



# ROUTES TO RESILIENCE

## INSIGHTS FROM BRACED YEAR 2

Paula Silva Villanueva and Victoria Sword-Daniels

Synthesis paper





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**In memory of Isidore Zongo, Country Director of Welthungerhilfe in Burkina Faso.**

# Contents

Acronyms	3
Executive summary	5
1. Introduction and background	12
1.1 The BRACED programme	12
1.2 Purpose and structure of the report	13
2. Methodology	15
2.1 Making sense of project data	15
2.2 Moving from project data to a broader view	17
2.3 Limitations	18
3. Summary of year 2	20
3.1 Improving knowledge, understanding and commitment towards climate and disaster resilience	21
3.2 Strengthening skills and practices to manage climate and disaster risks	23
3.3 Building partnerships to deliver interventions for resilience	24
3.4 Improving decision-making through inclusive resilience-building	25
3.5 Resilience outcomes	26
3.6 What effect have shocks and stresses had in year 2?	28
4. Pathways to resilience: emerging themes	30
4.1 Layering and linking	31
4.2 Including	44
4.3 Responding and adapting	50
4.4 Scaling and embedding	61
5. Conclusion	68
5.1 What have we learnt from year 2?	68
5.2 Key messages and implications for practice	70
5.3 Going beyond the data: reframing the debate	77
Annex 1: Components of the BRACED programme	81
Annex 2: BRACED theory of change	82
Annex 3: BRACED M&E 'infrastructure'	83
Annex 4: The BRACED projects	84
Annex 5: Project screening grid	85
Annex 6: Mapping of project activities	86
Annex 7: Thematic mapping	87
Annex 8: Detailed summary of progress, year 2	92
Annex 9: Illustrative examples – layering and linking a combination of activities	99

## List of tables

Table 1: Programme synthesis analytical framework	16
Table 2: Year 2 BRACED climatic context	29

## List of figures

Figure 1: Synthesis methodology	16
Figure 2: BRACED Areas of Change	21
Figure 3: Pathways to resilience – enabling processes	31
Figure 4: A layered approach to capacity-building	33
Figure 5: Illustrative example – layering and linking a combination of activities through community plans	37
Figure 6: Pathways to resilience – enabling processes towards resilience outcomes	69

## List of boxes

Box 1: Improving awareness and the use of climate information	22
Point for reflection 1: Quick wins matter as they provide practical examples to engage communities and ensure buy-in of resilience-building efforts	35
Point for reflection 2: How far do female participation and representation lead to changes in gender relations and female empowerment?	47
Point for reflection 3: Progress is more effective when project interventions are designed to work with the context rather than against it	60
Case in point 1: Linking VSLAs to private sector and markets, a challenging pathway	39
Case in point 2: Engaging religious leaders can help change attitudes to financial services	46
Case in point 3: Implementing project activities through local groups can support communities to cope when faced with small-scale shocks and stresses	52
Case in point 4: In a context of insecurity, working in partnerships enables projects to adopt alternative approaches to implementation	53
Case in point 5: Flexibility in project implementation and responding to community needs is key in fragile and conflict-affected states	55
Case in point 6: Working across scales requires design-in pathways from the start	65



## Acronyms

<b>3As</b>	Absorb, Anticipate and Adapt
<b>BRES</b>	Building Resilience by Changing Farming, Forestry and Early Warning Practices (BRACED) project
<b>BRICS</b>	Building Resilience in Chad and Sudan (BRACED project)
<b>CBF</b>	Community Business Facilitator
<b>CIARE</b>	Climate Information and Assets for Resilience in Ethiopia (BRACED project)
<b>CIS</b>	Climate Information Service
<b>CTS</b>	Crescent Takaful Sacco
<b>DCF</b>	Decentralising Climate Funds (BRACED project)
<b>DDRA</b>	Darfur Development and Reconstruction Agency
<b>DFID</b>	Department for International Development (UK)
<b>DRR</b>	Disaster Risk Reduction
<b>EWS</b>	Early Warning System
<b>FEWSNET</b>	Famine Early Warning Systems Network
<b>FM</b>	Fund Manager
<b>IP</b>	Implementing Partner
<b>IRISS</b>	Improving Resilience to Climate Change in South Sudan (BRACED project)
<b>LAPA</b>	Local Adaptation Plan of Action
<b>LGA</b>	Local Government Authority
<b>LWW</b>	Live With Water (BRACED project)
<b>KM</b>	Knowledge Manager
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MAR</b>	Market Approaches to Resilience (BRACED project)
<b>MRR</b>	Monitoring and Results Reporting
<b>PHASE</b>	Providing Humanitarian Assistance in Sahel Emergencies
<b>PNRM</b>	Participatory Natural Resource Management
<b>RIC4REC</b>	Renforcement des Initiatives Communautaires pour la Résilience aux Extrêmes Climatiques (BRACED project)

