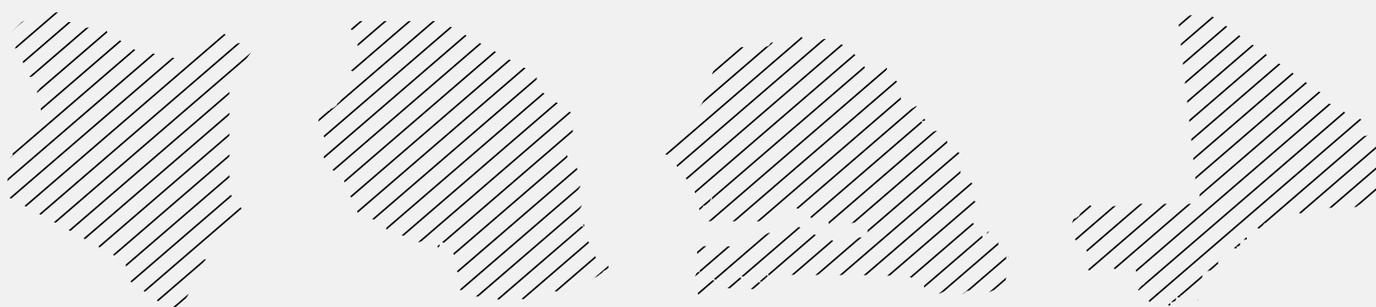


Synthesis of Monitoring, Evaluation and Learning (MEL) approaches from the Devolved Climate Finance mechanism:

Lessons from Kenya, Tanzania, Senegal and Mali

June 2021

DCF Alliance



Acknowledgements

The Devolved Climate Finance Alliance is a coalition of institutions working to ensure high quality implementation of devolved climate finance mechanisms, share learning and evidence, and build capabilities of practitioners.

Adaptation Consortium Secretariat	International Institute for Environment and Development
Arid Lands Development Forum	Institute of Rural Development Planning
Anglican Development Services – East	Kenya Meteorological Department
Arusha Regional Secretariat	Local Government Training Institute
Christian Aid	Merti Integrated Development Programme
President’s Office – Regional Administration and Local Government, Tanzania	National Drought Management Authority
Hakikazi Catalyst	Near East Foundation
Innovation, Environnement et Développement en Afrique	Tanzania Natural Resource Forum
	United Nations Capital Development Fund
	Womankind Kenya
	Zanzibar Climate Change Alliance

Acronyms

BRACED Building Resilience and Adaptation to Climate Extremes	DVAPC Divisional Adaptation Planning Committees (Tanzania)
CAF County Adaptation Fund	MEL Monitoring, Evaluation and Learning
CCCPC County Climate Change Planning Committees (Kenya)	TAMD Tracking Adaptation and Measuring Development
CRM Climate Risk Management	ToC Theories of Change
DCF Devolved Climate Finance	WCCPC Ward Climate Change Planning Committees (Kenya)
DRR Disaster Risk Reduction	

The Devolved Climate Finance mechanism is an innovative model for investing at the local level in developing countries and building sustainable and climate-resilient livelihoods. The mechanism builds on the premise that local communities have in-depth knowledge about climate variability and risks. The purpose of this report is to synthesise local experience of the implementation of Monitoring, Evaluation and Learning tools in four pilot countries; describing which ones have been used and why, and assessing the ways in which they have been contextualised. Recommendations are made to support the fine-tuning of the tools; ensuring that they are relevant, accessible, affordable and can be mainstreamed into existing local government planning systems, and disseminated to new geographies.

Please cite: DCF Alliance. 2021. Synthesis of Monitoring, Evaluation and Learning (MEL) approaches from the Devolved Climate Finance mechanism. The DCF Alliance, working paper. Available at <https://pubs.iied.org/XXXXX>

Contents

1. Introduction	4
2. Overview of MEL tools and their scope	6
3. MEL in practice	12
3.1. Village-level Theories of Change	16
Kenya	16
Tanzania	18
Senegal and Mali	19
3.2. Institutional scorecards	20
Kenya	20
Tanzania	21
Senegal and Mali	22
3.3. Resilience assessments	25
Kenya	25
Tanzania	26
Senegal and Mali	27
4. Recommendations	28
Annex 1: Detailed suggestions for adjustments	33
Annex 2: List of interviewees and interview questions	34
Annex 3: Complete list of Resilience Assessment tools	35
Annex 4: Key weaknesses and strengths of surveyed MEL tools	36
References	38

1. Introduction

Climate change, manifested through increased incidences of extreme weather events and changes in rainfall patterns, poses a serious threat to livelihoods around the world. Some of the most severely and immediately affected are the livelihoods of the communities that inhabit Africa's drylands, stretching from east to west across the continent. A global commitment to help developing countries mitigate and adapt to climate change emerged out of the 15th Conference of the Parties to the UN Framework Convention on Climate Change in Copenhagen in 2009, with a goal to support the necessary investment with USD100 billion annually from 2020 to 2100. Ensuring that these resources can be put to the most productive use possible—in terms of strengthening both the short-term and the long-term climate resilience of local populations—is an on-going challenge that requires integrated and effective adaptation planning systems.

The Devolved Climate Finance (DCF) mechanism is an innovative approach to planning and investing in public goods that has been piloted in Kenya, Tanzania, Mali and Senegal. The DCF mechanism stems from the recognition that climate-resilient livelihoods can only be built with the incorporation of local knowledge, the recognition of local institutions for resource governance, and in accordance with the priorities and objectives of those who are directly affected. As such, it breaks from conventional approaches that have long guided development aid and investment in the global South, often involving a top-down imposition of donor or government objectives, and frequently leading to sub-optimal or unsustainable outcomes. The DCF model is intended to go beyond planning and investment, and be incorporated into governance at all levels, redefining the relationship between government and citizens.

The DCF mechanism consists of four interdependent operational components:

- 1** A fund used by local authorities to invest in public goods;
- 2** Adaptation planning committees who help formulate funding priorities;
- 3** Resilience planning tools that assist with the integration of climate-relevant information into planning, and the articulation of local livelihood rationale and climate adaptation priorities; and
- 4** Monitoring, evaluation and learning (MEL) tools and processes to help track progress (DCF Alliance, 2019).

This report focuses on the fourth operational component and the range of MEL tools and methodologies have been implemented across the four pilot countries in Africa at different levels. While the guiding principles for implementation have remained the same, the tools have been adjusted to local circumstances. The purpose of this report is to synthesise the local experience of the implementation of MEL tools, describing which ones have been used and why, and assessing the ways in which they have been contextualised. The report seeks to draw concrete lessons from the implementation of the MEL tools and processes, and to identify—in the greatest detail possible—which elements work best in the specific contexts of the four countries where the DCF approach has been piloted. The information is intended to support the fine-tuning of the tools, ensuring that they are relevant, accessible, affordable and can be mainstreamed into existing local government planning systems as well as disseminated to new geographies. Ultimately, this will enable the DCF mechanism to achieve its objectives in both current and new contexts. Detailed suggestions for changes to each tool and existing good practice are included in **Annex 1**.

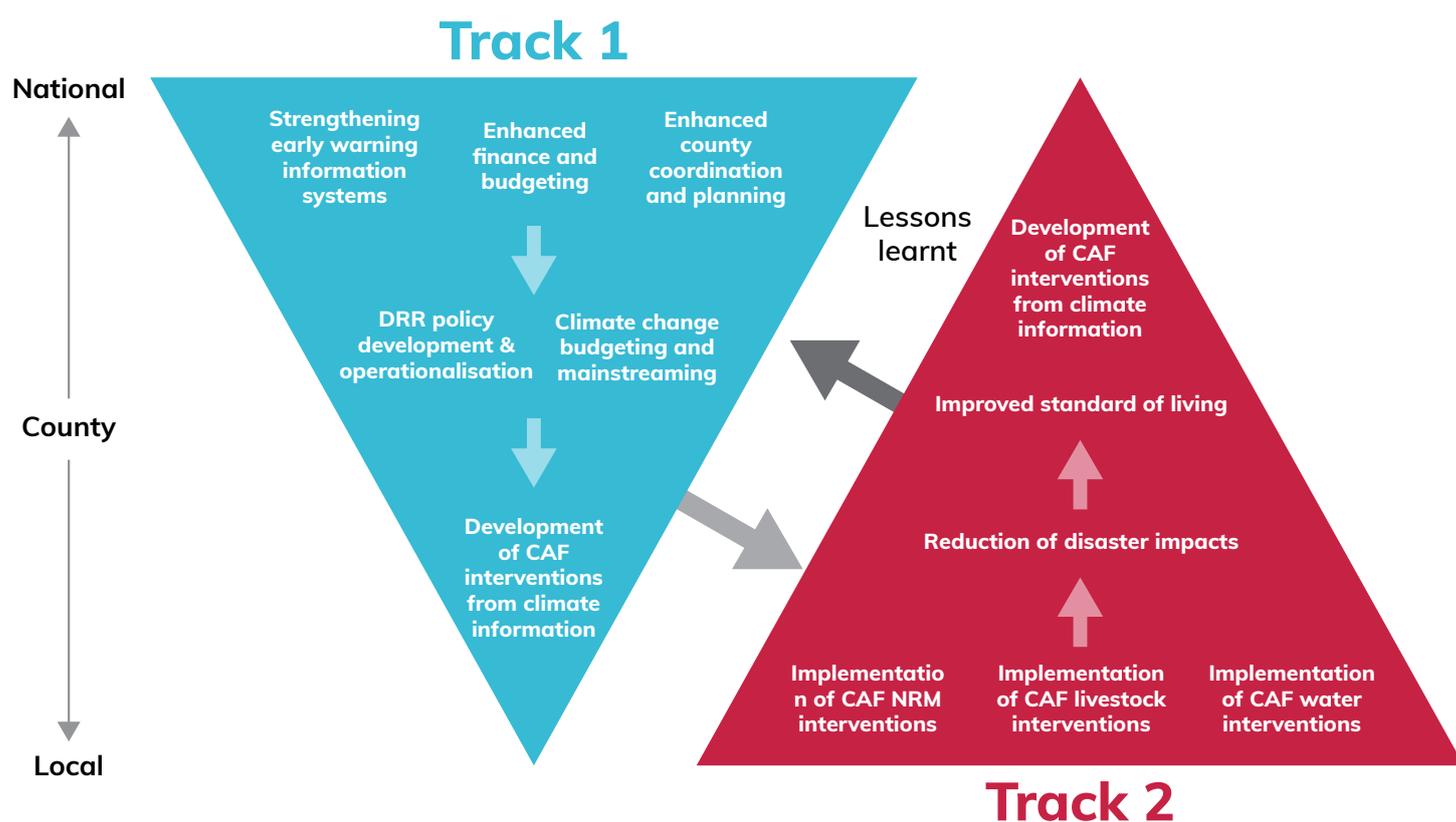
The findings contained in this report are based partly on desk research and partly on semi-structured interviews with DCF Alliance staff and local experts. The interviews with local experts are a particularly important source of knowledge as they provide the most up-to-date picture, and one that is the most accurate in terms of reflecting on the practical challenges—as well as ways of overcoming them—through adjustments to MEL protocols. Details of the interview guidance and the list of interviewees can be found in **Annex 2**.

