in livelihood activities, and income generation.

Reaching the most vulnerable groups as agents of change and decision makers, and not as victims, is still a message that is more heard than acted upon. ALP demonstrated the power of this, among women in Niger, yet most programmes, including ALP, continue to struggle with developing the right relationships and identifying and incorporating needed adjustments in strategic support to ensure that those who are particularly vulnerable are able to shape, participate and benefit from programmes. Supporting people with disabilities, youth-headed households, and older people means addressing their particular needs in programme design and implementation. Climate vulnerability and capacity assessment (CVCA) exercises are useful for understanding some of the dynamics at play, but the information they generate on differential vulnerability is rarely carried forward into the next steps of the planning process. Ensuring that these start up activities are as participatory and community-owned as the next steps and feed into them in creative and locally appropriate ways requires more attention. Supporting long-term resilience for all remains a huge challenge and more work is needed to develop adaptation approaches that are inclusive of the most resource-poor people and households.

Adaptive management and ecosystems. The scale of climate change uncertainties and impacts is such that support to adaptation and adaptive capacity building must go beyond the single story of homogenous communities within a narrow geography. Even in the remotest places this rarely holds true. People's lives are more connected and diverse than ever and depend on a complex web of resources, ecosystems, knowledge, mobility, communication, socio-economic and cultural values, and access to opportunities which feed into individual and family decisions. ALP's CBA approach was holistic and facilitated bottom-up analysis and planning, but still did not manage to work at the broader level to support adaptive management across communities with the different and sometimes competing land uses and landscapes involved (e.g. farmers, agro-pastoralists, and pastoralists). Nor did ALP fully appreciate the reality of extended families and their contribution of income and innovation emerging through domestic migration and remittances from more distant family members in relation to the role they play in adaptive and absorptive capacity. Improvements are possible from incorporating insights from ecosystem based adaptation with the CBA approach as recommended though the Adaptation Good Practices and taking a mainstream approach to adaptation in which both people and environment matter.

Transformational change. Equally the scale of climate change impacts over time calls for going beyond adaptation of current livelihoods towards more transformational change in the power structures and relations that underlie decision making, expanding the portfolio of livelihood strategies beyond continuing to rely on a

threatened natural resource base. Scenario development could be included within the CBA planning process to allow for visioning to go beyond this business as usual and consider actions and capacities needed when conditions demand a radical change of livelihoods. More attention to governance, rights and influence over decision making would allow for addressing power dynamics within and between communities and other actors. Only by enabling communities to have a genuine voice in planning and decisions that affect their ability to adapt will they be able to achieve the transformational change, which will sustain their ability to adapt and realise lasting and resilient impact.

Improving synergy and coherence between development, risk management, and humanitarian emergency response to ensure capacity and coordination between them and long-term resilience outcomes requires a paradigm shift in the way these actors at all levels operate and relate. ALP's climate services work contributes to this space, in which knowledge and action can be taken earlier to protect livelihoods, and new approaches to forecast-based early warning and adaptive social protection, for example, are emerging. Many discussions took place during ALP learning events and in particular at the Africa Learning Forum on Adaptation (ALFA 2017) about the need for a step change in the relation between donor funding, implementers, and beneficiaries, and between policy decision makers, research, and practitioners, which could allow for greater trust in allowing locally-determined and more flexible solutions.

User based climate services

Climate information is growing as an asset for adaptation decisions. At the same time, multi-stakeholder forums for accessing and using the information provide valuable incentives and opportunities for continued dialogue on trends, risks, uncertainties, and collective planning. Important progress is being made in developing science-based climate products that inform on climate change at all timescales and increasingly downscaled geographies. As the popularity of climate services grows, there is a risk that they become a new silo, driven by climate science producers. ALP worked at the interface between adaptation and resilience programmes on one hand and climate services development on the other. ALP experience in this space demonstrated the need for developing climate services with clearer roles and mandates for all the actors involved, where the users and their use of the information inform the service as much as the developing scientific products. Climate services cannot be driven by the met services alone but need to be embedded within the broader goals of climate resilience, NAPs, early warning systems, and sectoral planning. Understanding and communicating user needs, moving from useful to usable information, better appreciation of the value of collective interpretation, co-production of services, and finding communication channels that work – with trust, confidence and incentive to use the information – continue to be challenging areas that climate services are working on.

In this light, ALP developed a user-based climate services knowledge value chain to raise awareness on the multiple actors and steps involved. The IRI ENACTS map rooms are an example of where climate information is becoming more accessible to sector departments in health and agriculture. Climate Change Agriculture and Food Security (CCAFS) has generated important learning in relation to climate services for agriculture. Strengthening Climate Information Partnerships (SCIPEA) is another project that is also reaching out to specific users. The WISER project provides some opportunity for developing user-based and co-developed climate services. They provide an example of the way forward, but more work is needed to ramp up informed demand for climate information and services. An important aspect highlighted by ALP work and the knowledge value chain mentioned above is the critical role of knowledge brokers to enable the linkages and feedback loops that will ensure understanding and impact of climate services and their up and out-scaling. Climate services will need to include dedicated resources for knowledge brokering.

Continuous capacity building, learning and climate knowledge brokering

Strengthening the role of learning and knowledge brokering is critical. Innovative approaches to facilitation, decision making processes, learning, and knowledge sharing are needed to ensure the vertical and horizontal linkages and synergies needed for effective adaptation decision making. Equally adaptation and climate resilience is not a one-off task. As change continues, responses require capacity to continually adapt and transform at all levels. Learning needs to be a critical and continual part of adaptation and resilience

programming, and more needs to be done on systematising this learning. ALP worked with the Climate Knowledge Brokers (CKB) programme to highlight the need for improved skills in knowledge brokering and facilitation at all levels. ALP's initiatives in facilitating social learning and capacity building among actors – leading to co-developing new and improved approaches – provide important learning on how to create learning impact and use learning as a programmatic approach beyond a project M&E function. Knowledge brokering can help researchers and practitioners to collectively develop dynamic and participatory decision-making pathways which facilitate locally determined, forward-looking actions and services, and include and respond to diverse and changing vulnerabilities and aspirations.

Learning linkages between **research and practice** are increasing. CCAFS, IDRC CARIAA programme, and BRACED are all good examples. Research needs are also increasing from feedback from practical experience. This should not reduce the urgency for committing resources to practical programmes, which include innovation and learning by doing for the purpose of delivering greater climate resilience among vulnerable communities.

Capacity building on adaptation, climate resilience, and climate finance is growing at multiple levels. Actors providing adaptation and adaptation finance capacity building – whether climate knowledge brokers and trainers explicitly or people from agencies, government departments, donors, civil society, and research – rely on their experience and existing guidance and materials, to which ALP has contributed. The Adaptation Good Practice (AGP) checklist has the potential to ensure capacity building in adaptation includes the vital 'software' processes and capacity strengthening, which ALP experience and most resilience frameworks have shown to be essential to achieve long-lasting impact. More thought, resources and opportunities for testing the AGP checklist are needed to further develop and elaborate it, alongside developing the training and capacity building materials ALP produced into a coherent package. Facilitation of ongoing multi-actor interdisciplinary and regular learning platforms, prioritising participatory research for science that meets real needs, and working towards a collaborative network of knowledge and information sharing will all help.

Systems and services for scaling up and out

Design for scale. ALP, and in particular the extension, was designed to support adaptation activities to shift from one-off, small-scale activities to those that benefit more people and inform policy. ALP's scaling strategy was premised on the understanding that a success travels either vertically or horizontally across local, national, and regional levels on a pathway. Horizontal scaling occurs when an approach or project replicates across people and geographies for all levels of scaling. Vertical scaling comes about through changes in policies and legislation or adoption into mainstream systems at the national, regional, or local level. ALP achieved both types of scaling in different contexts, the most notable being PSPs and integration of adaptation into local government planning. A key learning was that **processes, principles and good practice capacities can be scaled**, while adaptation strategies and interventions are context-specific and need to be locally determined. This has implications for programme design and budgeting to allow flexibility in support to implementation of specific interventions as they are decided, rather than predetermining these in advance.

ALP demonstrated the importance of designing for scale with attention to horizontal and vertical linkages, drawing from knowledge and practice on the ground to engage and influence stakeholders and decision makers at all levels, enabling them to adopt and take good approaches to scale beyond the boundaries of a particular project. This involved being engaged with mainstream actors and policy processes and collaborating with government actors locally to build examples and evidence of success. Examples of up-scale include CBA approaches being integrated in the medium-term development plans of the ALP districts in Ghana with technical support from ALP and the National Development Planning Commission (NDPC). Oxfam and CFTC adaptation projects in Ghana are examples of adoption and replication of CBA approaches contributing to horizontal scaling. A next step is to be more deliberate in how the changes generated through vertical scaling through policy uptake, etc. can support and benefit other programmes and interventions of other NGOs, agencies, government departments, and work collectively towards this. In Kenya, the use of PSP to inform climate-related advisories has been scaled and is currently in use in all 47 counties, albeit with varying degrees of innovation and quality. In some counties, advisories are now devolved to sub-county levels, indicating scale

at horizontal and vertical levels. The engagement of increased numbers of institutions in the planning process has also resulted in a critical mass of actors involved in the PSP process.

Gender responsive Climate Vulnerability and Capacity Assessments (GCVCA), inclusive Community Adaptation Action Plans (CAAP), Participatory Scenario Planning (PSP) for seasonal climate services have been the key areas of success and adoption by others at community and local government levels and could be further adopted, refined and upscaled. However, it remains a challenge how to scale up community-based and gender-sensitive approaches targeting the most vulnerable in ways that are affordable and sustainable so that they may be integrated in mainstream local and national systems as well as in the context of national adaptation plans and programmes. This is mainly due to long-standing capacity and resource gaps at the local level, where the all-important engagement with communities takes place, and business as usual sector silos. Improved coordination among actors, understanding of the value added of adaptation as a cross-sectoral and bottom-up approach, and the advent of climate finance down to the local level will all help.

Hence investments in **strengthening systems and services** required for effective decision making are key for building effective adaptive capacity and ensuring these processes are embedded in mainstream systems such as development planning cycles where adaptation is a cross-cutting issue to be integrated in sectoral and local development plans. Good facilitation and integration of adaptation into mainstream sector development is critical for ensuring quality of the CBA approaches being adopted and their resulting in resilience outcomes. The brokering role required for effective scale up of CBA approaches needs to be valued and properly resourced. Country NAPs in some cases follow a sector structure, which can help strengthen embedding of CBA in processes for sector planning as long as critical elements – such as the nine AGPs – are included. Integration can ensure implementation at scale but impact will also depend on cross-sector coordination, which adaptation and climate services can also help to promote.

Strategic partnerships and capacity building are critical for effective scaling and were the rationale for the regional capacity building and ALFA events. ALP's presence across countries and ability to work with multiple partners was an advantage in facilitating scaling particularly of CBA 'software' approaches, which gained traction and led to the demand for capacity building. The current trend of delivering resilience through large consortia programmes can strengthen cross-disciplinary partnerships, as long as internal programme compliance and other organisational barriers (e.g. internal politics, focus on narrow expertise areas, power relationships, and more) does not divert attention from the overall goals to be achieved and need for wider relationships beyond the programme.

Adaptation finance quality, accountability and transparency

ALPs goal was to ensure that **climate finance structures** prioritise the resourcing of adaptation initiatives that promote innovation, inclusive decision-making processes and sustainable systems for responding flexibly to change. Climate finance structures, NAPs and national budgets would work together to support integration of adaptation in sector and local development, and risk management. They would enable context-specific, multi-actor, local-level and coordinated decision making and action without predetermined solutions and on an ongoing basis. In doing this, finance would also support knowledge brokering activities throughout project lifecycles. Achieving this goal remains an important aspiration, which was captured in the ALFA communiqué. The global architecture for climate finance is still in development and has become highly complex and procedurally challenging for direct access or enhanced direct access. There is an opportunity to support national climate funds to overcome these challenges as well as to lobby the GCF in particular to be more open to the urgency, realities and criteria for successful adaptation. ALP learned that better understanding of the political economy aspect of climate finance and other national and international processes is needed for successful influence of financial flows. This would also enable improved targeting of messaging on core principles and good practices. Important work by other global agencies is already showing progress in this area, which would be important for future CARE programming to engage with.

Civil society has a critical role to play locally, nationally and globally to achieve policy change and accountable and effective finance flows. This requires resources, capacity and better coordination to be effective. ALP learning and capacities developed with the civil society organisation partners is continuing through the

Southern Voices programme and GCF CSO Readiness project with GermanWatch and CARE Germany. It will be important to ensure that practical learning and evidence continue to be a core part of this, in addition to CSO capacity strengthening for targeted and informed policy advocacy. CSO and practitioner programmes are important actors in promoting use of evidence and experience from innovation, implementation and research to inform financing decisions and developing guidelines, minimum standards, and support on adaptation good practice.

Designing impactful adaptive learning programmes

ALP programme design and organisational structure allowed for a coherent and multifaceted approach working across levels and actors, which combined evidence from community level, engagement in local and national government policy processes, support to civil society advocacy, and cross-learning and capacity building with all actors. The learning and collaborative approach taken over the seven years of ALP implementation included flexibility and responsiveness to evidence, demand and opportunities emerging over time that enabled ALP's ability to remain relevant and have meaningful impact among the target groups. This programmatic coherence was instrumental in achieving ALP's results and ability to influence climate policy and finance from an informed foundation. ALP experience made clear the importance of flexibility and social learning, especially in contexts of climatic uncertainty. While a single programme should not endeavour to achieve everything, the option for developing vertical and horizontal linkages, which are not predetermined, an embedded learning function, and a programme framework, which allowed the team to keep an eye on the overarching goal and work towards it with flexibility, are attributes that would benefit other programmes focusing on creating lasting positive change.

5. Annexes

Annex 1	ALP publications list 2015 to 2017
Annex 2	ALP achievements against indicators, milestones and targets
Annex 3	Summary of 2016 CBA adoption survey results
Annex 4	ALP at UNFCCC COP21 and COP22
Annex 5	Table of assumptions and risks
Annex 6	Acronym list

Annex 1. ALP documentation and publication list – July 2015 to June 2017

This list summarises the key published products documenting ALP work and learning both produced by ALP and other organisations and programmes in the ALP extension phase July 2015 to June 2017.