<b>SUR1M</b>	Scaling up Resilience to Climate Extremes for over 1 Million People (BRACED project)
<b>ToC</b>	Theory of Change
<b>UK</b>	United Kingdom
<b>VSLA</b>	Village Savings and Loan Association





# EXECUTIVE SUMMARY

Image: USAID

Two years into implementation of the Building Resilience and Adaptation to Climate Extremes and Disasters (BRACED) programme, this report collates and synthesises evidence from BRACED project Implementing Partners' (IPs') year 2 annual reports, to understand how projects are building resilience. These findings, lessons and recommendations contribute to the growing body of evidence and learning about 'What works, in what contexts and why?' in terms of resilience-strengthening. It is hoped that the report will contribute to a deeper understanding of the practical implications of resilience as a concept and how it can be assessed and measured to inform the design and commissioning of programmes.

A separate report, 'Routes to resilience: Lessons from monitoring BRACED, year 2' reflects on the monitoring and evaluation (M&E) framework and the experiences of the BRACED Knowledge Manager (KM) in improving and applying this in its second year.

The BRACED programme operates in some of the most fragile and challenging countries in the world. While the programme is not explicitly conflict – or security-focused, many of the projects are implemented in a context affected by conflict or instability. BRACED projects cover a wide range of issues, from securing, servicing and promoting trans-border livestock mobility across the Sahel, to sharing skills and technology to improve the uptake of climate

information in Ethiopia, to supporting smallholder farmers in Nepal to take advantage of economic opportunities and investments in climate-smart technologies. The BRACED KM is contributing to a growing evidence base on ‘What works and what does not to build resilience?’, to effect change across and beyond the BRACED focus countries. This report documents at the programme level how BRACED projects are contributing to building resilience to climate extremes and related disasters, and lessons we have learnt from this.

## Key findings

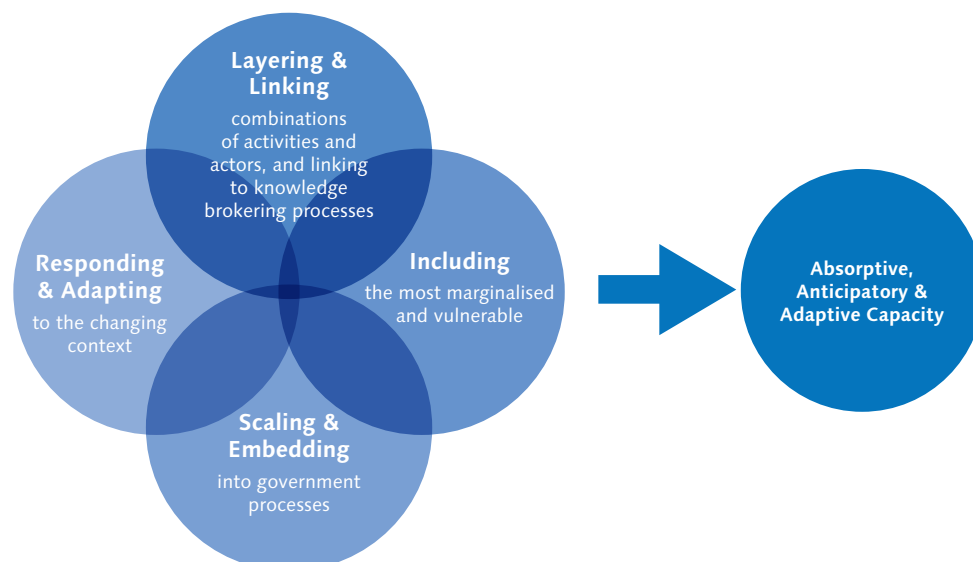
BRACED projects are still being implemented and, as such, results reported by IPs are reflective of the continued delivery of the programme.

BRACED is a unique programme with ambitious aims, delivered in challenging and volatile contexts. The second year of implementation has provided more substantive and insightful evidence of changes across the programme, allowing us to deepen our understanding of the four main enabling processes through which BRACED projects are building resilience. These are:

1. **Layering and linking** a set of processes and activities
2. **Including** the most vulnerable and marginalised to address inequalities
3. **Responding and adapting** to the changing context
4. **Scaling and embedding** efforts into on-going government processes

Analysis of these results makes it clear that these four processes are overlapping and interrelated, but the extent of this overlap and the nature of the interactions between them remain unclear. Having said this, evidence highlights that these processes are key, not only to understand resilience and interpret results across the programme but also to generate a better understanding of *how* and *in what* ways BRACED projects are building resilience.

