MID TERM REVIEW
CLIMATE CHANGE & DEVELOPMENT PROJECT

ZAMBIA

MOZAMBIQUE

TANZANIA

funded by the Ministry of Foreign Affairs Finland

implemented by IUCN

final draft

Joss Swennenhuis
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ACKNOWLEDGEMENTS

Mid term reviews constitute a pivotal moment in a project's lifetime. It is an opportunity to reflect on the direction the project is heading and on steps needed to ensure the project delivers on its objectives and results. The role of the consultant is to independently and objectively undertake this process but this is only possible with an open and constructive attitude of the project team. The CCDP team has clearly demonstrated such an attitude and I would like to thank them for their openness in discussing all issues, their readiness to work at odd hours and their patience while I was meeting with stakeholders. In short, for making the country visits a highly enjoyable experience.

Thanks also to Annita, the new project officer in Gland, for organising all travel logistics, pro-actively providing feedback and sending out reminders to colleagues to ensure the MTR could count on input from IUCN HQ and ESARO staff.

I would also like to thank Alex Moiseev, Head of Programme Cycle Management, for trusting me with this assignment, and him and everyone inside and outside IUCN for the constructive feedback that has allowed me to get a good grasp of the CCDP as well as of IUCN's broader engagement with climate change adaptation.

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Lusaka, Zambia
April 2010

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LIST OF ACRONYMS

CBD	Convention on Biological Diversity
CC(A)	Climate Change (Adaptation)
CCDP	Climate Change & Development Project
CF	Conservation Farming
COMESA	Common Market for Eastern and Southern Africa
CRiSTAL	Community Based Risk Screening Tool: Adaptation and Livelihoods
CVCA	Climate Vulnerability and Capacity Analysis tool (CARE)
ESARO	Eastern and Southern Africa Regional Office (IUCN)
IFRC	International Federation of the Red Cross
KM	Knowledge Management
LF	Logical Framework
MFA	Ministry for Foreign Affairs (Finland)
MTR	Mid Term Review
NAPA	National Adaptation Programme of Action
PLARD	Programme for Luapula Agricultural and Rural Development (Zambia)
PRA	Participatory Rural Appraisal
PSC	Project Steering Committee
SADC	Southern Africa Development Community
SNV	Netherlands Development Organisation
TPA	Thematic Priority Area (IUCN)
UNFCCC	United Nations Framework Convention on Climate Change

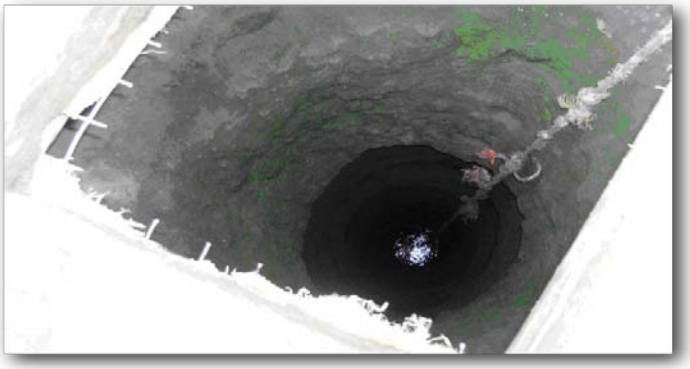
PICTORIAL SUMMARY

Vulnerability assessments

The project has undertaken climate change vulnerability assessments in all pilot sites, based primarily on the CRiSTAL tool. Although the tool is useful in providing a *systematic* approach to identifying climate change adaptation issues, the MTR also revealed several shortcomings, including lack of mainstreaming the ecosystems approach, difficulty in accurately capturing local knowledge and gender-blindness. CRiSTAL was designed to screen existing project activities, but its use is more appropriate in project design stages, in combination with elements from other tools. It is recommended that IUCN focuses more on tools and approaches that ensure ecosystems mainstreaming in vulnerability assessments and design of CCA activities.

Pilot CCA activities and relevance

Based on the vulnerability assessments, pilot CCA activities were identified. Although all activities are relevant for people's livelihoods, not all seem to have a high CCA relevance. Boreholes to replace wells that are drying up seem highly relevant, but countering the effects of reduced river flows in coastal Tanzania less so, since this is most likely linked to human induced causes such as increased water diversion upstream. Identifying good CCA activities will often need additional research and analysis and cannot only be based on participatory assessments.

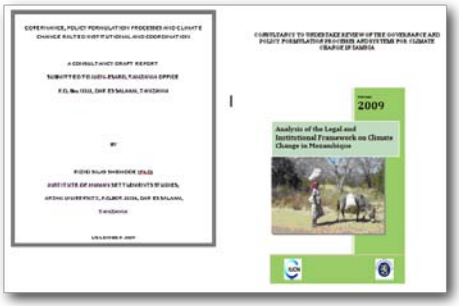


Pilot CCA activities and ecosystems

The lack of adequate mainstreaming of the ecosystems approach may lead to the identification of activities that could potentially harm ecosystems. An example is the proposed construction of cattle troughs, which would increase water availability for cattle and could lead to increased cattle density in a fragile coastal environment in Mozambique.

Pilot CCA activities and vulnerable groups

Communities in semi-arid areas in Mozambique depend on wild fruits for food security during difficult periods. The project will support the communities with conservation and marketing of wild fruits as an income generating activity, in itself a promising activity. However, It is not unreasonable to assume that such an activity will, at least initially, be dominated by the more dynamic, hence less vulnerable, groups in the community. If the activity is very successful it might lead to reduced availability of wild fruits near the settlement. This would directly increase the vulnerability of the most vulnerable households.



Policy influencing

The project has positioned itself well for policy influencing. Consultancies were undertaken in each country to identify best entry points for advocacy work and project staff has been actively networking with relevant national stakeholders in the environmental sector. Linkages with other important government stakeholders such as Ministries of Finance should still be strengthened. The main challenge for the project will be to capture and document relevant lessons in support of evidence-based advocacy.

Sustainable outcomes

There are a series of factors hampering the prospects for sustainability of the field activities. These include (i) short time frame; (ii) lack of strong development partners who can continue to provide support; (iii) lack of market studies (e.g. for proposed support to production and marketing of curio); (iv) the fact that project has provided many free inputs without clear obligations from the part of beneficiaries (e.g. to set up borehole management committees or Farmer Field Schools).

For policy influencing, the prospects for sustainable impact are good if relevant lessons are captured during the remainder of the project.

Appropriate technology

Most activities have introduced new technologies such as mud-hives for beekeeping, the use of special hoes and rippers for conservation farming and new varieties of hybrid drought tolerant seeds.

The project will have to monitor in how far such technologies are adopted and what are possible factors hampering adoption. This could include the financial costs, the labour requirements (high for conservation farming) and the availability of equipment at local shops.

Partnership strategy

The project would have benefited from stronger development partners for the identification and implementation of CCA activities. The current partners are mostly conservation organisations or government, with limited capacity and financial means. These partners will need to play a central role in collecting data for learning lessons, and the project will have to build their capacity in (i) knowledge and insight needed for the monitoring of the activities, including a better understanding of the ecosystems approach; (ii) data collection methods; (iii) training in communication and dissemination of information.

Gender

The project has achieved a good gender balance among beneficiaries, but more work will be needed to effectively mainstream gender, including (i) assessing impact of activities on socio-economic position of men and women; (ii) gender disaggregated data collection; (iii) involving gender specialists from government and other strategic stakeholders; (iv) development of a gender-sensitive advocacy and communication approach.

Project management

Due to a lack of *strong* implementation partners, the project team is very much directly involved in ensuring the field activities are implemented. This requires long hours of travel to remote pilot sites. There is a need to ensure the project has a full-time coordinator and to allow the Mozambique office to finance a community worker through one of its partners.

To bolster the strategic input of the Project Steering Committees, it is recommended to organise annual retreats, at a convenient distance from the capital city to ensure full participation of all members.

Knowledge Management

The key challenge for the CCDP during the remainder of the project will be to capture relevant lessons learnt for evidence-based policy influencing. To achieve this, a Knowledge Management strategy will have to be developed based on a series of steps:

1. Liaise with other IUCN projects like LLS and WANI to learn from their experiences with KM.
2. Make an inventory of the type of lessons that policy makers are looking for.
3. Identify the relevant type of lessons that can be learnt from the field level activities and from activities from other organisations implementing CCA activities
4. Develop indicators and monitoring protocols and ensure partners have capacity to carry out the monitoring tasks.
5. Ensure that indicators include quantitative data, which are often more convincing to than qualitative data.
6. Use the results of the consultancies on communication strategies to package the lessons learnt into effective policy influencing tools. The project should consider outsourcing this task to a specialised company or organisation.

Exit strategy

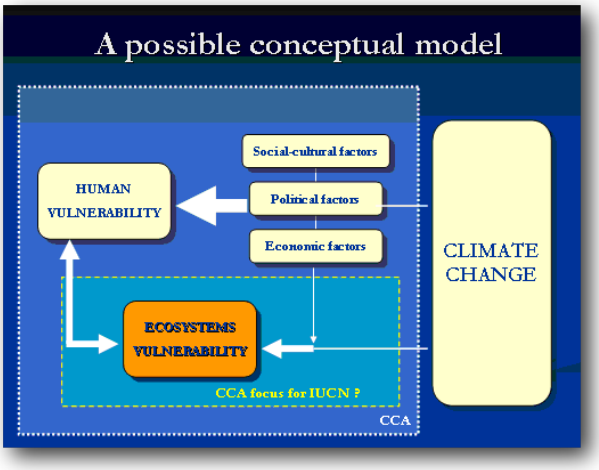
To increase prospects for sustainability, the project will need to explore possibilities to anchor the field activities in other longer term projects, encourage beneficiaries to share experiences with other community members, and negotiate with communities on roles and responsibilities e.g. require they set up a borehole management committee before constructing a borehole.

An extension of the project is highly recommended, either through a no-cost extension in combination with integration in a future scaling-up project, or through additional funding for another 2 years. This extra time will allow to increase quality of lessons learnt (e.g. by testing drought tolerant seeds over several years, now that they have failed to produce in this season due to severe drought) and will substantially increase the prospects for sustainable outcomes.

The role of IUCN in CCA

IUCN has largely failed in providing scientific and technical backstopping of the CCDP. This will need to be improved if IUCN is to deliver on its Value Proposition.

IUCN will have to reflect on its role in CCA, and should develop a conceptual framework that guides its work in this area. In the opinion of the consultant, IUCN should focus on ecosystems aspects i.e. Ecosystems Based Adaptation and mainstreaming the ecosystems approach. It should refrain from field level activities but rather build capacity and tools that allow a broad range of partners to integrate ecosystems in their CCA work. Lesson learnt from all partners can then be used to build evidence for policy influencing.



1 Background and methodology

This report presents the results of the Mid Term Review (MTR) of the Climate Change and Development Project (CCDP). The CCDP is funded by the Ministry for Foreign Affairs of Finland (MFA) and implemented by IUCN in three countries in Eastern / Southern Africa: Zambia, Mozambique and Tanzania. The 3 year project (2008 – 2010) builds on a one year pilot phase implemented in Zambia in 2007. The MTR was carried out in the period December 2009 to March 2010.

The project purpose of the CCDP is formulated as: "Climate Change (CC) related policies and strategies lead to adaptation activities that emphasise the role of forests and water resources in supporting people's livelihoods and associated farming systems". The main strategy is to undertake vulnerability assessments and pilot Climate Change Adaptation (CCA) activities and use the lessons learnt to influence climate change policies at local, national, regional and global levels.

The project started with an inception phase from January to May 2008. Due to several unforeseen delays, the activities planned for the inception phase were only completed in the second half of 2008 and hence the full implementation only started towards the end of 2008. This Mid Term Review, which should formally have been carried out around July 2009, can be considered as timely, since the delay of around 6 months has made it possible to include findings on some of the field activities, most of which were only started in the second half of 2009.

The overall objective of Mid Term Review (MTR) as formulated in the ToR (see annex I) is 'to provide a basis for the sound implementation of the second half of the project and for an exit strategy to ensure sustainability of project results beyond 2010.

The specific objectives of the review are:

- To assess the continued relevance of the project in the context of its situation in the countries in which it is active (including the continued viability of the planned intervention logic);
- To determine the impact to date and what is likely to happen as a consequence of the project
- To assess the extent to which the project has delivered on its planned purpose, objectives and results;
- To assess the efficiency of the project intervention by comparing the results delivered to the means and time used to achieve the results;
- To assess the sustainability of the results after 2010;
- To assess the degree to which the project is helping delivery IUCN's value proposition' ;
- To synthesize the above into recommendation for adjusting the implementation of the second half of the project and lessons applicable to IUCN's policy work and future project design in this area of work.

In line with the guidelines of the MFA, the MTR has evaluated the project on the basis of the OECD/DAC criteria of relevance, efficiency, effectiveness, sustainability and impact. In addition to these criteria, and following the ToR, the MTR has also looked at the extent to which the project has delivered on the IUCN added value (as described in its "Value proposition") and to specific criteria of compatibility and sustainability as used by MFA.

The MTR started with a desk study, followed by country visits that included visits to selected pilot sites, community meetings and interviews and discussions with CCDP staff and stakeholders, including with the Project Steering Committees[1]. Community meetings were held separately with beneficiaries and non-beneficiaries, and separately with women where considered important. Based on the information collected, a briefing note and Power Point presentation with preliminary finding were produced and shared

[1] In Mozambique it was not possible to convene the PSC, but interviews were held with key members.

with CCDP staff and stakeholders during the CCDP[2] Annual Meeting in Tanzania. The Power Point presentation was also used as the basis for debriefing meetings with IUCN HQ staff in Gland and ESARO staff in Nairobi.

Separate review tools were developed for meetings with different type of stakeholders: communities, national government authorities, district government, implementing partners and Finnish Embassy staff. Input from IUCN staff at ESARO and HQ was obtained through written questionnaires, telephone interviews and visits to Gland and Nairobi offices.

The country visits were organised by CCDP staff. Each visit took about 10 days and included travel to at least 2 pilot sites. All visits were well prepared by the project staff in collaboration with their field level partners. Meetings with beneficiaries were usually held without the presence of the project staff to allow them to express their opinions freely.

When undertaking reviews and evaluations, ideally the baseline situation (at the start of the project) has been well documented so as to allow accurate quantitative assessment of progress. In the case of the CCDP, such data[3] are understandable not available since the project is working mostly at new sites[4] and has too short a time frame to allow for detailed baseline surveys. Consequently, this review focuses on quality aspects rather than quantity aspects.

[2] Participation in this meeting by the consultant was not foreseen, and he could not be present due to other commitments. The briefing note and power point were therefore presented by an IUCN HQ staff member, who was briefed by telephone on the background of the preliminary findings, conclusions and recommendations.

[3] Some examples of baseline data that would be useful for the MTR but even more so for the future ex-post evaluation after project completion:

- % of population planting non-drought tolerant crops like maize
- % of population already involved in beekeeping
- Contribution of different economic activities to household livelihoods security
- Social and economic gender differences
- Agro-ecological and market information
- Hunger gap in years of droughts
- Efficiency of irrigation systems (% of water lost in canals through seepage, evaporation and bad management)

[4] An exception is one site in Mozambique where IUCN has worked before and where indeed far more baseline data are available.

2 Findings with regard to general evaluation criteria

2.1 Relevance

2.1.1 Policy relevance

The project purpose of the CCDP is formulated as: "Climate Change (CC) related policies and strategies lead to adaptation activities that emphasise the role of forests and water resources in supporting people's livelihoods and associated farming systems". Clearly then, the relevance of the policy context is of fundamental importance if the project is to achieve its purpose.

CC related policies are being developed at several levels and by different stakeholders. As confirmed by all government stakeholders[5], piloting CCA is very important and the project has in fact created high expectations with regard to providing important practice-to-policy linkages. Within the context of the CCDP, the key policy level is the national level, since this is where currently most policy development is taking place. The national governments in the 3 countries are all in the process of further developing and/or revising their CC policies and developing mainstreaming strategies and the CCDP will be able to feed into those processes. All three countries have a NAPA, and the project activities fall within the main categories of CCA activities identified in these action plans[6].

The project teams in all three countries have worked hard on networking at the national level, and have managed to strategically position themselves within the environmental sectors for policy influencing work. Team members are invited to all relevant climate change related workshops and have at several occasions presented the CCDP. Consultancies were undertaken in each of the 3 countries to identify the best entry points and strategies for policy influencing. These have created a good understanding of the national policy and institutional environment in all three countries, although they failed to specifically address the gaps in information that policy makers are facing and that the project could fill based on its field activities. The scope of the reports is largely limited to environmental stakeholders at the national level, yet it would also be important to analyse the need and possibilities to engage with financial and development planners (e.g. Ministry of Finance & Planning) at the national level and with decision makers at decentralised levels. The project would also benefit from establishing stronger linkages with institutions and organisations involved in disaster preparedness and management, a thematic area that is very closely related to climate change adaptation and for which lessons learnt from the CCDP could be very valuable. So far, only Mozambique has managed to establish such linkages.

