AfricaInteract

Enabling Research to Policy dialogue for adaptation to climate change in Africa

Performance Monitoring Framework (PMF)

Regional Focal Organizations

East Africa

Central Africa

West Africa

Southern Africa

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Introduction

Climate has never been a negligible force in Africa's history; but with global warming, its impact is increasing even more, making Africa the most exposed and vulnerable region in the world to the impacts of climate change (World Bank, 2009). Food and water security, livelihoods, shelter, and health are all at risk in rural and urban areas alike. Compounding those challenges are widespread poverty, fragile ecosystems, weak institutions, and other issues. Climate change is thus a key development issue for Africa. While there is unequivocal evidence that the climate is changing, a lot of uncertainty exists regarding the pace and extent of the change and its impacts on different sub-regions, sectors, nations, and communities. This uncertainty makes policy decision-making more complex and magnifies the need for Africa to build its knowledge and analytical base and strengthen the capacity of its country and regional institutions to address climate change-related issues.

Several Assessment Reports of the Intergovernmental Panel on Climate Change (IPCC) have indicated that to render climate change adaptation efforts more efficient, activities must not only rely on scientific knowledge but must also be carried out within a policy and strategic development context that promotes regular consultation among stakeholders. Consideration should thus be given to the establishment of initiatives that capitalize on on-going and emerging actions, that create synergies, and that, in a consultative and concerted manner, identify frameworks and contexts for meaningful interventions that will impact positively on the abilities of communities, countries, and the entire continent of Africa to adequately meet the challenges of climate change. In that view, CORAF/WECARD is spearheading the project "Platform for exchange between African Research Scientists and Policy-makers on climate change Adaptation," which, funded by IDRC, aims at linking researchers and policy-makers to effectively contribute toward enhancing the resilience of vulnerable populations to adapt to climate change in the continent.

The platform will provide the required environment to facilitate consensus on critical areas and appropriate action research gaps in policy options for climate change of relevance to the African continent. The activities related to project results will focus on the following four key strategic thrusts: (i) synthesize and disseminate research results aimed at influencing strategies and practices for adaptation to climate change; (ii) strengthen capacity and implement targeted research on adaptation to climate change; (iii) establish a framework for periodic discussions between stakeholders leading to the formulation of strategic recommendations or policy options related to climate change adaptation in Africa; and (iv) contribute to strategic debates at continental and international meetings to establish an African position on adaptation to climate change.

Monitoring and evaluation (M&E) are widely recognized as being crucial elements of managing and implementing projects, programs, and policies in both public and private sector organizations. The production and use of M&E information during and after an intervention is generally seen as a central plank in systems for reporting and accountability, in demonstrating

performance, and/or for learning from experience and improving future work. While every effort has been made during the development of the project to ensure that planned activities are adequate to deliver the expected results, there is need for monitoring performance to improve practice and ensure accountability. Consequently, a Performance Monitoring Framework (PMF) was proposed to guide the effective implementation of the "Platform for Exchange between African Research Scientists and Policy-makers on Climate Change Adaptation".

1. Purpose of the Performance Monitoring Framework (PMF)

The PMF aims at providing implementation partners with a common and harmonized methodology and tools for data collection and reporting that will enable better decision-making. It is a critical tool for planning, managing, and documenting data collection and contributes to the effectiveness of the performance monitoring system by assuring that comparable data will be collected on a regular and timely basis. The PMF is a vital component of the results-based management approach.

Performance measurement will be undertaken on a continuous basis during the implementation of the project to empower the project management team and other stakeholders with real-time information. The information flows and exchanges among stakeholders will allow the project management team to determine the use of resources and the extent of the project's sphere of influence and progress in achieving expected results (ranging from outputs to immediate outcomes, intermediate outcomes, and the ultimate outcome).

By using the PMF, the project can identify, on a continuous basis, the self-assessment activities to be carried out in collaboration with participants and stakeholders. This includes the assessment of processes, products, and the progress toward expected results, thereby ensuring vital learning and understanding that will contribute to the broader goal of accountability of the project.

2. Results framework of the platform

2.1 General objective

The overall objective of the project is to develop a platform for the effective and efficient transfer of information from researchers to policy-makers with the ultimate aim of enhancing the resilience of vulnerable populations.