### Pathways to resilience: enabling processes towards resilience outcomes





A focus on four key processes enables a more holistic way of thinking, drawing insights that cut across the pathways to resilience. While these four processes broadly encapsulate the processes of change within BRACED, they may remain somewhat fluid as our understanding grows. Yet the four themes point directly to the underlying assumptions of the programme, which broadly resonate with current thinking about resilience-building programme design.<sup>1</sup> From the synthesis of evidence in year 2, we derive a set of seven key messages, which reflect our interpretation of what this evidence means for building resilience, accompanied by the implications for future practice (see Section 5.1). Our aim is that these seven key messages and their implications will support learning and promote a deeper evidence-based discussion about resilience-building practice both within BRACED and beyond.

**1. Activities alone are not enough to build resilience at community level; they need to be integrated, tailored to the context and sequenced to ensure quality.** In promoting change, the quantity, range or diversity of activities may be less important than developing the 'right' mixture of activities, actors and processes to enable change. Activities therefore need to be integrated – bound by a logical process of change and sequenced and timed to ensure impact. For example, projects in BRACED have found that introducing new income-generating activities and/or strengthening existing livelihoods requires a combination of access to knowledge (e.g. climate information or technical services), trainings, livelihood-based inputs (e.g. seeds or livestock), community-based infrastructure (e.g. wells for livestock to drink from or for irrigation), community-based institutions (e.g. livelihood groups, savings groups) and buy-in from local government, to support change. Key to facilitating these change processes are the roles played by knowledge-brokers and trusted intermediaries who link knowledge with action.

**Implications for practice:** Project designs need to include nested theories of change, with a robust assessment and identification of the logic, sequencing and integration of the combinations of activities, actors and processes that lead to change. Theories of change need to be based on realistic timeframes, including longer lead-in times to build relationships and reflecting what can be achieved within existing timeframes. At the programme level, theories of change need to provide an overarching vision while retaining some level of specificity of projects' underlying assumptions.

**2. Building resilience requires equality: projects must move beyond fostering participation of the most vulnerable towards addressing the root causes of exclusion.** Most projects in BRACED are ensuring women are 'included' in activities, such as participatory fora and income-generating activities. These projects have reported improvements in inclusion at the household level but it remains unclear to what extent deeply embedded discriminatory norms are shifting. Building resilience requires going beyond ensuring participation

<sup>1</sup> Frankenberger, T., Constan, M.A, Nelson, S. and Starr, L. (2014) Resilience programming among nongovernment organisations. Lessons for policymakers. Washington, DC: International Food Policy Research Institute.

of marginalised groups in project activities to address the root causes of exclusion. The few projects that are pursuing inclusion through, for example, promoting equal access to land rights as a pathway toward resilience are making slow but steady progress towards challenging the causes of exclusion at the local level. They are doing this through building the awareness and understanding of multiple actors, as well as the skills and resources to enable change. However, evidence to date is weak and it remains to be seen if BRACED, at large, can fundamentally shift the structural constraints that are the root causes of inequality over its relatively short three-year timeframe.

**Implications for practice:** To promote inclusion, designs need to include multi-faceted and multi-scale strategies from the start, and to ensure the buy-in of multiple actors to progress along pathways towards inclusion. Designs need to reflect realistic timeframes about what can be achieved with existing levels of funding and timeframes.

**3. Context matters: there are different trajectories for resilience-building so assessments of progress should be relative to the starting point.**

BRACED IPs are working across a variety of contexts, some more enabling than others. These contexts are dynamic: some are undergoing major shifts in governance and others are in the midst of climate and/or conflict-related shocks and stresses. In contexts where constraints have dominated (i.e. conflict or weak governance structures), projects have had to scale back their ambitions. In contexts where opportunities have arisen, projects have changed their course to better align with local, regional and/or national priorities. Given that opportunities, challenges and pathways to change differ, trajectories of resilience vary in different contexts. Projects working in enabling contexts may see faster progress towards improving resilience capacities, yet small changes, for example in improving women's access to finance at household level, can be transformative in challenging contexts like South Sudan. Given this, simplistic assessments of project success based on 'results' alone are not appropriate for measuring achievements.

**Implications for practice:** More nuanced assessments of progress relative to the starting point of each project are necessary. Projects operating in fragile and conflict-affected states require both alternative models for development and a more sustained effort to build resilience.