At the decentralised (= district) level, CCA policy development is currently very limited. District plans do not yet reflect any strategic approach to climate change adaptation, but this is expected to change in the near future, in particular once the national response strategies have been developed[7]. Lessons learnt from the pilot activities in a specific district will be highly relevant for future CC policy development in the same area.

Regional policy development on climate change adaptation lags behind the efforts undertaken at the national levels. The three countries do not constitute any specific region, but they are all member of SADC and as such any lessons learnt can feed into policy debates at the regional level. The project has not yet addressed regional policy influencing in a structural way (no consultancy was commissioned), although it has recognised the need for regional engagement through the inclusion of a regional result area in the LF. The project's current focus on national levels is justifiable, since most policy development is currently

[5] With the possible exception of a member of the PSC in Tanzania who claims that all policies have been fully developed. This was however contradicted by the PSC chairman, the Director of Environment

[6] Note however that the project activities are not considered as "implementing NAPA" since NAPA activities are to be funded through the Least Developed Countries Fund (LDCF).

[7] In Mozambique the project has trained district planning staff and incorporating CCA into the district planning process is currently being piloted.

happening at this level. SADC does not appear to have a clear agenda for CCA policies; hence the prospects for regional policy influencing are still restricted, but should nevertheless be explored more actively during the remainder of the project.

Within IUCN, the project is expected to provide valuable lessons for policy development under the IUCN programme 2009 – 2012 and in particular the Thematic Priority Areas 2 (Changing the Climate Forecast) and 4 (Managing ecosystems for human well-being). These TPAs aim to promote integration of biodiversity and ecosystems management principles in climate change policies. For the CCDP to provide relevant lessons for these TPAs, it would also need to have a strong focus on these aspects, but this is currently not the case. As is evident from the analysis of current field activities (see annex III), the project focuses on a broad range of livelihoods diversification and improvement actions, with biodiversity and ecosystems aspects only evident in a small number of activities (such as proposed mangrove restoration in Mozambique) and the ecosystems approach generally not convincingly mainstreamed. The lessons learnt from the use of the CRiSTAL tool should also inform these TPAs, but requires a further critical analysis of the pros and cons of the tool.

The above notwithstanding, the project's potential relevance at IUCN and global levels is evident from the fact that it has already been referenced in some of IUCN's communications materials (websites; climate change flyers) and publications, including "Ecosystem-based Adaptation: A natural response to climate change", which have been used for lobbying purposes under the UNFCCC. It has also been used as a case study for submissions made to the process and publications produced by the Nairobi Work Programme of the UNFCCC. Furthermore, the CCDP is used as reference project for proposals for scaling up in collaboration with other international organisations such as Fauna & Flora International and Stockholm International Water Institute.

2.1.2 Relevance for project beneficiaries

The project document distinguishes two groups of beneficiaries. The first group are the stakeholders / partners who benefit directly and indirectly from the project, in particular from the capacity building activities related to vulnerability assessments. They include local NGOs, international NGOs, and district and national governments. Many of these stakeholders were interviewed during the MTR and without exception confirmed the importance of the capacity building support received from the project. CCA mainstreaming is still a new approach and for many stakeholders the training on vulnerability assessments was their first exposure to CCA work. Their involvement in the implementation and monitoring of the pilot activities will also be highly useful to create a broad awareness on CCA practices and challenges.

The second group of beneficiaries are the communities where the pilot activities are undertaken. The vulnerability assessments have created a certain level of awareness on climate change[8], an important first step in long term adaptation of their livelihoods. The pilot activities are primarily identified by the communities themselves, and as such seen by them as directly relevant and beneficial[9]. Some activities, such as a new borehole, have the potential to benefit all community members, whereas others, such as beekeeping, are directly supporting a limited group of beneficiaries. The choice of beneficiaries was largely left to the communities themselves (with the project only encouraging a gender balance amongst beneficiaries) and this has in most cases clearly led to beneficiaries being from the more dynamic strata within the communities, rather than from the more vulnerable groups. Given the fact that the CCDP is a pilot project, this approach is justifiable as long as the project does not further increase the vulnerability of vulnerable groups ("do no harm" principle) *and* promotes mechanisms that ensure that successful activities can eventually also be taken up by vulnerable groups. Both aspects will require more attention during the remainder of the project.

[8] As one community member expressed it: "We now understand that it will not be as before when we also had droughts but only occasionally. We now have to live with the droughts".

[9] This does not necessarily mean that the activities are also good *CCA* activities. This is further discussed in section 2.1.5.

2.1.3 Site selection and choice of partners

Site selection for the pilot CCA activities was based on two criteria: ensuring representation of different agro-ecological zones and existence of ongoing development initiatives from IUCN and its members / partners. The chosen sites comply with the first criterion and hence provide good opportunities to pilot CCA activities related to different climate change challenges such as increased average temperatures, droughts, increased rainfall, sea level rise, and increased probability of tropical storms and cyclones.

The project has had more difficulties complying with the second criterion and in particular with finding partners that complement IUCN's conservation/ecosystems expertise with strong livelihoods/development expertise. Tanzania is the only country where the project has relatively strong partners, but even there they are primarily conservation organisations. The absence of strong development partners (such as CARE, ActionAid, CONCERN, Oxfam, World Vision, etc.) is evident in the lack of a structural analysis of people's livelihoods and the underlying drivers of vulnerability at all sites. It has also led to a relatively high direct involvement of project staff in the implementation of field level activities. With the benefit of hindsight, it can be concluded that the project would have benefited from a more thorough approach in identifying strong development partners with whom to collaborate.

2.1.4 Project design relevance

Logical Framework and monitoring

The initial LF for the project consisted of one project purpose with 4 expected results. The LF was reviewed during an M&E workshop in 2008, and the revised LF features reformulated results and activities and the addition of a result focusing on regional aspects.

The project purpose was formulated as "Climate Change (CC) related policies and strategies lead to adaptation activities that emphasize the role of forests and water resources in supporting people's livelihoods and associated farming systems". The same formulation was maintained for the revised LF. Given that the project's main strategy is to influence CC policies based on vulnerability assessments and pilot CCA activities, perhaps a more accurate formulation would have been "Climate change related policies increasingly emphasise the role of forest and water resources in reducing the climate change vulnerability of people's livelihoods and associated farming systems ".

The LF revision in 2008 recognised that the CCDP, labelled as a regional project, lacked distinct regional results. A new result area was therefore added to the LF. The concept of "region" was interpreted as all regional bodies that affect the policies and work in Zambia, Mozambique and Tanzania, e.g. SADC and COMESA. The regional work has however not yet been further operationalised.

The indicators in the LF provide a good mix of qualitative and quantitative information, although the level of detail is insufficient to accurately measure the progress of the project and in particular the activities at the pilot sites. This short-coming was to be addressed through national LFs for each of the countries, but these have so far not been fully developed.[10] More importantly, the LF does not provide enough guidance to develop a good Knowledge Management (KM) strategy, a vital element of the project if it is to achieve its stated purpose.

The LF also lacks gender specific formulations and indicators. The project has in the meantime commissioned consultancies on gender mainstreaming in Zambia and Tanzania, but recommendations on adjustments of the LF have not yet been incorporated.

[10] Zambia has recently developed a draft country LF. Mozambique has developed a tailored LF for each proposed pilot activity and this provides good guidance for the monitoring of activity progress in collaboration with implementing partners.

Composition and functioning of PSC

In all 3 countries, Project Steering Committees (initially called Project Supervisory Boards) have been set up. The composition of the PSCs reflects the focus of the project on environment and agriculture, with the relevant Ministries well represented. Other members in all 3 countries include research institutions, universities and a representative of the Finnish Embassy. In Tanzania and Zambia, the PSC also include experts on communication, who provide both good expertise advice as well as a convenient entry point for dissemination of project results.

The composition of the PSC reflects the shortcomings identified earlier for the policy work i.e. an under-representation of representatives of the most powerful decision-making Ministries such as Finance and Development Planning, with only Mozambique's PSC including a representative of the Ministry of Planning and Development. A stronger representation of such Ministries in the PSC would have helped create their awareness on the economic and social importance of CCA and would have provided an important entry point for policy influencing aiming at mainstreaming CCA in development policies and national budgets. Similarly, the composition of the PSC mirrors the problem of a lack of involvement of strong development partners in the project. None of the PSCs has representatives from any of the reputable international or national development NGOs, even though these NGOs are also venturing into CCA activities.

Convening meetings for this type of oversight bodies is always a problem. Unfortunately it has become a widespread habit to provide members of steering committees with sitting allowances and other perks as compensation for sitting on such committees. In light of this, the project team has done a remarkable good job in establishing functioning PSCs without providing such benefits. While attendance at meetings is not as good as it should be, the PSCs in Zambia and Tanzania are adequately playing the essential role over overseeing and steering the project. It is only in Mozambique where the PSC is performing below par. This is partly due to the fact that the "culture of sitting allowances" may be strongest in Mozambique, but it is also caused by insufficient preparation of the PSC meetings by the project.

2.1.5 Relevance of pilot activities

There are several factors to consider when assessing the relevance of the pilot activities undertaken by the CCDP[11]. The project's purpose is to identify and implement CCA activities based on forest and water resources while mainstreaming the ecosystems approach, and to use the lessons learnt to influence CCA policies.

The first question to ask then is "What are CCA activities?" This question has never been explicitly addressed by the project, nor organisation-wide by IUCN. Following the broad definition of CCA as used by the UNFCCC[12], almost any activity that sustainably improves people's livelihoods *and are climate proof* could be considered as CCA , and this is implicitly the approach followed by the project[13]. By adopting this broad definition, many of the activities identified for the pilot sites are typical "business as usual" livelihoods improvement activities. Although this finding is in itself is a valuable lesson learnt, it does raise the question of the potential of these activities to contribute effective lessons for CCA policy influencing. Important lessons could possibly be learnt from an analysis of how climate proof the proposed activities are i.e. in how far they can be expected to be viable livelihoods activities in the long term[14], since this is a new aspect of sustainability that has so far not been addressed in the development of rural development strategies and programmes.

[11] In this section it is about CCA relevance. Overall relevance for beneficiaries was discussed in section 2.1.2

[12] Initiatives and measures to reduce the vulnerability of natural and human systems against actual or expected climate change effects

[13] A more restrictive definition of CCA would be "any activity that would *not* be undertaken if there was no climate change". This definition would label many of the project's activities as not relevant, and might in fact be too restrictive to be practical.

[14] An example: Beekeeping is being piloted as CCA activity in Zambia and is also proposed for Tanzania. Yet, both community members and beekeeping experts confirm that bees need cool places to produce honey. This raises the question of how climate proof beekeeping will be in the face of expected temperature increases.

The second question to ask is whether activities that are meant as *direct* adaptation to climate change induced changes (as opposed to indirect adaptation through e.g. new income generating activities) have been correctly identified. A case in point is Tanzania where construction of boreholes and improved irrigation efficiency are proposed in response to reduced river flows. Although highly relevant activities by themselves, it is questionable whether these are CCA activities since the reduced river flows may very well be more human-induced (more water being extracted in the upstream catchment area) than climate change induced.

The above relates directly to the third important factor: the use of the ecosystems approach. Had the approach been applied correctly, the problem of reduced river flow would have needed to be analysed at the appropriate scale i.e. the whole river catchment area. One of the key indicators of the LF stipulate that "Communities in at least 3 project sites implement CC adaptation activities that *incorporate at least 5 of the 12 key principles of the ecosystems approach"*. Unfortunately, one cannot simply incorporate 5 principles of the ecosystem approach while ignoring the other 7, since the approach is a strategy for the *integrated* management of land, water and living resources and the 12 principles are *complementary and interlinked* (CBD)[15]. Although it is clear that the CCDP has neither the time nor the resources to undertake a fully comprehensive analysis of all possible activities in line with the ecosystems approach, it would have been good if this short-coming had been recognised more explicitly internally. As it is, evidence of attempts to apply the ecosystems approach is scarce.

The relevance of the pilot activities should also be considered in light of IUCN's envisaged role in CCA. This would presume the existence of a conceptual framework on CCA within IUCN, but unfortunately this has not yet been developed. The CCDP was therefore left to its own devices with regard to the type of CCA activities it should focus on, and this has resulted in the broad range of identified activities as presented in annex III.

2.2 Efficiency & Effectiveness

2.2.1 Inception phase

The CCDP started with an inception phase, running from January to May 2008. The purpose of the inception phase was to put in place the human resources and equipment, identify implementing partners, stakeholders and project sites, constitute project national supervisory boards, finalize and review work plans and budgets, and agree on implementation arrangements. The inception phase was guided by a temporary Project Management result which specified the processes and activities that were considered pre-requisites for the implementation of the 4 results of the original LF. This worked very well, and adding a similar result area to the LF for the implementation phase could have been useful.[16]

During the inception period, IUCN was engaged in an internal restructuring process that affected both headquarters and the ESARO office in Nairobi. This process has had direct consequences for the CCDP since it led to delays in staff recruitment and setting up the project management systems. It meant that many of the activities planned for the inception phase were carried over to the first 6 months of the implementation phase. This included recruitment of staff (with the Tanzania coordinator only recruited in October 2008), site selection, partner selection and development of the project's M&E system. The project team managed to complete all main inception activities by the end of 2008, with the exception of the country-specific LFs. (which are currently under development).

2.2.2 Progress per result area

Given that this is an MTR and not a final evaluation, the emphasis is on evaluating progress in activities and achievement of results, less on achieving the project purpose. This section focuses on qualitative aspects

[15] See http://www.cbd.int/ecosystem/ and http://www.cbd.int/ecosystem/principles.shtml

[16] The issue of whether to include project management as a separate result in a project's LF has been debated ever since LFs started being used for design of development and conservation projects.

relating to each result area. A more quantitative analysis of progress for each result and associated activities can be found in annex II.

The analysis is based on the revised LF as developed during the M&E workshop in September 2008.

Result 1: CC related policy and legal framework identified, influenced, and supported with reliable data and tools in order to provide enabling governance environment for adaptation.

Under this result, several consultancies were undertaken in each country, relating to the CC legal framework, institutional coordination mechanisms and site evidence of climate change. With the limited available budget it proved difficult to find consultants with the right qualifications, resulting in both delays in completing the consultancies and a high variety in the quality of the various reports[17]. The latter problem was further exacerbated by the lack of quality control and backstopping from ESARO and HQ staff. In spite of the quality issues, the consultancy reports do provide a good framework for the capacity building and policy influencing activities.

It is still too early to expect policy influencing based on lessons learnt from the field activities (since most field activities have only recently started) and this constitutes the main challenge of the project for the remaining period. The project has however already managed to provide input into several policy processes, such as the National Development Plan and Forest Policy in Zambia, and the "gender mainstreaming in climate change" policy in Mozambique. This was possible in large part thanks to the excellent networking done by all project staff, which has created awareness amongst national level stakeholders of the CCDP and has led to invitations to CCDP staff to participate in CC workshops and other policy development processes. If and when the project manages to capture valuable and relevant lessons from the pilot activities, it is well positioned to use these lessons to influence CCA policies, in particular at the national level in the 3 countries.

Note: Tools for the vulnerability assessments, CRiSTAL in particular, are discussed in section 3.1

Result 2: Key stakeholders' capacity for undertaking vulnerability assessments and implementing adaptation improved.

The capacity building needs of key stakeholders was assessed through consultancies in each country. The reports are generally very wide-ranging and go beyond the scope of the CCDP, in particular with regard to the type of training programmes proposed[18]. Nevertheless, they provide a very good baseline of the current capacity gaps and the CCDP can make an informed selection from the list of proposed capacity building activities to choose those that are most relevant for the project.

So far, actual capacity building of stakeholders has been limited to the use of the CRiSTAL tool (and some elements of other tools) for vulnerability assessments. Training sessions for up to 35 people per session were held in all countries, with the project coordinator providing technical support to the country teams. Feedback from stakeholders indicates that the training was considered both very relevant and of high quality. CCA being a new concept, the training sessions have significantly increased awareness of the importance of mainstreaming CCA, and the CRiSTAL tool in particular was highly appreciated for providing a *structural* approach to CC vulnerability assessments and identification of CCA activities. Future awareness and training activities will need to address more explicitly the role of forest and water resources in CCA and the importance of the ecosystems approach.

[17] Although the MTR consultant is no expert on climate trend predictions, the lack of quality control is evident in some of the consultancies on CC site evidence, with the Zambia report predicting high rainfall in specific years such as the 2058/59 season. The site evidence report for Tanzania was written by a consultant who had previously written a CC report for the IUCN/UNDP Pangani project. This report was considered scientifically unsound by UNDP experts.

[18] Proposed training courses include everything from CCA and CC mitigation to Project management and Action learning.

Participants in the training included the proposed implementation partners, other conservation organisations, research institutes and universities as well as representatives from national government. Development NGOs were generally under-represented, with only World Vision, CARE, Catholic Relief Services and SNV known to have participated.