ALP publications are here

http://careclimatechange.org/our-work/alp/

http://careclimatechange.org/publications/

https://www.weadapt.org/knowledge-base/adaptation-learning-programme

ALP programme publications

Programme reports

Nottawasaga Institute (2015) ALP Final Evaluation Report: https://www.care.dk/wp-content/uploads/2013/01/15-08-ALP-final-evaluation-full-report.pdf and https://devtracker.dfid.gov.uk/projects/GB-1-200658/documents

DFID and CARE management responses to the ALP Final Evaluation Report (2015): https://devtracker.dfid.gov.uk/projects/GB-1-200658/documents and https://www.care.dk/wp-content/uploads/2013/01/15-10-15-CARE-management-response-to-ALP-evaluation-2015.pdf

ALP (2015) ALP Contact Card and Foldable Business Card: http://careclimatechange.org/wp-content/uploads/2016/04/ALP-Contact-Card-2015.pdf

Percy, F et al, (Dec 2015) ALP Results, Outcomes and Impacts – Jan 2010 – June 2015: http://careclimatechange.org/wp-content/uploads/2016/03/ALP-2010-15-Report.pdf

ESSA team (July 2017): Final Evaluation of the Adaptation Learning Programme for Africa Extension Period (2015 – 2017) (https://www.care.dk/wp-content/uploads/2016/03/170713_ESSA_Final_Report_ALP_Evaluation_FINAL.pdf)

CARE management response (September 2017) to Final Evaluation of ALP 2015 to 2017: https://www.care.dk/wp-content/uploads/2016/03/CARE-management-response-to-final-evaluation-of-ALP-extension.pdf

Practitioner Briefs

Percy F, and Oyoo, P (Oct 2016), Adaptation Good Practice Checklist: http://careclimatechange.org/wp-content/uploads/2016/11/Adaptation-Good-Practice-Checklist.pdf

Dazé, A, Percy, F, Ward, N. (2015) Practitioner Brief 1: Adaptation Planning with Communities: http://www.careclimatechange.org/files/CBA_Planning_Brief.pdf

Otzelberger, A (March 2016) Practitioner Brief 2: Integrating disaster risk reduction and adaptation to climate change: Community-based early warning systems in Dakoro, Niger http://careclimatechange.org/wp-content/uploads/2016/02/CBA-and-DRR-Brief.pdf

Otzelberger, A (March 2016) Practitioner Brief 3: Understanding Gender in Community Based Adaptation http://careclimatechange.org/publications/cba-and-gender-analysis/

Otzelberger, A (Sept, 2016) Practitioner Brief 4: Strengthening Adaptive Capacity to Climate Change http://careclimatechange.org/publications/adaptive-capacity-practitioner-brief/

ALFA2017 Communique: Towards a Climate Resilient Africa (May 2017) https://sites.google.com/site/adaptationlearningforum2017/meeting-outcome-documents

Learning Reports

Webb, J (Nov, 2015) Gender dynamics in a changing climate: How gender and adaptive capacity affect resilience: http://careclimatechange.org/wp-content/uploads/2015/11/Gender-and-Adaptation-Learning-Brief.pdf

Wagner, R. Ward, N. Percy, F (Dec, 2015) Adaptation Strategies Compendium: http://careclimatechange.org/wp-content/uploads/2015/12/Adaptation-Strategies-Compendium.pdf

Otzelberger, A (May 2017), Adaptation Planning with Communities: learning from practice in Embu county Kenya and Community Adaptation Action Planning in Embu County: findings on vulnerability to climate change and community adaptation planning in Iria-Itune, Kamarandi, Mutwabare, Ntharawe communities, 2015-2016, both at http://careclimatechange.org/publications/adaptation-planning-communities-learning-practice-embu-county-kenya/

Soeters, S (May 2017): Action Research on Local Adaptive Capacity in ALP Communities in Northern Ghana, http://careclimatechange.org/wp-content/uploads/2017/06/ALP-Adaptive-Capacity-Research-Report-web.pdf

Ward, N and Percy, F (June 2017), How adaptive capacity enables resilience: insights from two communities in northern Ghana, http://careclimatechange.org/wp-content/uploads/2017/06/ALP-Adaptive-Capacity-Policy-brief-web.pdf

Amadou, S and Leko, I (November 2014, final version and English translation 2017) A reference study for safeguarding the Tarka Valley, undertaken with a view to developing a land management scheme.

Climate services

Ambani, M and Percy, F (May 2017) Participatory Scenario Planning for Climate Forecasts at Scale in Africa: http://careclimatechange.org/wp-content/uploads/2017/07/PSP-ALP-Brief-2017.pdf

Ambani, M and Percy, F (May 2017) Climate Information Centres: http://careclimatechange.org/wp-content/uploads/2017/07/Climate-Info-Centres-ALP-Brief.pdf

Ambani, M and Percy, F (May 2017) Community Rain Gauges For Building Climate Resilience in Niger: http://careclimatechange.org/wp-content/uploads/2017/07/Community-Rain-Gauge-ALP-Brief-2017.pdf

Dr Glwadys Gbetibouo, Courtney Hill, Dr Anthony Mills, Dirk Snyman, Onno Huyser and René Schieritz et al, June 2017, Regional impact assessment on climate information services for community-based adaptation to climate change, Ethiopia, Ghana, Kenya, Malawi and Niger.

Dr Glwadys Gbetibouo et al, May 2017 Ethiopia Country Report: Impact Assessment on Climate Information Services for Community Based Adaptation to Climate Change http://careclimatechange.org/publications/alp-ethiopia-climate-information-services-country-report

Dr Glwadys Gbetibouo et al, May 2017, Kenya Country Report: Impact Assessment on Climate Information Services for Community Based Adaptation to Climate Change (http://careclimatechange.org/publications/kenya-climate-information-services-country-report/)

Dr Glwadys Gbetibouo et al, June 2017, Ghana, Malawi and Niger Country Reports: Impact Assessment on Climate Information Services for Community Based Adaptation to Climate Change (http://careclimatechange.org/wp-content/uploads/2017/07/Ghana-Climate-Services-Country-Report.pdf, http://careclimatechange.org/wp-content/uploads/2017/07/Malawi-Climate-Services-Country-Report.pdf, http://careclimatechange.org/wp-content/uploads/2017/07/Niger-Climate-Information-Services-Country-Report.pdf)

Ambani, M et al, (2017), Climate information for resilient agricultural decision-making and planning: a practical guide to Participatory Scenario Planning (forthcoming)

External publications with ALP contributions or featuring ALP

Gender related

World Bank/FAO/IFAD (2015) Gender in climate smart agriculture: module 18 for the gender in climate change source book (Gender Inclusion toolbox p.11, CVCA p.20, PSP p.54) http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2015/10/09/090224b083134419/1_0/Rendered/PDF/Gender0in0clim0riculture0sourcebook.pdf

GGCA (Dec 2015) From Concept to Action: Stories of Climate Change and Gender – a Case Studies booklet. ALP input: Ward, N., Village Savings and Loans Associations: building resilience and empowering women, case study page 13: https://portals.iucn.org/union/sites/union/files/doc/ggca_case_studies_booklet_-_16_pgs_-_low_res_update_11-11.pdf

CIFOR (2016) Gender and Climate Change: evidence and experience: Set of Briefs produced for the Gender Pavilion at the Global Landscapes Forum at COP21. ALP input, Brief 2: Ward, N (Dec 2015) Changing the climate: why gender matters to achieving equitable sustainable development. http://www.cifor.org/gender/gender-and-climate-change/

Great Insights Magazine: She Drives Change, Volume 6 Issue 2 (May/June 2017). ALP input: Harmeling, S, and Bowa, E. 'Gender equality essential to confront climate change impacts' http://ecdpm.org/wp-content/uploads/Great-Vol6-Issue2-May-June-2016-1.pdf

Soeters, S. and Zoomers, A. (2017) Consolidating Contestation and Conflict through Community Based Adaptation (CBA). Journal of Geoscience and Environment Protection, 5, 174-193. https://doi.org/10.4236/gep.2017.511013 See also: Micro-finance and Women Inclusion in Northern Ghana V. Conti http://www.adaptationlandscapes.org/village-saving-and-loans-associations-as-a-tool-for-adaptation-in-northern-ghana/

NAP-Ag MOOC UNCCLearn and FAO (2017): Case study: Gender-responsive participatory research and analysis to enable and empower women and men to take action on adaptation: the case of the Adaptation Learning Programme (ALP), Garissa, Experts: Catherine Hill, Sibyl Nelson (Excerpted and adapted from Angie Dazé. 2015. Climate change vulnerability and adaptive capacity in Garissa, Kenya. CARE International)

Adaptation and resilience related

Jonathan Porter (2015) Shrinking mobility in soaring temperatures Understanding the impact of changes in mobility on household adaptive capacity in semi-arid rural northern Ghana. Universiteit Utrecht Master Thesis. https://dspace.library.uu.nl/handle/1874/320518 and Seasonal Migration in Northern Ghana http://www.adaptationlandscapes.org/seasonal-migration-in-northern-ghana/

Adaptation Committee Expert meeting on livelihoods and economic diversification (September 2015) Short case study: Achieving the optimal mix of livelihoods diversification in pastoral communities: CARE International – Adaptation Learning Programme for Africa (ALP) https://unfccc.int/files/adaptation/application/pdf/201509_care_africa_led.pdf

Adaptation Committee, UNFCCC, AC/2016/6 (2016) Pros and cons of diversification for effective development (2016). Report on the expert meeting on promoting livelihoods and economic diversification to build resilience in the context of planning, prioritizing and implementing adaptation. Tenth meeting of the Adaptation Committee Bonn, Germany, 13-16 September 2016. http://unfccc.int/files/adaptation/groups_committees/adaptation_committee/application/pdf/ac10_5c_report_led.pdf see ALP in case studies on page 7.

Le Masson, V., Lim, S., Budimir, M., Selin Podboj, J. (Nov 2016) ODI Working Paper: Disasters and violence against women and girls: can disasters shake social norms and power relations? https://www.odi.org/sites/odi.org.uk/files/resource-documents/11113.pdf

Soeters S. (2016) Building Bonds and Breaking Bridges: Community Based Adaptation (CBA) as a Source of Conflict in a Northern Ghanaian Landscape. In: Yaro J., Hesselberg J. (eds) Adaptation to Climate Change and Variability in Rural West Africa. Springer, Cham. https://link.springer.com/chapter/10.1007/978-3-319-31499-0_7 Also see: Dry-Season Watermelon Farming in Northern Ghana By S. Soeters & R. Stam http://www.adaptationlandscapes.org/ghana/

Joto Afrika Issue 20 (April 2017). National and County Government Responses to Climate Change, ALP article: Bowa E, 'Adaptation Good Practice Checklist' http://www.alin.net/Joto%20Afrika

Climate services

ASDSP and Kenya government: Shadrack Kipkemoi, Benjamin Ndegwa, Calistus Wachana, Maurice Opondo, Veronica Kirogo, Daniel Kipleel, Mary Nduru, Josephine Mogere, (2014) PARTICIPATORY SCENARIO PLANNING FOR CLIMATE RESILIENT AGRICULTURAL LIVELIHOODS: BEST PRACTICES AND SUCCESS STORIES. Stories by County Environmental Resilience and Social Inclusion Officers http://asdsp.co.ke/wp-content/uploads/2016/11/PSP-Success-Stories-Magazine.pdf

Nurye, A. (2016), Blending Science and Community Voices for Multi-Scale Disaster Risk Reduction and Climate Resilience: A Participatory Scenario Planning Approach. **Preprints** 2016, 2016080105 (doi:0.20944/preprints201608.0105.v1). https://www.preprints.org/manuscript/201608.0105/v1

Singh, C, Urquhart, P. & Kituyi, E. (2016). From pilots to systems: Barriers and enablers to scaling up the use of climate information services in smallholder farming communities. CARIAA Working Paper No.3. International Development Research Centre, Ottawa, Canada and UK Aid, London, United Kingdom. http://idl-bnc.idrc.ca/dspace/bitstream/10625/55485/1/IDL-55485.pdf ALP contributions at CBA9 and review of the working paper

Jones, L., Harvey, B., Goodfrey-Wood, R,. ODI (2016). The Changing Role of NGO's in supporting Climate Information (figure 1 page 3 adapted from ALP and Box 3 case study page 13): https://www.odi.org/sites/odi.org.uk/files/resource-documents/10885.pdf

Joto Afrika Issue 21 (2017). Role of Science and Innovation in Climate Change Response, ALP article: Percy F and Ambani M, 'Strengthening Multi-Stakeholder Adaptation Planning for Resilient Development' http://www.alin.net/Joto%20Afrika

Blogs, interviews and videos

Ward, N (Dec, 2015) A little less conversation, a little more action at COP21: http://careclimatechange.org/little_more_action_at_cop21/

Percy, F (Dec, 2015) How the Paris Climate Agreement will increase momentum on adaptation: http://careclimatechange.org/climate-agreement-increases-adaptation-momentum/

Kudom-Agyemang, A (2015) "ALP partners advocate the use of climate adaptation finance for community-based efforts". The Finder, Ghana: http://www.thefinderonline.com/Editorial/alp-partners-advocate-the-use-of-climate-adaptation-finance-for-community-based-efforts.html

CARE International in Ghana (2015) "ALP Human Interest Story" https://www.facebook.com/careinghana#

Ababale, S (Feb, 2016) Linking Climate Change Adaptation with Early Warning Systems: http://careclimatechange.org/early-warning-systems/

Maina, J (April, 2016) El Niño in 1997 and 2015 – learning from the past: http://careclimatechange.org/el-nino-kenya/

Percy F. (April 2016). Is people power the key to urban resilience in a changing climate? Blog http://careclimatechange.org/is-people-power-the-key-to-urban-resilience/

Bowa, E. (Nov 2016) Gender in the Marrakesh Climate Talks: http://careclimatechange.org/gender-marrakech-climate-talks/

Percy, F. (Nov 2016) Launch of the Adaptation Good Practice Checklist is setting the scene for effective implementation of the Paris Agreement: http://careclimatechange.org/launch-adaptation-good-practice-agp-checklist-setting-scene-effective-implementation-paris-agreement-cop22/

Amadou Dan Kouré (Nov 2016) Niger: Where climate change is a daily reality: http://careclimatechange.org/niger-climate-change-daily-reality/

Mitscherlich, J. (December 2016) Village vs Desert: Climate Change Stories from Niger: http://careclimatechange.org/village-vs-desert-climate-change-stories-niger/

Ambani, M (March 2017): Courting complexity in climate services: lessons from participatory scenario planning: http://careclimatechange.org/courting-complexity-climate-services-lessons-participatory-scenario-planning/

Adem, A. (June 2017), Climate Services and Participatory Scenario Planning (PSP) Knowledge Exchange, Kenya & Ethiopia: http://careclimatechange.org/climate-services-participatory-scenario-planning-psp-knowledge-exchange-kenya-ethiopia/

Michael Schmidt Olsen, Danida, CARE Denmark CandoFilm Production (2017). Two short movies telling the story of two farmers, one a woman, one a man, who have improved their resilience and adaptive capacity through support from ALP. Lucy's Story: https://vimeo.com/224293043 Poko's Story https://vimeo.com/224292819. The films will form part of educational materials in Danish for use in "gymnasiums" (high schools).

Selected presentations

Compilation of full set of ALP CBA and Climate services training materials developed for regional trainings in 2017

English: https://sites.google.com/site/eastafricacbatraining/meeting-outcome-documents

French: https://sites.google.com/site/adaptationclimateresilience/ressources-de-formation

Presented at the Fifth International Conference on Climate Services ICCS5 conference in Cape Town 2017

Ambani, M (March 2017) Participatory Scenario Planning for co-production of seasonal climate information services: https://www.slideshare.net/fionapercy/participatory-scenario-planning-for-coproduction-of-seasonal-climate-information-services

Percy, F (March 2017), Scaling up climate services: https://www.slideshare.net/fionapercy/scaling-up-climate-services-in-africa

Percy, F and Ambani, M (March 2017), Connectivity and co-development of climate services: https://www.slideshare.net/fionapercy/connectivity-and-codevelopment-of-climate-services

Annex 2. Achievement against indicators, milestones and 2017 targets

1. Progress in Goal and Purpose

Goal: Capacity of vulnerable people in Sub-Saharan Africa to adapt to climate variability and change increased.

Purpose: Community-based adaptation (CBA) approaches for vulnerable communities incorporated into development policies and programmes in Ghana, Kenya and Niger, and replication ongoing in other countries in Africa.