2. Overview of MEL tools and their scope

Monitoring and evaluation of progress made in climate change adaptation is an inherently challenging exercise. Unlike climate change mitigation efforts, which are measured in terms of the volume of greenhouse gas savings, adaption evaluation lacks a single clear metric (Beauchamp, 2020). The design of the MEL tools under the DCF mechanism is guided by the Tracking Adaptation and Measuring Development (TAMD) framework developed by Brooks et al. (2011). TAMD differs from other assessment frameworks by emphasising the need to assess development interventions in the light of changing climate risks (LTS Africa, 2017). Crucially, under TAMD, adaption actions are assessed and compared in a context-specific and participatory manner.

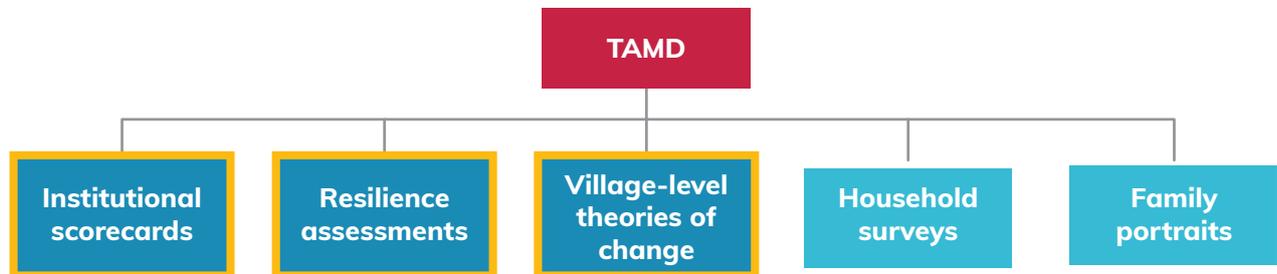
Another unique feature of the TAMD framework is that it recognises the need for MEL to be embedded at all governance levels, from local through to regional and national. There is a broad consensus that while the framework, and the set of tools it informs, can be applied to project-level MEL, the ideal scenario is one in which it is integrated at all levels of government and informs all planning and investment, with the aim of contributing towards climate resilient development planning and budgeting. As shown in **Figure 1** below, the framework is structured in two tracks. Track 1 is top-down and involves the assessment of the capacity of institutions to manage climate risk, while the bottom-up Track 2 focuses on the assessment of the impacts of interventions with regards to their success in reducing vulnerability, as defined by the people who are targeted by the intervention.

FIGURE 1: TAMD FRAMEWORK, FROM KARANI ET AL. (2015A) ADAPTED FROM BROOKS AND FISHER (2014)



As well as codifying the overarching principles for MEL, the TAMD framework encompasses a collection of practical tools that can be adjusted to local contexts. These tools can and should be applied at different stages in the planning and implementation of policies and projects. The MEL tools selected for this study are **institutional scorecards**, **resilience assessments** and **village-level theories of change** as illustrated in **Figure 2** below, as these are the most widely used at present and have the most scope for broader and more regular use in the future.

FIGURE 2: DCF MEL TOOLS, WITH THOSE IN THE SCOPE OF THIS STUDY HIGHLIGHTED IN YELLOW



While **household surveys** still remain the preferred MEL tool for many donors, their use at the local level has major limitations. First and foremost, their implementation is costly and local authorities often lack the resources to carry them out, especially repeatedly. Secondly, they often fail to achieve their stated objectives as respondents may not share the conceptual framework of the survey designers, which can lead to inaccurate data and/or a high likelihood of misinterpreted data. Responses can also be biased due to fear of misuse of data, or out of a desire to report positive outcomes to external organisations. The usefulness of household surveys as institutionalised tools for MEL by national and sub-national actors is therefore limited, and for that reason, the tool is outside the scope of this study.

Family portraits are also excluded from the study. While they are deemed to be useful in certain contexts (Near East Foundation, 2017a), and according to some interviewed experts they can be a worthwhile complement to the other tools, the use of this tool is very resource intensive, and therefore the scope for their regular deployment and further dissemination is also limited.

The different MEL tools are intended to be used at different levels of government and spatial planning scales, although some can be adapted to multiple levels and/or have integrated versions. Distinct from the tools themselves are the techniques that are used to put them into practice. The MEL tools in the scope of this study rely primarily on the organisation of workshops so stakeholders (local government officials or local people) can gather and discuss, but alternative techniques to community or formal workshops are also possible.

The tools described in this report are used across different formats and protocols and have various applications beyond TAMD and the DCF mechanism. For example, there are many different approaches to conducting resilience assessments (Dixon and Stringer, 2015). However this report focuses on, and refers specifically to, the protocols used under the DCF mechanism.

Whilst the MEL tools can be adjusted to local contexts and there is therefore some flexibility when it comes to defining what they are, the key protocols for each tool covered in this report are as follows:

Theories of change (ToC) are used to chart the pathway from an intervention to its immediate outputs and consequences, and its eventual outcomes. They have been described by Vogel (2012) as a “description of a sequence of events which are expected to be achieved for a desired impact”. ToC require assumptions regarding the relationships between the output, outcome and impact to be explicitly formulated. They are intended to be a dynamic and participatory tool to help communities choose the best intervention in terms of improvement to their livelihoods. A ToC can be implemented at various levels, however, in this report the focus will be on ToC at the village level. Because a ToC spells out expected outcomes and impacts, it can also be used as the basis for follow up MEL by identifying the short-, medium- and long-term indicators of change needing to be tracked.

Institutional scorecards have been designed as a means for local government authorities to self-assess their own capacities. A scorecard can be developed initially to construct a baseline for the local institution, and to identify areas that need addressing to ensure effective community-level adaptation and for prioritising interventions. The scorecard indicators are then reassessed at regular intervals to track capacity improvements (see example in **Figure 3**). Institutional scorecards can be used with different local government departments as they relate to planning, decision making, policy, regulation and capacity building (Karani et al., 2015a).

FIGURE 3: EXAMPLE OF AN INSTITUTIONAL SCORECARD, ADAPTED FROM KARANI ET AL. (2015B)

INDICATOR 1. CLIMATE CHANGE INTEGRATION INTO PLANNING Representation of strategies that address climate change in relevant planning documents & processes	No	Partial	Yes
1. Is there a climate change plan or strategy set out in a dedicated strategy document and/or embedded in the principal planning documents at the level being assessed (e.g. national, sector, ministry)?			
2. Is there a formal (e.g. legal) requirement for climate change (adaptation/mitigation) to be integrated or mainstreamed into development planning (c.f. requirement for EIA for certain activities/projects)?			
3. Have specific measures to address climate change (adaptation/mitigation) been identified and funded?			
4. Are climate-relevant initiatives routinely screened for climate risks?			
5. Is there a formal climate safeguards system in place that integrates climate risk screening, climate risk assessment (where required), climate risk reduction measures (identification, prioritisation, implementation), evaluation and learning into planning?			
SCORE (No. of “YES” answers x 2, plus no. of “PARTIAL” answers x 1)			

Resilience assessment is a participatory process that allows people to articulate the rationale underpinning their livelihood strategies. It differs from other planning approaches in that it explicitly seeks to enable and empower local people to explain the logic of their production strategies in the face of climate variability and change to those who are external to their community, such as government planners or NGO staff. It provides an opportunity for local governments and communities to discuss how local livelihoods function and interact, the factors that constrain their resilience to the impacts of climate change, and practical ways to build adaptive capacity and long-term resilience (ADA Consortium, 2016). Resilience assessment is also the umbrella term for a collection of participatory discussion tools. These include:

- **Vulnerability matrix for risk analysis**, which helps identify the climate extremes and other shocks encountered in the locality, and the extent to which existing natural resources and livelihoods are vulnerable to these climate extremes.
- **Diagnostic table**, which helps identify the types of intervention that can make local people and production systems more resilient to climate extremes and other shocks.
- **Seasonal calendar**, which describes the characteristics of different seasons and their impacts on livelihoods in normal periods and during droughts.
- **Resilience spectrum**, which sets out to enhance understanding of the resilience of different groups, as perceived by the community, and to identify features or characteristics that make some groups more resilient than others to climate variability and change. In addition to capturing the meaning of resilience in local languages, this tool also helps identify the factors/conditions that build resilience from the community perspective. See **Box 1** below for a more detailed protocol (ADA Consortium, 2016; Near East Foundation, 2017b).