**4. Resilience programmes need to move beyond responding and learning-by-doing, towards more meaningful flexible and adaptive programming.**

Resilience programming is about working under uncertain conditions and being responsive and adaptive to emergent change as contexts evolve. BRACED projects are designed to adopt flexible and adaptive approaches to implementation and have had to adjust these as they learn about the opportunities and challenges of the context. However, at present, and as would be expected, most projects are incrementally 'learning by doing' with little critical reflection. There appears to be little evidence of systematic critical reflection based on a growing understanding of underlying assumptions of context-specific change processes. Such reflection may take time, and may become more apparent in final evaluations, as the Realist Evaluation



approaches adopted by IPs encourage the unpacking of project-level theories of change. Engaging in these deeper reflections highlights that challenging assumptions of change is an important criterion for resilience programming.

**Implications for practice:** Questioning underlying assumptions about how change happens through M&E efforts needs to be considered a key criterion for resilience programming.

**5. Reaching scale and embedding change is possible at a local level, but the scope for success is limited without complementary investments at the national and regional levels.** Although BRACED projects, overall, are engaged across scales, most engage at the community and local government level to facilitate change ('bottom-up' approaches). Indeed, BRACED projects have demonstrated different entry points and pathways that show locally rooted transformation is possible. Yet transformational change at national and regional level within the lifetime of the programme will be limited without complementary 'top-down' investments through institutions and policies at these levels. Although part of the original BRACED programme design, direct institutional support at national and regional level has not yet started. BRACED has focused on scaling and embedding to set the stage for transformation through community-based projects and bottom-up approaches, improving the relationship between communities and government. However, the sustainability of interventions is highly dependent on structural changes in governance and gender relations to better manage climate extremes.

**Implications for practice:** For transformational impact to be sustained, projects and programmes need to invest **both** in 'top-down' investments through institutions and policies at national and regional level and 'bottom-up', by directly supporting communities.

**6. Building adaptive capacity is essential for strengthening resilience: projects must address the trade-offs between realising short-term priorities and providing for longer-term community needs.** Building adaptive capacity enables the development of solutions in line with a deteriorating climatic context – allowing households and communities to make longer-term, more sustainable changes to avoid becoming 'locked into' solutions that either are reactive or may be maladaptive in future. Most improvement has been reported in absorptive and anticipatory capacities; there is a lack of evidence to determine whether adaptive capacity has increased as a result of BRACED investments. Building adaptive capacity is deeply embedded in building anticipatory and absorptive capacity, but the extent to which these two capacities – as perceived and built by BRACED projects – include adaptive elements is less clear. The long-term approach needed to build adaptive capacity appears to be in contrast with a more short-term, 'response'-driven approach prioritised by communities to build absorptive and anticipatory capacity. Integrating climate change adaptation in efforts to build anticipatory and/or absorptive capacity may be a viable pathway to ameliorate the trade-offs between achieving short – and long-term goals.

**Implications for practice:** At design stage, more honest and clearly articulated strategies should be clear about which capacities projects are aiming to contribute to. In addition, project designs need to consider potential trade-offs and complementarities between short – and long-term goals.

**7. The access, translation and use of long-term weather and climate information is crucial to build adaptive capacity and transformational change.** Most BRACED projects have focused on providing beneficiaries with access to short – and medium-term weather information. While projects have generally been successful at facilitating communities' access to climate information, improving its use has been more challenging and projects have adopted a range of approaches to translation and communication. Longer-term climate information is used by few projects and at a very small scale. Though crucial for strengthening adaptive capacity, long-term information is more complex to access, understand and use. Yet al. BRACED projects are operating in a deteriorating climate context, with global consensus that the most vulnerable are facing increasingly frequent and severe climatic shocks and stresses as a result of global warming. Including local communities in knowledge generation and use requires intensive training and structures that not only enable people to understand and engage with the process but also facilitate and incentivise community engagement over time. This is especially the case for longer-term climate information, which requires sustained knowledge and use. Infrastructure, technical capacity and costs are all key barriers to the use of climate information that projects tackle, but exit strategies remain unclear. Moving from the provision of information towards community empowerment is key to sustainability. Building a longer timeframe perspective around climate information into project activities from the very start should support greater emphasis on activities to strengthen adaptive capacity across projects more generally.

**Implications for practice:** Establishing sustainable mechanisms for communities to access weather and climate information, beyond the programme, needs to be a priority in project and programme design. Going forward, donors and project implementers are advised to consider what is feasible when it comes to the use of longer-term information, considering projects' different starting points and contexts. Specifically, projects need to make sure they are not promoting livelihoods that will not be resilient in the future.

## Reframing the debate

The findings and evidence generated in BRACED over a two-year period provide a solid foundation to move beyond the conceptual to the practicalities and realities of actually designing, implementing and monitoring resilience-building programmes. This allows us to move away from questioning 'What is different about building resilience?' or 'How long does it take to build resilience?' to a more refined set of questions that reframe the debate towards practical implications for resilience programming.