Indicator	Milestones and targets	Status as of 30 June 2017
G1. # of people benefitting from investment in CBA through post-2012 adaptation financing.	2020 target is 10 million	Adaptation Fund Projects approved since 2012 and which include CBA components include projects in Ghana (8,060,000 beneficiaries), Kenya, Uganda, Niger, Morocco, Mali, South Africa, Rwanda, Egypt and Djibouti with a beneficiaries number of 13.7 million beneficiaries in Africa where this is provided. Additional 400,000 BRACED beneficiaries + 334,723 in Niger GEF NAPA/PANA project = 14,434,723 total beneficiaries. GCF approved projects for adaptation include a further 2.1million beneficiaries in Malawi Scaling Up of Modernized Climate Information and Early Warning Systems, including influence on climate services from ALP. Agricultural Climate Resilience Enhancement Initiative (ACREI) AF project approved with 90k beneficiaries. Total: **16,624,723** (ACREI and Malawi GCF beneficiaries added). No further calculations done, target met.
G2. Policy & implementation guidance for international adaptation finance enable investment in CBA.	Milestone 2017: Guidelines for adaptation financing instruments (AF/GCF, CIF, LDCF) include principles which support CBA and direct access	Neither AF nor GCF have yet developed guidelines which explicitly target quality adaptation. The GCF Concept note users guide has some principles and paradigm shifts which support good practice. ALP has developed an Adaptation Good Practice checklist aimed at influencing design and evaluation of adaptation finance projects and roll out of NAPs. Direct access is lagging behind internationally accredited entities. Direct and enhanced direct access are being encouraged through the readiness funds. Adaptation Fund is financing CBA activities in Kenya through national government and sub national authorities and in Ghana and regionally in East Africa through international bodies. GCF is financing CBA in Malawi through national government. Efforts underway to support direct and enhanced direct access through LOCAL and GCF readiness support.
P1: CBA approaches integrated into policies, national plans (e.g. NAPs) and sectoral plans in Ghana, Kenya and Niger.	2016 milestone: Seven (cumulative) relevant policies/ plans in climate-sensitive sectors integrate CBA across the ALP countries	Kenya: 2 new plans (CC Bill and NAP) + 2 old = 4 Ghana: 2 new policy / plans (National Climate Change Learning Strategy and Medium Term Agricultural Sector Investment Plan METASIP II, 2014-2017) + 3 old = 5 **Total: 9** (4 new and 5 ongoing)
	Target 2017: Five relevant plans and policies in ALP countries are operational and demonstrate CBA approaches	Kenya: 3 plans operational: Climate Change Act and the Kenya National Adaptation Plan (NAP) and CSA programme + 2 old = 5 Ghana: 2 new policy / plans under the extension (National Climate Change Learning Strategy and Medium Term Agricultural Sector Investment Plan METASIP II, 2014-2017) + 3 old = 5. Operational plans = 2 AF and METASIP/WAAP/FASDEP II **Total operational plans: 5**
P2: # of climate vulnerable	Target 2017: Additional to baseline: G= 290,000 N= 210,000, K = 164,000,	**Non-ALP African countries**: As reported in December 2016, **1,094,055** people are benefiting from CBA approaches implemented in projects in

Indicator	Milestones and targets	Status as of 30 June 2017
individuals benefitting from adoption of CBA approaches and strategies promoted by ALP (from ALP communities and districts, other CBA work in ALP countries and non ALP African countries).	Other countries = 100,000 T= 764,000 additional, TOTAL by 2017 = 2,356,640	10 sub-Saharan Africa countries, from 2016 ALP CBA adoption survey project details. No change. **Kenya**: Cumulatively, 716,634 persons now reached with climate advisories. Plus 230000 benefiting from CBA as in 2016. **Total: 946,634** **Ghana**: **Total: 1,732,651.** Benefitting from adoption of CBA approaches and strategies promoted by ALP as of October 2016 = 594,217. 1,065,936 additional people will benefit from the AF project and the ALP survey recorded beneficiaries in Ghana **Niger**: **Total: 369,918** individuals benefitting from adoption of CBA approach. 27,562 vulnerable to climate change individuals benefit from the adoption of the CBA approach and strategies promoted by ALP at the community level in the project implementation area of the department of Dakoro. An additional 342.356 individuals in communities in Maradi, Zinder, Tahoua and Tillabery involved in other CARE projects (GARIC, BRACED, ISCV,DEMI-E, Leadership Challenge) and non-CARE projects in Dakoro (PANA) are benefitting from the implementation of CBA. **Total: 5,763,946** based on the June 2017 updates above. 4,143,258 plus baseline of 1,620,688.
P3: African regional and/or non-target country policy frameworks and plans include community-based adaptation.	Milestone 2016: Continued engagement in at least 3 ongoing policies/plans from 2015 and three additional ones exposed to CBA.	**6 regional:** EAC (East Africa Community) AMCEN (African Ministerial Conference on the Environment) Malawi, PSP met policy Africa CSA Alliance (ACSAA) ECOWAS BRACED projects in Niger, Ethiopia, Kenya and others
	Target 2017: 6 (cumulative) regional or non-target national policies/plans include CBA	**7 regional:** As above plus ACREI AF project with WMO in Kenya, Uganda and Ethiopia

2. Progress output level against 2016 milestones and 2017 targets

Indicator	2016 milestone and 2017 target	Status as of 30 June 2017
Output 1: Community based adaptation innovation, including climate information services (CIS) is increasing adaptive capacity, resilience and gender equality for the most vulnerable in target areas		
1.1 # of vulnerable individuals (men/women) engaged in climate resilient livelihoods/ adaptation strategies informed by CBA	December 2016 report on Target 2017: Additional to baseline 2015-2017: Direct G=2350, K=600, N=1770, T= 4,720 Direct with families G= 5,734 N= 4,956, K= 3,000 **T= 13,690** **2010 to 2017 T = 42,325**	**Kenya**: 837 (M= 334, F=503), **Ghana**: 3,617 (M=542 F=3,075) **Niger**: 6,378 (M=2,882 F=3,496) **Total direct: 10,664** (M=3,671, F= 6,993) Kenya = 5,022, Ghana = 15, 198, Niger = 20,174 **Total direct with families additional in 2015 to 2016: 40,394** **2010-2017 total direct with families + baseline: 28,635 + 40,394 = 69,029**
	June 2017 report on Target 2017: Additional to baseline 2015-2017: Direct G=2350, K=600, N=1770, T= 4,720 Direct with families G= 5,734, N= 4,956, K= 3,000 **T= 13,690.** **2010 to 2017 T = 42,325**	**Kenya, no change: 837** (M= 334, F=503) **Ghana:** increased to 3,659 (M=553 F=3,106) **Niger:** 7468 (M=3,349 F=4,119), **Total direct = 11,964** (M=4,236, F=7,728) **Total direct with families additional[1]: 43,783** (K=5,022, G=15,318, N=23,443) **2010-2017 total direct with families + baseline: 28,635 +43,783 =72,418**
1.2 Increased participation by women in community organisations and local planning related to adaptation and climate resilient farming systems.	2016 milestone: Women's groups are members and women are leaders of umbrella associations or local level committees in ALP sites	**Kenya:** Women hold 44% of leadership positions **Ghana:** Women hold 67% of the leadership roles within community groups and umbrella organisations, rising to 85% for leaders of VSLA groups. By June 2017 74% of the executive leaders of the Apex and Cluster level VSLA bodies are women. **Niger:** 55% of all people involved in CVCA and CBA planning processes with higher leadership of groups implementing CAAPs.
	2017 target: 35% of women in ALP sites record increased access to additional resources through their participation in community organizations.	**Kenya:** A main outcome of the CAAPs and group capacity building is increased access to resources for farming and to water which are not dependent on ALP. An estimate of 40% of women targeted is realistic. **Ghana: G**iven the success of the VSLAs and access through their groups to agriculture inputs and climate information, from sources beyond ALP, an estimate of at least 50% of women would record increased access to resources. **Niger:** 3,044 women (73.9% of target group) reported that they had significantly increased their access to resources they had not previously accessed, through their participation in community organizations. As women observe the positive impacts for those who are in groups, it stimulates their interest to join, causing a knock-on effect with of an increase in numbers participating in CBOs. Evidence is also seen in the initiatives taken by women groups themselves, the range of economic activities they are engaged in and feedback on the positive impacts gained.

[1] Kenya HH size = 6, note that many men live away in urban areas so no double counting. Ghana HH size = 6, women in majority, potential double counting managed by multiplying direct women by 6 and deducting direct male beneficiaries from the total in case they are husbands. Niger HH size = 7, potential double counting managed by multiplying direct men by 7.

Indicator	2016 milestone and 2017 target	Status as of 30 June 2017
1.3 Number of adaptation plans developed & implemented by community groups & local government which integrate livelihood strategies and risk management & reflect the aspirations & priorities of women, men &youth	2016 milestone: 20 additional adaptation plans (communities, local government development and DRR plans and agriculture sector) underway in ALP sites	**Kenya**: 4 community CAAPs **Ghana**: 6 community CAAPs **Niger**: 36 community adaptation plans plus 4 commune plans **Total: 50 plans**
	2017 target is 30 adaptation plans created between 2015 to 2017 are operational and strengthening adaptive capacity.	No change in number of CAAPs: Kenya: 4 community CAAPs, Ghana: 6 community CAAPs, Niger: 36 community adaptation plans plus 4 commune plans. **Total: 50 plans prepared, validated and operational** **Kenya:** One CAAP review meeting with 74 participants from the 4 ALP sites was organized to validate and review the CAAP documents. **Ghana**: the 6 CAAPs have been reviewed and updated to reflect current developmental and adaptation issues and integrate livelihoods and disaster risk reduction. They have been considered by the Nadowli Kaleo district assembly and some plans supported by local government independently of ALP. **Niger:** The Community Adaptation Action Plans developed in all the ALP communities have been taken into account during the preparation of the annual commune/municipal planning and the Annual Investment Plan (PIA) for the year 2017. Links between CAAPs, PSPs and adaptation strategies create positive synergies and reinforce adaptive capacity.
1.4 Extent to which operational systems are in place for improved access to and use of climate and other relevant information for deciding livelihood and risk management strategies, particularly by women.	2016 milestone: Community based monitoring and local level information systems/services operational, linked and supporting decision making in ALP sites	**Kenya**: 1 thematic working group (TWG) on the PSPs (County climate outlook forums). 1 county steering group (CSG) holding regular meetings monthly or every two months and which manage crises and disasters. Majority of target community (73%) are receiving advisories/forecast mainly through PSP, radio, twitter, SMS, chief's baraza, church gatherings, internet, newspapers and traditional forecaster. **Ghana**: 1. Community rain gauge monitoring improved through visual presentation of rainfall data on graphs by rain gauge monitors to make more meaning to farmers. 2. Advisories from PSP sessions are communicated through the local Community-based climate information centres. 3. Community based monitoring revealed that small holder farmers are accessing Climate information from service providers namely radio stations and CICs, GMET, esoko, ignitia. **Niger**: 30 Community rain gauges and 60 monitors with 30 mobile phones
	2017 target is 60% targeted women and men in ALP sites report that they have benefited from increased access and use of climate and other information	**Kenya:** 75% of targeted communities reported having received PSP advisories mainly through PSP, radio, twitter, SMS, chief's baraza, church gatherings, internet, newspapers and traditional forecaster. **Ghana:** 83% of 118 farmers interviewed (i.e. 98, f=26, m=72) reported they have accessed and used climate information from service providers on daily and/or seasonal climate information through the wide range of channels used (radio stations, VSLA, CICs, PSP, PICSA, rain guages, ESOKO, IGNITIA and GMET) and using it to make livelihood and risk management decisions and actions. **Niger:** The rain gauge system and PSP advisories are designed such that all target men and women and their groups have rapid access to the information as it is produced, and know how the information was generated. 100% of men and 100% of women surveyed said they had access and increased the use of climate information (PSP workshop and community radio broadcasting) and those from community rain gauges for planting decisions and early warnings in particular, alongside the other ALP interventions - which it is difficult to separate from.

Indicator	2016 milestone and 2017 target	Status as of 30 June 2017
Output 2: CBA approaches promoted by ALP up-scaled by mainstream organisations and programmes, particularly in the agriculture sector, in ALP and other African countries		
2.1 Extent to which community based climate information services are in operation, promoted by national organisations/ programmes, independently of ALP	2016 milestone: 6 National organisations/ programmes are promoting local multi-stakeholder interpretation & communication of seasonal climate information (eg through PSPs), targeted towards vulnerable men and women.	**Regional**: 6 institutions/projects doing PSP in Non -ALP countries: ECRP, DISCOVER and LEAD-SEA in Malawi, PRIME Ethiopia, ACCRA/Oxfam with the Ethiopian Government CRGE strategy and ECHO El Nino Zimbabwe. **Kenya**: 3 national Organizations- KMS (Kenya Met Services), ASDSP (Agriculture Sector Development Support Programme) and NDMA (National Drought Management Authority) are taking lead on climate information and DRR in all 47 counties. **Ghana**: 3 national organizations (GMET (Ghana Met Services), MOFA (Ministry of food and agriculture) & OXFAM and 2 programmes namely PATHWAYS & the Adaptation fund project are promoting PSPs. **Niger:** 2 Agrhymet and DNM **Total: 16 national organisations/programmes**
	Target 2017: 6 National organisations have increased their range and/or coordination of or communication channels for short range to seasonal information and uncertainty in response to community needs (eg EWS, farm planning, community radio)	**Regional:** 5 institutions/projects increasing scope/scale of CIS/PSP in Non -ALP countries: Ethiopia: NMA/PRIME/Red Cross/DFAP PSP for DRR; Malawi: GCF project; Mali: Harande and other DFAP projects; Burkina: BRACED Welthungerlife project; East Africa: ICPAC with CCAFS, IRI/ENACTs and PSP including in the new ACREI AF project **Kenya:** 2 - Kenya Met Department national and county level; Ministry of Agriculture Livestock and Fisheries. Diverse range of County level innovation and communication channels, coordinated cross sector task forces and action. **Ghana:** 2 - GMET and MOFA. The range of climate services and coordination among them has greatly increased in Northern Ghana. PSP provides a district level forum for planning and enhancing awareness on the shorter timescale services. With ENACTS maprooms providing downscaled long term historical information, PSP providing seasonal advisories, PICSA supporting farmers in budgeting and planning and daily forecasts from GMET, ESOKO and others, climate services is almost reaching to the desired 'seamless suite' of timescales in Northern Ghana. **Niger:** 2 - National Met services /Dakoro Department met services and Agrhymet linked to radio and mobile phones for agriculture decisions and early warning through community based DRR systems. **Total:** 11 national organisations/programmes have gone beyond PSP and are either adding more climate services and/or improved their coordination and scale of operation and/or increased the communication channels and timescales for climate information.
2.2 Extent to which CBA approaches are integrated into local and national organisations' plans and programmes (agriculture, development, disaster risk reduction) and	2016 milestone: Increased capacity of at least 8 (cumulative) organisations and programmes in target sectors in CBA approaches in ALP and other countries. (Niger and beyond: BRACED, Ghana: MOFA, NADMO Kenya: MoALF, NDMA EWEA/resilience / adaptation programmes in Africa)	**Regional level:** 5 (GCF readiness programme support agency, WRI; CARE Benin, CARE Chad, ACSAA Zambia, Kenya and Tanzania, FAO. **Ghana**: 7 (GMET, PRONET, Centre for the Alleviation of Poverty, the Environment and Child Support (CAPECS), CARE PATHWAYS Women in agriculture project, Nandom Deanery integrated Rural Development Program (NANDRIDEP), Partnership for Rural development (PRUDA) Farm Radio International (FRI) **Kenya**: 3 organisations: GCCWG network members, NDMA, PELUM and others from 10 counties. 1 CSA Framework document **Niger:** 3 Projects PANA, BRACED PRESENCE and GARIC, 3 OSC partenaires de mise en œuvre de ALP(AGIR, AREN, PFPN), auxquelles s'ajoutent des OSC locales à Zinder (DEMI-E), Leadership Challenge (Maradi), ISCV (Tahoua) Total: 17 **Total: 26 cumulative 2010 to 2016**