A more comprehensive description of the tools and techniques that fall under the resilience assessment umbrella is included in the Resilience Assessment Toolkit publication by ADA Consortium (2016). They are also listed in **Annex 3**. It should be noted that there is some ambiguity with regards to the definitions of the tools, and especially the nature of their relationships and hierarchy. TAMD, for instance, is commonly defined as an overarching conceptual framework that informs MEL tools and is used occasionally as a process. However, the acronym has been used in some instances to describe what is defined above as institutional scorecards. Theory of change is occasionally described as a tool but in the work of Karani et al. (2015b) it is described as a step in the TAMD process. Resilience assessments are at once described as a “participatory process” (ADA Consortium, 2016) as a “toolkit”, and as a “4-day workshop”.

Theories of change are sometimes presented as part of the resilience assessment toolkit (ibid.), while in other documents it is seen as a stand-alone tool/ methodology. While these diverging definitions are not necessarily incompatible, they may contribute to the perception of MEL tools as being overly complex or confusing. It might be helpful to move towards standardised and simplified definitions, and to clarify the hierarchy and relationships between the concepts and tools.

Box 1: Sample protocol for a resilience assessment tool ‘Resilience Spectrum’

A Resilience Spectrum exercise has the advantage of being low-cost and not taking up too much of the participants' time. It is targeted at tracking resilience at the level of individuals and households. It consists of several steps:

- The concept of resilience is clearly articulated with the participants. A facilitator will first try to find the word or expression in the local language that best captures the concept. The facilitator may ask questions like “Is there a word for somebody who is better able to survive the dry season?” Elaborating on that, the facilitator may seek specific words or expressions to capture the meaning of “a resilient family” or “a resilient livelihood”.
- The facilitator then draws a “resilience spectrum”. This consists of a line with two areas on each end, one marked as “low resilience” and the other as “high resilience”. This can be done using a flip chart, blackboard or merely a line in the sand.



- The participants are then asked to point out where on the line they would place themselves and/or their family, and justify their position. This exercise can then be repeated at regular intervals to understand the evolution of resilience.
- Evaluating information gathered in this way may appear to be challenging but combined with an appropriate sampling method, and carried out over extended periods of time, such exercises can provide useful insight into the changes that communities experience in terms of their resilience.

Based on interview with Ced Hesse (IIED)

3. MEL in practice

Whilst some version of each of the three MEL tools in the scope of this study has been implemented across the four pilot countries, the form of the applied MEL varies substantially, as do the challenges encountered and the extent to which their deployment is considered a success. Across the four countries the introduction of climate-relevant MEL started from a very low base – districts/counties have limited budgets, there is an output (rather than outcome) focussed MEL culture, and little incentive to carry out more sophisticated MEL. This section provides a brief overview of the institutional context and the use of the three tools in the surveyed countries, followed by a more detailed analysis of the deployment of each tool.

Kenya was the first country where the DCF approach was piloted, starting in 2011, and therefore there has been more time for the approaches to be trialled at the local level, allowing for a gradual increase in capacity and for greater buy-in at higher levels of administration. There is a widespread agreement that out of the four surveyed countries, Kenya is the most advanced in terms of institutionalising MEL, although there is still scope for further improvement both in terms of formalising participatory MEL approaches in legislation at all levels and in implementation. Some elements of the TAMD approach, specifically the use of participatory resilience assessments, are now embedded in county-level legislation, but these do not mention TAMD as the overarching framework, nor the entire range of MEL tools (see **Box 2** below, from Crick et al., 2019). The National Climate Action Plan mentions the need to establish monitoring and evaluation (M&E) systems that identify and measure “adaptation indicators (including collection of baseline information and development of gender-disaggregated data and gender indicators)” (Government of Kenya, 2018:81).

Box 2: County legislation in Kenya

The County Climate Change Fund pilot led to the establishment of climate change regulations in the counties of Makueni and Kitui and climate change Acts in Wajir, Garissa and Isiolo Counties. These formally established County Climate Change Planning Committees (CCCPCs) and Ward Climate Change Planning Committees (WCCPCs) and made clear that the responsibility of developing investments lies with the ward committees, who needed to work with communities to identify and prioritise projects before submitting a proposed list of investments to the CCCPCs for review.

Extract from Makueni Climate Change Fund regulations on role of WCCPCs 25(a):

The WCCPCs shall:

1. Hold consultative meetings with communities together with relevant government planners, agencies and local organisations
2. Conduct participatory livelihood and local economy resilience assessments. These assessments shall enable different groups within the wider community to identify what improves or undermines their ability to manage challenges arising from increasing climate variability and long-term change
3. Use the findings to prioritise and design investments that will promote climate change resilience, growth and adaptive livelihoods based on agreed criteria
4. Prepare programme and project proposals, aggregate and coordinate sub-ward resilience needs, and priorities identified and prioritised through community participation
5. Prioritise proposals and submit them to the CCCPC for consideration and approval and forwarding to the County Climate Change Fund Board for funding.

Source: Government of Makueni County (2015)

Challenges that accompanied the introduction of MEL in Kenya in 2013 can be at least partially attributed to the fact that devolution was underway at the time (county governments were established in 47 counties after the general elections that year). The newly established county governments had limited capacity, and MEL was likely not an urgent priority. Despite significant capacity development efforts through training, and repeated practical implementation since then, the capacity of the county and ward-level stakeholders to apply MEL for climate change still remains low. According to one interviewed expert, the follow-up action in terms of data collection is weak due to a lack of resources, and the process still remains externally driven. The level of understanding of TAMD's conceptual framework also varies among different stakeholder groups; with ADA partners¹ understanding being fairly high, but county stakeholders' understanding being fairly low e.g. among Isiolo CCCPCs (formerly County Adaptation Planning Committees) (ADA Consortium, 2015).

1 The Adaptation (ADA) Consortium is a led by the National Drought Management Authority (NDMA) to support county governments in mainstreaming climate change into development and planning. Partners in Kenya include: Wajir County - Arid Lands Development Focus; Garissa - WomanKind Kenya; Isiolo - Resource Advocacy Programme; Kitui and Makueni - Anglican Development Services-Eastern, Kenya Meteorological Department (KMD), Christian Aid and IIED.

In Tanzania, where MEL approaches were introduced shortly after Kenya, the degree of institutionalisation remains much more limited. There was some success in mainstreaming MEL at the district level, but unfortunately it is not integrated into legislation at local government level. Comprehensive and detailed MEL strategies have been drafted at the district level in the districts of Longido, Monduli and Ngorongo. These documents reveal that districts and divisions were trained on the TAMD approach so they could develop ToC for, and assess their own capacity to respond to, climate change through institutional scorecards. The MEL strategies have been based on outputs generated during workshops with the hope that the trained district technical officers will proceed to build the capacity of other relevant district staff in charge of MEL within the districts (more detail in **Box 3** below).

Progress on MEL implementation in Tanzania has been hindered partly by repeated discontinuations in funding that have affected DCF efforts as a whole. An IIED analysis reveals that local government authority MEL systems continue to have limitations – they focus largely on inputs without assessing outcomes or impacts of climate adaptation and climate-resilient development (Greene, 2019). TAMD has also been promoted with local governments as a way of improving MEL systems, and to demonstrate the effectiveness of adaptation for climate-resilient development, which could then be used to justify additional funding from other climate finance sources or performance-related funding. However, this programme was unfortunately closed not long after investments were completed and very little MEL took place.

Box 3: Training of civil servants on MEL in Tanzania

Training for civil servants has been conducted twice, involving seven local government officials from each district - namely the Project Coordinator, Community Development Officer, Environmental Officer, District Treasurer, Agriculture Officer, Civil Engineer and District Planning Officers.

Both trainings were specifically dedicated to the TAMD framework and the MEL tools. The first training was supposed to equip the civil servants with the necessary skills and knowledge to conduct MEL so as to support further training of the members of the Divisional Adaptation Planning Committees (DVAPCs) and also to support the establishment of a district MEL strategy. The aim of the second training was to come up with a ToC, indicators, to learn about the monitoring of projects, and to review and approve the district MEL strategy. Each district was able to review and approve MEL strategies.

Based on correspondence with Samson Msiluu (Local Government Training Institute)

In contrast to Tanzania and Kenya, Mali and Senegal have a longer history of decentralisation and participation of communities in local government. The whole range of MEL tools have been deployed to a high standard in the initial phases of DCF programme implementation, primarily to establish a robust baseline. Similarly to Tanzania and Kenya however, the regular redeployment of MEL for monitoring purposes has been limited and not done in a consistent manner. Resilience assessments have been deployed widely to study vulnerability and the conditions for resilience to climate change in targeted communities. Institutional scorecards have been used extensively to assess the capacities of local governments; and ToC have been carried out for each investment as well as at the district level. In both countries, MEL has been deployed with attention to differences within communities related to gender, age groups, and other characteristics, thus reflecting the diversity and complexity of local ecosystems and economies, as well as the specific needs and priorities of the most vulnerable groups.