Apart from the partners who are directly involved in implementation of the pilot activities, the training was a one-off exercise, and there has been no further structural involvement with the participants to support and monitor application of the acquired skills in their own projects. Application of the tool outside the CCDP has so far been confirmed for the Pangani River Basin Management project, in which IUCN is a partner, and in a pilot project on district planning in Mozambique. Several more stakeholders expressed their interest to use the tool, but more follow up by the project is needed to assess the extent to which adoption can be expected, and the need for further training. This would also allow the CCDP to receive feedback on the experiences with CRiSTAL and the challenges with its application, thus considerably broadening the scope for learning (i.e. learning would not only be limited to the project's own application of the CRiSTAL tool in the few pilot sites in each country). Such learning is all the more important given that the review of the use of the tool in the CCDP sites has revealed a number of important shortcomings (see section 3.1).

Result 3: Selected communities implement CC adaptation activities following the ecosystem approach with technical support from IUCN and its partners

The adaptation activities were identified on the basis of vulnerability assessments in the chosen pilot sites. The general lack of *strong* implementation partners resulted in a very hands-on role of the CCDP project staff in undertaking these assessments. Nevertheless, field level partners were actively involved in all aspects of the assessments: initial community meetings, analysis of the community information through the CRiSTAL computer application, feedback sessions with the community to agree on the adaptation activities.

As discussed in section 2.1.5, there are some doubts with regard to the CCA relevance of some of the activities. Furthermore, the application of the ecosystem approach has not been convincingly mainstreamed in the vulnerability assessments and subsequent identification of activities. This was confirmed in meetings with implementing partners, who showed only a limited understanding of the ecosystems approach and had no knowledge of the 12 principles of the approach.

Annex III provides an overview of the main activities and an assessment of their CCA "grade" and the level of integration of the ecosystems approach.

Technical support for the implementation of the activities has so far been limited to very practical aspects such as training in beekeeping, conservation agriculture and agro-forestry. This support is generally provided by the implementing partners, with the project's role shifting to logistical and financial support and management oversight. There appears to be a need for more technical engagement from the part of the project (and IUCN in general), in particular with regard to more strategic ecosystem-related aspects (e.g. how does beekeeping relate to forest management, how can possible negative impacts of cattle troughs on the surrounding ecosystems be mitigated). Also needed is support to assess the economic viability of income generating activities such as carpentry, beekeeping and marketing of conserved wild fruits. These are in fact aspects that ideally would have been analysed *before* the selection of CCA activities.

Result 4: Awareness raised of CC and effective adaptation measures for strengthening policy-practice linkages

This result overlaps with result 1, since awareness raising in support of strengthening policy-practice linkages is in fact the approach to influencing CC policy development. Hence, similar to what is mentioned under result 1, the main challenge for the CCDP will be to capture and disseminate relevant lessons from the field activities that can be used to raise awareness on effective adaptation measures. The project has

yet to develop a comprehensive strategy on *capturing* lessons learnt and this is one of the main tasks for the project in the coming months.

With regard to *disseminating* lessons learnt, the project has commissioned consultancies in all 3 countries to develop a comprehensive communication strategy. These have provided a wealth of ideas on how to communicate climate change adaptation lessons to different audiences: government, civil society organisations and communities (unfortunately, private sector stakeholders have not been explicitly considered, an omission that should be corrected when disseminating information). Although the recommendations from the consultants are extremely wide ranging, with many of them beyond the implementation capacity of the CCDP, they do provide a good reference framework for the dissemination of lessons learnt from the pilot activities. Hence the project is well positioned to create awareness among a diverse group of stakeholders *if* it manages to capture relevant lessons.

Based on the strategies developed by the consultants, the project has started several communication activities. The CCDP has been show-cased on TV and radio while newsletters and posters have been produced and disseminated. These activities have created awareness of the project and helped set the stage for an effective dissemination of the lessons that are expected to be learnt from the implementation of the CCA activities in the pilot sites (and in projects from other organisations).

Result 5: Experiences, lessons and new skills and knowledge acquired at the local and national levels are shared and used to enhance CC adaptation policies and strategies and vice versa

This result was added during the M&E workshop in recognition of the absence of a regional component in the LF. While consultancies for awareness raising and policy influencing were undertaken for each country, this was not done at the regional level; hence no clear framework for the implementation of activities under this result is available. The project has identified SADC and COMESA as key entry points for regional learning and policy influencing but this has not yet been further operationalised.

As it is, the project has a distinct national character, with each country undertaking its own consultancies, vulnerability assessments and policy influencing activities. On the one hand, the focus on national level is justifiable given that the opportunities for policy influencing are clearly most explicit at the national government level. On the other hand, the project could benefit more from cross-learning between the countries by comparing and consolidating information contained in the country-specific reports. For example, experiences with vulnerability assessments have so far only been documented per country, with no consolidated overview of lessons learnt. Cross-learning is essentially limited to one joint annual meeting and this does not do justice to the potential for information sharing and learning between the countries and for regional awareness raising and policy influencing. This is an area that requires more attention during the remainder of the project.

2.2.3 Preliminary assessment of whether project is on track to achieve its purpose

The purpose of the CCDP is: “Climate Change (CC) related policies and strategies lead to adaptation activities that emphasise the role of forests and water resources in supporting people’s livelihoods and associated farming systems”. The key strategy is to influence CCA policies through evidence-based awareness raising and advocacy work.

The project has put in place several elements that are important prerequisites for the achievement of the project purpose. It has analysed the existing CCA policies and strategies and entry points for effective policy influencing. It has also identified communication strategies to disseminate information to decision-makers and to the public at large. Furthermore, project staff has actively developed their network of contacts with key stakeholders in the environmental sector. It is therefore fair to say that the project has completed much of the groundwork that should allow effective policy influencing and hence achievement of the project purpose.

The key missing element is the *evidence* that is to provide the basis for evidence-based policy influencing. This evidence should come from the vulnerability assessments and the pilot CCA activities; preferably from

both the CCDP pilot sites *and* from activities undertaken by other organisations. In line with the project purpose, the evidence should focus on the important role of forest and water resources in sustaining livelihoods and farming systems (i.e. strengthening their resilience) in the face of climate change.

To obtain this evidence i.e. to be able to extract relevant and high quality lessons learnt from the pilot activities from the CCDP and from other organisations, the project will need to urgently address two important issues:

1. The development and implementation of a Knowledge Management strategy to capture and analyse the key data that are the basis for lessons learning.
2. Improve the strategic analysis and quality control of the results from the vulnerability assessments and of the ongoing and proposed CCA activities that were identified as a result of the assessments.

Recommendations on development of a Knowledge Management strategy are outlined in section 5.1.5 of this report.

Increased attention for strategic analysis and quality control of the work so far done by the project is considered necessary since during this MTR shortcomings have been identified in the consultancies (the site evidence reports), in the vulnerability assessments based on the CRiSTAL tool (see section 3.1) and in the design and CCA relevance of some of the proposed pilot activities. When influencing policies through evidence-based awareness raising and advocacy, the project has to ensure that the evidence is of high quality and based on a sound technical and socio-economic analysis. This quality aspect has not received enough attention in the project, due to a combination of factors including time constraints (not allowing for enough strategic reflection), lack of strong (development) partners and the absence of any structural technical and scientific backstopping support from IUCN ESARO and HQ offices. Worryingly, one of the areas where strategic analysis and quality aspects are of particular concern is the mainstreaming of the ecosystems approach, a discipline that should be considered a core competency of IUCN.

If the project, with support from ESARO / HQ, manages to adequately address the above issues in the coming months, the prospects to achieve the project purpose of effective CCA policy influencing will significantly increase, in particular with regard to the national policies in each of the 3 countries.

2.2.4 Project management

The project is managed by country coordinators in each of the 3 countries, with the Zambia country coordinator doubling as the overall project coordinator (and as the ESARO Regional Coordinator Climate Change Programme). A Finnish junior expert based in Zambia provides support for the Zambia component and the project as a whole, while the Tanzania country coordinator is assisted by an intern. The project receives administrative and technical management support from a project officer in IUCN HQ and financial admin support from IUCN staff in the country offices and in ESARO and HQ.

In the original budget, the resources allocated for permanent project staff amount to Euro 90,000 / year, or Euro 30,000 per country per year (plus a budget for one Finnish junior expert). These are very modest amounts given the high ambitions of the project and seem to have been based on the assumption that the country coordinator could rely on other IUCN staff and IUCN members and partners for the implementation of all activities. As highlighted earlier however, the reality is that the country coordinators are very actively involved in the design and implementation of activities. Project staff is fully occupied with day-to-day organisational and logistical management tasks and this leaves little time for strategic reflection on the direction the project is taking or for in-depth quality analysis of for example the results of the vulnerability assessments, a problem that is further exacerbated by the absence of any substantial backstopping support from ESARO and HQ. Yet, strategic reflections and quality analysis are fundamental aspects for a pilot project of which the main purpose is evidence-based policy influencing.

Project planning is based on annual work plans for each of the countries. All countries have struggled to implement the activities according to schedule, due in particular to delays in approval of funds[19] and in the completion of the consultancies, which meant all other activities had to be pushed back. In spite of these obstacles, the project has managed in 2009 to largely undo the protracted delays accumulated during the inception and initial implementation phase.

Feedback from stakeholders and communities indicate that project staff has at times created high and unrealistic expectations with regard to the timing of activity implementation and this should be avoided in future by making a more realistic planning. This is also important to ensure that activities are undertaken at the right time of the year. For example, training for conservation farming should take place before July, while distribution of drought tolerant seeds should be done before the start of the rainy season.

Internal project monitoring and reporting is based on standard templates developed by the project, with all three countries producing monthly reports and (semi-) annual reports. The semi-annual reports and consolidated project-wide annual report track progress against planned activities and against the results of the LF. All monthly reports include sections on lessons learnt. This is very valuable information and although it has so far not been used in a structural manner it is good reference material for the development of a comprehensive Knowledge Management strategy and for providing insight in the type of lessons that the project will be able to capture.

Implementation partners are required to submit short standardised monthly reports as well as reports on specific activities such as training sessions with community beneficiaries. The formats, currently only used in Zambia, include a mandatory section on feedback from participants, thus allowing a certain level of quality control. This monitoring system dovetails with the approach to financial support to implementation partners, which is also based on per-activity funding. Whereas this allows for strict financial control, it leaves the partner very much in a dependent situation with no control over longer term involvement in the project's activities and hence difficulties to effectively integrate CCDP related work in their annual work plans and budgets.

2.2.5 Financial aspects

The project has a total budget of Euro 2,211,383. The budget for the first two years (excluding HQ input) was around Euro 1,350,000. The delays experienced during the inception and initial implementation phase have led to a considerable under-expenditure in 2008. This was partly undone by increased expenditures in 2009, but by December 2009 still only 47% of the budget for 2008/2009 had been used. Not surprisingly, under expenditure is high for the field activities since the start of these activities was considerably delayed. Under-expenditure is also high (only 27% spent) for regional ("Pan African") coordination and knowledge management, confirming the finding that the project has very much a national character and not a regional one.

In light of the delays in the initial stages of the project and the high level of under-expenditure, a no-cost extension of the project is both feasible and desired[20]. It will however require some budget re-allocations since the budgets for fixed costs such as salaries and operational costs such as travel, car maintenance and use, etc. will be largely exhausted by the end of 2010.

Overall financial efficiency of the project is high, and the project staff is commended on the strict financial control and high level of accountability. Nevertheless, this efficiency has its downside. The high efficiency of field level implementation is due to the project's approach of funding the involvement of implementing partners on a per-activity basis. This means a high level of control and low partner overhead costs, but it

[19] IUCN has strict accountability rules and requires regional (ESARO) approval of any expenditure above USD 4,000. In addition, the country coordinators in Tanzania and Mozambique have the extra step of obtaining approval from the project coordinator in Zambia.

[20] Ideally in combination with additional funding to allow the project to continue for another two years. This is further discussed in the section on Exit Strategy.

also means ownership of partners is not as strong as it would be, and the approach limits the effective integration of the activities in the partner's long term planning and budgeting. Another aspect of the financial efficiency is the relatively modest resources set aside for staff and operational costs (totalling less than 35% of the total project budget). As alluded to in section 2.2.4, the low staff levels, in combination with a lack of strong partners, result in the project not being able to pay sufficient attention to strategic reflection and quality control, nor to developing the regional aspect of the project.

The financial resources are managed by IUCN HQ in Gland. Disbursements are made based on submission of annual financial reports of the previous year and annual budgets for the coming year. This is a long and slow process that starts with per-country budgets, which then have to be consolidated into a project budget, which is subsequently send to the ESARO office in Nairobi for validation, and from there on to IUCN HQ for approval. This complicated procedure leads to considerable delays in the implementation of activities, in particular during the first months of each year.

Financial reports are based on IUCN standard formats. Mozambique has had some challenges in the past with producing correct financial reports for Steering Committee meetings. To avoid such problems, financial reports should first be validated by the IUCN financial staff in Harare or ESARO before they are shared with other stakeholders.

2.3 Sustainability and impact

Sustainability and impact are assessed at two different levels: the level of pilot CCA activities and the level of policy influencing.

For the field activities, there are a series of factors that are currently hampering the prospects for long term sustainability:

1. The short project time frame – Most activities are typical livelihoods improvement activities. Livelihoods projects normally need a medium to long term timeframe to be able to produce sustainable outcomes. This is related to building community relations and trust, strengthening community capacity and ownership, and more in general the time needed to adopt new technologies.

2. The lack of strong development partners – With the possible exception of the partnership in Tanzania with the Pangani project (also involving development NGO SNV), the project does not have strong development partners at the field sites, both in terms of development expertise and in terms of resources. The limited development expertise means that no in-depth livelihoods analysis is available for the project sites, hence no insight in the deeper underlying causes of poverty (e.g. governance issues, power relations, access to resources, the impact of HIV/AIDS, gender aspects) that contribute to the communities' (covariate) and individual households' (idiosyncratic) vulnerability to climate change. The limited financial capacity of the partners has led to the situation that all activities primarily (if not fully) depend on funding from the CCDP; prospects for continued support for the activities beyond the project's lifespan are therefore limited. Most partners are in fact themselves implementing projects with short time frames, and don't have the resources to maintain a long term presence once their project funding dries up[21]. The problem is further exacerbated by the approach to partnering mentioned earlier, i.e. per-activity funding, which reduces the chances of the activities becoming fully integrated in the partners' own projects.

3. The lack of market studies – The project is and will be undertaking several income generating activities in support of livelihoods diversification, such as beekeeping, carpentry, preservation and marketing of wild fruits, poultry farming. However, the project has not undertaken any value chain analysis to assess

[21] This is in contrast to some of the larger development partners. World Vision for example has a policy to maintain a presence in a project area for a minimum of 15 years. They can do so because they can complement project funding with core funding from private sponsors.

whether such activities are economically viable and, if not, what improvements in the value chain would be needed to make them viable.

4. Limited understanding of local knowledge – The vulnerability assessments in the communities are "one off affairs" involving meetings with community groups that last a few hours. It will always be a challenge to accurately capture local knowledge on for example coping strategies and ecosystems vulnerability in such a short time frame, a situation compounded by the fact that no in-depth livelihoods analysis was available for the sites[22]. Good insight in local knowledge would allow designing activities that build on such knowledge, thus providing a better fit with local reality and increasing the chances of social and cultural viability.

5. Provision of free inputs – The project is providing most support to communities free of cost. This includes inputs such as drought tolerant seeds, carpentry material, boreholes etc. Although for some activities the beneficiaries have to provide a contribution through labour or provision of local materials, most support is provided without clear and agreed upon obligations on the part of the community (e.g. the requirement to set up a borehole management committee and contribute financially to the borehole, or the obligation for conservation farmers to set up Farmer Field Schools). This approach is not conducive to promoting local ownership and sustainability.

Since the CCDP is a pilot project, and one with a limited time frame, it is understandable that the focus has been on quickly identifying and implementing activities. Addressing all the above factors would likely have meant that the project at this point would still be preparing activities rather than implementing them. Nevertheless, the activities would benefit from more focus on promoting sustainability during the remainder of the project. Specifically, as part of lessons learning, the project should identify all factors contributing to or hampering the sustainability and assess the prospects for "spontaneous" adoption[23] and scaling up of the various activities by other communities. In doing so, the project should also include an analysis of the impact of food aid on the likelihood that communities will adopt CCA activities. In several of the communities visited during the MTR, the population was already receiving (or expected to soon receive) food aid, and it is nowadays almost guaranteed that years with little agricultural production (because of drought or floods) will be followed by food aid. This development may very well discourage communities from changing agricultural practices to make them more resilient to climate change.[24]

In line with the overall project objective of "Reduced vulnerability and enhanced adaptive capacity to climate variability and change at local and national levels", impact at field level should be measured in terms of increased resilience of people's livelihoods and associated ecosystems in the face of climate change. This is the key issue around which the Knowledge Management strategy has to be built, since it is evidence on increased resilience that will be particularly useful for policy influencing. With most field activities having only recently started, it is still too early to make an assessment of their impact in this regard. It is however clear that the project should focus on capturing lessons of those activities that are considered "real" CCA activities (see the discussion on relevance of activities in section 2.1.5 as well as annex III) and not on activities of which it is doubtful that they are addressing CC vulnerability.