Indicator	2016 milestone and 2017 target	Status as of 30 June 2017
implemented at scale.		
	Target 2017: 11 organizations/ programmes in target sectors using CBA approaches to plan and budget for integration of adaptation at scale.	**Regional level: 2** - WWF Africa Adaptation Initiative, ACREI AF project. **Other countries: 4 -** BRACED Burkina Faso, Mali USAID DFAP projects, CARE (Benin, Chad, Somalia, Pathways), ACSAA Zambia, **Kenya: 3** - Individual County plans and capacity to integrate adaptation in County Integrated Development Plans; Council of Governors; ASDSP of MoALF **Ghana: 3 -** CBA adoption at scale: GMET, MOFA, the Ghana Adaptation Fund Project **Niger: 2 -** PANA, BRACED PRESENCE**, 5 NGOs**: DEMI-E in the Zinder region, the NGO Leadership challenge in Maradi, AGIR in Dakoro, AREN in Maradi, ISCV in Konni. **Total: 14 organizations/programmes** in target sectors using CBA approaches to plan and budget for integration of adaptation at scale.
Output 3: Access, allocation and use of adaptation finance is influenced in support of CBA in ALP countries and regions.		
3.1: Extent to which budget allocations are influenced to include CBA approaches with direct access by local level and non-government organisations, in ALP countries. (By AF/GCF/CIF/LDCF implementing entities/NDAs and national government budget decision makers for development and DRR.)	2016 milestone: Knowledge and capacity built for including CBA approaches in adaptation finance allocations by AF/GCF implementing entities/ NDAs and national government budget decision makers for development and DRR.	**Regional:** ALP has developed an Adaptation Good Practice (AGP) checklist to guide adaptation finance proposal design, screen adaptation interventions and to mainstream climate resilience into sector programmes. It was launched at COP22. **Kenya:** Influenced NEMA AF project implementation and GCF proposal development. Adaptation Good Practice (AGP) checklist developed and tested with government stakeholders to assess value and relevance for the National Adaptation Plan and to support budget coding for GCF/AF. Further testing is planned for NAP roll out and with the GCF proposals prepared with CDKN support, if challenges relating to 'political ownership' of the GCF proposal process can be overcome. **Ghana:** 2 organizations budgets allocations influenced by CBA approaches: EPA adaptation fund project action plan includes PSP, The MOFA/GASIP project has adaptation component which conducts vulnerability analysis as basis to designing adaptation initiatives. 2 ALP Districts have included CBA approaches/DRR in plans and with budgetary allocations: Garu-Tempane MTDP and East Mamprusi MTDP and the 3rd Nadowli-Kaleo District Assembly established 4 dry season vegetable gardens. **Niger:** 3N and upcoming Niger CC Fund
	Target 2017: CBA approaches and direct access included in national criteria and implementing guidelines for adaptation finance in ALP countries	**Kenya:** The NAP and CC Act include some CBA principles. County Integrated Development Plans are being supported to integrate adaptation. The Climate Finance Policy and Kenya Climate Change Fund are in process of being agreed and will contain guidelines, yet to know the extent to which ALP engagement and position in National adaptation committee will influence the inclusion of CBA. **Ghana's** policy framework for adaptation includes key principles of CBA and gender equality. Specific criteria and guidelines for climate finance are yet to be developed, but early work towards these through the GCF readiness support from UNDP is inclusive of non-state actor inputs. **Niger:** No national criteria or guidelines developed in Niger
3.2 Extent to which civil society organisations advocating locally and nationally for accountable, transparent and effective	2016 milestone: 3 CSO networks with mechanisms developed for tracking adaptation finance allocation and flows and analysis of inclusion of CBA approaches in ALP countries.	**Kenya**: 2- the Gender and CC working group (GCCWG)/IWEM Network, PACJA and TI; 3 meetings of the KCFGN (Kenya Climate Finance Governance Network) **Ghana**: 1 CSO (ABANTU for development) and its regional based CSO networks are monitoring and tracking the implementation of the Ghana Adaptation fund project, advocating for more allocation of financial resources by the MDAs to climate change adaptation issues **Niger**: 1 - ALP continues to strengthen the national Climate Change CSO platform's internal capacity and advocacy strategy. **Total:** 4 - Kenya's GCCWG, PACJA/TI Kenya; Abantu, Ghana; Niger national CSO platform

Indicator	2016 milestone and 2017 target	Status as of 30 June 2017
allocation and use of funds in support of community based adaptation actions	Target 2017: CSO tracking of adaptation finance has influenced transparency and accountability of flows to vulnerable people in at least 3 countries	**Kenya:** Finance tracking tool under development, to be tested in Kenya in second half of 2017 by the Kenya Climate Finance and Governance Network and GCCWG. Participation of TI and GCCWG members at AF meetings and visit to one recipient of the AF creates pressure for accountability by NEMA. **Ghana:** Budget analysis and AF tracking by ABANTU and other CSOs has pressured government to release information on implementation progress and budget allocations. CSO inclusion in the NAC and in climate finance related meetings and increased capacity on adaptation practices provide the basis for sustaining pressure for accountable and well targeted finance. Too early to achieve target.
3.3 Extent to which Global Civil society organisations are advocating in the UNFCCC agreement process for an enabling environment for inclusion of CBA principles in adaptation finance commitments, mechanisms and criteria	Milestone 2016: CSO promotion of CBA approaches and direct engagement in negotiations at COP21 in Paris and for GCF and AF guidelines	**Regional**: 1 CSO network (PACJA – Pan Africa Climate Justice Alliance) working on adaptation finance tracking tool. PACJA strategy focuses on support to national level CSO networks (and national level PACJA members) to improve advocacy and budget tracking work. Influence of PACJA and ALP in: COP21 and COP22, AMCEN 2016, CCDAVI, Africa Group of Negotiators Expert Group on Agriculture **Kenya:** (PACJA/TI, Ghana (ABANTU) and Niger (CSO Platform) all had official delegates and influence in COP21 and COP22, also with the NIE for AF/GCF in Kenya and Ghana
	Target 2017: Coordinated and sustained CSO advocacy for meeting adaptation finance commitments that are informed by CBA and direct access principles.	**Regional:** PACJA is leading Africa wide CSO advocacy in the context of UNFCCC and has increased its range and capacity of member national CSO networks and regional organisations, linked to INGOs such as CARE, GermanWatch and HBF. Joint Principles for Adaptation and the AGP checklist are providing guidance to CSO messages. The main messages are still top level on commitment to adaptation and increased and transparent finance. More active advocacy will be needed to ensure the JPAs and AGP practices are used for advocating on programmatic / technical finance decisions. **Kenya:** GCCWG advocacy strategy is actively implemented and reviewed, and informed by CBA. Advocacy for improvements to the AF proposal approval process for enhanced direct access is a follow on to the visit to an AF recipient. GCCWG is participating in the GCF CSO project. **Ghana:** ABANTU and CSOs in Ghana's regions as well as local government across Northern Ghana have knowledge, capacity and tools to sustain their advocacy as climate finance is rolled out in Ghana. Direct and enhanced direct access are yet to be developed. ABANTU is participating in the GCF CSO project and directly influences Ghana's inputs to the UNFCCC. **Niger:** Platform advocacy in Niger for access to climate finance through a National Climate Fund
Output 4: Learning, evidence and capacity support is contributing to adoption of CBA in policy and practice in Africa		
4.1 Extent to which learning events and studies demonstrate value of CBA in achieving resilient development and risk management in African drylands,	2016 milestone: Co-generated learning and evidence with national and Africa regional government, NGOs, research and private sector demonstrates value of CBA principles and reflects impacts from ALP learning events and studies.	**Regional:** ALP has shared CBA learning and evidence at the following events in 2016: CBA10/IIED – adaptive capacity in urban context + CIS, DFID Learning sessions – adaptation at scale, value of learning and CIS. COP22 – sessions on AGP's + CIS with IDRC, UK Met, BRACED, CDKN, CCAFS, IFAD, Kenyan Gov GHACOF44 – initial findings from ALP CIS study, GFCS Learning Event – CIS work Adaptation Futures, Rotterdam on CBA approaches, ACPC CCDA VI – CIS. CARE HoA Resilience learning event and Regional Leadership Team meeting. Internal: ALP Retreat + Annual Meeting. ALP has worked on following studies / publications in 2016: CIS study in 3 ALP countries and 2 outreach countries – almost complete 3 more practitioner briefs produced (Gender + CBA, integrated DRR + CBA, adaptive capacity) = 4 total Adaptation Good Practice Checklist publication + promotional card

Indicator	2016 milestone and 2017 target	Status as of 30 June 2017
particularly for women.		Input into ODI think pieces – role of NGO's in climate services and gender and disasters Adaptive Capacity study and Final Evaluation ToR's under development **Ghana:** 1. ALP and the University of Utrecht is co-generating learning evidences on possible conflicts and cooperation arising from adaptation intervention under the on-going COCOON project sponsored by DFID. 2. ALP and University of Reading-UK under the BRAVE2 and CCAFS flagship project. 3 Learning from the policy route organized by ALP.
	2017 target: - Evidence of CBA principles and approaches being referenced in dialogue, publications and programmes in the West and East African (Sahel and Horn of Africa) region on adaptation, drought resilience, DRR and/or climate smart agriculture.	25 publications with ALP contributions 3 AF/GCF project documents include CBA and CIS approaches with reference to ALP At least 8 INGO project/programme documents (STORRE, Harande, BRACED Niger, PRIME, CARE Uganda, CARE /PLAN Zimbabwe, Ethiopia DFAP and Ethiopia Red Cross) contain CBA approaches ASDSP Phase 2 programme document Kenya Ministry of Agriculture Livestock and Fisheries will finance PSP in all 47 counties for another 5 years. Two WISER quick starts (WISER Western and ENACTS) incorporated refinement and impact assessment of PSPs for early warning and agriculture decision making
4.2 Opportunities are created and tested for on-going CBA learning and capacity development accessible to adaptation practitioners in Africa.	Milestone 2016: 2 training institutions with plans in place to incorporate CBA into training curricula relevant for adaptation practitioners and policy makers 1 Scoping study on potential for a learning and innovation hub.	**Regional:** AGP checklist use to support training design and curricula tested in a CBA practitioner training course in Kenya for Gov Ministry staff + CSO partners. Collaboration with training institutes discussion in progress with ENDA Energie (West Africa) and ACTS (East Africa). Scoping of learning hub within planning for a regional learning event in 2017 (ALFA2017) with co-organizers team including IDRC, ENDA Energie, ACTS, CKB and CCAFS. **Ghana:** 2 campuses (WA & Nyamakpala in Tamale) of University for development studies submitted an expression interest to collaborate with ALP to institutionalize CBA into their academic curriculum
	2017 target is learning and innovation hub/ initiative designed with African learning institutions, communities of practice and other interested stakeholders.	**Regional:** ALFA communique pledges commitment to adaptation good practice, relevant and effective finance and knowledge brokering for results. 15 organisations interested to engage in developing a collective African learning hub for cross exchange between policy/finance, practice and research/training and strengthening of knowledge brokering capacity. **Ghana:** ALP strengthened links between practical adaptation programmes and university research and training in the University of Development Studies in Ghana.

3. Breakdown of numbers for P2 and G1

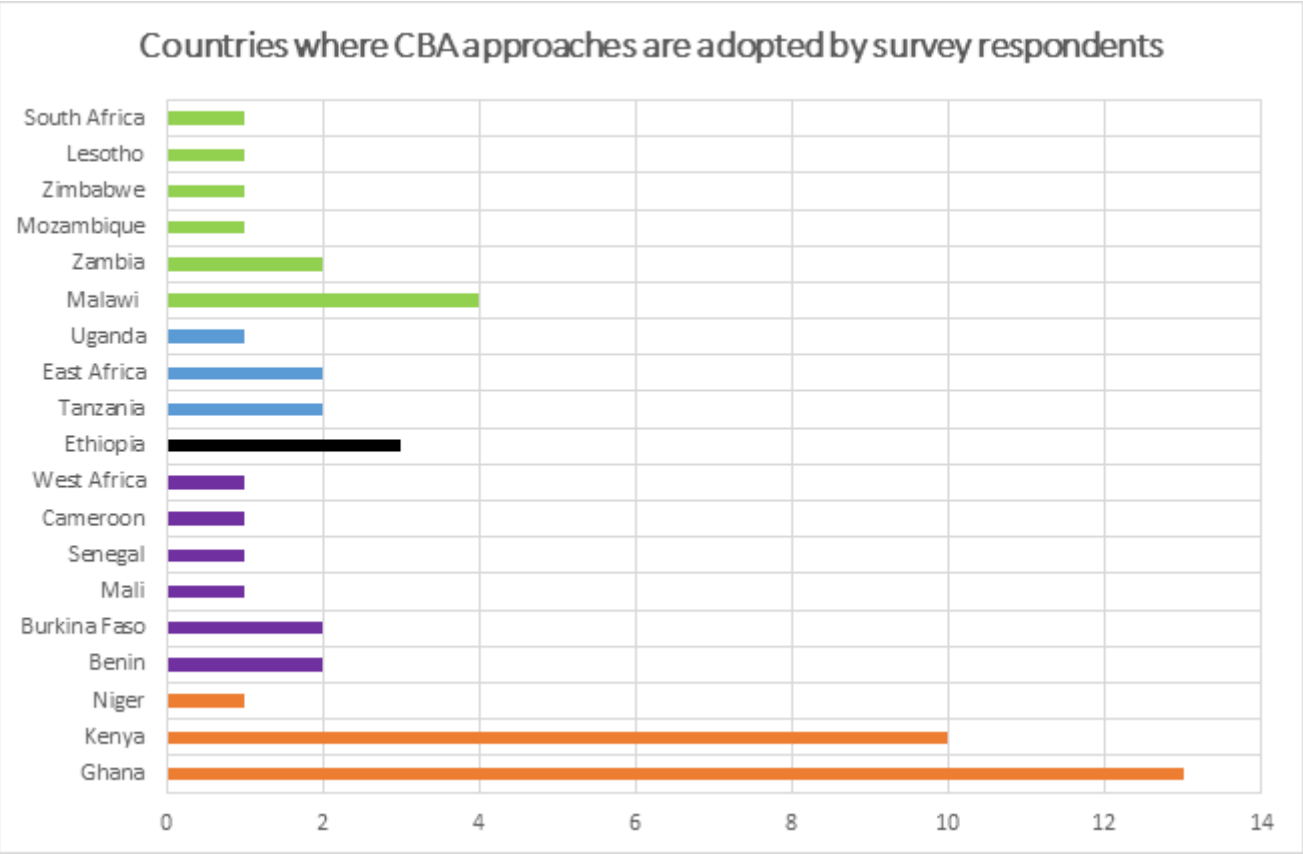
P2 indicator numbers as of June 2017	Impact/reach
Kenya: Cumulatively, 716,634 persons now reached with climate advisories. Plus 230,000 benefiting from CBA as in 2016. **Total: 946,634**	946,634
Ghana: Total coverage of PSP and advisories dissemination is 333,466 individuals in 5 new districts Namely Nadowli-Kaleo (NKD), Daffiama-Bussie-Issah (DBI), Jirapa, Nandom and Lambussie-Karni (LKD) districts. (NKD=63,141, DBI=29,857, LKD=50,896, Jirapa =87,308, Wa municipal=102,264, Wa West district=81,348, Wa East district=72,074, and Lawra district=100,929 and Farm Radio Int.CIS project with GIZ/MOFA=6,400.	594,217
1,065,936 additional people benefit from the AF project not including Northern **Ghana** where overlap with ALP and ALP impact to other projects cannot be controlled for.	1,065,936
ALP survey recorded beneficiaries in Ghana in N **Ghana** non-ALP.	72,498
Niger: Total of 369,918 individuals benefitting from adoption of CBA approach. 27 562 vulnerable to climate change individuals benefit from the adoption of the CBA approach and strategies promoted by ALP at the community level in the project implementation area of the department of Dakoro. An additional 342.356 individuals in communities in Maradi, Zinder, Tahoua and Tillabery involved in other CARE projects (GARIC, BRACED, ISCV,DEMI-E, Leadership Challenge) and non-CARE projects in Dakoro (PANA) are benefitting from the implementation of CBA.	369,918
Regional across Africa from studies on CBA adoption: 1,094,055 people in 10 countries in Africa not including ALP countries	1,094,055
Baseline: 2010 to 2015 with no overlap with 2015 to 2017	1,620,688
Total	**5,763,946**
G1 Indicator as of June 2017	**Impact/reach**
Adaptation Fund Projects approved since 2012 and which include CBA components include projects in Ghana (8,060,000 beneficiaries), Kenya, Uganda, Niger, Morocco, Mali, South Africa, Rwanda, Egypt and Djibouti with a beneficiaries number of 13.7 million beneficiaries in Africa where this is provided. Additional 400,000 BRACED beneficiaries + 334,723 in Niger GEF NAPA/PANA project = 14,434,723 total beneficiaries.	14,434,723
GCF approved projects for adaptation include a further 2.1million beneficiaries in Malawi Scaling Up of Modernized Climate Information and Early Warning Systems, including influence on climate services from ALP.	2,100,000
Agricultural Climate Resilience Enhancement Initiative (ACREI) AF project approved with 90k beneficiaries.	90,000
Total	**16,624,723**