2.2 Specific objectives

1. Promote and support effective documentation and sharing of information to improve climate change adaptation policy in Africa.

2. Identify policy gaps, support related action research, and promote the integration of climate change research into development policies, strategies, programs, and projects at continental and sub-regional levels.

2.3 Outputs

The above stated objectives should lead to the following four concrete outputs:
1. Climate change information and knowledge system improved and promoted;
2. Gaps in current knowledge on climate change policy research addressed;
3. Framework for discussions and development of climate change policy options established;
4. Capacity of sub-regional and continental decision-makers to articulate policy options for climate change adaptation strengthened.

The activities planned to achieve each of the four expected outputs are presented in Table 1.

Table 1: Outputs, activities, and milestones of the platform

Expected outputs	Activities	Milestones	Planned activities			
			2011	2012	2013	2014
1. Climate change information and knowledge system improved and promoted	1.1 Support the management of FARA-facilitated Africa-Adapt databases on climate change adaptation at the continental level.	• Data base at FARA upgraded by June 2012.		x		
	1.2 Support access to and extension of Africa-Adapt network to cover all of Africa.	• Stakeholders in South Africa accessing AfricaAdapt network by June 2012. • Stakeholders in North Africa accessing AfricaAdapt network by September 2012.		x		
	1.3 Process all climate data and information into knowledge through experiential learning.	• Fact sheets, brochures, CDs, and posters on adaptation to climate change produced by December 2012 and 2013.		x	x	
	1.4 Promote strategies and practices for adaptation to climate change.	• Dissemination of adaptation strategies and practices promoted at media workshops and economic community levels commencing December 2012.		x	x	x
	1.5 Develop a communication strategy for the project.	• Communication strategy developed by September 2011.	x			
	1.6 Strengthen the CORAF/WECARD communication unit to facilitate the establishment of appropriate links with relevant regional organizations.	• Communication unit established formal links with major news networks in West Africa and East Africa by March 2012. • Communication unit established formal links with major news networks in Central Africa by June 2012.		x		

		• Communication unit established formal links with major news networks in South and North Africa by September 2012.				
	1.7 Disseminate results using online, radio, newspaper, and other suitable media.	• Newspaper publications and radio and TV broadcasts on adaptation issues made commencing December 2012.		x		
2. Gaps in current knowledge on climate change policy research addressed.	2.1 Conduct analysis of current knowledge to identify gaps on climate change adaptation policy options at regional and continental levels.	• Regional reviews on adaptation to climate change related to agriculture, health, water and urban issues completed by September 2012.		x		
	2.2. Conduct research based on policy gaps related to adaptation to climate change at regional and continental levels.	• Call for competitive research on gaps launched by December 2012. • Research results from competitive grants available by June 2013.		x	x	
	2.3. Sensitize decision-makers at different levels on the targeted policy options for climate change adaptation.	• Decision-makers sensitized through workshops and training by June 2012 and June 2013.		x	x	
3. Framework for discussions and development of climate change policy options established.	3.1. Establish mechanisms to bring together actors at different levels to discuss and interact on key questions regarding adaptation to climate change and advocacy of policy options.	• One sensitization and lobbying trip made to ECOWAS and EAEC by June 2012. • One sensitization and lobbying trip made to CAEC, SADEC and North Africa by December 2012. • Researchers share research results on adaptation to climate change at workshops November 2012 and November 2013.		x	x	x

4. Capacity of sub-regional and continental decision-makers to articulate policy options for climate change adaptation strengthened.	4.1 Sensitize and train stakeholders in gender, vulnerability analysis, and conventions related to climate change issues.	• Training workshop on gender, vulnerability analysis, and conventions held by September 2012 for West and Central Africa. • Training workshop on gender and vulnerability analysis held by June 2013 for North, East, and South Africa.				
	4.2 Provide support to decision-makers and lobbyists to participate in international conferences linked to climate.	• Provide support for key decision makers to attend conferences by September 2012 and June 2013.		x	x	

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3. Performance Measurement Framework (PMF)

There is a very wide variety of activities that can influence policy. One way to categorize them is to distinguish between approaches that take the "inside track," working closely with decision-makers, versus "outside track" approaches that seek to influence change through pressure and confrontation. The project will use the inside track approach. Moreover, there is also a distinction between approaches guided by evidence and research versus those involving, primarily, values and interests. This project will rely largely on evidence and research to convince policy-makers in considering issues for the formulation of policies related to climate change. The three types of policies influencing activity are: evidence and advice, public campaigns and advocacy, and lobbying and negotiation (see Table 1). These correspond, roughly, to "advisory," "advocacy," and "lobbying". Each of these typically involve certain sets of activities carried out in certain spaces and through certain channels, and are summarized in Table 1 below.