Resilience-building programmes generally adopt a multidimensional approach to help target populations face and adapt to shocks and stresses, and to foster learning and transformation within changing contexts. Such an approach requires integrated programmes that work with multiple actors and across scales to address long-term needs and priorities beyond the capacity of any single organisation or entity. Given the scale and scope of resilience programmes, such programmes can become large and complicated, working under the assumption that 'more activities lead to better outcomes' or that building capacities alone is enough, without sufficient attention to structural changes to address the root causes of vulnerability. While multi-faceted programmes may tick all of the boxes, they may still fall short of delivering resilience programming if focus remains on the 'elements' of resilience rather than also on the processes needed to facilitate and support change.

This points to the need for integrated resilience programmes that balance *what is essential in resilience programming* with *what is feasible in practice* and *the most effective approaches and processes within each context to achieve meaningful change*.

### Building resilience is an on-going process that depends on existing, emerging and changing context; therefore, building resilience does not have an endpoint that can be achieved within a project timeframe

To this end, resilience programmes should seek to support stakeholders within their context to move along development pathways, while also building capacities to enable coping, adaptation and transformation in the face of climate and disaster risk. Commitment to supporting fundamental change in the most vulnerable contexts must take priority over quick results.

If we agree that, at their core, problems defined in context are development issues, then 'results' are development outcomes. It is a focus on resilience as a *process* that makes resilience programmes different, and the results of the process are 'good' development outcomes. At the programme level, there is therefore a need to move away from ticking boxes against resilience outcomes, and instead moving towards measuring programme processes towards achieving positive development outcomes. If the processes of resilience-building are coherently linked and layered, inclusive, responsive and adaptive and scaled and embedded, and integrate science, then outcomes will follow. This leads to the question, '*How can we better tell the story of resilience-building processes?*' Such narratives open up the black box of 'how' resilience is being built, leading to an improved understanding that fosters learning for practice.





# 1. INTRODUCTION AND BACKGROUND

Image: Asian  
Development Bank

## 1.1 The BRACED programme

The three-year, £110 million, UK Department for International Development (DFID)-funded Building Resilience and Adaptation to Climate Extremes and Disasters (BRACED)<sup>2</sup> programme aims to build the resilience of up to 5 million vulnerable people against climate extremes and disasters. BRACED was launched in January 2015 and comprises over 120 organisations working in 15 consortia across 13 countries in East Africa, the Sahel and Asia. The 15 projects are led by BRACED Implementing Partners (IPs), who are connected through a Fund Manager (FM) and a Knowledge Manager (KM).<sup>3</sup> The FM is responsible for overseeing the delivery of BRACED projects. The KM leads monitoring, evaluation and research activities based on the projects at the programme level. The evidence and knowledge generated feed into learning, uptake and communication activities in order to effect change across and beyond the BRACED focus countries (see [annex 1](#) for more information

<sup>2</sup> [www.braced.org](http://www.braced.org)

<sup>3</sup> BRACED Knowledge Manager (2016) Learning about resilience through the BRACED programme: An introduction to the role of the BRACED Knowledge Manager. BRACED Knowledge Manager Information Leaflet.

about the BRACED components). The BRACED Resilience Exchange<sup>4</sup> summarises existing learning from across the programme about what works to strengthen resilience, supporting the process of ensuring evidence is put into use in policy and programmes.

The annual programme-level synthesis and analysis of BRACED projects' yearly monitoring and results reporting is a key contribution to the BRACED KM's work. This is based on a BRACED programme Theory of Change (ToC) (see annex 2) and supporting monitoring and evaluation (M&E) framework and system developed by the KM Monitoring and Results Reporting (MRR) team to understand how resilience is being built in BRACED. For further information on the BRACED ToC and M&E framework and system, see the companion report, 'Routes to resilience: Lessons from monitoring BRACED, year 2'<sup>5</sup> and the BRACED M&E Guidance Notes.<sup>6</sup> To understand how the MRR work fits within a broader M&E system implemented by both the KM and the FM, see annex 3.

## 1.2 Purpose and structure of the report

This report examines the question '*How are BRACED projects building resilience to climate extremes and disasters?*' It outlines key evidence and findings in response to this central question, bringing together and synthesising evidence from IPs' year 2 project annual reports at the programme level. It is anticipated that further research, monitoring and evaluation by both IPs and the KM during the remainder of the programme will build on this work.

**This report examines the question  
how are BRACED projects building resilience  
to climate extremes and disasters?**

What makes BRACED rich is its diversity of projects, contexts and approaches. Even though programme-level themes have emerged, these have been implemented differently in different contexts in practice – and this report aims to illustrate such diversity and differences in approach. The content of the report is substantial, to make it possible to sufficiently represent and analyse the data of 15 different projects, from a programme perspective, using the three different lenses of the BRACED M&E framework (Table 1).