[22] With the exception of Catine in Mozambique, where information was available from a previous IUCN project, and the Pangani project in Tanzania.

[23] An interesting example with regard to spontaneous adoption is conservation farming in Zambia. According to members of the PSC, the adoption level has been very good in the early years of CF, but has recently been decreasing, with many small-scale farmers in fact abandoning CF in favour of conventional subsistence farming. The reasons for this trend are as yet unclear, but would be important information for the CCDP.

[24] A possible example of this was related to the consultant in Mozambique (in an area near one of the pilot sites) where communities in an arid area are focusing on maize production even though the agro-ecological conditions would suggest that sorghum and millet are more appropriate. The communities may be reasoning that in good rain years maize will produce more, while in drought years they can count on food aid.

With regard to policy influencing, the main question is the prospect for substantial impact of the project on CCA policy development at district, national, regional and global level. This issue has been discussed under "Policy relevance" (section 2.1.1). The project is well positioned to influence policies, in particular at the national level, for example within the context of the national CC response strategies (currently under development in Zambia and under revision in Tanzania) and the broader national poverty reduction strategies and development plans. To increase the likelihood of impact, the project will have to extend its networking contacts to include more entry points into ministries such as Finance and Planning. Advocacy with such ministries should be based on sound socio-economic evidence of the need to invest in CCA, and in particular quantitative data to support this.[25] In developing a strategy for capturing and disseminating lessons, the project will, as a first step, need to engage with these and other stakeholders (including private sector and civil society) to better understand the type of data that are required at the policy level.

The knowledge management strategy will also need to include a regional policy influencing approach, an issue that up to now has not received enough attention. This can and should be done in close collaboration with the ESARO office. Global level policy influencing will be possible through the global IUCN network. CCDP has already featured in IUCN publications and preparatory work for Copenhagen, and the value of the project at the global level will only increase once relevant field level lessons are captured and packaged for evidence-based advocacy work.

[25] E.g. estimates of reductions in agricultural production due to climate change and of possible mitigating effect of conservation farming / irrigation ; estimates of economic potential of alternative sources of income like beekeeping; Such data could be collected at household level in the project sites.

3 Findings with regard to IUCN value proposition

IUCN has defined its added value through a value proposition consisting of 4 elements:
1. IUCN provides credible, trusted knowledge;
2. IUCN convenes and builds partnerships for action;
3. IUCN has a global-to-local and local-to-global reach;
4. IUCN influences standards and practices.

For this MTR, the degree to which the project (and IUCN as a whole) is delivering on its value proposition is assessed around the following elements: (i) Vulnerability assessments, (ii) Scientific and technical backstopping and quality control, (iii) Partnership strategy.

The global-to-local and local-to-global reach has been addressed in the previous chapter through assessment of the project's potential for policy influencing at district, national, regional and global level.

3.1 Vulnerability assessments and the CRiSTAL tool

The vulnerability assessments are meant to provide credible knowledge with regard to the vulnerability of rural livelihoods to climate changes. The project document proposed the use of the CRiSTAL tool for these assessments. CRiSTAL was developed as a decision-support tool to better understand the links between climate-related risks and people's livelihoods and to assess the impact of a project's activities on climate change vulnerability and devise adjustments to improve positive impacts and reduce negative ones. The tool was developed by IUCN in collaboration with IISD, SEI-US and Intercooperation.

In line with the LF, the project invested in research on other possible vulnerability assessments that could be used in pilot sites and could complement CRiSTAL. The main tool identified was the CVCA - Climate Vulnerability and Capacity Analysis tool developed by CARE. Other tools reviewed include the "Socioeconomic Monitoring Guidelines for Coastal Managers of the Western Indian Ocean" and "Vulnerability and Capacity Assessment" (developed by IFRC).

Similar to Participatory Rural Appraisals, the choice of tools to use depends very much on the context and the focus of the project, and one can pick elements from different tools as needed. It also depends on the capacity and experience of the intended users of the tools. In the case of CCDP, the CRiSTAL tool was retained as the main tool, with the addition of some elements of the CVCA tool (historical timeline in particular) and some indicators from the Socio-Economic Monitoring Guidelines. It is mainly in the context of CCDP collaboration with the Pangani project that more elements from CVCA and other tools have been used. Through the Pangani project, IUCN has also further increased collaboration on vulnerability assessments with the likes of CARE. Using the experience from Zambia and Tanzania, a field form was developed that was used for the assessments in Mozambique (a good example of the possibilities of cross-learning within the project).

CRiSTAL's main strength lies in providing a *structured* and relatively straightforward approach to linking people's livelihoods and resources to climate change hazards. Stakeholders confirmed the importance of providing this structure to better understand CC vulnerability. It has also definitely helped in creating a certain level of awareness at community level that the climate is changing in a structural way, and that related hazards like droughts and floods will become more and more frequent.

The question however is whether CRiSTAL provides enough information to allow for *informed* decision making on appropriate CCA activities. The MTR findings indicate that this is not always the case because of the following main shortcomings:

- A one-off tool like CRisTAL will always have difficulty in accurately capturing local knowledge with regard to adaptation and coping strategies developed by communities[26]. This is all the more so the case because the tool does not specifically promote the use of visual methods (participatory mapping etc.) which are known to better capture local knowledge than methods based purely on verbal and written information.

- The results of the assessments seem to indicate that relying on CRiSTAL alone is in many cases not enough to identify appropriate and relevant climate proof CCA activities, and that more research and analysis is often needed. [27]

- Less obvious but equally important is the fact that CRiSTAL does not have a specific pro-poor approach and does not address issues such as underlying causes of poverty, power relations, access to resources and gender issues. If such information is also not available from other sources, activities may be identified that are CCA activities, but that are not appropriate because of such underlying factors i.e. they may distort power relations, further marginalise vulnerable and poor groups, or be unsustainable because of a lacking enabling environment. [28].

The original CRiSTAL tool is also gender-blind, but the project has engaged the IUCN gender advisor to address this shortcoming.

Of particular importance for IUCN is the fact that CRiSTAL does not encourage mainstreaming of the ecosystems approach, and signs of effective mainstreaming are indeed scarce. In fact, some proposed activities like construction of cattle troughs might very well have a negative impact on the surrounding ecosystem.

Some of the shortcomings listed here would have been less pronounced if the project had been able to identify strong development partners with whom to collaborate. This would not only have increased the chances of better insight in underlying causes of vulnerability, it would in all likelihood also have helped in more effective use of the CRiSTAL tool. A tool is only that, a tool, and its effectiveness is ultimately more related to the capacity of the people using the tool than to the design of the tool itself. Development partners like CARE, CONCERN, ActionAid, World Vision etc. generally have extensive experience and expertise in participatory approaches for community development and that expertise would have been useful in applying CRiSTAL.

This is not to say the vulnerability assessments have not been useful. On the contrary, they are very useful since the CCDP is a pilot project with learning being a central element. Identifying strengths and weaknesses in the use of the CRiSTAL tool is part of that learning process. It is also clear that identifying appropriate CCA activities will at times need considerable investment in further research (e.g. on the exact

[26] An example can be found in Zambia, at the pilot site near Sesheke in the west of the country. One of the identified activities is introduction of fruit trees. Contrary to the rest of Zambia, fruit trees like mango are rare in this part of the country. When asked about this during the MTR, the people said there was a belief that if you planted a fruit tree, you would die before the first fruit had matured. Others stated that fruit trees can in fact not be grown in the area because of occasional frost. This local knowledge was not accurately captured during the assessments, yet have a direct bearing on the relevance and feasibility of the proposed activity of planting fruit trees.

[27] An example mentioned earlier is the reduced river flows that were identified as a climate change related impact in Tanzania. This assumption was challenged by several stakeholders interviewed during the MTR, who argued that reduced river flows are more a result of increased water diversion in the upper catchment.

[28] An example to illustrate this: A proposed activity in Mozambique and Zambia is preservation and marketing of wild fruits. It is not unreasonable to assume that such an activity will, at least initially, be dominated by the more dynamic, hence less vulnerable, groups in the community. This is in itself not a problem, but if the activity is very successful it might lead to reduced availability of wild fruits near the settlement. This would directly increase the vulnerability of the most vulnerable households, since it is they in particular who depend on the wild fruits for food security during difficult times.

causes of reduced river flows or the "climate proofness" of beekeeping). These are all relevant lessons that can be used in policy influencing work. What is worrying however is the fact that the project itself has not yet undertaken a structural analysis of the quality of the process and results of the vulnerability assessments[29]. This can be explained by the time pressure to start implementing activities, but it is a lacuna that should still be corrected in the coming months.

3.2 Scientific and technical backstopping and quality control

The project document states (page 25) that "For each of the results, IUCN (the Forest Conservation Programme and regional and country offices) will be responsible for the scientific backstopping and quality control for the implementation and technical assistance of the project". Such a backstopping support role is always important, but all the more so in the case of a pilot project, with many new issues emerging that would benefit from active involvement of experts on climate change, ecosystems, livelihoods and gender from within IUCN and from its network of members and partners.

Unfortunately, IUCN has largely failed to provide this support to the project. Main reasons for this, as also confirmed in meetings with IUCN in Gland and Nairobi, are:

- The premature departure of the project officer in Gland responsible for the liaison between project staff and IUCN expertise. Her successor has only recently been appointed and this has left a gap in communications.
- A restructuring process in the ESARO office Nairobi, that has led to reduced capacity to support projects in the region.
- The lack of a systematic and documented approach with regard to support to the CCDP project and the promotion of linkages with other projects.

The only substantial backstopping support that the project has received is through the linkages with the Pangani project (the project officer based in Nairobi has been very much involved in the vulnerability assessments), support from the IUCN gender advisor (who has been involved in preparing and reviewing the consultancies for gender mainstreaming, adapting the CRiSTAL tool to make it more gender sensitive, and providing policy level support in Mozambique for gender mainstreaming in climate change policies) and occasional support from an IUCN consultant based in Tanzania.

Although the reasons given above *explain* the lack of involvement of ESARO/HQ, they do not *justify* it. As formulated in the Value Proposition, IUCN claims to provide credible and trusted knowledge and derives this added value from its expert Commission networks, its members, its partners and its staff. Given the quality issues with the consultancies[30] as well as the doubts with regard to some of the results of the vulnerability assessments and the relevance of several CCA activities, IUCN has so far not been able to make good on this value proposition within the context of the CCDP.

Looking ahead, a more active involvement of ESARO/HQ will be crucial if the project is to achieve its objective of policy influencing through advocacy based on sound evidence.

3.3 Partnership strategy

According to the Value Proposition, IUCN convenes and builds partnerships for action. It does so by promoting joint actions and solutions and by playing the role of "honest broker" and a 'provider' of independent scientific advice on natural resource management issues.

Within the context of the CCDP, partnership development has focused on field level implementation of activities and, to a lesser extent, joint capacity building (e.g. with CARE in Tanzania). The project has been

[29] IUCN staff related to the Pangani project is currently undertaking such an analysis, and this information will be highly useful for the CCDP lessons learning.

[30] Most evident in the CC site evidence study for Zambia, which predicts high rainfall in specific seasons in the far off future i.e. 2058/59.

somewhat unlucky in not finding strong implementation partners in most of the pilot sites. This is in particular the case in Mozambique and Zambia. As mentioned earlier, and with the benefit of hindsight, it would have been better to first identify strong partners who are interested in collaborating and subsequently identify the best pilot sites from the areas where these partners are active.

The project document states that project implementation in the field will be done by "IUCN's members, partners and commission members" to ensure that the long term partnership goal will be achieved." Given that all IUCN members are conservation organisations, this formulation implicitly expresses a bias for conservation organisations as partners, rather than development organisations. It has already been argued in other sections of this report that in fact the ideal partners would be strong development NGOs. They complement IUCN's expertise on conservation and ecosystems with strong livelihoods expertise and would increase prospects for continuation of activities beyond the CCDP life span and hence long term sustainability and impact. Moreover, many development partners are venturing into climate change adaptation without necessarily taking the important role of ecosystems into consideration and a stronger engagement with IUCN would address that shortcoming.

It is not yet too late for the project to engage more actively with strong development partners. Although the project design is based on using the CCDP pilot activities for policy influencing, there is no reason why the scope of the knowledge management strategy could not be extended to also include lessons learnt from other CCA projects. Combining lessons learnt from a number of projects would strengthen the evidence and hence increase the prospects for impact of evidence-based policy influencing. This issue is further elaborated in the section on recommendations.

4 Factors ensuring sustainability and compatibility

The Ministry of Foreign Affairs, Finland places special emphasis on the compatibility and sustainability of project results and this is evaluated on the basis of a series of aspects: compatibility with Finnish development objectives, policy environment, economic and financial viability, institutional capacity, social-cultural aspects, participation and ownership, gender, environment and appropriate technology. Some of these have been covered in chapter 3 and the review in this chapter therefore focuses on compatibility, institutional capacity, socio-cultural aspects & ownership, gender and appropriate technology.

4.1 Compatibility with strategic goals of Finnish development cooperation

Reduction of poverty, protection of the environment and the promotion of social equality, democracy and human rights are the principal objectives of Finland's development policy.

At the field level, the CCDP is helping to reduce poverty by building resilience of the people's livelihoods in the face of climate change. This is done in pilot sites in Zambia, Mozambique and Tanzania, three countries with which Finland has bilateral cooperation agreements. The importance of strengthening Africa's capacity in climate change adaptation is mentioned in the Finnish Africa policy and includes explicit reference to the role of forest and water resources in this respect. The project's purpose and expected results are therefore highly compatible with these aspects of Finnish development policy.

The picture is more diffuse with regard to promotion of social equality, democracy and human rights. The project has no specific pro-poor or rights-based approach and can potentially increase the gap between the haves and the have-nots. This will need to be monitored carefully, and the project should as a minimum ensure compliance with the "Do no harm" principle to avoid any negative impacts of the activities on the most vulnerable groups in society.

By strongly involving district government in all activities, the project is contributing to more interaction between the government and local communities, hence promoting local governance processes in which government becomes more responsive to the needs of communities. The project can increase its catalyst role in this respect by becoming involved in district planning processes and in particular facilitating opportunities for communities to advocate for support for climate change adaptation and mainstreaming CCA in the government's development plans and programmes.

In Zambia, the Finnish funded PLARD project is one of the implementing partners of CCDP. Unfortunately, progress in the PLARD pilot sites has been slow, which is at least partly due to the challenges the PLARD project faces in achieving its own results. As confirmed by the Finnish Embassy in Lusaka, PLARD would benefit from collaboration with CCDP and with the new phase of PLARD starting soon, both the Finnish Embassy and MFA are advised to promote such collaboration.

Collaboration options also exist in Mozambique (e.g. with the Finnish support to the forestry sector and the science, technology and innovation programme) and Tanzania (the proposed sustainable development centre and the forestry programme in southern Tanzania which is currently in preparation). Here again, an active role of the Embassies and MFA are necessary to make this happen. There are already two good examples of this:

- Through facilitation by the Finnish Embassy in Maputo, the CCDP has now established linkages with the Finnish funded climate change project coordinated by CARE.
- In Tanzania, the new forestry programme referred to above will be using the experience of the CCDP with the CRiSTAL tool to undertake CC vulnerability assessments.

4.2 Institutional capacity

Institutional capacity refers to the combination of actors and factors ("rules of the game") that decide on whether a society can effectively address certain issues, which in the context of the CCDP is the issue of climate change adaptation.

At community level, institutional capacity would be evident through awareness on climate change issues, spontaneous community action (e.g. wide-scale adoption of the more effective CCA pilot activities), development of community development plans with CCA components, regulations promoting more effective and sustainable use of water and resources etc. The CCDP has made some inroads in this respect, primarily by creating a certain level of awareness on the fact that droughts and floods "are here to stay". It is beyond the scope of the CCDP to support communities in building capacity of community structures to deal with CCA, but this could be considered as an important aspect of a possible follow up phase.

The project has also raised awareness on climate change at the district government level. Within the context of the ongoing decentralisation processes in all 3 countries, this will in the long term help mainstreaming CCA in district plans and programmes. It should however be noted that capacity at district level to effectively plan and implement development programmes is generally weak and long term capacity development and support to districts is needed to fundamentally change this situation.

At the moment, CCA policy and strategy development is mostly driven by key stakeholders at the national level, in particular Ministries dealing with environment, agriculture and water. All countries have some sort of CC coordination mechanisms, although these are not very inclusive and dominated by staff from government ministries. Through the PSCs, the CCDP is partly helping to address this issue, but much more is needed to effectively coordinate CC policy development. By sharing lessons learnt through national workshops with broad representation of government, civil society and private sector, the project can play a catalyst role to enhance coordination.