Table 1. Typology of influencing activities

Type of influencing	Where? Through what channels?	How? By what means?
Evidence and advice	• National and international policy discourses/debates • Formal and informal meetings	• Research and analysis, "good practice" • Evidence-based argument • Providing advisory support • Developing and piloting new policy approaches
Public campaigns and advocacy	• Public and political debates in developing countries • Public meetings, speeches, presentations • Television, newspapers, radio, and other media	• Public communications and campaigns • "Public education" • Messaging • Advocacy
Lobbying and negotiation	• Formal meetings • Semi-formal and informal channels • Membership and participation in boards and committees	• Face-to-face meetings and discussions • Relationships and trust • Direct incentives and diplomacy

Jones, 2011. A guide to monitoring and evaluating policy influence

3.1   What to measure and how

There is a wide diversity in terms of what information is collected when and how for the M&E of policy influence.

3.1.1 Evidence and advice

Policy influencing on this platform is guided by principles of evidence-informed policy-making and by providing knowledge-based inputs. Reviews of literature on climate change adaptation in agriculture, health, water, and urban issues will be done in the five sub regions (North, South, East, Central, and West) of the African continent. In addition, research will be commissioned on the gaps identified during these reviews. The results will be communicated through policy briefs and seminars, sharing research with decision-makers in face to face meetings, and involving them in the design and execution of the work.

Evaluating **outputs** involves looking at the tangible products that are produced by the project to evaluate their quality, credibility, relevance, accessibility, and other factors that are associated with evidence that is influential. Various sets of criteria are available against which they can be judged (Hovland, 2007), and the review could be carried out by consultants and experts who are relatively independent of the project, or by using "blind" reviewing methods common in academia. However, it could prove more useful for a project to get the necessary reviews carried out by people who are part of, or who represent, the "target audience" of the work.

Evaluating **uptake and use** involves looking at the extent to which research or advice is visibly "picked up" and used by others, such as being cited in a government policy paper or mentioned in a newspaper.

- *Uptake logs*: This is simply a log (perhaps an email inbox or database) where comments, anecdotes, and examples of "uptake" or influence are recorded. This would consist of a collection of informal and anecdotal evidence about the use of research or advice, which would provide useful, ongoing information for monitoring and contribute to deeper analyses once a number of instances are accumulated.
- *New areas for citation analysis*: A more proactive approach to understanding uptake and use is citation analysis. In academia, this involves tracking citations in academic journals, although here this could be applied to more policy-relevant areas such as websites, newspapers, international standards, training manuals, policy documents, and operational guidelines.
- *User surveys*: Large-scale questionnaires or smaller scale focus groups can be used to ascertain how much, and in what way, target audiences use and value the outputs provided.

3.1.2 Public campaigns and advocacy

To some extent, the larger public in the various sub-regions will be targeted with the view of sensitizing them to be adequately informed on climate change issues. This will enable them to engage their local influential parliamentarians particularly in cases of representatives who are also members of the Regional Parliament. Regional television and radio networks will be used to raise public awareness on climate change issues.

It is crucial to monitor **the media**. Increased coverage in the media is likely to help messages reach the target audience more consistently or more frequently, and there are a number of ways to measure this. In addition, the way in which the media presents or discusses certain issues can be crucial, as this is thought to be a strong determinant of the public attitudes on the issue. The following tools may be useful:

• *Media tracking logs*, a quick and easy way for project staff to keep track of how campaigns or issues are covered in the media. This could consist of keeping quotes, newspaper clippings, and information about the date and time of reference.