- 4 BRACED (2017) BRACED Resilience Exchange: What have we learned so far? BRACED: August 2017. Available at: [www.braced-rx.org](http://www.braced-rx.org)
- 5 Silva-Villanueva, P., Gould, C. (2017) Routes to resilience: Lessons from monitoring BRACED, year 2. BRACED Knowledge Manager Reflection Paper.
- 6 Silva-Villanueva, P., Gould, V., Gregorowski, R. and Bahadur, A. (2015) BRACED programme monitoring and evaluation guidance notes. BRACED Knowledge Manager.

The report is structured as follows:

**Section 2** presents the M&E framework that guides the data collection and analysis, as well as the methodology used to analyse and synthesise the data to draw findings up from project to programme level.

**Section 3** presents a summary of progress in year 2, set out against the BRACED M&E framework. This is to situate the reader within an understanding of progress to date, and in relation to the shocks and stresses experienced in year 2.

**Section 4** present findings that are structured using the cross-cutting empirical themes of the data. This deeper analysis points to a set of interrelated intangible processes that lead to change. Where data are available, under each theme we explore processes from the pathways through to outcomes and transformation, so as to outline the evidence to date on trajectories of change. This contributes to our growing understanding of how change is happening across the BRACED programme.

**Section 5** draws the previous sections together, teasing out seven key messages from this body of evidence. Each key message is accompanied by lessons that present points for reflection for BRACED, as well as implications for future programme design. A final section moves beyond the data to contribute to reframing the debate around resilience-building in practice.

A companion report produced at the same time as this one, *Routes to resilience: Lessons from monitoring BRACED, year 2*, examines a related question: 'What lessons have we learnt from the monitoring and results reporting efforts to date in BRACED?' This Reflection Paper reflects on the M&E framework itself and the experiences of the KM during year 2. This report focuses on how change is happening across the BRACED programme rather than on the project or programme results *per se*. The Synthesis Report does not aim to evaluate BRACED project-level interventions or pass judgement on IPs' progress or performance.

This report is aimed at the following audiences:

**BRACED project IPs**, as a qualitative assessment of year 2 results, evidence and learning across projects. This will enable further shared learning between the KM and IPs, as well as peer-to-peer learning on how change is happening in BRACED. This may, in turn, support IPs' own revision of their project ToCs.

**BRACED KM**, as a foundational piece of evidence that informs the wider KM evidence generation process. The KM's Resilience Exchange report drew on the content of this report.

**BRACED donor DFID**, as a qualitative assessment of year 2 results, evidence and learning across projects. It is anticipated that DFID will be most interested in how the BRACED programme has built resilience so far.

**Others designing, implementing and funding resilience-building programmes**, as a contribution to broader sectoral knowledge about designing and implementing resilience-building programmes. The findings, lessons and recommendations from this report build on the work of BRACED project IPs firmly grounded in practice.





## 2. METHODOLOGY

Image: Ollivier Girard, (CIFOR)

### 2.1 Making sense of project data

BRACED IP year 2 annual reports detail the progress and learning of the 15 projects against the BRACED M&E framework. The BRACED M&E framework tracks progress against complex change processes. In BRACED, monitoring and results reporting aims to go beyond asking 'Is the set of BRACED projects taking the actions they said they would take?' to ask 'How is BRACED progressing towards the expected change?' The difference between these two approaches is extremely important. In the more limited approach, monitoring and reporting may focus on 1) tracking project activities and outputs and 2) the use of resources. The broader approach also involves reporting on project:

- pathways that enable projects to move from outputs to outcomes
- context, and how this has affected the project's resilience-building efforts
- outcomes in terms of resilience capacities and transformational change
- assumptions, and how and if they remain valid.