Annex 3: Summary results of ALP survey on CBA adoption and learning, 2016

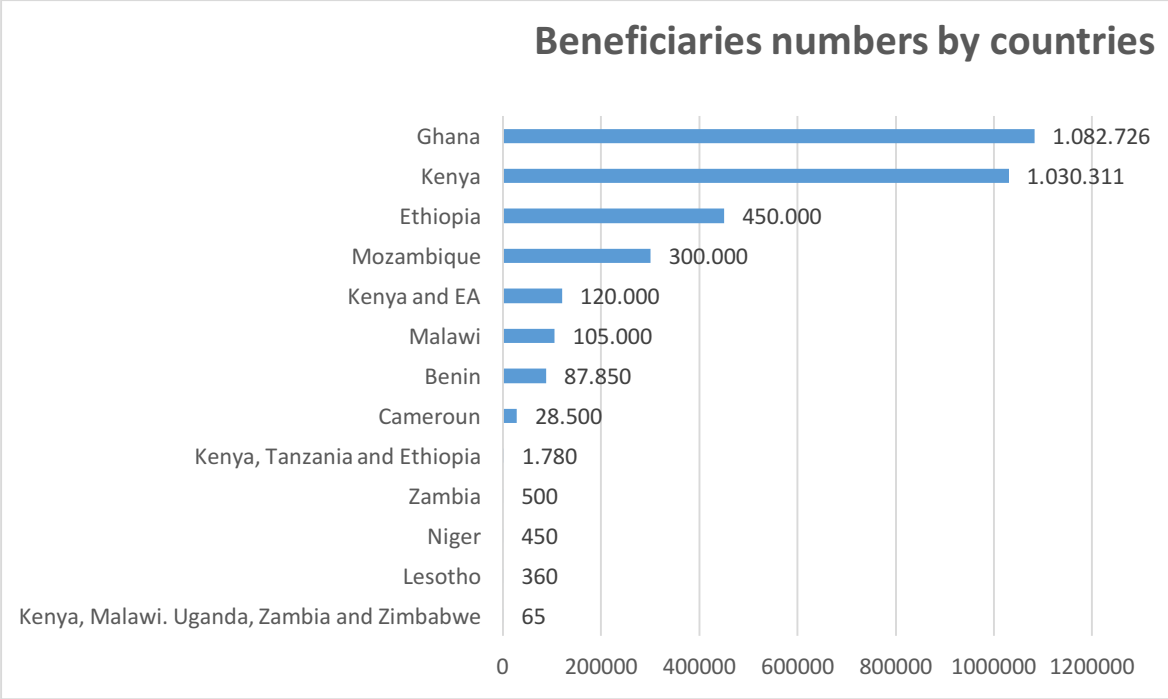
Targeted audience: participants at ALP-hosted capacity building and learning events and other key engagements across Africa. Also open to Africa members of climate adaptation and climate smart agriculture mailing lists. Results are presented on adoption of CBA, capacity to implement adaptation and impact of ALP publications and learning events.

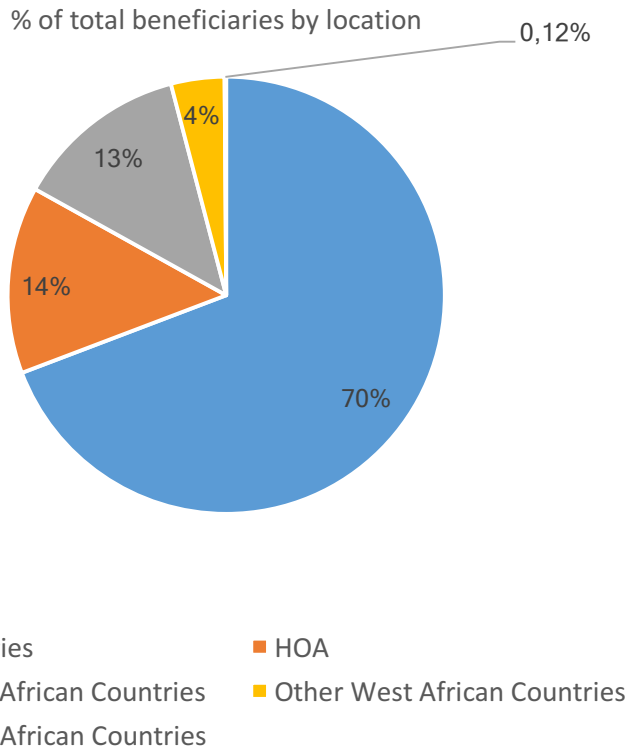
1. Adoption of CBA

- **69 respondents** based in **13 countries** in Africa (including ALP countries) provided feedback in the survey. **56** of these reported **adoption of CBA approaches** promoted by ALP.
- 37 of the respondents gave details of projects where CBA approaches are used, reporting a total of **3,209,542 beneficiaries** from projects in Benin, Cameroun, Ethiopia, Ghana, Kenya, Uganda, Zimbabwe, Tanzania, Lesotho, Malawi, Mozambique, Niger, Zambia. Of these, 1,082,726 are in Ghana, 1,030,311 in Kenya, 450 in Niger and 1,094,055 in the other countries. None of these beneficiaries are in ALP sites. Gender breakdown provided: **men: 1,375,876**, **women: 1,829,638**, non-categorised: 4,028.
- The type of adaptation benefits most cited were: **increased participation in planning and decision making**, **access to new varieties and inputs** for agriculture and livestock and **higher crop yields/livestock production/health**.
- Top adopted CBA approaches were **PSP**, **CVCA**, **CBA Planning** and **Gender in CBA**.
- Different types of beneficiaries are reached. Of the 37 projects, 7 work with pastoralists, 14 with livestock keepers, 19 with agro-pastoralists, 23 with dryland farmers, 30 with high potential farmers, 22 with small scale entrepreneurs and 5 with other categories. Overall, most of the projects engage with **communities whose livelihoods depend on drylands**.



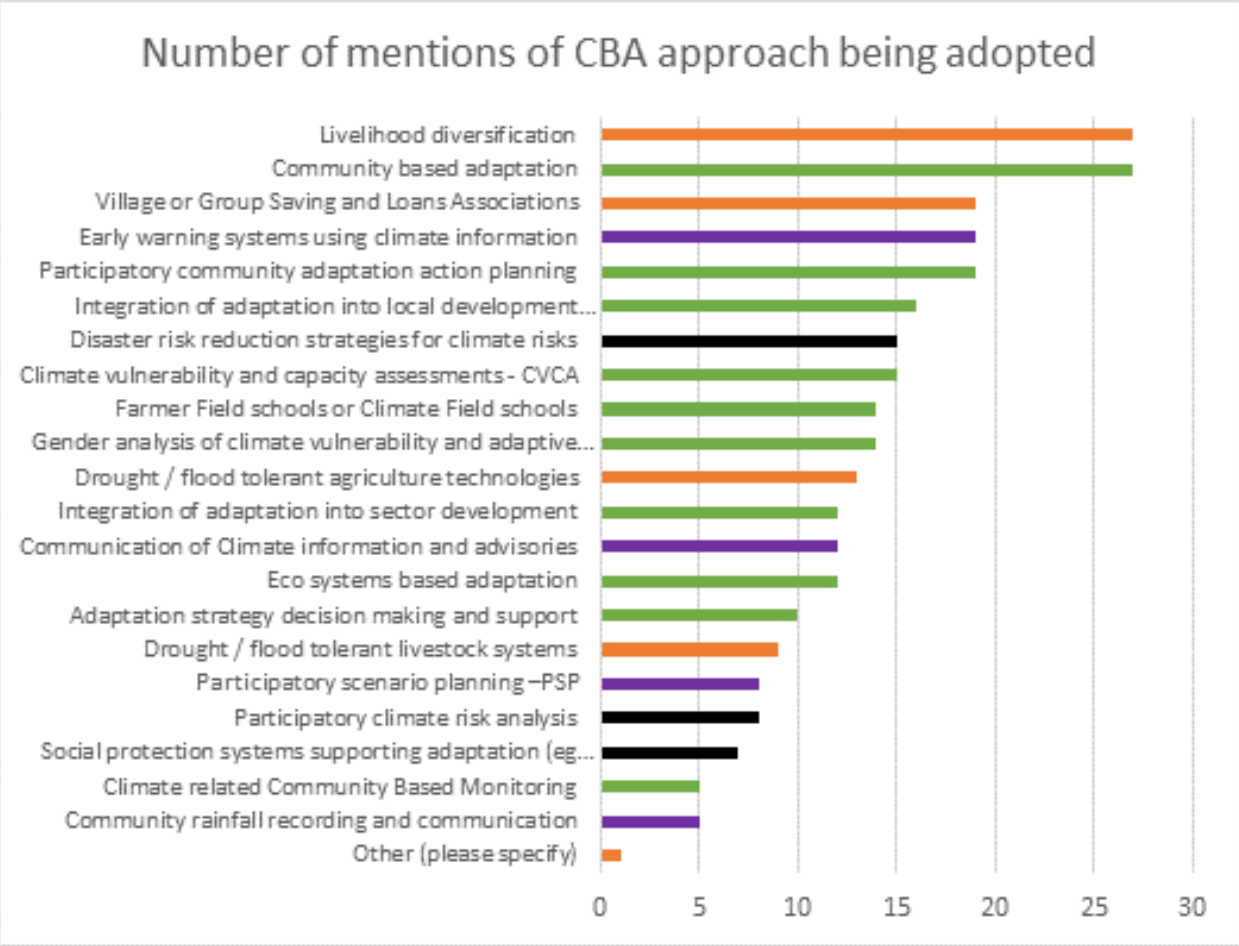
Key: Orange – ALP countries Purple – West Africa, Black- HoA, Blue-East Africa, Green – Southern Africa





Number of projects where beneficiary numbers were provided: Ghana: 12, Kenya: 6, Niger: 1, Ethiopia: 1, Southern Africa: 6, rest of West Africa: 2, rest of East Africa 2

Respondents reported which CBA approaches they are adopting. The table below presents the most to least adopted approaches, in relation to the total number of respondent clicks per approach.



Key:

Adaptation planning and Adaptive capacity	
Climate information services	
Risk management	
Adaptation strategies	

The CBA practices most successfully applied or mainstreamed were (in order):

1. Participatory planning approaches and methods
2. Women's empowerment approaches
3. Adaptive capacity building for communities/vulnerable groups
4. Gender responsive approaches
5. Institutional arrangements and linkages to support adaptation
6. Multi-stakeholder dialogue for climate information and planning/decision making

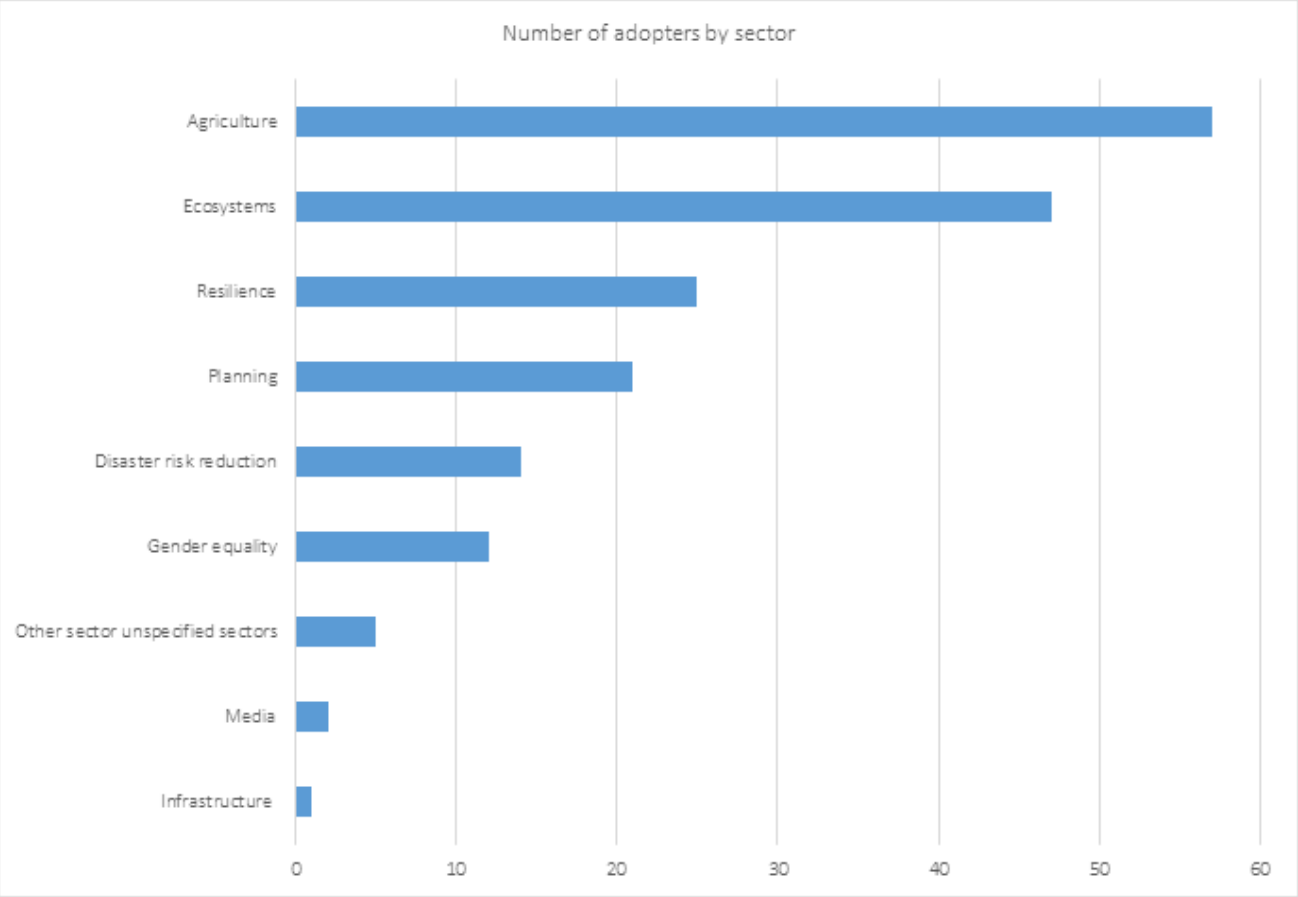
The CBA practices that were not applied or applied with difficulty were:

1. Support to ongoing adaptive management by communities and local actors
2. Participatory Technology development
3. Community organization / systems for planning, communicating & monitoring adaptation strategies
4. Ownership /agency of adaptation plans, working with power dynamics and leadership
5. Linking community adaptation plans to local development plans
6. Using knowledge of uncertainty, risk & probabilities for decision making

7. Access and use of climate information/forecasts by vulnerable people in their livelihoods and DRR decision making

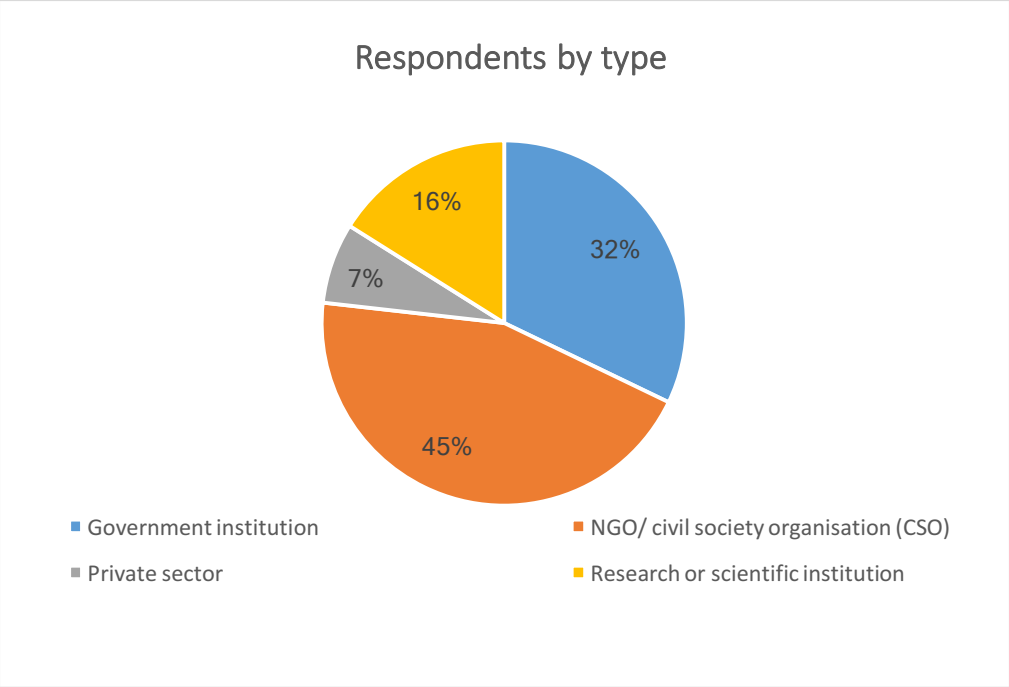
Area of work of the survey respondents who have adopted CBA

This demonstrates the range of sectors in which adaptation is being addressed and implemented, and those most related to ALP and ALP CBA approaches.



Note: Respondents selected up to three sectors from the following full list:

1. **Resilience,** Climate change adaptation, Financial services
2. **Gender equality**, Women's rights and empowerment
3. **Disaster risk reduction**/management, Social protection /safety nets, Humanitarian response, Nutrition, Health
4. **Agriculture,** Livestock/pastoralism, Community development / sustainable livelihoods, Food security
5. **Planning:** Climate information services, Meteorological, hydrological and climate services, Climate finance, policy or justice, Governance, institutional/organizational development
6. **Ecosystems:** Environment/natural resource management/conservation, Forestry/agroforestry, Land rights, Land use planning/management, Water resource management, Renewable energy, Climate change mitigation
7. **Media**
8. **Infrastructure**



Drivers and Barriers to Adoption of CBA

Enabling factors for CBA approaches adoption

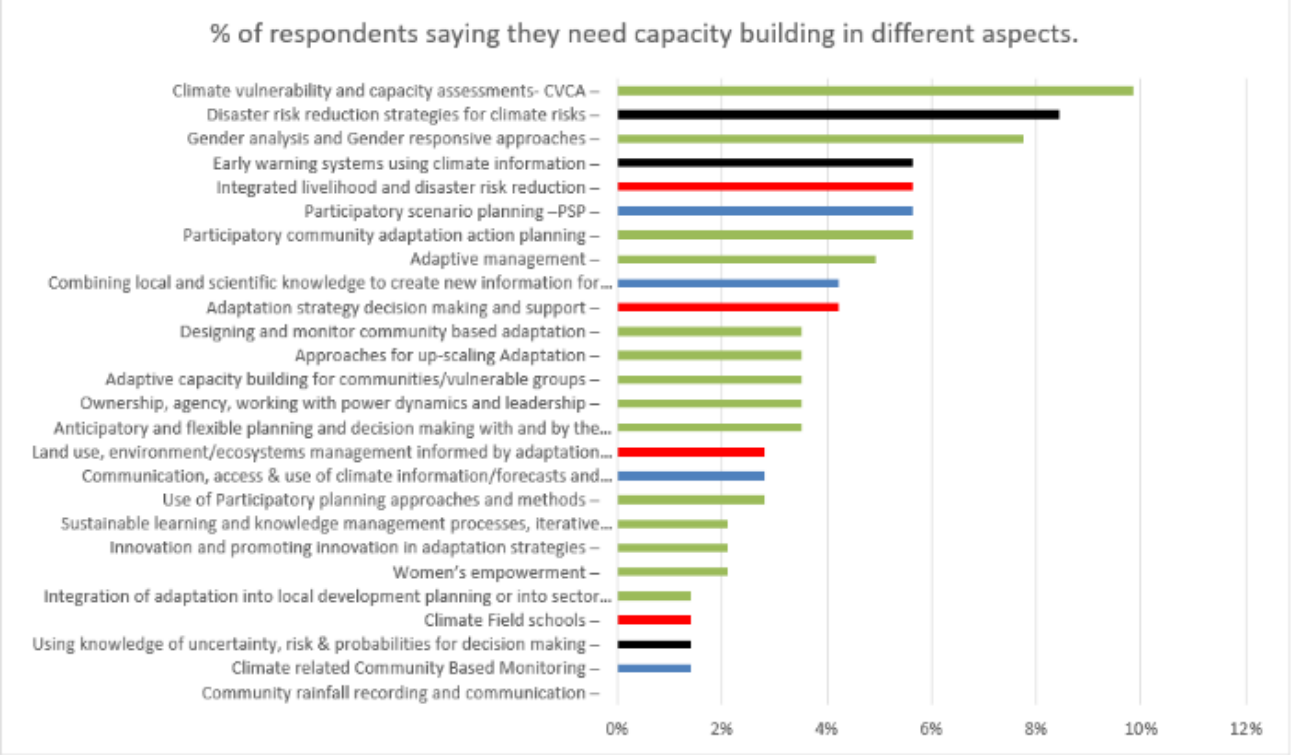
- ✓ Relevance of what is promoted for adoption with the adopting institutions' strategic objectives, priorities, work focus and capacity building plans
- ✓ Climate change adaptation and resilience building being among the organization strategic objectives and mainstreamed in organizational activities.
- ✓ CC issues included as part of staff performance indicators.
- ✓ Organizational buy in and commitment to issues of CC.
- ✓ CC being considered a cross cutting issue in the organization
- ✓ CC adaptation being a key area of interest in organization research, teaching, consultancy and service delivery.
- ✓ Adoption/integrated/mainstreaming adaptation being prioritized at designing, Planning, implementation, Monitoring and Evaluation of the project/programme.
- ✓ Adaptation being one of organization's key messages
- ✓ Organization's staff being given opportunity to attend adaptation workshops and training events whenever they arise.
- ✓ Exposure to CC realities - Working with rural small scale farmers and realizing the impact of climate change on agriculture.
- ✓ Organization operational areas being prone/vulnerable to CC disasters/hazards like floods, drought. Working in CC hot spots
- ✓ Demand for capacity building eg. Organization usually being called upon to provide capacity building in climate change adaptation.
- ✓ Participation in training programmes/events on CC adaptation.
- ✓ Having agriculture and other CC vulnerable sectors as focus sectors of the organization. E.g. Agriculture and food security.
- ✓ Level of awareness/consciousness to CC adaptation measures to support reducing CC risk levels.
- ✓ Organizational policy on addressing issues to adaptation to climate change.

Challenges/barriers in CBA adoption

- Main challenge cited is lack of or limited financial support to independently plan and implement CCA programmes. Some initiatives rely on local minimum support and member contributions. Therefore the plans are well done but implementation become a challenge.
- Climate change adaptation not being considered a core issue in organizational activities. It is only incorporated into project/programme activities as an added advantage to smallholder farmers in rural communities.
- Taking too much time on data collection other than implementation
- Lack of adequate planning at the national and regional levels.
- CCA capacity and resources gap that hinder adaptation issues
- Weak or no commitment by leadership to allocate resources to carry out CC adaptation activities.

2. Respondent Capacity in Adaptation

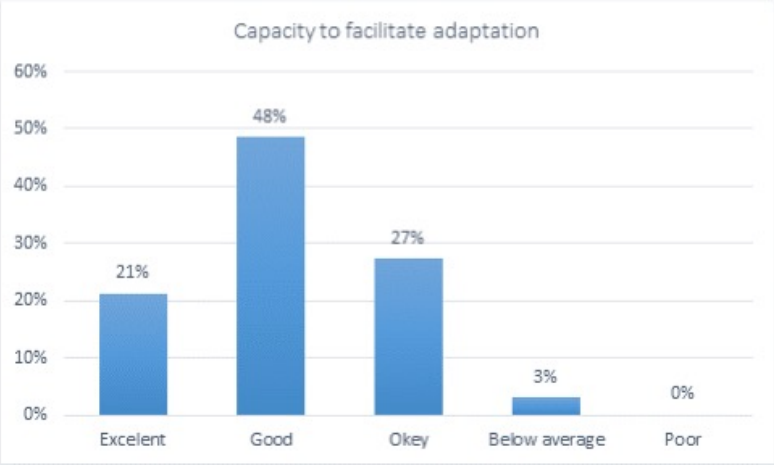
Capacity needs for adopting CBA



Key:

Adaptation planning and Adaptive capacity	
Climate information services	
Risk management	
Adaptation strategies	

Respondent Self-assessment of Capacity to facilitate adaptation approaches



3. Impacts of ALP Publications and Learning events

The publications rated most useful are listed here, most useful first:
1. CBA brief: Community based adaptation: an empowering approach for climate resilient development and risk reduction
2. Participatory Scenario Planning brief. Decision-making for climate resilient livelihoods and risk reduction: A Participatory Scenario Planning approach
3. Building multi-stakeholder processes for climate change adaptation in sub-Saharan Africa (C4D case study)
4. Climate change vulnerability and adaptive capacity – synthesis and lessons from Ghana, Kenya and Niger.
5. Adaptation Planning with communities (Practitioner Brief 1)
6. Facing Uncertainty – the value of climate information for adaptation, risk reduction and resilience in Africa

An important factor to consider in the responses, is how widely these publications were disseminated. However one of the things that the responses do show is that the publications that focus on practical guidance on CBA approaches appear to be more popular than the more conceptual publications. This correlates with figures for downloads of ALP publications. This conclusion is backed up by the response from people about what they liked best about the ALP publications summarised below.

Asked about what they like about ALP publications, the respondents had the following to say

- It enhanced my skills and knowledge in adaptation.
- Through Joto African, we are informed of the activities on resilience
- It's a useful reference for planning programs
- The updated information from across different players in climate change and free access to ALP online publication
- Content of each publication is good.
- The telling of real success stories
- Information dissemination and exchange of ideas. Documentation for future references and adaptation
- The contents are based on the practical experiences
- It provides insights and an up-to-date wealth of information for programming and decision making by policy makers in the country
- It serve as a resource information for Organizations and policy makers in planning current future programmes
- The excellent quality of analyses informed by practice is a key strength of most ALP publications.
- They are practical .They can be replicated. Easy to follow and apply, read and understand
- They have some community practical reflections
- They help promote learning

- CBA: Community based Adaptation: an approach of empowerment for climate resilient development and risk reduction

Asked what they do not like about ALP publications, most respondents did not respond but for the few who did the following were the responses

- Hard copies not submitted to government agencies ie the East Mamprusi District Assembly.
- Some publications are in English, I'm French I have trouble understanding some parts the fact that i don't receive directly. Email for instance
- The clarity and technicality of the issues relating to local context
- Sometimes the contributions of consultants are not much acknowledged.
- Sometimes they provide too much detail and may confuse
- Others are country specific that may not apply to Malawi agro ecological zones
- Community Digital Story Telling Guidelines
- The information is too advanced to be shared with the community beneficiaries

Impact and value of ALP Learning Events 2011 to 2016

Highest to lowest number of respondents citing the event as very useful or useful:

1. **East, Southern Africa CBA Resilience learning event** 2014, & CCAFS, Ethiopia
2. **PSP Training of trainers for E. S. Africa and Ghana** March 2015, Kenya
3. **West Africa Learning Event (WALE)** September 2013, & CCAFS Benin
4. **Gender and CBA Learning workshop** September 2011, Ghana
5. **Ghana policy makers study tour to ALP communities** , 2016, Northern Ghana
6. **Learning tour Ghana CBA, WaWASH Burkina Faso**, May 2015, Ghana
7. **CBA and Gender training for IEWM, GCCWG, ALAP partners** 2015, Kenya
8. **PSP facilitation training** 2015, Niger
9. **PSP and CBA practitioner training** 2013, Kenya.
10. **PSP facilitation training in Ghana** 2012, Ghana
11. **PSP facilitation training CARE programmes** 2014, Tanzania
12. **Climate communication training, Kenya Met Department** 2013, ALP, KMD, Kenya
13. **CBA training, ALP Kenya** December 2011, Kenya
14. **CBA trainings for WaWASH programme,** 2013, Ghana
15. CBA **trainings and refresher, CFTC** 2014, Northern Ghana
16. **Horn of Africa Resilience Learning Event** May 2016, CARE / ALP, Silver Springs Nairobi, Kenya
17. **Adaptation Academy**, EAC, PREPARED January 2016, GCAP, ALP, Kisumu, Kenya
18. **East African Policy Makers Learning route** 2013 &2014 Kenya, ALP CCAFS, Procasur
19. **PSP facilitation training for ASDSP** 2014, ALP, Naivasha, Kenya
20. **PSP training PRIME** June 2014, ALP, Ethiopia
21. **PSP facilitation training CISONECC** 2014, ALP, Blantyre Malawi
22. **CBA Training of CSO Facilitators** 2016, ALP, Niamey, Niger
23. **PSP training CARE Zimbabwe programmes** 2015, ALP/CISONEC, Zimbabwe

Overall 96% of the responses selected useful (39%) and very useful (57%) while only 4% of responses were for not useful. Popularity is skewed in relation to attendance rates of the participants in the survey. Of the 96% of responses, 34% related to PSP trainings, which were also the most numerous, based on popular demand, with 10 separate events.