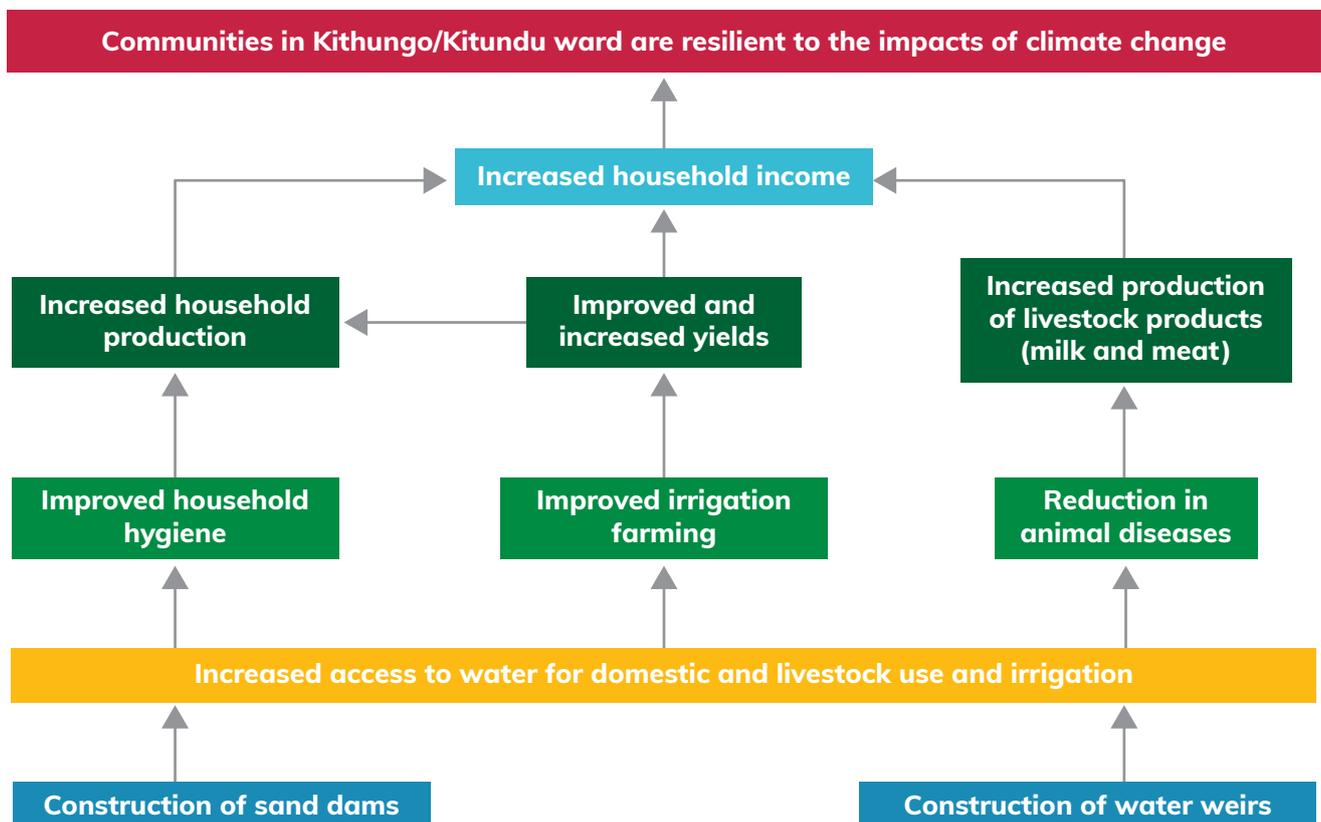
In terms of partner support, the ADA Consortium appears to have played an important role in piloting MEL approaches in Kenya, disseminating the learning initially from Isiolo to other counties and eventually also to other countries including Tanzania, Mali and Senegal. Some of the material prepared by the ADA Consortium is very helpful in terms of facilitating the practical execution of MEL: their 2016 publication 'Resilience Assessment Toolkit' in particular provides a wealth of ready-to-use material that would appear to provide useful guidance in implementing many exercises that fall under the resilience assessment umbrella. A similar document has been developed in the context of the BRACED programme (Building Resilience and Adaptation to Climate Extremes), carried out by a consortium composed of the NGO IED Afrique, based in Dakar, the Near East Foundation in the US and IIED, however, this provides more of an overview than a step-by-step guidance for practitioners (Keita and Koulibaly, 2017).

3.1. Village-level Theories of Change

Kenya

In Kenya, ToC have been developed primarily at the ward level (see example in **Figure 4** below). In these ward-level ToC, specific output, outcome and impact indicators have been developed and the overall experience of developing ward-level ToC has been positive, with communities taking up the tool quickly and the ToC completed to a high standard. There has, however, been limited follow-up. In Isiolo County, several ward-level ToC were integrated into the overall local government ‘composite’ ToC, but this appears to have only been done only on this one occasion. The benefit of a composite ToC is that it can help combine top-down and bottom-up understanding of building resilience for a particular area, and it can be used to define a common resilience impact statement agreed to by both county officials and community representatives. The establishment of a composite ToC in Isiolo was seen as a major development by researchers (Karani et al., 2015a) as it showed that all parties understood that planned adaptation and development actions could enhance resilience (Karani et al., 2015b).

FIGURE 4: EXAMPLE OF WARD-LEVEL TOC FROM KENYA, ADA CONSORTIUM



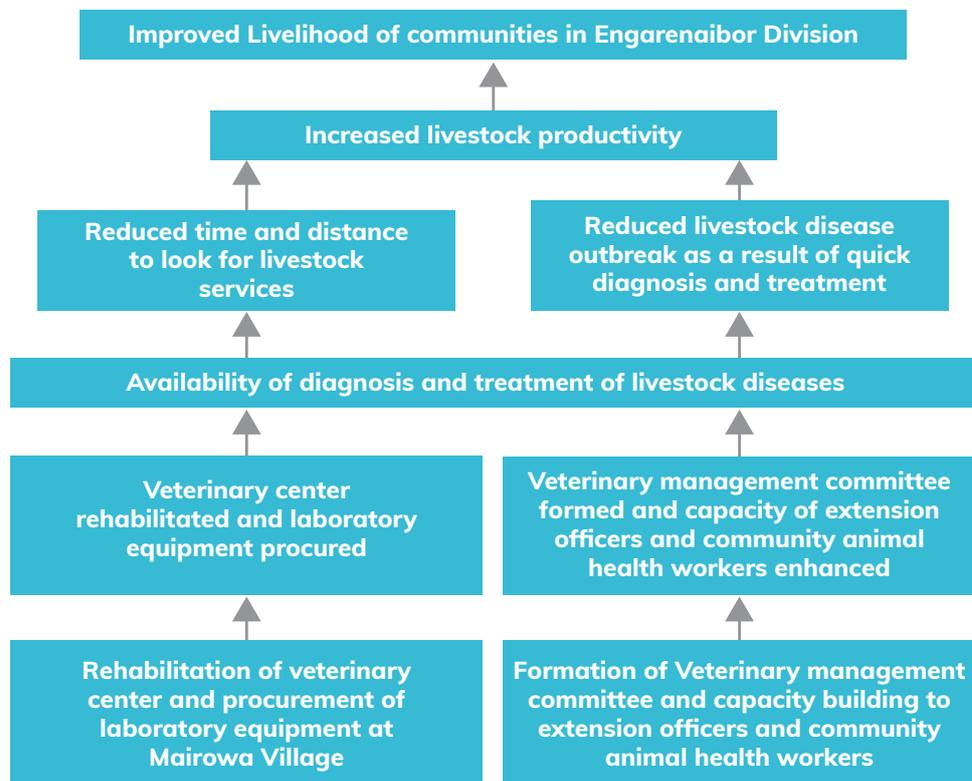
At the ward level in Isiolo, six WCCPCs were trained on TAMD. They were facilitated to develop ToC, indicators, as well as monitoring and evaluation plans (ADA consortium, 2015). Supported by LTS Africa, the WCCPCs and CCCPCs developed a monitoring framework for Isiolo County in 2013–2014. In Kitui, Makueni and Wajir Counties, county officers were similarly trained on TAMD and specifically ToCs, however, the trainings were only carried out once in each county. In Wajir, training also incorporated field testing on facilitation of community members to develop ToC and indicators in Arbajahan ward. Engaging ward and county-level stakeholders in the development of monitoring and evaluation plans is broadly seen as positive step towards strengthening their participation in MEL, although ToC are not believed to have been used to their full potential in Kenya, primarily because of a lack of follow-up monitoring.

Karani et al. (2015b) highlight the complexity of technical vocabulary as a possible hindrance (e.g. using phrases such as “signs of progress of change” for indicators was more easily understood). Using immediate, medium-term, and long-term changes defined in Kiswahili and Borana (local languages) also seemed to work better for the definition of outputs, outcomes, and impacts. IIED staff member Ced Hesse mentioned that, outside the academic field he uses the expression “pathways of change” rather than theory of change. In Kenya the TAMD approach and key concepts were simplified, for example by using examples of how people conduct monitoring and evaluation in their daily lives, and brainstorming sessions on the type of enabling environment that can allow reduction of vulnerability at community levels. The use of the term TAMD was also minimised and terms for monitoring of adaptation/development actions were used instead.

Tanzania

ToC have been used extensively at the investment level in Tanzania (see example in **Figure 5** below). They have been carried out by the Divisional Adaptation Planning Committees (DVAPC), which represent communities in a collaborative manner, and include regional representatives and appropriate ministries. ToC are perceived as having achieved their purpose, although carrying out a separate ToC for each investment is considered laborious. There was unfortunately no follow-up to see whether the projected outcomes and impacts have been achieved.