Institutional capacity to *implement* vulnerability assessments and CCA activities is still very weak. The project's training workshops on the use of the CRiSTAL tool and the direct involvement of district extension staff in the CCA activities are a good first step in CCA capacity development, but are really only a drop in the ocean. A much larger scale comprehensive capacity development strategy is needed and this is again an issue that should be considered in the design of a follow up / scaling up phase.

4.3 Socio-cultural aspects

The sustainability of CCA adaptation activities will depend on economic and financial viability on the one hand and socio-cultural acceptance on the other hand. To ensure the latter, a detailed socio-cultural analysis is (as part of an overall livelihoods analysis) is normally required that looks at questions such as:

- Is the purpose of the project relevant to the local culture?
- Who are the direct and indirect project beneficiaries, and what is the effect of the activities on the socio-cultural fabric of the local society?
- How are vulnerable groups incorporated?

The short time frame of the CCDP did not allow for such detailed assessments to be undertaken. Nevertheless, an attempt was made during the MTR to answer the above key questions.

The purpose of the project relates to adaptation activities that emphasise the role of forest and water resources in supporting people's livelihoods and farming systems. Clearly, this is highly relevant to the local culture, with communities confirming their dependency on agriculture, and the problems they are facing with recurrent droughts, floods and high temperatures. Whether the proposed adaptation activities will be socially and culturally acceptable is however yet to be confirmed. The activities introduce new practices, such as conservation farming, which require a fundamental change in long established agricultural systems. The project will need to develop proxy indicators (i.e. level of spontaneous adoption of the activity in the next year) to indirectly assess whether the activities are socio-cultural acceptable.

Project beneficiaries were identified by the communities themselves. During the field visits, probing questions with regard to the selection process were put to the community and the response leads to the conclusion that the community members were all consulted and in agreement with the process. It is still

too early to assess the effect of the activities on the socio-cultural fabric of the society. There is a risk that activities will only benefit a small group of people, which might lead to conflicts. The project will need to encourage beneficiaries to share their newly acquired skills with other community members. This has in some cases already been discussed with the beneficiaries, but will need to be followed up more thoroughly.

As mentioned earlier, it is often difficult to directly reach vulnerable groups when piloting new activities. Some activities, such as drought tolerant seeds, have benefited all community members, including vulnerable households, but other activities like beekeeping are only piloted with a limited number of beneficiaries. These are generally *not* the most vulnerable people, but this is acceptable in the case of pilot activities, as long as the "do no harm" principle is adhered to. So far, there are no signs that activities are harming vulnerable groups, but potentially they could (see the example given in footnote 25).

4.4 Participation and ownership

Participation of communities in identification of the CCA activities is based on the participatory vulnerability assessments. This involved two stages: a first assessment of vulnerability to climate hazards and analysis of current coping strategies and a subsequent session in which a possible range of CCA activities was presented to the communities, for them to rank the most important ones. Within the limited time available to the project, this has been an effective approach to ensure a good level of involvement of the community members.

With regard to community participation in the implementation, the project could have done more in ensuring a higher level of commitment and hence ownership of the communities. As it is, the project is providing a large number of free inputs with community contributions largely limited to providing labour. In particular the direct beneficiaries of for example conservation farming, beekeeping and carpentry are receiving substantial support without clear obligations on their part to share the benefits with other community members through training or to compensate the inputs received by e.g. contributing to improved forest management or refraining from unsustainable charcoal production.

4.5 Gender

The project had planned gender mainstreaming studies in each of the countries (as per activity 3.6 of the LF). However, it proved to be very difficult to find good consultants, and after long delays studies were only commissioned in Zambia and Tanzania. Because of the delays, the results of the consultancies came to late to improve gender mainstreaming for the vulnerability assessments and for ex-ante assessment of possible gender effects of the activities currently being implemented.

The CRiSTAL tool is basically gender blind[31] and has no built-in disaggregation of data collection for men and women. The tool can however be applied separately for groups of men and groups of women and the project has followed this approach in most communities. Unfortunately, in consolidating the data for each community in the CRiSTAL computer application, the gender specific information was largely lost. The project could have chosen to develop the tool separately for men and women. This would have led to the identification of a separate set of possible activities for men and women, a highly gender sensitive but possibly not very practical approach. Instead, the project has identified one common list of activities per site, and has promoted an equal participation of men and women in the activities. It has been quite successful in this respect, with field visits confirming that there is a balanced representation of men and women amongst the beneficiaries. These are good steps, but more is needed to effectively mainstream gender. The project should use the results of the gender mainstreaming consultancies and develop a structural approach to the implementation of those recommendations that are expected to yield most impact in terms of gender mainstreaming and are realistic in terms of available resources.

[31] This has in the meantime been addressed by the IUCN gender advisor who has provided recommendations for mainstreaming gender in the tool

4.6 Appropriate technology

Within the context of the CCDP, this relates to the tools and methods used for the participatory assessments, as well as to the technology introduced as part of proposed CCA activities.

The core module of the CRiSTAL tool is based on a computer application based on Excel, and is as such not appropriate for community assessment work. The project has taken the main issues from the tool and used these to develop field forms consisting of key questions to be discussed with the communities. This has allowed for a good participatory process, although more use of visual tools would likely have enhanced the sessions. Analysing the data with the Excel module requires only moderate skills in the use of Excel and should pose no serious technological challenges for potential users such as staff from development and conservation NGOs.

A series of new technologies have or will be introduced as part of proposed CCA activities. It is important that the technologies can be maintained, owned and replicated by the target group i.e. the communities, without further outside support. A quick mapping suggests that most technologies fulfil this requirement, but there might be some obstacles when it comes to spontaneous replication, and this will need to be monitored as part of lessons learning. A few examples of technologies introduced by the project:

- Beekeeping is based on mud-hives, which are constructed by the beneficiaries themselves, with the only external input consisting of so-called top bars for the honey combs. These can be acquired locally.
- Conservation farming requires the use of an adapted hoe (for planting holes) and/or a special ripper (used in combination with animal traction). These have been supplied free of charge to the direct beneficiaries, but it is not clear in how far the need of these inputs will hamper further adoption of the technology.
- The introduction of drought tolerant seeds is based on free provision of these seeds to the direct beneficiaries. The seeds are of a hybrid variety, which means that farmers cannot produce their own seeds. This will likely prove to be an impediment to further adoption.
- The project is planning the construction of boreholes to replace wells. This will require a certain level of community organisation to ensure proper operation and maintenance. This is a notoriously difficult issue, and will not only require training but also a strong sense of ownership from the community. Many water supply projects have failed on either or both factors, more often than not resulting in boreholes being abandoned as soon as the first break downs occurred.

5 Conclusions and recommendations

5.1 Project level

5.1.1 Overall assessment

The CCD project is one of the few projects testing vulnerability assessments and CCA activities on the ground. As confirmed by all stakeholders, piloting CCA is very important and the project has in fact created high expectations with regard to providing important practice-to-policy linkages. The 3 countries are all in the process of further developing and/or revising their CC policies and developing mainstreaming strategies and the CCDP will be able to feed into those processes. The project's activities are highly compatible with Finnish development policy as well as with existing national policies on climate change in the three countries, in particular the NAPAs. Climate change policies at regional levels, such as for SADC, have not yet been developed, but the importance of climate change adaptation is recognised and the consolidated experiences from the pilot activities in the three countries should be important input for any regional CCA strategy and policy work.

In spite of very low staff levels and protracted delays during the inception and initial implementation phase, the highly committed project team has managed to accelerate activities while simultaneously developing relations with a whole range of key stakeholders, thus laying a sound foundation for policy influencing during the remainder of the project.

The findings have identified a number of serious challenges and problems, but this does not necessarily lead to the conclusion that the project has been underperforming. It is important to remember that the CCDP is a pilot project and most of the challenges and problems are part of the learning curve that is inherent in projects applying new approaches and tools. What is missing however, and this is the key conclusion of the MTR, is a process of continuous strategic reflection, learning and analysis as well as adequate quality control of the project's activities and results. Time constraints, a lack of strong implementation partners and limited involvement from IUCN ESARO and HQ are all factors contributing to this hiatus, but it is in this area that the project will have to focus its efforts during the second half of the implementation phase. Hence the key recommendation of the MTR is:

Recommendation 1:
Invest in strategic learning and quality control in order to capture sound and relevant lessons learnt for evidence-based policy influencing.

5.1.2 Vulnerability assessments

A key conclusion from the findings is that sound vulnerability assessments require more time and investment than were available in the project. To ensure that the conclusions of the assessments are correct, and lead to the identification of relevant CCA activities, more emphasis needs to be place on collecting information on:

- Local knowledge with regard to coping strategies, knowledge and use of ecosystems and their management, etc.
- Underlying factors that contribute to increased CC vulnerability such as access to resources, governance issues, impact of HIV/AIDS and gender aspects.
- A thorough understanding of the context and in particular the ecosystems context at appropriate scale (e.g. watershed) to be able to analyses if proposed CCA activities are relevant and sustainable.

In other words, vulnerability assessments need a broad range of expertise which can best be mobilised through collaboration between stakeholders such as development NGOs, conservation NGOs, and national and local government, with backstopping support from ecosystems experts, gender experts etc.

Although the CCDP has completed all its vulnerability assessments, the above conclusions are still relevant, and the following is recommended:

Recommendation 2:

1. Revisit the results of the vulnerability assessments[32] with regard to the identified CCA activities to re-assess their relevance (Annex III provides an analysis of CCA related aspects of ongoing and proposed activities that can be used as a starting point for this re-assessment).
2. Engage experts where needed to support the re-assessment process.
3. Use the above process to:
   a) capture and document lessons on vulnerability assessments and tools like CRisTAL.
   b) decide which of the activities in the pipeline the project should focus, based on their relevance and on the available time and resources.

5.1.3 CCA activities

Directly related to the conclusions on the results of the vulnerability assessments, there is some doubt with regard to the CCA relevance of some of the pilot activities, as well as with their impact on vulnerable groups and on ecosystems and their sustainability.

To address this, the following is recommended for both ongoing and planned activities:

Recommendation 3:

With regard to CCA activities:

1) Analyse possible negative impacts on vulnerable groups and ecosystems and adjust design and implementation of the activities as necessary. As a minimum the activities should be consistent with the "Do no harm" principle, both for vulnerable groups and ecosystems.
2) Identify, and where possible, address economic, financial and socio-cultural factors hampering adoption and scaling up. [33]
3) Promote sustainable outcomes. See under Recommendation 14.
4) Engage expertise from development partners and through IUCN where needed to implement the above recommendations.
5) Capture lessons learnt on all activities i.e. include learning relating to activities that upon re-assessment prove to be unsuitable or irrelevant for CCA..
6) For activities in the pipeline, the following additional recommendations apply:
   a) Give priority to quality over quantity. Limit the number of activities to ensure enough time is available for strategic analysis and quality control.
   b) Ensure an effective mainstreaming of the ecosystems approach and give priority to activities with strong ecosystems aspects and hence good potential for learning lessons in what is after all IUCN's area of expertise.
   c) Only consider new income generating activities if a value chain analysis indicates good prospects for economic feasibility.

Given the promises made to communities with regard to project support for a whole range of activities, it will require a delicate process of managing community expectations and finding a balance between promises made and the need for a more realistic and quality-oriented approach. One suggested way forward is to provide support for scaling up some of the more successful current activities to compensate for reducing the number of new activities.

[32] Based on discussions during the recent Annual Meeting, the project has already started this process.

[33] Including the effect of food aid on the motivation of people to adopt new practices.

5.1.4 Partnerships

Although it can be concluded from the findings that the project would have benefited from strong development partners for the identification and implementation of the pilot CCA activities, it is at this point in the implementation phase no longer feasible or advisable to involve other partners at the pilot sites. The project will largely depend on the current partners for the effective implementation of the activities and the collection of data on which to build the evidence for CCA advocacy work. For the partners to be able to play this role, the project will have to build their capacity through training workshops and follow up mentoring.

Recommendation 4:
Capacity building of implementing partners should focus on:

- knowledge and insight needed for the monitoring of the activities, including a better understanding of the ecosystems approach;
- data collection methods;
- training in communication and dissemination of information.

To strengthen the scope and quality of evidence for policy influencing, the project should seek collaboration with other organisations which are currently implementing CCA activities in the three countries. Basing policy recommendations on consolidated evidence from a large number of sites and presenting these on behalf of a consortium of organisations will substantially increase the prospects for effective policy influencing. To kick-start this process of coordination and collaboration, the following is recommended:

Recommendation 5:
The project should seek collaboration for policy influencing with other organisations through:

- making an inventory of other CCA projects in each country and
- organising a workshop to discuss ways in which joint learning and evidence-based policy influencing can be promoted.

5.1.5 Capturing and disseminating lessons for policy influencing

The project teams in all three countries have done an excellent job in networking at national and district government level. While it is recommended to further strengthen this network at the national level by more actively engaging with influential Ministries like Finance and Planning (which are not normally directly associated with climate change, but are key policy and budget decision making bodies) and with stakeholders involved in disaster preparedness and management, it can be concluded that the project is well positioned to start influencing policies.

Most potential impact can be expected at the national level since that is currently the level where CC policy making is taking place. The project should however also continue to explore opportunities at the district level, e.g. in district planning processes and should develop a strategy for engagement at the regional level. This should be done in collaboration with the ESARO office. A possible important strategic partner in the SADC region is the Southern Africa Trust, which was created with the specific aim of supporting civil society and other actors in influencing regional (i.e. SADC) policies.

No matter how well the project has positioned itself, policy influencing will only be possible if the project has a clear strategy in place to capture relevant lessons learnt and communicate these effectively through the stakeholder network and coordination mechanisms. A comprehensive Knowledge Management strategy should therefore urgently be developed.

Recommendation 6:
To develop a comprehensive KM strategy for policy influencing, the project should:

1. Liaise with other IUCN projects like LLS and WANI to learn from their experiences with KM. Colleagues from these projects could possibly also play an active facilitation role in developing the KM strategy for the CCDP.
2. Make an inventory of the type of lessons that policy makers are looking for. This should look beyond environmental policy makers and also include for example economists and development planners.
3. Using the results of point 2, identify the relevant type of lessons that can be learnt from the field level activities[34] and from activities from other organisations implementing CCA activities (as per the recommendations on partnerships).
4. Develop indicators and monitoring protocols and ensure partners have the capacity to carry out the monitoring tasks.
5. Ensure that indicators include quantitative data, which are often more convincing to policy makers than qualitative data.
6. Decide on whether to only monitor directly CCA related issues or also broader issues. E.g. construction of a borehole may have the positive side effect of allowing more children to go to school since they are no longer required to go and fetch water.

Recommendation 7:
To use the KM strategy and captured lessons for policy influencing the following is recommended:

1. Use the results of the consultancies on communication strategies to package the lessons learnt into effective policy influencing tools. The project should consider outsourcing this task to an organisation specialised in communication and media.
2. Strengthen the network at the national level by more actively engaging with influential Ministries like Finance and Planning) and with stakeholders involved in disaster preparedness and management.
3. Explore opportunities for policy influencing at district level.
4. Develop a regional policy influencing strategy.

The workshop with key stakeholders[35], as recommended under "Partnerships", would be a good platform to address most of the above points and decide on a joint KM strategy.

5.1.6 Project management

There is a need for the project to strengthen its monitoring framework. This framework should provide for monitoring in relation to the project, as well as specific monitoring for the KM related to policy influencing.

[34] Some possible examples:

- How has resilience been strengthened, e.g. in how far do income generating activities bridge the gap in food security caused by reduced yields?
- What research is needed to establish in how far reduced river flow and increased flash floods are human induced or a function of CC?
- How do yields compare between normal farming and CCA farming (drought tolerant seeds, conservation farming)?
- How do the different activities affect relative vulnerability of men / women?
- Signs of spontaneous adoption of introduced measures like drought tolerant seeds
- Have partners involved in the training and assessments enough capacity to mainstream CCA or is more training needed?
- How does food aid affect CCA activities and how can it be used to harness CCA? (food aid was already being distributed in several of the project sites).

[35] Possibly also including members of the Project Steering Committee

Recommendation 8:
The project should *not* invest in developing country-specific results and indicators at this late stage of the project. Instead, the project should develop a monitoring framework with three levels:
1. The level of the overall Logical Framework with indicators relating to purpose, results and activities.
2. Monitoring of progress of each of the CCA activities and related monitoring of the performance of the implementing partners.
3. Monitoring within the context of capturing information that is relevant for policy influencing

These levels partly overlap, but serve different purposes.

The first level of monitoring serves to assess whether the project is achieving the purpose and results as laid down in the LF.

The second level serves to measure progress for each of the CCA activities. Mozambique has already largely developed this level by developing simple LFs and indicators for each activity (i.e. treating each activity as a separate project), although good indicators on the performance of the implementing partners are still missing.

The third level is part of the KM strategy to capture lessons for policy influencing, as discussed in the previous section.