Annex 4. ALP at UNFCCC COP21, 2015 and COP22, 2016

ALP participation in UNFCCC COP21 in Paris

ALP and the African CSO delegates worked together at COP21 on both the negotiations and the numerous side events. ALP also joined with the larger team from CARE International and the Southern Voices for Adaptation teams. Through these coordinated efforts and the ability of ALP and CSO official delegates to participate in specific aspects of the negotiations themselves, discuss with their national delegations, work with the AGN to support the inclusion of Africa positions, direct official delegates to important issues, as well as side events, it was possible to have some influence over the final outcome, with particular success around the campaign for emissions reductions to limit temperature rise to a 1.5 degrees target, finance flows and finance for adaptation, climate-resilient development, and the stand-alone goal for adaptation in the Paris agreement and accompanying decision relating to pre-2020 actions presented to Parties at the end of COP21. Using appropriate channels to pass messages to negotiators and holding bilateral meetings with strategic delegations made sure that critical issues were highlighted and discussed by parties.

ALP, national networks and PACJA also promoted CBA goals in side events and via bilateral and multilateral platforms. Two sessions were hosted by ALP, one in the Africa Pavilion early in the negotiations drew over 100 participants, mainly from Africa:

- **Making adaptation finance count in Africa:** Applying good adaptation principles and practices. Africa Pavilion, ALP host, panellists from ALP, ABANTU, Kenya climate change secretariat, Kenya NEMA.
- **Reaching the most vulnerable:** Approaches to support gender equitable community-based adaptation. Climate Generations Area. ALP host, interactive session with panellists of CSOs/ALP from Niger, Ghana, Kenya, Uganda, Vietnam, plus Practical Action and CARE on Asia experiences.

ALP contribution to side events at COP21

1. **Gender, climate change and sustainable development in Africa:** Challenges and opportunities post-2015 agreements. Africa Pavilion, hosted by Climate Change and Peace Building Focal Point with CCAFS, with ALP panellist.
2. **Green Climate Fund:** How to address the adaptation needs of the most vulnerable? EU Pavilion, PACJA host, ALP panellist.
3. **Scaling Up Good Adaptation Action,** Climate Generations Area. World Resources Institute (WRI) host, ALP panellist.
4. **Climate change and gender:** Turning the double injustice into an opportunity. Climate Generations Area, Coordination SUD Space, CARE host, ALP participation.
5. **Gender and adaptation discussion.** Global Landscapes Forum, Gender Pavilion. CARE exhibition booth with talks by ALP. GLF publication with ALP case study.
6. **Development and Climate Days.** Red Cross/Red Crescent Climate Centre and IIED hosts, ALP panellists in a parallel session on climate information services and a lightning talk on adaptive capacity in the Sahel.
7. **Shaping equitable adaptation policies:** Joint Principles for Adaptation. Southern Voices host with African CSOs.
8. **Southern Voices evening:** Lessons learned by CSO networks working with the Joint Principles for Adaptation. SV host, ALP and ALP CSO partners participation

Participation in UNFCCC COP22 in Marrakech

ALP took the opportunity at COP22 to raise the profile of its work on community based adaptation and climate information services. ALP hosted two side events to launch and promote the Adaptation Good Practice checklist, one in the Africa Pavilion involving a discussion on the links between NAPs, adaptation finance and good practice from the Kenya government perspective. ALP spoke at a number of side events organised by CCAFS, UK Met Office, CDKN /ODI and Southern Voices and at the Development and Climate Days. Topics focused on adaptation for resilience, financial inclusion, gender equality and youth engagement in climate smart agriculture, on the value of climate information for adaptation decision making and on adaptation advocacy for CSOs. See list below.
ALP continued to strengthen its relationships with key stakeholders from the Kenyan and Nigerien governments, as well as with actors from other adaptation learning and knowledge management initiatives including CDKN's Climate Knowledge Brokers Initiative, the African Centre for Technology Studies (ACTS) who launched a book on community based adaptation, UK met office and Canada's IDRC CARIAA programme. Engagement with adaptation finance readiness work was strengthened through discussions with World Resources Institute, the African Development Bank Africa Climate Change Fund, the Adaptation Fund and the emerging community of practice of African government accredited entities to AF and the Green Climate Fund in relation to supporting their links to capacity support for adaptation good practice. ALP engaged in the following themes: agriculture and food security, gender, climate services, adaptation and adaptation finance.

ALP and the UNFCCC COP22 negotiations. ALP attended the main negotiations at the COP and worked closely with the agriculture and gender negotiators, some of whom were Kenyan negotiators with whom ALP has built relationships over the years.

Agriculture. ALP, having been involved in the developing of the draft decision since October 2016 to the end of the negotiations at the COP, gained insights into some of the main actors in climate smart/ resilient agriculture at the regional and international levels. Unfortunately, the agriculture talks failed at COP22.

Gender negotiations had more positive outcomes, with the extension of the Lima work programme for three more years. There will be workshops to develop the gender action plan where ALP, mainly through partners, will seek to contribute to the prioritisation of key agenda issues within the climate change sphere. http://careclimatechange.org/gender-marrakech-climate-talks/

Adaptation finance negotiations made some progress with the key highlights including the agreement that was reached to have the Adaptation Fund serve the Paris Agreement (given that it was formed under the Kyoto Protocol, before the Paris Agreement). The AF also met its fundraising target of USD 80million, following pledged from several countries.

ALP contribution to Side events at COP22

A. Adaptation learning

1. **CARE's Adaptation Learning Programme for Africa (ALP) launched the Adaptation Good Practice Checklist** at COP22 Climate Studio in Morocco. Topic: How can we ensure that adaptation under the Paris Agreement results in climate resilience for the vulnerable communities? Presentation of the checklist and its nine practices to support quality and effectiveness in implementation of NDCs, NAPs and adaptation finance.
2. **Africa Pavilion, Government of Kenya / CARE: Linking the Paris Agreement to the NDCs: Effective Climate Finance for Successful Adaptation at the National and Local Levels.** ALP moderated the session and presented on the Adaptation Good Practice Checklist value for NAPs, AF and GCF. The Kenya government spoke on the Kenya policy environment in particular the NAP and the accreditation process for both Adaptation Fund and Green Climate Fund.

3. **CCAFS/IFAD /CARE: Building Women's Resilience to Climate Change: Lessons from smallholder farmers.** ALP topic: Strengthening adaptive capacity and gender equality
4. **Southern Voices: NAPs and the JPAs.** ALP topic: the Kenyan experience in developing the NAP and using the JPAs for CSO advocacy
5. **CBA9 book launch, with ACTs and IDRC.** ACTs launched this book which has been developed from the outcome of the 9th international CBA conference. The book was presented and speeches made by several authors including Fiona Percy and Peter With from CARE, the sponsors, Canada's IDRC and Saleem Huq of IIED, explaining the importance of CBA.
6. **Development & Climate Days, in IDRC session on Ambition, Commitment and Action!** Perspectives on implementation toward the Paris agreement. IDRC hosted a panel discussion and World Café group session. ALP topic: Climate resilient communities – what does it take? Fiona and Emma described ALP's CBA work at community level and the transformations CBA processes are having among men and women in terms of greater anticipation, adaptive capacity, and diversification of livelihoods integrated with disaster risk reduction with examples from Niger and Kenya.
7. **CCAFS: Youth engagement in Climate Smart Agriculture.** ALP topic: Motivating youth through community based adaptation
8. **CDKN/ODI/BRACED: tailoring pro-poor financial services for adaptation and resilience.** CARE topic: VSLA and other financial services for climate resilience in Niger

See the blog for outcomes of the discussions at ALP hosted events at COP22: http://careclimatechange.org/launch-adaptation-good-practice-agp-checklist-setting-scene-effective-implementation-paris-agreement-cop22/

B. Climate services

9. **UK Met office Future Climate for Africa (FCFA) side event:** 'From science to services: improving climate resilience in Africa', Thurs, 17 November 2016. This event looked at how innovative climate science and services can help people across a diverse range of African contexts to manage climate risks. CARE presented on the user based climate services knowledge value chain framework that has been developed from ALP's PSP and other experiences.

C. Adaptation finance and civil society action

The GCF CSO readiness project hosted a partners' meeting where 25 participants from Cameroon, Ghana, Kenya, Morocco, Senegal, Tanzania, and Zambia attended; as well as CARE and GermanWatch, who are leads in the project; and ENDA, PACJA, AEVST Morocco, who are the implementing partners in the project. The purpose of the workshop was to gather African civil society representatives, practitioners and advocates involved in or interested about climate finance, especially at the GCF level, and provide them with the opportunity to share their national experience with each other, exchange ideas and best practices related to CSOs involvement in local GCF state of play and/or GCF projects.

Annex 5. Development in assumptions and risks 2015 to 2017

Table 1. Assumptions

Assumption	Status in 2017
Governments, regional organization and NGOs throughout Africa are willing and able to change/review policies, plans and adopt CBA approaches, where appropriate and including in their approved projects for AF/GCF	**Ghana:** Ghana government has nominated the Ministry of Finance (MOF) as National Designated Authority (NDA) for the Green Climate Fund (GCF). Apart from this, CSO and government have been sensitised on the GCF by UNDP and Water Resources Institute (WRI). MOF is opened to collaborate with CSO in developing proposal to access these funding streams. ECOWAS developed a framework for Climate Smart Agriculture in West Africa to guide the implementation of the Regional Agricultural policy for West Africa (ECOWAP/CAADP). **Kenya:** There is general political goodwill to improve policies and plans- the challenge is in ensuring sufficient funding and effective implementation. **Niger:** Beaucoup de progrès a été déjà fait pour la prise en compte de l'adaptation dans les politiques/stratégies et Programmes de l'Etat, avec les actions de plaidoyer appuyer par ALP au niveau national. Cet effort de ALP se poursuit avec la PFSC/CC/DD qui à travers les actions prévues continuera ce qui a été entrepris dans ce sens. Un changement de régime (élections législatives et présidentielles à venir) peut éventuellement freiner cet élan de plaidoyer de la société Civile.
Adaptation funds are available to Governments, regional organization and NGOs throughout Africa	**Ghana:** The Adaptation fund is available for all governments and NGOs. Ghana has sourced funds from the Adaptation Funds (AF) amounting to US $800, 293, 972.19. The GCF is potential source of funds for all governments and NGOs in Africa to support CBA works. The risk however is the seemingly weak capacity of government institutions and some NGOs to take advantage these funding windows. Transparent and accountable management of these funds is also another risk. **Kenya:** There are limited funds available for adaptation funding but it is difficult to keep track of the funds (especially from bilateral sources) as well as in the national budget. ALP seeking to influence the climate finance policy to address some of the challenges; ALP working with PACJA and TI to track funds and a climate finance study was conducted in Kenya to help understand the actual situation of finance. Niger: Au Niger, les fonds d'adaptation sont timidement alloués par certains bailleurs de fonds et sont gérés directement par l'Etat à travers le CNEDD.

Assumption	Status in 2017
Adaptation strategies are adopted by men and women and are sustainable and increasing adaptive capacity and resilience	**Ghana:** In the ALP phase one communities tested adaptation strategies are being adopted by men and women and are increasing the livelihood resilience of the households involved and their adaptive capacity. Climate uncertainties and gender imbalances continue to be a challenge. **Kenya:** Adaptation strategies are being adopted by both men and women. There is evidence of increasing adaptive capacity and resilience. Niger: Le processus d'analyse de la capacité et de la vulnérabilité climatique permet d'identifier des stratégies avec les communautés et par les communautés; ces stratégies sont mises en œuvre avec l'appui du projet et des autres acteurs. L'implémentation de ces stratégies facilite considérablement l'adaptation des populations vulnérables aux effets néfastes des variabilités et des changements climatiques et améliore du coup leur résilience. Les sécheresses répétitives et l'insuffisance de moyens peuvent nuire à cette adaptative capacité des populations.
Local government authorities have the mandate and are willing to collaborate on CBA, including on disaster preparedness planning with communities.	**Ghana:** District Assemblies and Decentralised departments in both ALP phase one and two Districts in Ghana have the mandate to and have integrated CBA principles per the Medium Term Development Guidelines issued by National Development planning Commission in Ghana. District assemblies are willing to collaborate and are collaborating with the ALP and other projects working on climate change. The risk however is the institutionalisation of the CBA principles due to the frequent transfer of staff. Also poor operationalisation of Disaster Risk plans due to inadequate resources. **Kenya:** There is general political goodwill to learn more and strengthen CBA-ALP is receiving requests to support capacity building of government partners at the County and national levels Niger: Les plans de développement communaux intègre de plus en plus l'ABC avec les analyses des risques qui y sont faites au cours de l'intégration de la dimension changement climatiques et des PACA.
Women are given space and opportunities to participate in decisions	**Ghana:** Women are participating in both households and community level decision making. They also engage in diversified economic activities in the communities. Women are more into dry season farming, rearing and owning animals in some communities as men do. The risk lies on the limited control over productive resource as well as households and community assets by women. **Kenya:** Women hold positions of power and have the mandate to make decisions in the groups selected by ALP, however barriers and drivers of women's decision making are complex. Understanding and responding to this was part of the work ALP implemented. **Niger:** Les femmes participent activement à toutes les discussions faites au cours du processus CBA et défendent vaillamment leurs point de vue qui sont prises en comptes dans les prises de décision au niveau communautaire

Assumption	Status in 2017
Local and national organizations willing and able to allocate adaptation resources in line with the priorities of climate-affected communities.	**Ghana:** Districts Assemblies (DA) have budgeted for and received funds from the Central Government in Ghana through the District Assemblies' Common Fund (DACF) and other donor agencies for the implementation of development projects in climate vulnerable communities. EPA and MOFA through the AF project and GASIP respectively are allocating funds for the implementation of adaptation projects in Northern Ghana where climate change impacts are more pronounced. The risk is poor monitoring/tracking of adaptation resources allocated by national government to local government entities. **Niger:** De plus en plus, les organisations prennent en compte l'Adaptation dans leurs programmes et par conséquent conçoivent des programmes qui adressent les changements climatiques et les préoccupations des communautés.
Met services continue to generate and avail timely climate information and express interest in responding to user needs and knowledge	**Ghana:** Met services continue to generate and disseminate climate forecast. That apart, they are also supporting communities in the generation of rain fall data using rain gauges and distribution of the information through media platforms including radio stations, SMS alerts through communication networks, and the CICs. Apart from government met service, private sector organisations including Ignitia, Farm Radio, ESOKO also engage in the generation and the dissemination of climate information. GMET further support annual facilitation of PSPs at the district level. However, the packaging and channels of distribution to small holder farmers for instances, needs to be improved for users. The risk here is low confidence level of smallholder farmers on the use of climate information due to unreliable and timely dissemination of climate/weather forecast. **Kenya:** The Met services are collaborative and willing to improve CIS, and have adopted PSP at county level as one way for climate services to reach users **Niger**: Les discussions sont engagées avec les services de la météorologie au niveau national pour la mise à disposition des prévisions à temps et la participation des cadres de ces services aux ateliers PSP. Jusqu'ici ces services de la météorologie au niveau régional et local participent aux PSP, mais les données sont celles générées par le PRESAO au niveau régional
GCF/AF implementing entities and implementing agencies will assign the necessary resources to implement project activities.	**Ghana:** UNDP is providing resources from the Adaptation Fund to support MESTI/EPA in the implementation of the " Increased Resilience to Climate Change in Northern Ghana through the Management of Water Resources and Diversification of Livelihoods project'. UNDP and the Water Resources Institute are further proving funds to sensitise government institutions and CSOs on GCF readiness. The risk is poor monitoring/tracking and transparency mechanisms to ensure the funds reach the targeted climate vulnerable communities and households. **Kenya:** Financial flows to approved projects are slow, but gaining momentum. Direct access is lagging behind internationally accredited entities. Direct and enhanced direct access are being encouraged through the readiness funds. **Niger:** Au niveau, les fonds d'adaptation sont timidement alloués par certains bailleurs de fonds et sont gérés directement par l'Etat à travers le CNEDD.