FIGURE 5: TOC - TANZANIA INVESTMENT LEVEL



It should be noted that Tanzania has a local planning process to assess community development priorities to inform the local government planning and budget process which is called Opportunities and Obstacles to Development (O&OD). The process does not address climate change, and is considered too cumbersome as well as expensive, which means that it is rarely carried out (Greene, 2019). However, going forward it could offer a framework for integrating a more streamlined, cheaper and simpler process for assessing resilience at community and district levels.

Senegal and Mali

ToC in Senegal and Mali have been carried out primarily at the investment level to understand the likely impact of individual investments on the resilience of communities. Additionally, ToC are also implemented at the district level to understand the extent to which investments can reinforce the resilience of communities and ecosystems in the face of climate change. In Senegal, they have been initially deployed in the region of Kaffrine in the context of the programme financed by BRACED, a DFID initiative. Workshops were carried out to strengthen local capacity in conducting ToC, and were organised in the four districts of Kaffrine region.

Guidelines for conducting ToC have been made available. They are well structured and detailed, and helpfully provide forms that can be readily filled out. Menus of indicators are offered instead of requiring workshop participants to come up with their own. Examples are also widely used within the materials, which helps to bring abstract terms to life. Interviews with local partners confirm that these guidelines have worked well, although there is always scope for improvement. The follow-up of the ToC process has not been carried out in a thorough and consistent manner however, although in Mali ToC were carried out before the investment was made as well as afterwards. Project partners report on the local benefits of sponsored investments, but this follow up is carried out on an ad hoc rather than regular and systematic basis.

The costs of repeatedly carrying out workshops is seen as the biggest barrier to MEL implementation according to the interviewed local experts - as securing transport, meals and facilitation requires significant budgeting. An expert familiar with the implementation of MEL in Mali also pointed to the ToC vocabulary being challenging and even “off-putting” and she preferred referring to ToC instead as “project logic”. Other local experts reported that it is challenging to articulate the concepts in Wolof (the most widely spoken local language in Senegal). There was some disagreement among the interviewed experts as to whether there is merit in conducting a separate ToC for every individual investment. One expert argued that given the diversity of DCF investments, a ToC for each project has proved to be useful but according to others it would suffice to carry them out at the zone level.

3.2. Institutional scorecards

Kenya

According to Karani et al. (2015a), the use of the scorecards modelled after Brooks et al. (2011) proved to be a challenge in the local context, especially when explaining the difference between the scorecard indicators and the climate risk mitigation indicators framed under the composite ToC that the end users had developed themselves. This challenge was overcome by rephrasing the scorecard as a tool to measure institutional capacities on climate risk mitigation processes that could be used for monitoring adaptive capacity, alongside tracking progress against climate risk mitigation indicators.

Among other adaptations made in Kenya was the development of new scorecard indicators, and particularly bespoke indicators defined for climate risk mitigation processes, as well as qualitative and some quantitative indicators that were used for development outcomes. These indicators were similar to the development indicators used by the County government. They are presented in Brooks and Fisher (2014: 81). An example scorecard from Isiolo is given in **Figure 6**.

**FIGURE 6: ISIOLO SCORECARD RESULTS, FROM KARANI ET AL. (2015A).
SCORECARD METHODOLOGY CAN BE FOUND IN BROOKS AND FISHER (2014).**

CRM parameter	% score	Reasons
1. Extent to which climate change planning is integrated in county policies or processes	20	Isiolo County does not have a climate change strategy and there is limited expertise in climate change screening of development interventions
2. Extent to which there is institutional coordination of climate change interventions	85	Climate change adaptation interventions are coordinated across sectors by the county drought coordinator from NDMA.
3. Extent to which climate change financing is integrated into the county budget	55	The county had not yet budgeted or allocated finances for climate change. However CAF funding was available for adaptation activities at ward level.
4. Level of institutional climate change knowledge	65	The members of the CAPC had undergone climate change training but the knowledge of technical officers within the county government was still low.
5. Use of climate information	55	Some sectors of the county government (agriculture and water) took into account observational data and climate projections when planning. However, there was limited capacity to interpret and use climate information for scenario planning.
6. Planning under uncertainty	40	NDMA at county level updated its plans with climate information annually. However they did not use climate projections, nor did they consider maladaptation when planning.
7. Extent of participation during planning and decision-making processes in climate change adaptation	90	The design of ward adaptation actions took place after a highly participatory process, where women and other vulnerable groups had participated.
8. Level of climate change awareness amongst stakeholders	65	Only communities from 6 out of 10 wards in Isiolo County had been sensitized to climate change.

Tanzania

Institutional scorecards have been widely deployed in Tanzania at the district level; more specifically in Ngorongoro district (Karani et al., 2015b) but also in Monduli and Longido districts. District technical officers were trained to conduct the exercises. In an initial training, the officers went through a scoring process against a set of indicators and were encouraged to add new indicators or take some of the existing ones away. The scorecards were administered to collect both baseline and monitoring information with key district technical personnel from the three pilot districts. The personnel assessed their own institutions – Local Government Authorities - against each of the indicators and provided evidence to justify their scores bi-annually. An example of a scorecard from Longido district is included in **Figure 7** below. According to a local expert, the exercise was initially seen as very challenging by the local authorities, but after adjustments this perception changed. He also reported that it is important to complement the scores themselves with an explanation, i.e. what does it mean to perform 'poorly' on a certain indicator and what is it caused by? The turnover of staff complicates the implementation of the scorecards, and continuous training and handover notes are seen as important.

FIGURE 7: SCORECARD EXAMPLE FROM TANZANIA. SCORECARD METHODOLOGY CAN BE FOUND IN BROOKS AND FISHER (2014).

Indicator	Score
1. Climate change mainstreaming / Integration into district planning	50%
2. Institutional coordination	25%
3. LGAs raising funds for climate change adaptation and/or climate risk	25%
4. Budgeting and finance	25%
5. Institutional knowledge / capacity	25%
6. Use of climate information	25%
7. Planning under uncertainty	25%
8. Participation	25%
9. Awareness among stakeholders	29%
10. Learning from previous year incorporated into planning	33%
11. Extent to which project investments incorporate sustainability concerns	37.5%

Senegal and Mali

Institutional scorecards, also referred to as the ‘dashboard’ under the BRACED project, have been used extensively in both Senegal and Mali. Their design has been adjusted to local contexts and also revised over time to reflect lessons learned. Overall, their use confirmed that the tool provides a simple and easily operated framework which enables detailed institutional and organisational diagnostics. The tool can also be used to produce a relatively rapid visual assessment of the institutional capacity of local governments to manage issues relating to climate change in an integrated manner (Near East Foundation, 2017b)

In Mali, the use of the tool focused on *cercle*-level actors (the administrative level below regions), that represents the sectors most affected by climate change (water, infrastructure, environment, etc.). The tool’s adjustment to the local context included targeting the assessment of changes to three key domains of institutional capacity—coordination, budgeting and knowledge. This allowed the scorecards to better support project efforts to mainstream resilience and climate adaptation analysis into existing local government planning systems. The first use of the scorecards informed the baselines for annual assessments. For the baseline assessment, two to three key stakeholders were asked to rate their local authority and give evidence for their responses, which was recorded on the scorecards. In Senegal, the dashboard was used at the communal level, and in the Departmental councils in Kaffrine region (see **Figure 8**). Data on institutional capacity to integrate climate change were collected from two sample communes from each of the four departments covered by the BRACED project (see **Figure 9**).

Design changes were introduced to the institutional scorecard approach in both Senegal and Mali in 2018 when their use was expanded to new communes. In Mali, the selection of these communes was made by taking into account the current logistical restrictions due to the security situation. The scorecard tool was simplified in order to keep only the relevant and necessary elements for reporting, and a question was added per section to obtain a more granular picture of the capacities of the authorities. The changes included the requirement that the person filling out the scorecard must be identified: This is because the exercise requires a judgment that can be subjective (despite the requirements for supporting information to validate responses, responses can vary among individuals). Additional justifications were also required as the lack of these in the past has severely limited the analysis of the dashboards. And finally, other factors that contribute to measured progress must now also be clearly described and justified.