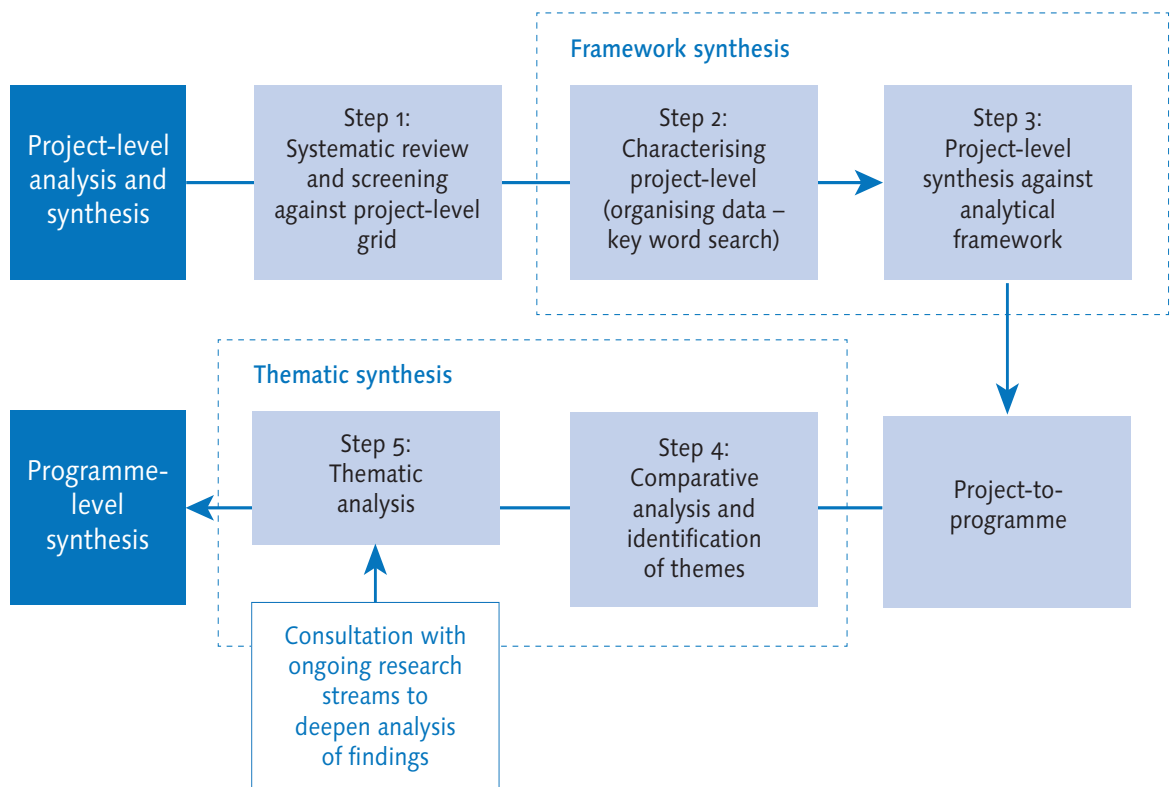
Project IPs have provided systematic qualitative and explanatory reporting against each of these dimensions. This report combines a framework and thematic synthesis approach to identify themes across the BRACED projects and enable a programme-level analysis. Framework and thematic synthesis

are an approach to systematic qualitative synthesis that is often used to identify, analyse and report patterns (or recurring themes) within primary qualitative data, to explain and answer particular questions. Table 1 summarises the framework used and its questions, which formed the basis of the project – to programme-level synthesis (based on the M&E framework).

**Table 1: Programme synthesis analytical framework**

OVERARCHING QUESTION	THEME	SUB-QUESTIONS
How are BRACED components A&B building resilience to climate extremes and disasters?	Pathways to resilience	How are BRACED projects improving knowledge, understanding and commitment of stakeholders?  How are BRACED projects strengthening skills and practices of different stakeholders?  To what extent is working in partnerships improving BRACED project interventions?  How are BRACED projects influencing decision-making processes?
	Contextualising change	What impact have shocks and stresses had?  To what extent is the context enabling or constraining change?
	Understanding resilience outcomes	To what extent can we see change happening in terms of capacity to anticipate, adapt to, absorb climate shocks and stresses, and achieve transformation?

**Figure 1: Synthesis methodology**



## 2.2 Moving from project data to a broader view

Based on learning from year 1, in year 2 we modified our planned approach to analysis and synthesis.<sup>7</sup> The final project – to programme-level synthesis was undertaken following five main steps, as Figure 1 illustrates.

### Project-level analysis and synthesis (Steps 1–3, July 2017)

- First, based on lessons from year 1 and the pilot coding trial, we modified the project screening grid (see annex 5), which comprises a set of 23 questions that allow a close examination of each component of the BRACED M&E framework. These questions form the *a priori* categories for structural coding.<sup>8</sup>
- We then systematically coded the set of project annual reports using the project screening grid. During this process, we identified some recurring key words for each question, which were specific terms projects used. We used these terms to systematically search the reports, to ensure we captured the main findings of each. The team also coded any emergent or unexpected findings to ensure all dimensions of the data were captured.
- At this stage, we summarised the findings in an Excel spreadsheet against each of the 23 questions, and used this tool to organise the data into project-specific descriptive themes. This approach resulted in a clear understanding about each project's efforts and challenges to date.
- We then synthesised each annual report at the project level against the analytical framework (Table 1). This produced a new interpretation that went beyond the results reported in the IP's report, providing coherence across projects. This process was guided by the expert knowledge and by interpretation of the MRR team based on our intimate knowledge of the programme.