3.1.3 Lobbying approaches

The primary means of influencing policy is often direct interaction with decision-makers, allies, and other key players. This may include participation in negotiations or meetings, direct communication with government ministers, or informal discussions with partners and other contacts. The platform has access to a rich diversity of influential stakeholders who can be solicited to effectively lobby on its behalf. These include the executive director and director of programmes and the governing board of CORAF/WECARD, the executive director of the Forum for Agricultural Research in Africa (FARA), the advisory board of the platform, as well as a host of key stakeholders who are partners. These could either individually or collectively work to influence through persuasion, negotiation, and lobbying.

It has long been recognized that this sort of activity is crucial to shape the course of policy. Some research has found that face-to-face personal interaction is the strongest factor in facilitating the use of particular policy ideas or evidence (Innvaer et al., 2002). While M&E tends to be carried out informally, if at all, this work relies on seeking out and reacting to information on some key factors. Expectations about what kind of M&E can be carried out in these contexts need to be adjusted accordingly. One review of successful lobbying has found that, in addition to clear and focused policy goals, the key strategic capacities required are identifying natural allies, developing relationships and credibility with policy actors, and understanding the nature of the policy process and institutional access (Coen, 2002). McGrath, however, argues that the lobbyist's key working tools are: the monitoring of key players and decision-makers, including their personal history, perspectives and interests; and building coalitions and alliances (often highly temporary) around particular policy goals (McGrath, 2002).

Therefore, **keeping systematic track of the various actors**, their interests, ideologies, capacities, their alignment with program goals, and their relationships with other players, and how all of these change, **is central to managing this type of influence**, and should be the **basis for measuring and understanding one's influence**. Understanding the key institutions and spaces, and how they affect decision-making, is also crucial, as different spaces may shape what kind of policy outcome will occur, based on the structure and rules of dialogue and decision-making. Some useful tools and approaches include:

• *Recording observations from meetings and negotiations* is a useful and low-cost activity. This could be done simply by storing emails, meeting minutes, or back-to-office reports or by using meeting observation checklists to record how particular issues are covered or how different actors behaved.

• *Tracking people and relationships* and the project's interactions with them is another key area. Tracking the quality of relationships and the access to such people provides important information for managing influencing work as well as indications about the credibility and influence of the project.

• *Interviewing informants*. Interviewing people with knowledge about the institutions and processes, or particular actors with whom the project is working, can provide invaluable guidance. These could be people with technical expertise on an institution, who have years of experience with a particular individual or organization, or who are well-placed in terms of their role in decision-making processes.

Table 2.   Tools for M&E of policy influencing

Influencing approach	Outcomes; what to measure	How; tools
Evidence and advice	Outputs	Evaluating research reports, policy briefs, and websites
	Uptake and use	Logs; new areas for citation analysis; user surveys
	Influence	RAPID outcome assessment; episode studies; "most significant change"
Public campaigns and advocacy	Target audience attitudes, behaviour, etc	Surveys, focus groups, direct responses
	Media attention	Media tracking logs, media assessment
	Media framing and influence	Framing analysis; coverage
Lobbying approaches	Actors, relationships, policy processes, and institutions	Recording meetings, tracking people, interviewing key informants, probing influence

4. Impact/outcome/output performance, measurement of the platform

Each level of the objective hierarchy or results chain (general, specific, outputs and activity) has unique performance questions (defined by objectively verifiable indicators and targets) and its own information needs (monitoring mechanisms). Three types of results indicators have been established in the platform logical framework (Annex 1) to measure the achievement level of the platform, namely, impact (general objective), outcome (specific objective), and outputs. The impact indicators correspond to the project's general objectives, while the outcome and output indicators are respectively attached to the project's specific objectives and outputs.

4.1 Performance indicators and their definitions

The M&E unit at the executive secretariat of CORAF/WECARD will ensure that each performance indicator has a detailed and clear definition. The definitions will include the unit of measurement and method of determining the indicator to ensure that different people at different times, given the task of collecting data for a given indicator, would collect identical types of data.

4.2 Data sources

Data are to be sourced in surveys and progress reports of the platform. Other specific sources of data are stated in the platform log frame in the annexes. However, to effectively monitor progress on the platform, the M&E unit at CORAF/WECARD will identify the specific data sources for each performance indicator, and these sources are the entities from which data will then be collected. The tools highlighted above will be used to reflect the policy nature of the platform.