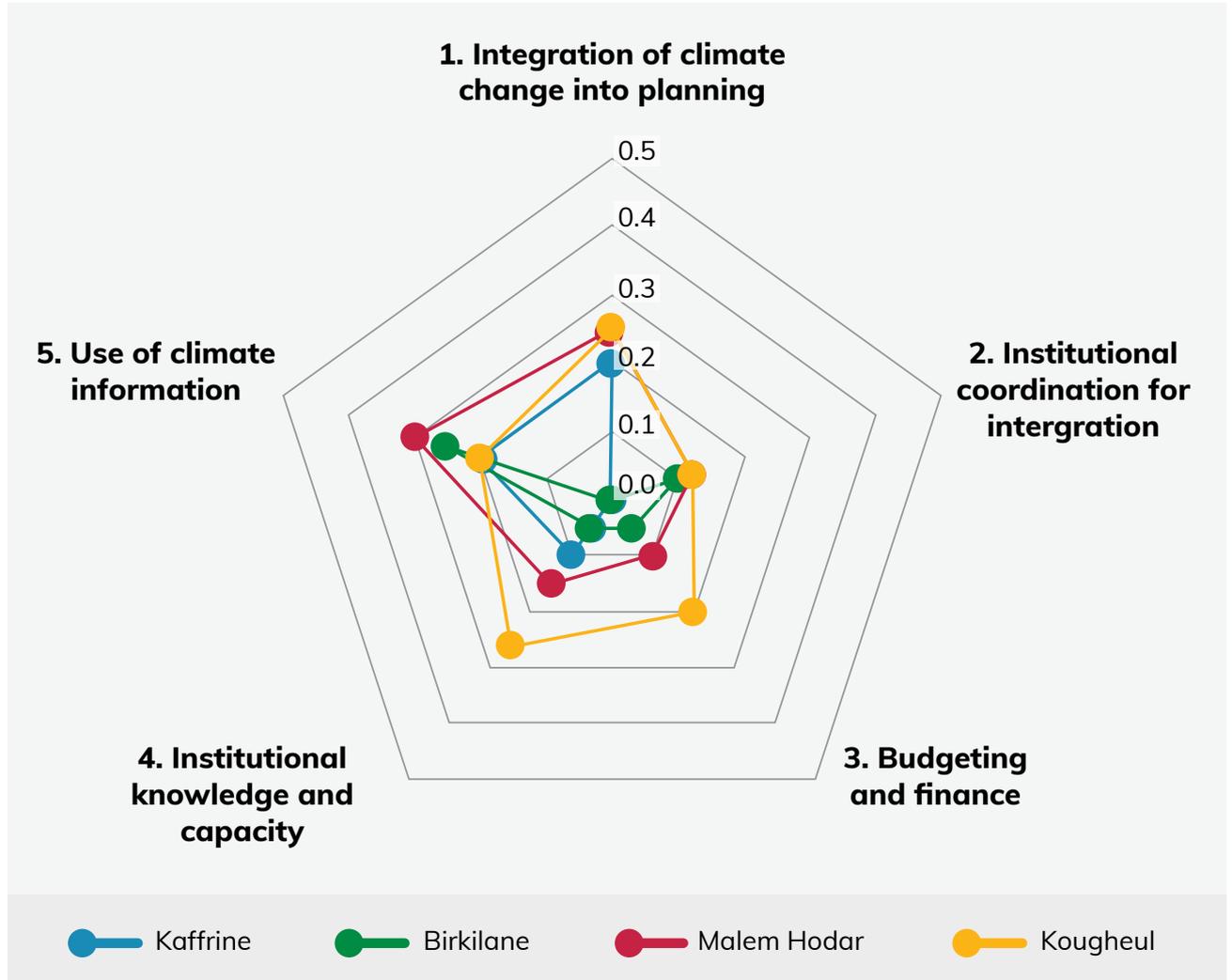
Unfortunately the institutionalisation of the scorecard tool at the local government level has not been achieved during the implementation of BRACED, and its follow-up programme BRACED-X. To rectify this it has been recommended each local government authority develop indicators that are contextualised and reflect their priorities of managing climate risk—avoiding the use of generic indicators. The selected indicators should also be relevant to the specific projects, whether these are led by DCF or the local government. Importantly, indicators should be aligned with national MEL systems to foster links between them. And the scoring scales should also be aligned to ensure consistency in assessment across governance levels.

While the benefit of scorecards is that they are light-touch and do not require a lot of time, an expert familiar with MEL in Mali argued that sometimes the picture of progress shown by the scorecards is too optimistic, and does not accurately reflect what is happening on the ground. This is unsurprising given that local government officials are asked to reflect on their own performance, and suggests that perhaps institutional scorecards are best used in conjunction with other MEL tools.

FIGURE 8: INSTITUTIONAL SCORECARD EXAMPLE FROM SENEGAL

Nom de la localité	0	Partie 1	N	Élément justificatif / explication en 2 ou 3 phrases	Méthode	Qui
I. Intégration des infos. sur le changement climatique/ l'intégration dans la planification locale				<ul style="list-style-type: none"> Plan sur la sécurité alimentaire PDCARP Schéma d'aménagement du territoire Plan d'action environnemental Autres à préciser 	Question réponse	<ul style="list-style-type: none"> Conseil de cercle S L plan Cercle SAP
				Si oui, dans quel domaine		
				Si oui, comment		
				par qui et quand		

FIGURE 9: DASHBOARD FOR FOUR DEPARTMENTS IN THE REGION OF KAFFRINE, FROM NEAR EAST FOUNDATION (2017D)



3.3. Resilience assessments

Kenya

Resilience assessments as an MEL tool have been tested extensively in Kenya through the DCF mechanism work. The resilience assessment reports prepared at the ward level for Isiolo, Garissa and Wajir Counties are very thorough, and detail the five to six-day intensive workshop sessions that have been carried out. WCCPCs have integrated climate information from the Kenya Meteorological Department into their participatory resilience assessments and resource mapping to ensure that prioritised investments take into account current and future climate variability and hazards. The assessments have also been carried out with differentiation by production system, gender and age.

Resilience assessments are recognised as important for facilitating an informed discussion between communities and county government planners on the threats to local livelihood systems in the face of climate variability and change. Whilst the assessments undertaken in Kenya were intended to be used to develop and prioritise investments, in practice this did not always happen. The assessments were nevertheless considered a success in terms of allowing local people to explain the logic of their climate adaptation strategies to those outside their community, such as government planners or staff from non-governmental organisations. They are also seen as useful for county-level government actors to better understand community strategies and priorities, and if they include longer term climate projections could be useful for both county and sub-county actors—although this has not been tested. In practical terms, carrying out the resilience assessment at later stages of implementation, using the whole suite of tools, is not seen as realistic due to high costs and time requirements.

Tanzania

Resilience assessments have been carried out extensively in Tanzania. They were conducted among communities in nine divisions in the three target districts, namely, Manyara, Makuyuni and Kisongo divisions in Monduli district; Longido, Enduimet, Ketumbeine and Eingarenaibor divisions in Longido district; and Sale and Loliondo divisions in Ngorongoro district. The available documentation details the results of the resilience assessments thoroughly. According to an interviewed expert, the assessments conducted within the pilot districts were used primarily to inform the baseline analysis. The officials were trained over two to three days and were then sent to the communities to carry out the assessments.

Resilience assessments are seen as very valuable in the local context as they shed light on local livelihoods and the opportunities for enhancing their resilience, however government authorities have failed to carry them out independently since 2014 (Greene, 2019). In terms of problematic issues, it is reported that local government authorities in Tanzania may not have felt they had the authority or the budgets to carry them out. They are also challenging to implement in terms of labour intensity, according to interviewed experts. This echoes the analysis of Greene (2019), who proposed that improving cost effectiveness and simplicity of implementation is key for the sustained use of MEL. According to one local expert, there is scope for shortening the workshop timeframes, but the days dedicated to training should be retained. The expert also identified focus groups as a particularly successful mode of delivery as it allows groups that may otherwise be marginalised to voice issues that are pertinent to them.

Staff turnover was an important hindrance to the overall implementation of MEL in Tanzania. Many of the staff who took part in the initial resilience assessment trainings moved on before their experience and learnt knowledge was mainstreamed. Future success in the implementation of resilience assessments would benefit from simplification and a renewed effort to deliver training in their implementation. According to a local expert, the challenge of ensuring follow-up could be tackled by designating community-level champions who could regularly update the resilience assessments. The expert suggested that this system could work even on a voluntary basis, and function even when funding is interrupted provided that there is a sufficient buy-in.

Senegal and Mali

Participatory resilience assessments have been widely used in Senegal and Mali, mainly for the purpose of establishing a baseline. In Mali, they were done at *cercle* (i.e. district) level. In Senegal a more conventional methodology was used for the Department of Kaffrine as a whole. In 2015, six resilience assessments were undertaken in the Mopti region of Mali, which took the form of five to six-day workshops attended by representatives of local actors from agro-ecological zones (such as livestock and fishing), women's groups, as well as elected representatives from each commune, technical services and the *cercle*-level chamber of agriculture (Near East Foundation, 2017c). One such assessment was also carried out in the Kaffrine region of Senegal. In 2016, nine participatory resilience assessments were carried out - six in the Mopti region of Mali and three in the Kaffrine region of Senegal (Hesse, 2017). In Mali, these workshops were supplemented by interviews with households in six villages in three different agro-ecological zones.

In both countries, resilience assessments were used to identify appropriate investment strategies, and were tied to exercises defining local meanings of wellbeing which tend to vary substantially according to culture and context. The descriptions of wellbeing given during the resilience assessments helped to build a picture of the current situation, while also identifying wellbeing indicators to later track the impact that investments would have had on local people's resilience through household surveys (Near East Foundation, 2017d). The assessments were disaggregated by gender, age, livelihood type and resources. There was a substantial focus on women and youth in order to target project interventions better, and ensure that they offered an inclusive reflection of local priorities.

Senegal opted for a lighter approach to resilience assessments compared to Mali, primarily using simpler tools such as the 'vulnerability matrix' and the 'participatory diagnostic table' (Near East Foundation, 2017d). The 'resilience scale' and 'seasonal calendar' tools were also deployed in the two countries. Based on interviews with experts, the seasonal calendar exercise was not deemed to be particularly effective because the information could easily be acquired through other means. In contrast, resilience assessments disaggregated by gender, age group and livelihood, are seen to be good practice as they provide a nuanced picture of local livelihoods. While the process is time-consuming, experts report it is difficult to shorten the workshop timeframe because of wide-spread illiteracy in the local communities. The guidelines were considered to be well prepared in both Mali and Senegal, however, according to one local expert they were not always well followed, particularly in Senegal.