Indicators for the first level are those included in the project's LF. Indicators for the second and third level still need to be developed in most cases.

With regard to project staff, the findings lead to the conclusion that staff levels are critically and this needs to be addressed.

Recommendation 9:
Three measures are recommended to address the problem of understaffing:
1. The project coordinator should be full-time on the project.
2. Mozambique should be allowed to provide financial support to their implementation partner ACOSADE to allow it to recruit a community worker who would be permanently based in the pilot sites.
3. IUCN should refrain from allocating tasks to the project staff that are not directly related to the CCDP or to CC cross-learning with other IUCN projects.

Recommendation 10:
To bolster the commitment and strategic involvement of the Project Steering Committees, the project should annually organise a "strategic retreat" of 1 or 2 days, at a venue outside the capital city of each country. This will encourage more active participation of the PSC members.

There is scope for improvement of the planning and financial management systems, to avoid frustrating partners and communities with unrealistic promises of prompt action. Improvements require a combined effort of the project and of financial staff in ESARO and HQ.

Recommendation 11:
Project staff should be more cognisant of the IUCN administrative procedures related to approval of expenditures and plan accordingly, using a critical path approach. Financial staff should ensure that requests for disbursements are handled as efficient as possible.

Although the financial arrangements with implementing partners, based primarily on activity-based funding, are somewhat frustrating for the partners and not conducive to promoting ownership, time is too

short to adopt a more trust-building system of annual disbursements based on the partner's annual plans and budgets.

Recommendation 12:
The project should maintain the current financial systems and arrangements with partners to ensure good financial accountability.

5.1.7 Gender mainstreaming

Gender mainstreaming has suffered from the delays in completing the consultancies, with the results only becoming available after most vulnerability assessments were concluded. The project has achieved an important result in ensuring a balanced gender composition of the beneficiaries, but will have to dedicate time and attention to implementing the most relevant and realistic recommendations of the gender consultants.

Recommendation 13:
The project should promote gender mainstreaming by focusing on the following aspects:

- Assess the impact of activities on workload and the socio-economic position of men and women. For current activities this will influence policy recommendations, while for new activities it might lead to a decision not to start an activity if the assessment predicts clear negative impacts. [36]
- Involve gender specialists from national government and other stakeholders to promote gender mainstreaming in climate change policy development. [37] Their involvement could take different forms e.g. participation in the PSCs, organising field visits or involving them in developing the knowledge management strategy aimed at capturing relevant lessons from the pilot sites.
- Ensure gender disaggregated data collection as input for the lessons learnt.
- Develop and implement a gender sensitive communication strategy.
- Make use of specific opportunities such as the example in Mozambique referred to in the footnote.

5.1.8 Exit strategy

Ideally, an exit strategy is built into the design of a project if it is known beforehand that the project will have a limited timeframe. This was not specifically done in the case of the CCDP, but the project includes a strong capacity building component with the objective of ensuring that implementing partners can continue providing support to the communities. As can be concluded from the findings however, the prospects for continued support are limited because most partners will have very limited financial resources and because the CCDP activities have not been fully integrated into the partners' programmes.[38]

The CCDP will therefore need to explore other options for an exit strategy that will promote sustained outcomes of the field level activities beyond 2010, and the following is recommended:

[36] Two examples of possible impact:

- Conservation farming is known to require substantial labour for weeding, which is generally the task of women and might therefore substantially increase their workload.
- It is not clear who will be controlling income from income generating activities such as beekeeping and carpentry. These activities are meant to cushion the negative impact of increased unpredictability of rainfall on subsistence agriculture, but if the resulting income is controlled by men, the money may not be used effectively for household food security.

[37] Note that this process has been started in Mozambique, where the project made the pragmatic and wise decision to use the budget that was meant for the gender consultancy (for which no consultant could be found) to support the IUCN gender advisor in conducting a workshop on gender mainstreaming in climate change strategies.

[38] The exception is the partnership with the Pangani project where prospects for continued support in the pilot sites are good.

Recommendation 14:
The project should develop an exit strategy based on the following approaches:

1) Incorporation of the activities in other, longer term, projects. There are good opportunities for this, especially in Zambia (for conservation farming).
2) Encourage direct beneficiaries to share experiences and train other community members through a more structured approach than is currently the case, e.g. through introduction of the Farmer Field School concept.
3) Negotiate with communities on roles and responsibilities. For example, the construction of boreholes should only take place if communities have systems in place for maintenance of the borehole (ideally, based on payment for water, as practised in one of the villages in Tanzania).

However, all these approaches will require time and that is the one resource that the project is missing. The CCDP runs until the end of 2010, i.e. only about 9 months to go after the MTR. An extension of the project would not only increase the prospects for more sustained outcomes at field level, but also the scope for learning lessons and hence policy influencing. Climate change is a long term process and it will always be a challenge to draw relevant lessons from a very short term project. Quality of the lessons learning would be significantly increased if the same activities could be monitored over several years rather than only one year.[39]

Recommendation 15:
An extension of the project is strongly recommended. The best way to achieve this is through a no-cost extension (with the length of the extension defined by available financial resources) in combination with incorporation of the current project in a proposed scaling-up project. If this is not feasible, additional funding for a 2-year 2nd phase would provide the best prospects for sustainable project outcomes. Funding for an additional 2 year would be money well spent *if* the project ensures that a good Knowledge Management strategy is developed in the coming months.

Recommendation 16:
The focus during an extension phase should not be on introducing a whole series of new activities, but on:

- monitoring the impact and sustainability of the current interventions e.g. the level of spontaneous adoption of activities such as conversation farming and the use of drought tolerant seeds, signs that the activities increase CC resilience etc.
- modifying the partnerships with implementing partners in such a way that it promotes ownership and incorporation of the activities in their annual plans and budgets.

5.2 IUCN

5.2.1 Scientific and technical backstopping role

The findings leave no room for any other conclusion than that IUCN has failed in providing the backstopping support which it was supposed to provide according to the project document. A serious shortcoming which has had direct consequences on quality aspects of the project, in particular with regard to the consultancies, the mainstreaming of the ecosystems approach and the analysis of relevance of some of the CCA activities.

[39] An example to illustrate this: the pilot on using drought tolerant seeds in Mozambique is likely to show no positive results this first year, because of extreme drought during the December – January period. It would be very useful to continue testing these seeds in the coming years, to assess their performance in more "normal" years i.e. years with drought spells but not as extreme as this 2009/2010 season.

IUCN should urgently take measures to rectify this situation. With the appointment of a new project officer a few months ago, the communication between project and HQ / ESARO has already dramatically improved. What is needed now is a systematic approach to technical and scientific backstopping; in support of the CCDP.

Recommendation 17:
IUCN should improve technical backstopping to the CCDP, in particular in the following areas:

- Effective integration of the ecosystems approach in vulnerability assessments and design of CCA activities.
- Development of a Knowledge Management strategy to capture and disseminate lessons learnt.

Recommendation 18:
IUCN should improve quality control and scientific backstopping to the CCDP, focusing in particular on:

- expert review of the CC site evidence consultancies (still relevant since results of these consultancies will be used in support of evidence-based advocacy work);
- expert review of CCA activities to assess if they are expected to be climate proof in the medium to long term (beekeeping, marketing of wild fruits, planting of fruit trees etc.).

The above recommendations relate to the need for a more systematic approach to backstopping, in particular in support of IUCN's value proposition on delivering credible and trusted knowledge. Through its own in-house expertise and its global network such as the scientific expert commissions, IUCN is uniquely placed to provide technical and scientific support. The following is recommended to better deliver on this value proposition, for IUCN in general, and in support of the CCDP:

Recommendation 19:
Steps to increase IUCN's capacity to deliver on its value proposition on delivering credible knowledge:

- Mapping of information flows to and from projects will help project teams and project officers to decide with whom to share reports for review.
- Defining roles and responsibilities, in particular with regard to the role of ESARO vis-à-vis HQ in providing backstopping support. In the case of regional projects like the CCDP, it would make sense to make the regional office (ESARO in this case) be the first port of call. Where the regional office does not have the capacity to provide the necessary backstopping, it should engage HQ.[40]
- Ensure the backstopping is two-way: not only reacting to requests for support from the project, but also pro-actively sharing information with the project. For the CCDP for example, any information with regard to development of the Ecosystems Based Adaptation concept would be highly relevant.

5.2.2 CRiSTAL and other vulnerability assessment tools

CCDP is one of several projects with IUCN involvement that are testing tools for CCA vulnerability assessments. A coordinated approach to evaluating the lessons learnt from the application of the different tools will be important. The Pangani Water Basin Management project is currently analysing their experience with several tools, including the use of CRiSTAL in collaboration with CCDP. It would be useful to broaden the scope of the analysis to also include the experience in the other CCDP pilot sites.

Based on the findings of this MTR, the following recommendations with regard to the development and use of vulnerability assessment tools, CRiSTAL in particular, can be given:

[40] Because of the history of the CCDP (initiated and coordinated from HQ), this solution may not be as straightforward for the CCDP as proposed here. What ultimately is crucial however is to have clarity on the roles and responsibilities with regard to CCDP backstopping.

Recommendation 20:
Use and limitations of CRiSTAL tool:

1. Much like with PRAs, the various tools and their modules should be considered as a toolkit from which specific element can be selected depending on the circumstances. There is no special merit in attempting to develop one comprehensive tool that covers all aspects of CCA.
2. CRiSTAL should be more seen as one of the tools that can help in mainstreaming CCA during project *design* rather than a tool to adjust or redesign ongoing projects.
3. Tools like CRiSTAL cannot be expected to solve all CCA questions. As is evident from the findings, identification of relevant CCA activities will often require specific research to be able to assess in how far phenomena which are perceived as climate induced may be have other causes. Tools should encourage the users to identify such gaps in information.

Recommendation 21:
CRiSTAL and most other tools have no strong ecosystems focus. IUCN should use its expertise to improve existing tools or develop specific modules to better address ecosystems aspects in vulnerability assessments.

Recommendation 22:
The effectiveness of any tool is ultimately decided by the capacity of the people who use it. It is therefore important to map capacity building needs (including with regard to ecosystems aspects) and design appropriate training programmes.

5.2.3 IUCN's role in CCA

The CCDP was designed and implemented without a conceptual framework in place of the role that IUCN pretends to play in CCA. It can therefore not come as much of a surprise that the project is involved in a very broad range of activities, with a livelihoods focus prevailing over attention for mainstreaming the ecosystems approach.

In discussions with IUCN staff, the need to develop a conceptual framework to guide IUCN's involvement in CCA. has been acknowledged. Some work is already ongoing (e.g on the concept of Ecosystems Based Adaptation), but a coordinated effort to identify what exactly should be IUCN's added value in CCA seems to be lacking still.

Recommendation 23:
IUCN should develop a conceptual framework for CCA which highlights the role of ecosystems and defines IUCN's role in CCA at different levels: policy influencing, capacity building, and piloting CCA.

In the opinion of this consultant, there are no compelling reasons for IUCN to be directly involved in pilot projects on CCA. More and more, donors will demand CCA mainstreaming in livelihoods and conservation projects, and IUCN seems uniquely placed to ensure that development and conservation actors who work at the field level have the capacity to address the ecosystems related aspects of this mainstreaming. Hence, the following is recommended with regard to IUCN's role in CCA:

Recommendation 24:
With regard to its role in CCA, ICUN should focus its attention on building capacity and knowledge of a broad range of partners on ecosystems related aspects of CCA, including:

- how ecosystems are affected by CC;
- what the consequences are (positive and negative) of climate-induced changes on ecosystems and on people's livelihoods and what this means for the role that ecosystems services can play to support these livelihoods in the long term;
- how to manage the ecosystems to increase their resilience to CC and maintain their capacity to provide services in support of people's livelihoods.
- how to effectively mainstream the ecosystems approach in all CCA activities.

Recommendation 25:
In "return" for building their capacity, partner organisations should be encouraged to provide IUCN with lessons on successes and failures of CCA activities and in particular the related ecosystems aspects. Building evidence for advocacy work on the basis of a broad range of projects implemented by a variety of partners will be more convincing than building it on the basis of a few pilot sites managed by IUCN.

5.2.4 Scaling up

The findings and the above interpretation of IUCN's role in CCA lead to the following recommendation with regard to possible scaling up of the CCDP project. The points mentioned are also of relevance for any other future IUCN project on climate change.

Recommendation 26:
Building blocks for a scaling-up project on CCA:

1. Base the proposal on a partnership with a strong development partner, with IUCN's role focusing on ecosystems and the partner's role on livelihoods, drivers of poverty etc.
2. Focus on:
   a) Development of new or adaptation of existing tools (like CRiSTAL / CVCA) to strengthen the ecosystems aspects of CCA;
   b) Capacity development of a wide range of partners on CCA mainstreaming;
   c) Policy influencing. This should be based on a good understanding of the type of information that key decision makers on CCA policy are looking i.e. this should be investigated as part of project *design* and not only during project implementation.
3. Support CCA field projects with scientific knowledge / applied research on CCA – ecosystems issues.
4. Include a good Knowledge Management strategy, based on drawing lessons from a broad range of projects / partners.

Term of Reference
Mid-term Review of the Climate Change and Development Project
Funded by Ministry of Foreign Affairs, Finland

Final 31 August 2009

Background

The Climate Change and Development (CCD) Project of IUCN/ Ministry of Foreign Affairs of Finland (MoFA) is a three year project administered by the IUCN Eastern and Southern Africa Regional Office (ESARO) by internal agreement with the IUCN Forest Conservation Programme. The Regional Project Coordinator is based in Zambia, with field and policy activities in Zambia, Mozambique and Tanzania (the 'target countries'). It began implementation in January of 2008, following a pilot phase in Zambia during 2007, and will conclude in December 2010.

The Climate Change and Development Project

Rural communities that depend on natural resources, such as forests and water resources, for their day-to-day living are highly vulnerable to climate change and its effects. This project aims to ensure that Climate Change related policies and strategies lead to adaptation activities that emphasize the role of forests and water resources in supporting people's livelihoods and associated farming systems. Influence on policy and strategy is built on adaptation work with communities in the three target countries.

The overall objective of the CCD Project is: Reduced vulnerability and enhanced adaptive capacity to climate variability and change at local and national levels

The Project purpose is: Climate Change related policies and strategies lead to adaptation activities that emphasize the role of forests and water resources in supporting people's livelihoods and associated farming systems

Result 1: CC related legal regulatory framework identified, supported with reliable data and tools and influenced in order to provide enabling governance environment for adaptation

Result 2: Key stakeholders' capacity for undertaking vulnerability assessments and implementing adaptation activities improved

Result 3: Technical support provided for implementing adaptation activities following the ecosystem approach at selected local communities

Result 4: Awareness of CC and efficient adaptation measures raised for enforcement of policy-practice linkages

Result 5: Experiences, lessons, and new skills and knowledge acquired at the local and national levels are shared and used to enhance CC adaptation policies and strategies at the regional level

Justification for the Review

As part of the Agreement between IUCN and MoFA funds have been allocated for External Monitoring and Review during 2009. IUCN' Forest Conservation Programme is therefore commissioning a Mid-Term Review (MTR) of progress in order to assist the project in:

- revising (if necessary) and achieving its stated objectives by end of 2010, and
- preparing an exit strategy to ensure sustainability of project results beyond 2010.

The CCD Project is amongst the first IUCN projects to address climate change adaptation, and it does so by developing a range of interventions with rural communities who count amongst some of the poorest and most vulnerable. Through strong practice-to-policy linkage, it is attempting to realign the political and institutional framework in which climate change adaptation is working at a time when IUCN is seeking to more clearly demonstrate its ability to influence policy and institutional change with 'nature based solutions'. The CCD Project is therefore in a position not only to transform behavior in three SE African countries but influence the broader IUCN through lessons learnt. This MTR will be crucial in ensuring that the Project is well positioned to meet these challenges during the final implementation phase of the project, and that successful intervention is sustained beyond 2010. A strong emphasis will therefore be given in this MTR is to consideration of how project outputs (results) can lead to sustained outcomes.

Uses and Intended Users

The primary user of this review is the CCD Project implementation team (IUCN and partners) and the Forest Conservation Programme of IUCN to ensure an effective final phase of the Project and to learn lessons for policy application and design of future projects in this area.

Other users of this review include:

- Ministry of Foreign Affairs of Finland, to ensure lessons relevant to donor are captured for use in orientating possible future support to climate change adaptation;
- Project beneficiaries (i.e. communities and relevant institutions), who will gain from improved implementation of the project.
- Stakeholders within the governments of Mozambique, Zambia and Tanzania
- IUCN's Global Policy Unit, to benefit from lessons relating to implementation of climate change adaptation projects.
- IUCN's Environment and Development Group and the Ecosystem Management Programme, which oversees IUCN's climate change work, for the purpose of learning lessons for policy application and the design of future projects in this area.

Purpose and Objectives of the Review (Evaluation Issues)

The overall purpose of the mid-term review is to provide a basis for the sound implementation of the second half of the project and for an exit strategy to ensure sustainability of project results beyond 2010.