4.3 Plans for data collection

Table 2 gave an overview on the data to be collected and on the methods for data collection and analysis. However, more detailed methods for data collection will be developed later. The data collected will be stored and processed using appropriate softwares. Draft survey questionnaires for this purpose will be established in due course and shared with platform members for validation. With regard to outputs and activity level indicators, relevant data to the indicators and milestones defined will be collected on a quarterly/semester basis or directly from the produced studies and mission reports.

4.4 Responsibilities for monitoring tasks

The M&E unit at the level of executive secretariat of CORAF/WECARD will be responsible for data collection, together with the project's M&E field staff, and ensure data entry analysis using appropriate softwares to report according the specification of the results chain of the platform. The data collected will be aggregated into a regional database to inform policy decisions on adaptation to climate change in Africa.

4.5 Plans for data quality assessment

Data quality control is primordial to ensure evidence based decision-making process on the platform. The M&E Unit at the executive level of CORAF/WECARD will set up mechanisms to ensure that all data sources related to the assessment of the platform's performance is objective and reliable. The M&E will develop and implement a data quality control strategy known as Data Quality Assessment (DQA). The M&E field staff will provide most data, and this requires that the M&E at CORAF/WECARD must ensure that the data collection procedures do not present risks to data quality. For that purpose, training will be provided to the M&E staff for proper data collection. At the level of CORAF/WECARD, the M&E specialists will conduct necessary checks in filed visits, and during such visits, the validity, accuracy, reliability, and appropriateness of the data collected by the field M&E staff will be assessed. Practical recommendations will then be provided to improve deficient processes.

4.6 Plans for data analysis, reporting, review, and use

The M&E unit at CORAF/WECARD is currently developing a system for data collection and analysis that takes into consideration how performance data for individual indicators or groups of related indicators will be analyzed and reported. The system will also be able to integrate the data analysis techniques and data presentation formats to be used by all participants.

In order to effectively manage for results, the M&E unit will implement a system of regular internal and external reviews to assess progress, briefings, and reporting in order to inform management on the platform's progress and performance. Such a system will clarify what, how, and when management decisions will consider and make effective use of performance information.

The design of the platform has stipulated that CORAF/WECARD must deliver bi-annual and annual narrative reports by the end of the first month of the next semester. For example, the project started in the beginning of April 2011, so the first bi-annual report was due by September 30, 2011, and the next report will be due by March 31, 2012, and so on. The bi-annual narrative report must include the M&E results-based report, in a specific format. The guideline for the narrative reports is attached in Annex 3.

Annex 1: Project log-frame: Platform for Exchange between Policy-makers and Researchers on Adaptation to Climate Change in Africa

Narrative summary	Objectively verifiable indicators	Means of verification	Assumptions
General objective			
To develop a platform for the effective and efficient transfer of information from researchers to policy-makers with the ultimate aim of enhancing the resilience of vulnerable populations.			
Specific objective			
1. To promote and support effective documentation and sharing of information to improve climate change adaptation policy in Africa.	• Level of recognition of AfricaInteract by regional economic bodies and key continental organizations as a platform for exchange between researchers and policy makers on climate change adaptation in Africa • Number of tailored-made synthesized documents on climate change adaption made available to stakeholders in Africa • • Number of various categories of scientists, policy makers, civil society sensitized on climate change adaptation policy in Africa • .Perceptions of stakeholders on improvements to climate change adaptation policy	• Annual report of FARA • Report of AfricaAdapt • Reports of regional economic communities • Reports of the United Nations Convention on Climate Change • End-of-project evaluation report • Survey report on the perceptions of stakeholders	1. Climate change remains a high priority for sub-regional and regional organizations. 2. National governments invest in mainstreaming climate change policies and strategies into the national agenda. 3. Political will to prioritize the climate change agenda is maintained. 4. HIV/AIDS, malaria, and TB do not threaten budgets, initiatives, or benefits. 5. International policy does not negate gains.
2. To identify policy gaps and support related action research to provide policy options for adaptation to climate change at continental and sub-regional levels.	• Number of studies conducted to analyze and synthesize policy gaps • Number of synthesized documents on policy gaps in Africa produced • Number of evidence based policy options related to climate change adaptation in Africa proposed to Regional economic communities and continental organizations		
Results			
1. Climate change information and knowledge system improved and promoted.	• Change in the capacity of the AfricaAdapt portal to store and manage climate change information • Number and quality of postings from AfricaInteract hosted on the AfricaAdapt online portal/ database • Number of stakeholders visiting AfricaAdapt portal	• Project reports • Annual reports of CORAF/WECARD • AfricaAdapt platform reports	1. Political will to invest and engage in climate change initiatives is maintained. 2. HIV/AIDS, malaria, and TB do not reduce effectiveness of products. 3. Non-project economic and technical support to stakeholders is maintained or improved.