4. Recommendations

The TAMD approach, which informed the design of the MEL tools discussed here, grew out of the recognition that it is local communities who hold the key to effective adaptation, as they know best how to protect their livelihoods in the face of changing climate. The approach has been used and tested by project partners, and has gained traction among international development institutions as insightful conceptual framework for MEL of adaptation (REF). Yet, its implementation has proved to be challenging in all the four surveyed countries. Strengthening existing national MEL frameworks to become self-sustaining systems is an inherently complex exercise, especially in the context of limited resources and local capacity; but the DCF pilot phase clearly shows that widening and deepening community participation in MEL tools is a step in the right direction. A summary of the key strengths and weaknesses of each tool as well as the barriers to implementation are provided in **Annex 4**. The following recommendations are made based on the reading of the literature and the interviews with IIED staff and local experts in the four countries.

1. Adjust ambition and retain flexibility

- There is a broad agreement that MEL tools must be participatory, low-cost and not take up too much time, if they are to be institutionalised and used on a regular basis to track progress. This is less of a problem in the case of institutional scorecards, which can be embedded into regular reporting, but is a key challenge in the implementation of MEL tools aimed at the household and village levels. If costs are too high, or if organisation is too labour-intensive, long-term monitoring is unlikely to take place.
- All of the MEL tools in the scope of the study have involved formal versions (e.g. multi-day workshops) as well as simplified versions that can be carried out within a day, or even in a few hours, and without specialised equipment. Making protocols for different versions readily available in a simple, user-friendly and visually appealing format could facilitate greater uptake. More involved versions could be recommended for establishing baselines, with simpler 'check-ins' recommended for follow-up monitoring.
- In some instances, formal, more sophisticated, results can come at the expense of regularity and longevity of MEL efforts. Promoting very simple tools such as the resilience spectrum could fill the gap when more involved processes are not feasible.

- While guidance is essential, flexibility should be retained. Local actors should be allowed to customise the tools to their local circumstances and specific purposes.
- As part of the overall effort to simplify MEL tools to make them more accessible, the DCF Alliance and its partners could actively seek direct feedback from participants, possibly through a short anonymous survey.

2. Develop a simple vocabulary and consolidate guidelines

- While methodological notes are available for some tools, they are somewhat disjointed and the hierarchy of tools and concepts is sometimes unclear. Likewise, it is not always obvious which particular audience a note is targeted at. A clear and complete menu of options for MEL should be presented to relevant stakeholders, along with non-technical guidance, as conducting MEL exercises can be a daunting task. Perhaps this could be done via a dedicated “Practitioners’ Space” on the IIED/DCF Alliance webpage. A convenient user pack for each tool (or preferably an engaging online module) with detailed protocols and descriptions of suitable techniques—with visualisations, tips, checklists, ready-made forms and convenient printables—might also help overcome initial reluctance, especially for new staff. The guidelines should outline best practice, for instance disaggregation of resilience assessments by gender, age and livelihood or management of collected information.
- Much of the material available remains highly technical and jargon-laden. Even English language names for the tools themselves are perhaps unnecessarily complex and abstract. Alternatives could be developed. For instance, outside the academic community, ToC are sometimes referred to as Pathways of Change, which conveys the meaning in a more straightforward manner. Moreover, there is some ambiguity with regards to the definitions of the tools, and especially the nature of their relationships and hierarchy. It would be beneficial to move towards standardised definitions and to clarify the relationships between the concepts and tools.
- The process of establishing local language equivalents is also important. Translating the tools would help local authorities and communities to internalise and own the processes. Concepts such as adaptation, resilience, vulnerability, outputs, outcomes, impacts or indicators are neither straightforward nor common place. While such concepts can be discussed with participants, it is also essential to take the time to develop their sound understanding of the key terms, including the range of different definitions. It might be useful to document these efforts in a dedicated booklet aimed at facilitators.

3. Select and/or train good facilitators

- Most MEL tools require skilful facilitation, which can pose a challenge to their sustained use over time as facilitators are not always available or are too costly to employ regularly.
- Facilitators must structure the process, guide the participants towards articulating their objectives, and enable everyone to participate. Providing the structure, however, must not lead to an influencing of outcomes. The best facilitators are those who guide participants but give them ample space to express their thoughts without constraints.
- A “good facilitator” code of practice or training module could be developed. A list of good practices is included in ADA Consortium (2016) that could serve as a basis.
- Good written guidance/training and modules/videos for facilitators are important, especially given the turnover of staff. Such trainings can in turn be used to disseminate and institutionalise MEL approaches through government training institutes and universities.

4. Generate positive incentives in a bottom-up manner to build accountability between the state and citizens

- For village-level MEL tools to work over the long term, the community’s ability to self-organise must be harnessed. This is perhaps best done by showing that DCF interventions can have a real positive impact on peoples’ lives, but without participatory MEL it is difficult for them to be targeted effectively. MEL can often remain an after-thought or even be considered as too much effort. These perceptions can be countered through targeted communication efforts by the DCF consortium for local communities and government representatives at all levels. Designating community-level champions who could lead follow-up monitoring was suggested by one interviewee as a possibility.
- Targeted advocacy efforts should also focus on promoting incentives for local governments to invest in MEL - e.g. through individual performance contracts as provided for civil servants in Kenya, or through performance-based grants.
- Community-level buy-in is also conditional on trust: MEL processes should bring transparency and accountability to government planning decisions. The concerns and priorities of communities may get overlooked by government planners, who sometimes do not necessarily fully understand the rationale underpinning local livelihood strategies and thus seek to ‘correct’ community decisions. To improve local trust, MEL data collections can be delivered in partnership with civil society organisations who can mediate responses. Processes to follow up on planning decisions, such as village audits, can be used to spot irregularities and flag them.

5. Continue efforts to mainstream the TAMD approach and strengthen local capacities

- Institutionalisation of MEL approaches remains challenging, partly because donors are interested in the impact of specific projects more than in investing in institutions, and local government representatives do not have strong top-down incentives to pursue them in a consistent and regular manner.
- The Kenyan example shows that, despite the incorporation of certain elements of MEL into county-level legislation and the National Climate Change Action Plan, there is no guarantee that MEL will be consistently implemented unless there is sufficient buy-in and capacity. Some local experts have noted that the only practical way to generate ownership is to repeatedly push for MEL, and continue funding relevant efforts, until experience and capacity increases.
- The DCF consortia have an important role to play in acting as a “bridge” between local stakeholders at different levels and donors: Continued engagement and advocacy for the TAMD approach and the MEL tools are indispensable to this.
- Training of civil servants in MEL is an important piece of the puzzle. The development of new modules within the curricula of existing training institutes will enable government staff to carry out MEL, and hopefully also convince them of their value. A range of training programmes, regular or ad-hoc, should be offered. These would be best placed in local government training institutions such as the Kenya School of Government, Tanzania Local Government Training Institute etc.
- The DCF Alliance should continue to engage with donors and governments at all levels to ensure that this important element of the DCF mechanism continues to receive funding. If this is possible, it may be worth considering making a minor part of the DCF funding conditional on satisfactory MEL performance to align incentives. However, it will be important to ensure it is well understood by all that this is to ensure bottom-up participation rather than to impose an external agenda.
- A better integration of the results of different planning & MEL tools across the planning and implementation cycles would also be beneficial, and would ensure that MEL efforts have the maximum possible impact. Likewise, there is scope for improving the communication of results to all DCF stakeholders for learning.

Top three no-regret measures for strengthening MEL in the short to medium term:

1. Create a repository of useful documents; our list of references is a useful starting point for readers.

2. Consolidate guidelines, including a set of clear practical instructions and visualisation for the deployment of each tool. This should include templates and vocabulary lists that standardise the terms used in English and French, as well as in key local languages.

3. Develop a capacity-building & advocacy strategy targeted at relevant authorities. The strategy could identify how training of local civil servants could be expanded across the DCF countries.

In disseminating MEL to new geographies, local stakeholders should consider the following issues:

- Which MEL tools are you going to use, at which level and programme implementation phase?
- How will you link the results between the different MEL exercises at different stages of the planning and implementation cycle? How are you going to ensure regular monitoring after investment completion?
- How are you going to build local capacity?
- What training options can you offer? Can these be repeated at regular intervals to overcome issues with staff turnover?
- How will you secure quality facilitation?
- What resources can you dedicate to analysing the data?
- Who and how will validate the data and ensure quality control?
- How will you manage collected data ? (An online repository that can be made accessible to others is strongly preferred)
- What governance structure will you put in place to deliver your MEL?

Annex 1: Detailed suggestions for adjustments

Tool	Existing good practice & suggestions for change
Institutional scorecards	<ul style="list-style-type: none"> • Enable local level authorities to add or remove indicators and/or adjust existing ones. Offering a menu of alternatives might facilitate customisation. • Identification of the respondent is a useful requirement given the subjective nature of self-assessment. • Justification of scoring should be embedded into the exercise; this can perhaps help limit the artificial inflation of scores. Respondent should provide evidence for claimed progress.
Village-level theory of change	<ul style="list-style-type: none"> • Consider conducting them at the zone level rather than at the investment level, although investment proposals should also include a simplified reflection on what immediate outcomes and longer-term impacts an investment might have. • Rebrand as 'pathways of change'. • Consider abandoning the originally used terms like outputs, outcomes and impacts in favour of ones that are more easily understood such as short-term/medium-term/long-term consequences, and using this simplified vocabulary in new consolidated guidelines. • In the guidelines, make recommendations about follow-up and explain its benefits.
Resilience assessments	<ul style="list-style-type: none"> • Disaggregation by gender, age and livelihood is good practice. Further exploring intersectional identities and power dynamics in the communities can be improved. • Consider shortening workshops. • Select the most appropriate tools based on specific aims. (Seasonal calendars may not be needed, but 3A analysis and vulnerability matrix work well). • The full gamut of resilience assessment tools cannot be realistically implemented in regular intervals. Perhaps it would be useful to clarify that the entire range is useful at the baseline establishment phase, but follow-up monitoring of changes in resilience could be done via simpler exercises.