The specific objectives of the review are:

- To assess the continued relevance of the project in the context of its situation in the countries in which it is active (including the continued viability of the planned intervention logic);
- To determine the impact to date and what is likely to happen as a consequence of the project
- To assess the extent to which the project has delivered on its planned purpose, objectives and results;
- To assess the efficiency of the project intervention by comparing the results delivered to the means and time used to achieve the results;
- To assess the sustainability of the results after 2010 (see also, next section)
- To assess the degree to which the project is helping delivery IUCN's value proposition'
- To synthesize the above into recommendation for adjusting the implementation of the second half of the project and lessons applicable to IUCN's policy work and future project design in this area of work.

Compatibility and Sustainability

The Ministry of Foreign Affairs, Finland places special emphasis on the compatibility and sustainability of project results. This review will examine the question of sustainability in

terms of criteria proposed by Finland, where appropriate, using their Guidelines as a model for the review.

Compatibility covers the extent to which the project is well-aligned with Finland's development cooperation policy in terms of poverty reduction, protection of the environment, human rights, equality and democracy.

Sustainability covers the topics of alignment with the policy environment, economic and financial feasibility once resources are withdrawn, institutional capacity (and the positive and negative forces that capacity creates), socio-cultural factors affecting sustainability, participation and ownership, gender, environment and appropriate technology.

As part of the process of refining the methodology for this review, the review team will examine and operationalize these concepts (where appropriate in the review matrix and data collection instruments).

Methodology

The review will use a mix of quantitative and qualitative data collection methods to meet the objectives of the review and review questions.

While the scope of the intervention and resources allocated to the review do not permit the use of quasi-experimental design, the review will, using the project design document and any collected baseline data, attempt to build a meaningful picture of the results of the project intervention, relative to the situation at the start of the project (as a proxy for a counter-factual).

The review team will be expected to operationalize clearly the review objectives (issues), particularly the compatibility and sustainability criteria. The project design document, baseline data and results of the Participatory Monitoring and Evaluation Planning Workshop will be used in this regard.

Qualifications of the Review Team

The Review Team will be comprised of one or more local (local to one of the three countries covered by the project) reviewers with the following qualifications:

- 10 years of evaluation experience;
- Proven experience in evaluating climate change and development interventions;
- Familiarity with the application of quantitative and qualitative evaluation methods;
- Holder of a certificate from the International Programme for Development Evaluation Training or a similar international evaluation body or training course;
- Language skills on the team covering Kiswahili and Portuguese.

Qualified candidates will be expected to submit a CV and writing sample (preferably an evaluation report) as part of the Request for Proposals. Candidates will further demonstrate their suitability by achieving item 3 under the Schedule and Deliverables as part of their proposal.

Schedule and Deliverables

1. Request for Proposals – 21 September 2009
2. Engagement of the reviewer or review team – 1 October, 2009
3. Preparation of an inception note ((including reconciliation of review objectives/ draft review matrix with the project design document, M&E workshop report, Finland's guidelines and criteria) – 8 October 2009
4. Data collection and analysis – ends 21 November
5. Draft report – 30 November
6. Final report – 15 December

Budget

A total budget of 35,000 Euros is available for this review. The review team will be expected to submit a provisional budget as part of their proposal.

The budget must cover consultancy fees, communication costs, and travel costs covering visits to Zambia, Mozambique, Tanzania and IUCN-HQ in Switzerland.

Draft Review Matrix

Performance Area	Key Questions	Sub-questions	Indicators	Data Sources and Methods
Relevance and rational	Do the intended results and outcomes of the project remain relevant?	Has an adequate understanding of the current policy and institutional environment for climate change adaptation in the three target countries been obtained? Have new trends emerged in the host countries that need to be reflected in Project? Does the Project remain in alignment with donor objectives? Does the Project remain in alignment with IUCN TPAs and could greater impact be delivered on TPAs? Is the Project adapting adequately to new knowledge generated during project implementation? Are participatory processes with the communities at the various project sites effective in channelling messages to project staff? Is the composition of the National Supervisory Boards appropriate, and are they functioning adequately?	Convergence of Project with national policies in three target countries. M&E system functioning adequately or not. Degree of satisfaction of government stakeholders Functioning of communications channels with stakeholders. Degree of responsiveness of project to community perspectives.	Policy review and interview with policy-relevant stakeholders. IUCN Intersessional programme. FCP Intersessional Programme Interviews with IUCN TPA 2 & 4[1] coordinators Project M&E system/situation analysis. Project inception report. Interviews with Africa-based MoFA staff Interviews with key stakeholders in government, NGO and community partners

[1] TPA 2 = IUCN's Thematic Priority Area 2: Changing the climate forecast, TPA 4 = IUCN's Thematic Priority Area 4: Improving life in healthy ecosystems

Performance Area	Key Questions	Sub-questions	Indicators	Data Sources and Methods
Effectiveness	To what extent is intervention on course to achieving its planned results with the time and resources available?	Is the project on course to deliver results by project end? Are key stakeholders' capacities for undertaking vulnerability and risk assessments of various natural resources and community livelihoods to climate change being improved? Has appropriate technical support for identification and implementation of adaptation activities at local community level (using the ecosystem approach and other integrated management approaches) been delivered? Has awareness and understanding among policy makers and local communities on the role of the forests, water and agriculture linkages for supporting sustainable livelihoods and climate change adaptation increased? Is there evidence of change in the policy/institutional framework in the host countries? How could delivery be improved?	Percentage of results achieved on time. Physical changes in the landscapes of the target communities. Number of community members trained in adaptation tools and techniques. Degree of co-ordination with TPA coordinators. Awareness of National Supervisory Board members of project advances and lessons Change in policy and institutional practice.	Workplans, M&E system. Project reports. Visits to target communities Interviews with project staff. Interviews with IUCN TPA 2 & 4 coordinators Interviews with community members.

Performance Area	Key Questions	Sub-questions	Indicators	Data Sources and Methods
Efficiency	To what extent is the relationship between costs and results reasonable?	Do actual expenditures correspond to planned expenditures? Is the ratio of administrative costs to output costs reasonable? Are there more cost effective ways to achieve the objectives	Ratio of planned to actual expenditure Ratio of administrative costs to output costs. Comparison with other financial data.	Review of financial documentation. Interviews with donor representatives.
Sustainability	Is the Project putting in place a strategy or mechanism(s) to maintain and enhance impact beyond the life of the project?	Is an adequate *practice-to-policy* (advocacy) strategy in place or being formulated? Do key project partners have capacity and interest in further developing activities beyond the life of the project, and is this capacity being nurtured? Have further sources of funding been sought (either by project or by key partners) to sustain activities? What other elements of an over-all exit strategy are needed? Is there adequate incorporation of IUCN members as recipients of project lessons and could it be improved? Does the project have/need a strategy to capture and disseminate lessons learned? What should the elements of that strategy be? In what ways could the Project be contributing to the development and implementation of IUCN's Climate Change strategy?	Details of exit and/or advocacy strategies. Number of project partners committed beyond life of project. Numbers of sources identified and/or approached. Number and type of engagement with IUCN members.	Current workplans Interviews with National Supervisory Board members Interviews with project staff Interviews with key partners and IUCN members Interviews with IUCN's Ecosystem Management Programme.

Performance Area	Key Questions	Sub-questions	Indicators	Data Sources and Methods
Fit to IUCN Value Proposition	To what degree is this project helping IUCN delivery on its Value Proposition[2]	To what extent has the knowledge and CRiSTAL tool been used?	Extent of use	Interviews with government, NGO and community stakeholders
		How useful has the knowledge and CRiSTAL too been for decision-makers	Perception of usefulness	Interviews with government and community decision-makers
		How effective has capacity building been?	Extent of correct application of CRiSTAL by stakeholders undergoing capacity building	Evidence from application of CRiSTAL tool
		How effectively has the project influenced national policy and national level decision makers?	Evidence of policy influence, perception of usefulness of national decision makers	Analysis of policy, interviews with government decision makers
		To what extent is the CRiSTAL tool sufficiently pro-poor to be effectively used as a standard?	Expert assessment of the CRiSTAL Tool	Interviews with selected experts familiar with pro-poor concepts and CRiSTAL (to be provided)

[2] IUCN Value Proposition: providing credible, trusted knowledge, convening and building partnerships for action, linking local to national to global, influencing standards and practices. See also the IUCN Programme, Vision 2020: IUCN Strategy

Annex II

Assessment of progress on activities and results and status of assumptions

		Assessment of progress per country and at regional level				
Intervention logic	**Objectively verifiable indicators**	**Zambia**	**Mozambique**	**Tanzania**	**Assumptions**	**Assessment of assumptions**
Overall objective Reduced vulnerability and enhanced adaptive capacity to climate variability and change at local and national levels	More CC resilient communities through improved livelihoods and better management of forest and water resources National and regional policies and strategies are supportive to CC adaptation	Activities started in several communities with good focus on forest & water. Policies are under development. Input provided for several policies, including Forestry and National Dev. Plan, but not yet based on field lessons.	Activities started in several communities with good focus on forest & water. Policies are under development. Input provided for gender mainstreaming in CC.	Activities started in several communities with good focus on forest & water. Policies are under revision, but no specific input provided yet.	That the adverse impacts of CC are not so severe as to wipe out the gains made in reducing vulnerability That regional and national policies and strategies on CC are implemented and supported with adequate resources	Holds Countries disappointed in financial support provided through e.g. LDCF. Will hamper effective implementation
		No significant progress yet at regional level.				
Project purpose Climate Change (CC) related policies and strategies lead to adaptation activities that emphasize the role of forests and water resources in supporting people's livelihoods and associated farming systems	At least three policies/strategies at national and regional highlight the role of forest and water resources in supporting people's CC adaptation livelihoods. CC adaptation activities that emphasize the role of forest and water resources in place at least in two Project	See above. Activities underway in at least 4 sites and more planned.	See above. Activities underway in at least 2 sites and more planned.	See above. Activities underway in at least 2 sites, and more planned.	Sustained support to local communities by the Governments after the Project completion. Continued implementation of community-friendly national-level policies on CC adaptation after the Project completion.	Unrealistic assumption and unlikely to hold. Will need more time. As above.

Intervention logic	Objectively verifiable indicators	Assessment of progress per country and at regional level			Assumptions	Assessment of assumptions
		Zambia	Mozambique	Tanzania		
	communities/sites in each country.					
Result 1: CC related policy and legal framework identified, influenced, and supported with reliable data and tools in order to provide enabling governance environment for adaptation	Governance environment that supports CC related adaptation activities. Appropriate data and tools provided to policy makers to support the creation of enabling governance environment for CC adaptation.	Partly done through e.g. involvement of district government. And project has positioned itself well to further influence the governance environment once lessons learnt become available. Tools (CRiSTAL) have not been shared widely with policy makers, but this should anyhow only be done after strategic analysis of pros and cons of the CRiSTAL and other tools. Appropriate data will have to come from the field activities, hence not yet done.			CC keeps playing major role in national agendas.	Holds.
Activity 1.1 Commission expert consultants and facilitate stakeholder workshops to identify the CC policy and legal framework in the 3 countries, including gaps and opportunities	CC related governance/decision making system identified in Zambia, Mozambique and Tanzania.	Done in all countries.			Governmental organizations and other bodies responsible for legal frameworks remain cooperative. Attendance to training events and other awareness raising activities is high.	Holds. Partly holds. Sometimes participation is good, sometimes it is not.
Activity 1.2 Develop and implement a strategy for influencing the CC policy and legal framework to become more supportive of CC adaptation activities	At least three regional, national and local by-laws reflect support for CC adaptation.	Good prospects this will be achieved for policies at national levels, more difficult for legislative processes. On local by-laws (e.g. local forest and water management regulations) no progress yet, and will be difficult to achieve since project is not involved in any local by-law development process. At regional level, no progress yet, and limited by lack of regional policy development on CC.			Legislative changes will be done quickly enough to prove evidence of that within the project duration.	Likely that no legislative changes will be implemented during the project. Hence focus should be on policy work.

		Assessment of progress per country and at regional level				
Intervention logic	**Objectively verifiable indicators**	**Zambia**	**Mozambique**	**Tanzania**	**Assumptions**	**Assessment of assumptions**
Activity 1.3 Identify and refine tools to assess vulnerability and undertake adaptation at different levels (site, landscape, national)	At least one tool useful for CC adaptation tailored for at least three specific national/local needs.	Issues for CRiSTAL improvement identified, including making its application more gender sensitive. Proposed improvements still be incorporated in the tool.			Stakeholder remain willing to contribute to the development of tools	Holds.
		CRiSTAL will be used in a large agricultural project as part of NAPA implementation.	CRiSTAL translation into Portuguese underway.	Plans to translate CRiSTAL into Swahili but not yet done.		
Activity 1.4 Compile data/evidence of CC, including risks at selected sites	Data/evidence from at least two sites per country widely disseminated among relevant stakeholders at the national and regional levels	Done in all three countries, but dissemination at national level could have been wider, and not disseminated at regional level. Distribution list of *relevant* stakeholders for all three countries and the (SADC) region would be useful.			Stakeholders will remain interested in receiving data/evidence of CC at the local, national and regional levels	Holds. Stakeholders interviewed expressed strong interest.
Result 2: Key stakeholders' capacity for undertaking vulnerability assessments and implementing adaptation improved.	Enhanced capacity of key stakeholders in undertaking vulnerability assessment and implementing cc adaptation activities Demonstrated use of new skills and knowledge by stakeholders at different levels. Increased and/or improved skills to meet the challenges of CC in comparison to the baseline situation.	Stakeholders trained in assessments and implementing partners strongly involved in implementation of CCA activities. Partners expressed interest in using CRiSTAL, but not clear to what extent this has actually happened, since there is no clear strategy for further support to partners in this respect. Stakeholders have increased awareness on CC, but skills still limited.			Stakeholders remain committed to the project throughout its duration.	
Activity 2.1: Identify relevant stakeholders at the local, national and regional levels	Stakeholders and their needs identified for the diverse sectors relevant to CC adaptation at the	Done through consultancy.	Done through consultancy	Done through consultancy	Stakeholders remain committed to the project throughout its duration.	Holds.

		Assessment of progress per country and at regional level				
Intervention logic	**Objectively verifiable indicators**	**Zambia**	**Mozambique**	**Tanzania**	**Assumptions**	**Assessment of assumptions**
and conduct capacity building needs assessments	different levels.					
Activity 2.2: Develop a capacity building strategy and training modules for identified stakeholders		Done through same consultancy.	Done through same consultancy.	Done through same consultancy.		Strategy and materials ready by end of November 2008
Activity 2.3: Conduct capacity building workshops at the national level	At least 30 stakeholders in each country trained in undertaking vulnerability assessment and in implementing cc adaptation activities	40 to 50 people trained in CRiSTAL	Around 30 people trained in CRiSTAL. Extra course organized on request from UNDP.	Around 35 people trained in CRiSTAL	Stakeholders remain committed to the project throughout its duration. Attendance to training sessions will be high.	Early February 2009
Result 3: Selected communities implement CC adaptation activities following the ecosystem approach with technical support from IUCN and its partners	Communities in at least 3 project sites implement cc adaptation activities that incorporate at least 5 of the 12 key principles of the Ecosystem Approach. Technical support provided in sustainable forest and water management to enhance CC adaptation and reduce vulnerability at least	Activities underway in at least 4 sites. No documented evidence of which ecosystem principles have been incorporated and no strong emphasis on ecosystems based CCA.[1] Support provided through joint implementation with partners.	Activities underway in at least 2 sites, and more planned. No documented evidence of which ecosystem principles have been incorporated, but project is looking to focus now on CCA activities with strong ecosystems component. Support provided through joint implementation with partners.	Activities underway in at least 2 sites. No documented evidence of which ecosystem principles have been incorporated. Support provided through joint implementation with partners.	Stakeholders remain committed to the project throughout its duration. The principles of the Ecosystem Approach have been communicated to the project implementers'.	Holds. This is not an assumption[2] but should be a project activity. Partners' understanding of ecosystems approach and 12 principles limited.

[1] The project recognized this and Mozambique and Tanzania (who are yet to start most activities) should benefit from this lesson learnt through improved focus on ecosystems approach.

[2] Assumptions should related to factors that are outside the control and scope of the project.