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	from regions outside West and East Africa that are currently covered AfricaAdapt	• RECS annual reports • Reports of sub-regional and regional (continental) stakeholders and partners	4. Infrastructure and political environment continues to support project initiative.
2. Gaps in current knowledge on climate change policy research addressed.	• Number of synthesis reports on adaptation to climate change related to agriculture, health, water, and urban issues produced • Number of researchable climate policy-relevant issues identified. • Number of climate policy-relevant issues addressed/analyzed and recommendations proposed to regional economic bodies and continental organizations.	• Synthesis reports • Policy briefs	
3. Linkages for discussions and development of climate change policy options established between researchers and policy makers	• Number of direct meetings between regional economic bodies and key representatives of Africa Interact and other stakeholders • Number of policy makers and scientists linked through meetings and various workshops • Number of possible networks formed between/among researchers and policy makers	• Project reports • Annual reports of CORAF/WECARD AfricaAdapt platform reports • RECS annual reports • Reports of sub-regional and regional (continental) stakeholders and partners	
4. **Capacity of sub-regional and continental decision-makers to articulate policy options for climate change adaptation strengthened.**	• At least 50 key individuals in decision-making and/or decision influencing positions at regional and continental level have a better understanding on issues of climate change. • At least 25 key individuals supported to advocate for enhanced adaptation to climate change at international fora on climate change	• Same as above	

Annex 2: Performance monitoring of project activities

Monitoring of project activities: Year 2011					
Planned activities	Expected results	Achievements	Explanations	Recommendations	Decisions

Annex 3: Format of progress report

	Chapter	Content
	Executive summary (1-2 pages)	- Political, institutional, and climatic changes that affected progress of the project. - Synthesis/overall appraisal of progress of the project in achieving each of the set objectives/outcomes. - Budgetary implementation/major deviations. - Major challenges encountered/to be resolved (by whom?). - Major recommendations (to whom?) and proposed solutions (by whom?).
	Acronyms Table of contents	
1	Introduction	- Aspects dealt with during the period (half-year or year) - How did the period end in terms of achieving the initial forecasts?
2	Objectives	- Outcomes of the project and an appraisal of the general progress made toward realizing such outcomes. - State whether the objectives are attainable before the end of the period.
3	Outcomes	- Outcomes of the project and an appraisal of the general progress made toward realizing such outcomes. - Discuss the relevance of the strategies put in place per outcome (or set of outcomes), if necessary (see also 5).
4	Activities	- Annual operation plan: Mention the organization of major or upcoming activities and their levels achieved. - Discuss the major challenges dealt with in the operation plan to justify the rapid progress/delay of work as compared to the previous year.
5	Implementation strategy	- Discuss the strategies put in place (gender, communication, involvement of partners, empowerment, local ownership, transfer of knowledge, etc.) for the proper realization of activities and outcomes. - Propose relevant changes and evaluate if there will be any further contributions (human resource, budgetary).
6	Budgetary implementation	- Analyze the level of implementation (in connection with the annual budget) for each budget heading: explanation of shortfalls (under or over implementation, and comments made on possible deviations and their effect on budget equilibrium at the end of the year. - General budgetary assessment as compared to the physical implementation report.

7	Challenges encountered	▪ In terms of the progress of the component (i.e., an objective, outcome, group of activities, a partner, available funds, coordination among stakeholders, strategic approach of the activities, or administrative aspects) state the challenges encountered that could stall the progress of the component. ▪ Constraints.
8	Key suggestions, recommendations	▪ Regarding the challenges encountered (or anticipated), make comprehensive recommendations to one or several specific partners (if possible to the structure that is responsible for their area.)
	Annexes:	▪ Chart of working plan / annual activities ▪ Balance score sheet for the M&E indicators ▪ List of documents produced during the period