Annex 2: List of interviewees and interview questions

Country	Name
Kenya	Irene Karani
Kenya	Ced Hesse (IIED CDF Expert)
Tanzania	Mayassa Khalfan (ex DCF Tanzania community coordinator, currently at OIKOS)
Tanzania	Samson Msilu (Local Government Training Institute Lecturer)
Senegal	Papa Koulibaly (ex-BRACED project MEL lead, ex-IED Afrique)
Senegal	Mamadou Ndong Toure (ex-BRACED policy lead, IED Afrique)
Senegal	Momath Talla (ex-BRACED engagement lead, ex-IED Afrique)
Mali	Aly Bocoum (Project manager, Near East Foundation)
Mali	Daouda Cissé (MEL lead, Nearest Foundation)
Mali	Jennifer Abdella (Director of Climate Resilient Development, Near East Foundation)

Semi-structured interview guide

1. What MEL tools do you have experience with and what was your role specifically?
2. Which MEL tools have been used in your country?
3. Which MEL tools do you think work best? What are the specific strengths and weaknesses?
4. Have there been any specific adjustments you have made to the tools?
Please do give as much detail as possible, including changes to specific protocols?
5. What are your top 3 recommendations for ensuring that MEL tools achieve their objectives and that they are continuously used an extended period of time?
6. Can you make detailed suggestions for improving the uptake and use of:
 - a. local Theories of Change;
 - b. institutional scorecards;
 - c. resilience assessments?

Annex 3: Complete list of Resilience Assessment tools

Tool/approach
Wellbeing analysis
Identifying Local Livelihoods Governance Reforms
Constructing the Livelihood System
Seasonal Calendar
Resilience Spectrum
The Theory of Change
Ranking Intervention
The 3 A's Approach
Vulnerability Matrix
Participatory Diagnostic Table

Sources: ADA Consortium (2016) and Near East Foundation (2017d)

Annex 4: Key weaknesses and strengths of surveyed MEL tools

The set of MEL tools under scrutiny in this report each have their distinct purpose as well as practical advantages and disadvantages. To a large extent, the tools are complements rather than substitutes; however, different tools might be best used in different contexts and at different phases of the implementation cycle, based on resources available and the capacity of local actors. An overview of the main strengths and weaknesses is provided below.

Strengths	Weaknesses
Theory of change	
<ul style="list-style-type: none"> • Empowers the community to clearly and collectively articulate a vision for development reflecting the challenges related to changing climate • Less involved than other tools – ToC workshops are typically shorter in duration compared to (for instance) some resilience assessment workshops • Allows for easy visualisation 	<ul style="list-style-type: none"> • The tool is relatively technical and requires a careful explanation • Some of the vocabulary used is difficult to translate into local languages and can be considered too complex • Requires skilful facilitation
Institutional scorecards	
<ul style="list-style-type: none"> • Easy to understand, especially when using visual aids such as traffic light system and a dashboard • Not very labour intensive • Can be readily embedded into other reporting obligations and therefore easy to sustain over time 	<ul style="list-style-type: none"> • Not useful for ex-ante evaluation of investments • Limited to institutional use, does not cover local livelihoods or local adaptation strategies • Score may be inflated but this can be countered through additional measures.
Resilience assessment toolkit	
<ul style="list-style-type: none"> • Some specific tools in the toolkit are easy and rapid to deploy and are low-cost (e.g. the resilience spectrum exercise, see Box 1) • Combine various sources of knowledge 	<ul style="list-style-type: none"> • Often too costly and too ambitious; can take too long • Requires skilful facilitation • Some of the tools only useful at the project or community level; they cannot be used to gauge capacity of local government • Some of the exercises might be viewed as not sufficiently “professional” or “robust”

Across all of the four countries, and all of the MEL tools, a number of barriers remain that hinder the sustained and independent use of MEL and their institutionalisation at all levels of government.

1. The first and perhaps the main one relates to their cost both in terms of **financial resources and time spent**. While multi-day workshops generate nuanced and valuable insight, they are often incompatible with the need to monitor progress in regular intervals. They often require skilled facilitators who are in short supply.
2. A recurring issue appears to be the **perceived complexity** of MEL tools, both in terms of the vocabulary used and the procedure. The latter also applies to elaborating local language equivalents, which is not a straight-forward exercise. When concepts and procedures are poorly understood, or viewed as overly complicated, they are unlikely to be used unless there is sustained top-down pressure, defeating the purpose of participatory MEL. Repeated trainings are often required, especially due to staff turnover, but these add to costs.
3. **Lacking resources, capacity and buy-in** are important factors. While resources for adaptation are acutely needed, and authorities at all levels as well as communities are motivated to secure them, MEL is often considered an after-thought and its value may not be obvious to all relevant stakeholders. MEL may therefore not be adequately budgeted for and is often the first casualty when budget cuts have to be made.

References

ADA Consortium (2015) Lessons Learnt: Tracking Adaptation and Measuring Development, available at: <https://www.adaconsortium.org/index.php/component/k2/item/317-lessons-learnt-tracking-adaptation-and-measuring-development>

ADA Consortium (2016) Resilience Assessment Toolkit, available at: <https://tinyurl.com/yyevaxju>

Beauchamp, E. (2020) Presentation at Focelac+ Conceptual and methodological approaches to evaluate adaptation activities to climate change, recording available at: <https://www.facebook.com/Focelac/videos/701323050602922>

Brooks, N., Anderson, S., Ayers, J. Burton, I. and Tellam, I. (2011). Tracking adaptation and measuring development. IIED, London. <http://pubs.iied.org/10031IIED/>

Brooks, N and Fisher, S. (2014). Tracking Adaptation and Measuring Development: a step-by-step guide. IIED, London. <https://pubs.iied.org/10100iied>

Crick, F., Hesse C., Orindi V., Bonaya M. and Kiiru. J. (2019) Delivering climate finance at the local level to support adaptation: experiences of County Climate Change Funds in Kenya. IIED, London. <https://pubs.iied.org/g04415>

DCF Alliance (2019). The devolved climate finance mechanisms: principles, implementation and lessons from four semi-arid countries. <https://pubs.iied.org/G04424/?p=1>

Dixon, J. L., & Stringer, L. C. (2015). Towards a theoretical grounding of climate resilience assessments for smallholder farming systems in Sub-Saharan Africa. *Resources*, 4(1), 128-154.

Douxchamps, S. et al. (2017) 'Monitoring and evaluation of climate resilience for agricultural development – A review of currently available tools', *World Development Perspectives*. Elsevier, 5, pp. 10–23. doi: 10.1016/j.wdp.2017.02.001.

Greene, S. (2019); Lessons from Piloting the Decentralised Climate Finance Programme, Tanzania, at: <https://pubs.iied.org/g04398>

Government of Kenya (2018). National Climate Change Action Plan (Kenya): 2018-2022. Nairobi: Ministry of Environment and Forestry.

The Public Finance Management Act (Makueni Climate Change Fund) Regulations, 2015 Arrangements of Regulations.

Hesse, C. (2017) Assessing Resilience: reconciling community knowledge with government planning, https://www.neareast.org/download/materials_center/DCF_Policy_Brief_En.pdf

LTS Africa (2017). Tracking Adaptation and Measuring Development (TAMD): Guide to Implementation at Sub-national Level

Karani, I., Mayhew, J., & Anderson, S. (2015a). Tracking adaptation and measuring development in Isiolo County, Kenya. In D. Bours, C. McGinn, & P. Pringle (Eds.), Monitoring and evaluation of climate change adaptation: A review of the landscape. *New Directions for Evaluation*, 147, 75–87.

Karani, I., Brooks, N., and Fisher, S. (2015b). Tracking Adaptation and Measuring Development: a manual for local planning. IIED, London. <http://pubs.iied.org/10133FIIED/?k=tracking+adaptation+and+measuring+development>

Keita, A and Koulibaly, P (2017). Tools for resilience assessments and climate-sensitive local planning. NEF, New York. www.neareast.org/download/materials_center/RA_Working_Paper_En.pdf

Near East Foundation (2017a) Policy Brief: Family portraits: a tool for understanding local adaptation strategies https://www.neareast.org/download/materials_center/Family_Portraits_Senegal_brief_En.pdf

Near East Foundation (2017b), Policy Brief: Climate-sensitive community strategies and local planning, accessible at: https://www.neareast.org/download/materials_center/Senegal_Policy_Brief_En.pdf

Near East Foundation (2017c), Policy Brief: Incorporating tools to measure resilience into Mali's local planning systems, accessible on: https://www.neareast.org/download/materials_center/DCF_RA_Tools_Mali_Brief_En.pdf

Near East Foundation (2017d) Tools for resilience assessments and climate-sensitive local planning; https://www.neareast.org/download/materials_center/EV_Senegal_Working_Paper_En.pdf

Vogel, I. 2012. Review of the Use of 'Theory of Change' in International Development. Review Report. UK Department for International Development.

Synthesis of Monitoring, Evaluation and Learning (MEL) approaches from the Devolved Climate Finance mechanism

Lessons from Kenya, Tanzania, Senegal and Mali

June 2021