Intervention logic	Objectively verifiable indicators	Assessment of progress per country and at regional level			Assumptions	Assessment of assumptions
		Zambia	Mozambique	Tanzania		
	on a half-yearly basis.	No technical support from ESARO/HQ	No technical support from ESARO/HQ.	Technical support from ESARO through collaboration with Pangani project.		
Activity 3.1: Select sites/communities to implement adaptation activities according to defined criteria	Selected communities are assessed as being especially vulnerable to CC or likely to become vulnerable	Good mix of vulnerabilities in the pilot sites thanks to focus on choosing sites being in different agro-ecological zones.			Stakeholders remain committed to the project throughout its duration.	
Activity 3.2: Conduct vulnerability assessments at the selected sites and identify adaptation activities and negotiate desired outcomes		No indicators for this activity, but the project has conducted assessments in all selected sites and for different livelihoods per site. Results have been presented to communities for validation and approval of selected CCA activities.				
Activity 3.3 Identify site-specific needs for technical support from IUCN and its partners and facilitate the communities to access this support	A minimum of 2 site per country is facilitated to receive technical support from IUCN and/or its partners	Ongoing in all three countries. Technical support is complemented with provision of (free) inputs e.g. seeds, material for beehives, carpentry kits. Where needed, training of partners (e.g. on conservation farming) was facilitated by the project.			That the technical experts will be available to provide support to the local communities.	Holds for direct technical support. Expertise to assess for example if beekeeping is climate proof not directly available, and no support from IUCN network yet.
Activity 3.4: Support the communities at selected sites to implement CC adaptation activities in collaboration with IUCN partners	At least 2 sites per country implementing CC adaptation activities that demonstrate the role of forests and water resources in supporting livelihoods	Yes. See annex III (list of CCA activities)			Stakeholders remain committed to the project throughout its duration. Landscape/watershed approach understood by the stakeholders.	Holds. Not an assumption. Project should where needed build this capacity but not yet done.
Activity 3.5 Monitor, evaluate and document the processes	Site staff produce a minimum of two reports per year detailing the activities,	Reports produced based on standard format and includes	Project produces monthly reports, with input from partners.	Reporting not yet standardised but will be done based on the		

Intervention logic	Objectively verifiable indicators	Assessment of progress per country and at regional level			Assumptions	Assessment of assumptions
		Zambia	Mozambique	Tanzania		
and lessons learned from the site-specific activities.	process and lessons being learnt by communities, IUCN and its partners	section on lessons learnt. However, clear framework for learning lessons missing.		template developed by Zambia.		
Activity 3.6 Conduct a gender analysis of CC vulnerability and adaptation and develop a gender mainstreaming strategy at the project sites	Demonstrated evidence of gender dimensions of CC vulnerability and adaptation mechanisms being used to influence the policy and legal framework and activities at the local levels.	All countries have collected some evidence of gender dimensions of vulnerability through separate sessions with men / women. However this information was large lost during data consolidation and analyis in CRiSTAL.			That gender issues will be accorded importance, time and resources by the stakeholders and not just treated as an afterthought	?
Result 4: Awareness raised of CC and effective adaptation measures for strengthening policy-practice linkages	Experience from the field is reflected at least in three national and/or regional level policy decisions. National and/or regional policies and processes influence action on the ground at least in three of the project sites. Lessons learned from the awareness raising processes, activities and materials Documented responses by the communities, IUCN staff and partners as a result of enhanced awareness	Too early, and will only be possible if project develops a good KM framework. Activities in all three countries are in line with the respective NAPAs. Some lesson learnt included in vulnerability assessments and in monthly reports, but need to be part of a more holistic KM strategy. Increased awareness evident in some of the communication material, e.g. videos broadcast on Zambian TV in which communities explain they now have a better understanding of climate change.	Awareness evident in request from UNDP for training on CRiSTAL.	Awareness evident in Pangani project, with plans to use CCDP experience for more vulnerability assessments in other sites.	Changes into national or sub-national documents will be made and accepted quickly enough to prove evidence of that within the project duration.	
Activity 4.1:	Effectiveness of the					

		Assessment of progress per country and at regional level				
Intervention logic	**Objectively verifiable indicators**	**Zambia**	**Mozambique**	**Tanzania**	**Assumptions**	**Assessment of assumptions**
Develop and implement a documentation and awareness raising strategy that includes the different information needs at the local, national and regional levels	awareness raising processes used, activities implemented and materials produced.	Communication strategy developed in all 3 countries. Various communication activities undertaken, including TV broadcasts, radio programmes and development of posters. Their *effectiveness* unclear and in fact effectiveness has not been defined so cannot be measured. Information *needs* not yet assessed and to be included as first step in development of KM strategy.			Stakeholders remain committed to the project throughout its duration.	Holds.
Activity 4.2: Facilitate the exchange of information and lessons among communities and between them and policy makers, including exchange visits	At least two community-to-community exchange visits per country and two visits by policy-makers to community sites	Not yet done.	Not yet done.	Not yet done.	Logistical issues, including poor infrastructure, do not hinder the success of exchange visits	Cannot yet be assessed.
Activity 4.3: Conduct activities/workshops for policy makers to enhance the role of site-specific experiences and lessons in influencing the policies	Conduct at least one activity/workshop per year at the regional level and one in each of the countries with policy makers aimed at influencing the CC policy and legal framework	Workshops held in all countries in 2008/2009 to present and discuss results of consultancies			Policy makers are ready to devote the time required to participate in project activities.	Always special efforts needed to make policy makers participate.
RESULT 5 Experiences, lessons and new skills and knowledge acquired at the local and national levels are shared and used to enhance CC adaptation policies and strategies and vice versa	National and regional priorities, policies and strategies that are informed by reliable data and evidence of realities on the ground.	Cross-learning between the three countries done through annual meetings, but could be intensified through more strategic analysis of consolidated experiences. No regional sharing as yet, neither at SADC level nor at IUCN ESARO level.			That regional institutions continue to be perceived as effective among their member countries	National level always considered more important and should remain main project focus.
Activity 5.1 Identify entry points and opportunities to use project results to influence regional CC adaptation policies and strategies, while using them to also inform local level	Key regional institutions identified and engaged with by IUCN and its partners	SADC and COMESA identified but not yet engaged.			That regional institutions continue to be perceived as effective among their member countries	

		Assessment of progress per country and at regional level				
Intervention logic	**Objectively verifiable indicators**	**Zambia**	**Mozambique**	**Tanzania**	**Assumptions**	**Assessment of assumptions**
activities						
Activity 5.2 Promote replication, up-scaling and mainstreaming of the project processes and results at the regional level.	Identification of stakeholders with the requisite interest and potential to support the replication, up-scaling and mainstreaming of the project	Not yet done. Should include development partners.			That the project can demonstrate results at the local, national and regional levels that are capable of interesting potential supporters	Not an assumption, but a result of the project.

Annex III

Assessment of different aspects of CCA activities currently being implemented and in the pipeline

Note: this is not an exhaustive evaluation, and only based on the consultant's (limited) understanding of the activities. It serves primarily as a first stepping stone towards a much needed reflection process on the type of activities and aspects the project should focus on.

	Where (to be) undertaken	Estimated of number of direct beneficiaries	Impact on vulnerable groups	Focus on forest or water	CCA relevance	Focus on ecosystems	Potential for sustainable impact on resilience of livelihoods	Potential for direct[1] and sustainable impact on resilience of ecosystems
Ongoing activities								
Conservation farming	All countries	Up to 20 HHs per community	Good, if FFS promoted	Yes, water conservation	CCA is add-on	Limited	Good	Limited
Beekeeping	Zambia + ?	Id.	Good, if FFS type of training promoted	Possibly, if linked to forest management	CCA is add-on; and doubts about whether activity is climate proof	Theoretically yes, but not specifically addressed.	Doubtful	Could be positive and negative[2]
Agro-forestry	All countries	Whole community	Danger that vulnerable groups will be left out	Yes	CCA is add-on	Good if correct species chosen	Limited potential	Positive
Sea flood protection irrigation scheme	Mozambique	Up to 250 HHs	Danger that vulnerable groups will be left out, or even lose their fields[3]	Yes	Pure CCA	Limited	Good	Limited

[1] The focus here is on direct impact and not on indirect impact (such as possible reduction in illegal charcoal production if people are provide with alternative income generating activities; note however that such spin offs often don't materialise because communities are likely to adopt the new activities whilst still continuing with the unsustainable activity it is supposed to replace).

[2] Positive since the mud hives that are promoted do no require cutting large trees as is necessary for traditional bark hives. Negative because mud hives are located around the house and not, as bark hives in the forest, hence possibly less impetus to prevent forest fires.

[3] Currently, the irrigation scheme is not managed in structural way; hence opportunities for every one to clear a field and grow rice. Once the system is upgraded, more people might become interested and the less influential people could be at risk of losing their fields.

	Where (to be) undertaken	Estimated of number of direct beneficiaries	Impact on vulnerable groups	Focus on forest or water	CCA relevance	Focus on ecosystems	Potential for sustainable impact on resilience of livelihoods	Potential for direct[1] and sustainable impact on resilience of ecosystems
Drought tolerant seeds	Mozambique, Tanzania	Whole community	Depends on the recurrent costs of such seeds	Limited	Pure CCA	Limited	Good	Limited
Borehole to replace wells	Tanzania	Whole community	Good, if democratically managed	Yes	Pure CCA	Very limited	Good (if borehole deep enough!)	None
Activities in the pipeline								
Poultry production	All countries		Unclear	No	CCA is add-on	Very limited	Depends on markets	None
Gardening (with treadle pumps for irrigation)	Zambia		Can benefit women in particular	Yes	CCA is add-on	Limited	Good (health and income)	None
Providing weather forecast information	All countries		None	?	Pure CCA	None	Unlikely to have any impact, since long term forecasting not reliable[4]	None
Health related interventions	All countries		Good	No	CCA is add-on	None	Unclear	None
Wild fruit processing	Mozambique, Zambia		Danger of reduced access to wild fruits	Yes	CCA is add-on	High	Good, if sustainably managed	Could be positive and negative[5]
Improved marketing of agricultural produce	Zambia		Limited, since vulnerable groups not much involved in selling	No	Very indirect	None	Good	None
Water harvesting	All countries		Potentially good, but may be left out	Yes	Unclear (depends on type and objective)	Average	Good if used for agriculture	Could be positive and negative[6]

[4] An example was given by the PSC in Zambia. Apparently, farmers were informed by the meteorological service that December would be a very wet month. This led some farmers to sow early and to refrain from using drought tolerant (usually less yielding) seeds. In reality, December turned out to be a very dry month.

[5] Positive if the communities recognise the need to protect the forest to be able to continue to harvest wild fruits; negative if the harvesting of wild fruits is increasing beyond sustainable levels

[6] Positive if for example done in areas with land degradation with dams helping to reduce run-off. Negative if for example a dam is used for livestock and the surrounding area is degraded because of increase in livestock numbers. This situation was observed in Tanzania.

	Where (to be) undertaken	Estimated of number of direct beneficiaries	Impact on vulnerable groups	Focus on forest or water	CCA relevance	Focus on ecosystems	Potential for sustainable impact on resilience of livelihoods	Potential for direct[1] and sustainable impact on resilience of ecosystems
Use of dambos for agriculture	Zambia		Potentially good, but may be left out	Yes	CCA as important add-on	Average	Good, if allowing two agric. seasons	Limited
Fish farming	Zambia, Tanzania		Potentially good, but may be left out	Yes	CCA as important add-on	High, if combined with below	Good if markets available	Positive if combined with below
River fish management plans	Tanzania, Zambia		Potentially negative if it reduces their options for fishing	Limited	Only very indirect	Very high	Good in the long term	Highly positive
River flood management	Tanzania		?	Yes	Doubtful since causes of changes in river flows are likely caused by upstream diversion of water	High	Good	Unclear
Tree planting around water bodies and along rivers	Tanzania + ?		?	Yes	Very limited, unless to reduce reported "strong winds"	High	Limited	Positive if right species used
Participatory land use planning	Tanzania		?	Yes	CCA is add-on	High	Good in the long term	Positive
Boats to cross river to agricultural fields	Tanzania		Might be left out	No	Very indirect	None	Good	None
Tourism development	Tanzania		Id.	Depends on type of tourism	Very indirect	Limited	Probably low potential	Positive if tourism based on the ecosystem values
Sustainable charcoal production	Tanzania		Potentially good, but may be left out	Yes	CCA as add-on	Very high	Good in the long term	Positive, but very difficult to achieve
Protection / restoration of mangrove	Mozambique		?	Yes	CCA as important add-on	Very high	Good (protects fish breeding grounds)	Very positive
Protection / restoration of dune vegetation	Mozambique		?	Limited	CCA as important add-on	Very high	Good (stops soil erosion)	Very positive
Cattle troughs	Tanzania, Mozambique		Limited since most won't have cattle	Limited	None	High	Potentially negative if it attracts livestock from other areas	Possibly negative if leading to increased livestock concentrations

Annex IV

List of persons met

Country	Name	Organisation
Tanzania	Abdallah Said Shah	IUCN
Tanzania	Aggrey Nmakakalinga	Rufiji District
Tanzania	Albert Dede	Rufiji District
Mozambique	Alberto Júnior Matavel	MICOA – Sustainable Dev. Centre Coastal
Switzerland	Alex Moiseev	IUCN
Tanzania	Alfei Daniel	IUCN
Mozambique	Alvez Jordão Loita	Chigubo district
Zambia	Andrew Nkunika	MOJ
Switzerland	Annita	IUCN
Switzerland	Annita Annies	IUCN
Mozambique	Armindo Anastásio	Xai Xai district
Mozambique	Becky Mython	CARE
Mozambique	Bele Cristina Bambo	Vice president
Tanzania	Benedict Komba	Tanzania Broadcasting Corporation
Tanzania	Bernard W. Sarun	Meru District
Tanzania	Cassian Sianga	Tanzania Natural Resources Forum
Switzerland	Chriss Buss	IUCN
Mozambique	Community members	2 pilot sites
Tanzania	Community members	3 pilot sites
Zambia	Community members	3 pilot sites
Zambia	Derrick M. Siazeele	MTENR
Tanzania	Doyi Mazenzele	IUCN
Zambia	Edgar Bowa	Sesheke District
Nairobi	Edmund Barrow	IUCN ESARO
Nairobi	Edward Mudida	IUCN ESARO
Zambia	Elisabeth Ndhlovuu	Embassy of Finland
Tanzania	Elizabeth Nkini	Min. of Water & Irrigation
Nairobi	Emmanuel Mwendera	IUCN ESARO
Tanzania	Erick Mugurusi	Office of Vice-President
Zambia	Erick Mukwama	MTENR
Zambia	Excellent Hachileka	IUCN
Tanzania	Faraja Nyamuombo	Rufiji District
Mozambique	Filipe Gilberto Maziuila	Chigubo district
Zambia	Fiona Paumgarten	CIFOR
Mozambique	Geert Rhebergen	Consultant UNDP
(by phone)	Gonzalo Oviedo	IUCN
Tanzania	Grace Tete	Rufiji District
Zambia	Hakooma Chilalaroyen	SAFIRE
Tanzania	Hamza Sadiki	Pangani Basin Water Office
Mozambique	Henriques J. Balidy	MICOA – Sustainable Dev. Centre Coastal
Mozambique	Iracema Maiópué	MICOA / UNDP

Country	Name	Organisation
Tanzania	Irene Chikira	Pangani Basin Water Office
Switzerland	James Gordon	IUCN
Tanzania	Jeroboam Riwa	Pangani Basin Water Office
Tanzania	Joel Kalagho	SNV
Tanzania	Julius K. Rubagumisa	IUCN
Tanzania	Juvenal Pantaleo	WWF
Tanzania	K.S. Mihambo	Meru District
Zambia	Kankombo Velemu Webby	MTENR
Zambia	Kanyata Muchula	MACO
Nairobi	Katharine Cross	IUCN ESARO
Zambia	Kenneth Mbala	MACO
Tanzania	Leo Rwegasira	Rufiji District
Tanzania	Leonard P. Mayeta	Min. of NR and Tourism / BTC
Mozambique	Lorena Aguilar Revelo	IUCN
Zambia	Lovemore Simwana	ECAZ
Tanzania	Marcel Mutunda	IUCN – LLS project
Mozambique	Marilia Telma Manjate	MICOA
Mozambique	Marjaana Pekkola	Embassy of Finland
Switzerland	Mark Smith	IUCN
Zambia	Martin Sishekanu	MACO
Zambia	Matildah Kaliba	PELUM
Tanzania	Merja Makela	Embassy of Finland
Nairobi	Mine Pabari	IUCN ESARO
Zambia	Mr. Aongola	MTENR
Zambia	Mr. Muleya	Sesheke District
Tanzania	Mwajabu Abdallah	Meru District
Switzerland	Neville Ash	IUCN
Switzerland	Ninni Ikkala	IUCN
Tanzania	Onesmo Zakaria	Pangani Basin Water Office / IUCN
Zambia	Parkie Mbozi	PANOS
Tanzania	Pius Affa	Meru District
Zambia	Prof. Jain	MTENR - UNDP
Mozambique	Roberto Zolho	IUCN
Tanzania	Sebastian Luciano Gaganja	Rufiji District
Zambia	Senja Vaatainen	IUCN
Tanzania	Shabani K. Mssako	Rufiji District
Tanzania	Simon Mosha	Tanzania Forest Conservation Group
Switzerland	Stephen Kelleher	IUCN
Zambia	Vincent Ziba	SAFIRE
Zambia	Wilma Viljaama	Embassy of Finland