Assumption	Status in 2017
Civil society climate networks are committed to promoting CBA approaches and models in national and regional adaptation policy and implementation. Networks and individual partners will integrate CBA learning and models in their advocacy work.	**Ghana:** The Abantu for development, The Ghana Climate Change Adaptation Network (CAN) and the Inter Agency Network on Climate Change in Northern Ghana and many other climate change inclined NGOs are accessing funds and promoting CBA strategies and as well advocating for the integration of CBA strategies into Districts and National policies, plans and sectoral programmes. Dwindling donor support to CSOs could undermine their capacity to advocate. **Kenya:** CSOs are active and networks came together under a Momentum for Change campaign. There is a general interest and an advocacy strategy **Niger:** Le plan d'action de la Plateforme de la Société Civile prend en compte le renforcement des capacités et la promotion de l'ABC au niveau des membres de réseaux qui à leur tour les intégreront dans leurs différents plans de plaidoyer.
Parties and national governments hosting COPs give space for CSOs to advocate.	**Ghana:** CSOs receive accreditation from the COPs organisers and national government to attend and participate in COPs proceedings/negotiations. CSOs organise side events as part of the COP to share knowledge with others as an advocacy strategy. Dwindling donor funding and the difficulty associated with CSOs acquiring accreditation to participate in COPs can under mine the number and level of advocacy. **Kenya:** The space exists and CSOs are able to voice and channel their issues. However, the CSO issues/ recommendations are not always taken up, mainly due to political reasons. Ongoing capacity building and dialogue to expand the space and CSO engagement **Niger:** Les OSC à travers la Plateforme seront suffisamment représenté à la COP21 où elles feront le plaidoyer pour plus d'allocation des fonds d'adaptation.
National, local governments, NIEs and NDAs willing and able to adopt CBA approaches and integrate into their programmes..	**Ghana:** MOF the NDA for Ghana is showing interest and willing to integrate CBA into national programmes and policies. That apart MOF is a boundary partner for ALP and participated in the ALP Ghana planning process for extension phase with high enthusiasm. The risk is lack of implementation of plans and policies by relevant government institutions and agencies due to structural challenges which undermine MOF direct oversight and supervisory responsibilities over those implementing institutions. **Niger:** Beaucoup d'efforts est fait par le gouvernent au niveau nationale et local pour intégrer l'ABC dans les programmes et plans.

Assumption	Status in 2017
All adaptation related stakeholders willing to collaborate with and learn together.	**Ghana:** NGOs implementing adaptation projects are forming networks and organizing platforms for learning and sharing climate related information. An example is the Inter Agency Network initiated by ALP which provides platform for CSOs in Northern Ghana to learn and share best practices and lessons as well as methodologies on ongoing adaptation projects. ABANTU/GACCES membership including Ghana CAN are advocating for integration of CBA principles into Government policies and programmmes and national budgets. There is partnership between national and local government entities as well as communities in the planning and implementation of adaptation initiatives as well as learning lessons emanating from these initiatives. **Niger:** Au niveau national, le cadre de concertation des acteurs qui interviennent dans l'ABC constitu la référence de collaboration et de synergie des intervenants; c'est aussi un cadre de partage et d'échange d'expérience qui est opérationnel et se réuni annuellement.
Demand for CBA learning continues to grow	**Ghana:** The EPA has developed and National climate change learning strategy build needed capacities for the implementation of the National Climate Change Policy (NCCP). Again, national and local government institutions participated in a CBA learning route organized by ALP in March 2016. Assembly members after being introduced to climate change concepts asked for more capacity building on CBA. Local government Agencies, and district Assemblies decentralised departments NGOs and projects are interested and willing to participate and support CSOs carry out CBA approaches. They are also demanding joint organizations of such learning platforms. For instance the Inter Agency meeting by INGOs in Northern Ghana. ABANTU, Media Platform on Environment and Climate change, Ghana (MPEC GHANA), and the Institute of Environment and Sanitation Studies (IESS), of the University of Ghana, Legon, are organizing jointly organizing Pre-COP for media practitioners and government delegates to Paris. There is also an increasing demand within the West African sub region to facilitate learning on CBA among NGOs and Governmental actors. An example is the ECOWAS Conference Climate Smart Agriculture (CSA) held in Bamako in April 2015. **Kenya:** several requests for capacity building by the CDA (executing entity) COG, NDMA, PELUM and the GCCWG network **Niger:** Certains pays (Tchad, Benin-Togo) et partenaires au niveau national (INRAN-ICRAF/CCAFs) demandent des appuis de ALP sur le processus ABC, ALFA 2017 demonstrated growing demand for multi-stakeholder learning

Table 2: Risks

Risk	Developments in risks levels in 2017
Natural disasters caused by climate hazards derail adaptation efforts.	**Ghana:** Ghana experienced a number of flood and, windstorms that destroyed lives and property. **Kenya:** To some extent- natural disasters also provide an opportunity to use newly gained adaptation knowledge and skills. Given the heavy rains due to the El Nino phenomenon in 2015 OND, there were good harvests and minimal risks in ALP communities as well as in Counties in which ALP partnered strongly with NDMA. However, 2016 has been a La Nina year characterized by poorer rains and poor harvests. There is a risk of food insecurity in some areas **Niger:** Les crises naturelles en lien avec les risques climatiques sont légions au Niger ou presque une année sur deux est affectée (faibles pluviométrie, mauvaise répartition dans le temps et dans l'espace qui causent de mauvaises productions agricoles et pastorales)
National election affecting programme implementation activities	**Ghana:** Elections took place smoothly **Kenya:** The 2017 Kenyan elections experienced unrest in specific hotspots, not ALP sites.
Security/conflict	**Ghana:** Ghana recorded some ethnic clashes that led to the destructions of households and community assets. There is also a trend of Fulani pastoralists and farmers conflicts over scare water resources. **Kenya:** Given the political volatility in neighboring countries including S. Sudan, and the food crisis in countries such as Ethiopia, there may be an influx of refugees. Resource based conflicts are also likely to occur as families and communities search for water and pasture for their families and animals **Niger:** La zone du projet est relativement exemptée des conflits et de l'insécurité
Duplication by other organisations/programmes with conflicting approaches to adaptation	**Ghana:** There are many NGOs implementing climate change adaptation projects using similar methodologies and partners as ALP. The risk of competing for visibility and duplication of approaches is real. **Kenya:** Need to keep track and up to date with similar initiatives to ensure complementarity - institutional analysis is helpful; for a start. Other channels such as attending launches and strategy meetings helps us to keep track of upcoming initiatives and ensure complementarity Niger: Il existe une multitude d'organisation qui mettent en œuvre l'ABC avec des outils et méthodes différents, mais cela n'entache en rien l'approche de CARE avec les outils CVCA et la méthodologie de la conduite de l'analyse.
Food insecurity/ famine/ out migration	**Ghana:** Food insecurity is a norm. households use out migration from one part of the country to other parts in search of menial jobs as a coping strategies. **Kenya:** 2017 has seen drought and hunger in Northern Kenya and neighbouring countries, with associated resource based conflicts a communities search for water and pasture for their families and animals **Niger:** Les crises actuelles sont vite circonscrites par les interventions des divers acteurs et attenues les départs massifs en exode des populations affectées.

Annex 6: Acronym list

ABANTU	Name of gender and policy advocacy NGO in Ghana, not an acronym
ACPC	Africa Climate Policy Centre
ACCRA	African Climate Change Resilience Alliance
ACTS	The African Centre for Technology Studies
ADA	Austrian Development Agency
AE	Accredited Entities (to GCF)
AF	Adaptation Fund
AGIR	Global Alliance for Resilience, Sahel
AGN	African group of negotiators
AGP	Adaptation Good Practice
ALAP	Adaptation Learning and Advocacy Project
ALFA	Africa Learning Forum on Adaptation
ALP	Adaptation Learning Program for Africa
AMCEN	African Ministerial Conference on the Environment
AMCOMET	African Ministerial Conference on Meteorology
AREN	Association for the Revitalisation of Livestock in Niger
ASDSP	Agriculture Sector Development Support Programme , Kenya
ASSAR	Adaptation at Scale in Semi-Arid Regions
BRACED	Building Resilience and Adaptation to Climate Extremes and Disasters
CAN	Climate Action Network
CAP	Community Advocacy Plans
CAPECS	Centre for the Alleviation of Poverty, the Environment and Child Support, Ghana
CAAPs	Community Adaptation Action Plans
CARIAA	Climate Adaptation Research Initiative, IDRC
CBA	Community-Based Adaptation
CBEWS	Community-based Early Warning System
CBOs	Community Based Organizations
CC	Climate change
CCA	Climate change adaptation
CCAFS	Climate Change Agriculture and Food Security (CGIAR research programme)
CCCF	County Climate Change Fund, Kenya
CCD	Climate Change Directorate, Kenya
CCDA	Climate Change and Development in Africa conferences
CCRP	CARE's Climate Change Resilience Platform
CDKN	Climate Development and Knowledge Network
CFS	Climate Field Schools
CHC	Community Health Committees
CGIAR	Consultative Group on International Agricultural Research
CICs	Climate information Centres
CIDP	County Integrated Development Programme, Kenya
CIF	Climate Investment Fund
CIS	Climate Information Services
CISONECC	Civil Society Network on Climate Change, Malawi
CISU	Civil Society in Development, Danida Climate and Environment Fund
CFS	Climate Field Schools
CKB	Climate Knowledge Brokers
CM	Community monitor

CNEDD	Conseil National de l'Environnement pour un Développement Durable, Niger
COP	Conference of Parties
CSA	Climate-Smart Agriculture
CSIR	Council for Scientific and Industrial Research, Ghana
CSOs	Civil Society Organizations
CVCA	Climate Vulnerability and Capacity Assessment
Danida	Ministry of Foreign Affairs of Denmark
DDF	District Development Fund
DFID	UK Aid, United Kingdom Department for International development
DFAP	USAID Development Food Assistance Program
DFSA	Development Food Security Activity
DRR	Disaster Risk Reduction
EAC	East Africa Community
EbA	Ecosystem-based Adaptation
ENACTS	Enhancing National Climate Services, IRI Columbia University
ECOWAS	Economic Community of West African States
ENDA Energie	Energie-Environnement-Développement (NGO)
EPA	Ghana's Environment Protection Agency
ESA	East and Southern Africa
ESOKO	Company providing smallholders with access to information, inputs and finance
EWS	Early Warning Systems
FAO	Food and Agriculture Organisation, UN
FCFA	Future Climate for Africa
GACCES	Gender and Climate Change Network, Ghana
GASIP	Ghana Agricultural Sector Investment Programme
GCAP	Global Climate Adaptation Partnership
GCCWG	Gender and Climate Change Working Group, Kenya
GCF	Green Climate Fund
GDCA	Ghana Developing Communities Association
GFCS	Global Framework for Climate Services
GMET	Ghana Meteorological Agency
GCVCA	Gender Climate Vulnerability and Capacity Analysis
GEF	Global Environment Facility
GFCS	Global Framework for Climate Services, WMO
GGCA	Global Gender and Climate Alliance
GHACOF	Greater Horn of Africa Regional Climate Outlook Forum
GMET	Ghana Metrological Agency
HoA	Horn of Africa
ICCS	International Conference on Climate Services
ICPAC	IGAD Climate Prediction and Application Centre
IDRC	International Development Research Centre, Canada
IEWM	Institute of Environment and Water Management, Kenya
IGAD	Intergovernmental Authority on Development
IGNITIA	Company providing hyper-local weather updates, via SMS, based on GPS location.
IIED	International Institute of Environment and Development, UK
IISD	International Institute of Sustainable Development, Canada
ILGS	Institute for Local Government Studies Ghana
(I)NDC	(Intended) Nationally Determined Contribution
INGO	International Non-Governmental Organization
IRI	International Research Institute for Climate and Society, Columbia University

JPA	Joint Principles for Adaptation
KCFGN	Kenya Climate Finance and Governance Network
KII	Key Informant Interview
KMD	Kenya Meteorological Department
LAC	Local Adaptive Capacity
LDC	Least Developed Country
LDCF	Least Developed Countries Fund (Climate)
LoCAL	Local Climate Adaptive Living Facility
M&E	Monitoring & evaluation
M/DC/AT	Ministry of Community Development & Planning, Niger
MAM	March-April-May season
MEL	Monitoring and Learning
MESTI	Ministry of Environment, Science, Technology and Innovation, Ghana
MoALF	Ministry of Agriculture, Livestock and Fisheries, Kenya
MOFA	Ministry Of Food and Agriculture, Ghana
MTDP	Medium Term Development Plan
MUCCRI	Makerere University Climate Change Research and Innovation initiative
NADMO	National Disaster Management Organization, Ghana
NAP	National Adaptation Plan
NAPA	National Adaptation Plan of Action
NCCAS	National Climate Change Adaptation Strategy, Ghana
NCCP	National Climate Change Policy
NDA	National Designated Authority
NDMA	National Drought Management Authority, Kenya
NDPC	National Development Planning Commission, Ghana
NEMA	National Environment Management Authority, Kenya
NMHS	National Meteorological and Hydrological Services
NGO	Non-Governmental Organization
NIE	National Implementing Entity of the AF
ODI	Overseas Development Institute, UK
OECD DAC	Organizations for the Economic Co-operation and Development, Development Aid Criteria
OND	October-November-December season
OSV	Commune vulnerability observers, Niger
OXFAM	Oxford Committee for Famine Relief
PACJA	Pan African Climate Justice Alliance
PCT	ALP Programme Coordination Team
PDC	Plan de développement Communal, Niger
PELUM	Participatory Ecological Land Use Management
PICSA	Participatory Integrated Climate Services for Agriculture)
PREPARED	Planning for Resilience in East Africa through Policy, Adaptation, Research and Economic Development, USAID project in East Africa
PRIME	Pastoralist Resilience Programme
PSCN-CCDD	Plateforme de la Société Civile Nigérienne sur les Changements Climatiques et le Développement Durable
PSP	Participatory Scenario Planning
SARI	Savannah Agriculture Research Institute, Ghana
SBI/SBSTA	UNFCCC Subsidiary Body for Implementation and Subsidiary Body for Scientific and Technological Advice
SCAP/RU	Community monitors for early warning and emergency response, Niger
SCIPEA	Strengthening Climate Information Partnerships - East Africa, UK Met office project

SDPI	Planning and Infrastructure District Services, Ghana
SSN	South South North (Cape Town)
SVA	Southern Voices for Adaptation project
TI	Transparency International
UCT	University of Cape Town
UDS	University of Development Studies, Ghana
UK Aid	UK Aid (Department for International Development)
UKMO	United Kingdom Met Office
UNDP	United Nations Development Program
UNEP	United Nations Environment
UNFCCC	United Nations Framework Convention on Climate Change
UNITAR	United Nations Institute for Training and Research
USAID	United States Agency for International Development
VSLA	Village Savings and Loans Association
WISER	Weather and climate Information and SERvices for Africa (DFID programme)
WRI	World Resources Institute
WWF	World Wildlife Fund