### Project – to programme-level synthesis and analysis (Steps 4–5, July–August 2017)

- Once project-level data were synthesised against a common set of questions and framework, we proceeded with a programme-level thematic synthesis. We used comparative analysis, looking across the project-level syntheses to seek emergent patterns within the data relating to the core question of this report. This step allowed us to look across the 15 projects, not just at the activities being undertaken (for a mapping of activities,

<sup>7</sup> This year we coded IP reports directly in Word using the project screening grid questions and a colour coding system for ease of returning to the data; we documented a clear set of instructions for the project-level analysis and synthesis process (Step 1); and, each member of the MRR team completed all tasks within Step 1, rather than dividing the analysis from the synthesis tasks across the team. We then trialled the full project-level analysis and synthesis process in a pilot coding exercise to ensure the standardisation of definitions and clear understanding of the entire process across the team.

<sup>8</sup> Saldaña, J. (2009) *The coding manual for qualitative researchers*. London: Sage Publications; Gibson, W. J. and Brown, A. (2009) *Working with qualitative data*. London: SAGE.



see annex 6), but to see varied approaches to implementing project-level activities. With more data on the changes that have resulted from project-level activities in year 2, we were able to identify 'how' the changes are coming about in each context. There are commonalities in the approaches taken that reveal new insights into important processes that are leading to change.

- Content analysis led to the identification and mapping of the recurring patterns, which form 'empirical' themes at programme level (for a mapping of the themes, see annex 7). A rule of thumb was used whereby a minimum of three occurrences of an idea represents a pattern within the data (a theme).<sup>9</sup> These empirical themes were then related to one another, as it became clear there were cross-cutting processes that connected them, with insights drawn from across the Areas of Change. The themes were grouped by the overarching process that connects them, to form the four core concepts (processes) used to structure this report (Section 4).
- To triangulate and deepen analysis and understanding of the findings, we conducted consultations with the KM research streams. These are climate information and services; conflict; gender; reality of resilience; climate resilience and financial services; the role of contingency mechanisms in resilience programmes (PHASE); and the role of innovations in building climate resilience.

Finally, we facilitated a webinar with representatives from seven IPs (6 October 2017) to present preliminary findings and provide a space for them to share further inputs and lessons based on their own reporting experiences. We triangulated findings and the wider KM and the FM, and explored the findings and conclusions with DFID.

## 2.3 Limitations

The IPs' annual reports are the main source of data providing the evidence base for the programme-level analysis and, subsequently, this report. They are explicitly self-reported,<sup>10</sup> in recognition that the MRR is a facilitated process of cogeneration of evidence and shared learning on resilience-strengthening. The synthesis has attempted to overcome any shortcomings this may create by referring to MRR team knowledge of the projects as well as the BRACED Mid-Term Review<sup>11</sup> and other FM and KM data sources. Meanwhile, and additionally, our analysis can draw only on what is included in the reports. We do not have evidence of what is not reported and whether these activities are leading to change (or not), and why.

<sup>9</sup> Berg, B. L. (2009) *Qualitative research methods for the social sciences*. 7 edition. Boston, MA: Allyn & Bacon.

<sup>10</sup> The MRR team worked with the FM to improve the second annual report and train the IPs in its completion. The companion report 'Routes to resilience: Lessons from monitoring BRACED, year 2' offers more information on the reporting templates.

<sup>11</sup> Leavy, J., Boydell, E. and McDowell (2017) *Making progress*. BRACED at the mid-term. BRACED Knowledge Manager Synthesis Paper.

The year 2 project annual reports reveal that there are growing insights into how resilience is being built, with increased reporting about the changes observed and evidenced over the past year. This has moved the reporting beyond outputs. IPs reported against all aspects of the BRACED M&E framework, and often very comprehensively, but a number of factors have limited the analysis. And yet, we avoided many of the original risks identified when planning the synthesis, and most of those that did arise were anticipated:

- BRACED projects cover a wide range of issues and operate in very different contexts, from promoting trans-border livestock mobility across the Sahel, to supporting smallholder farmers in Nepal to take advantage of investments in climate-smart technologies. As with year 1, **context specificity has proven a challenge for the programme-level analysis and synthesis and for the aggregation of what is a large and diverse dataset**. This report sought to address this challenge by following a similar approach to in year 1, using thematic synthesis. This is an effective approach, which has enabled the identification of common patterns and themes across the set of projects. In addition, building on the learning from last year, we modified reporting templates to support improved reporting, and refined our coding and analysis processes (see Section 2.2). Lessons learnt from the thematic synthesis are captured in a separate report.
- There was a noticeable improvement and increase in the number of **IPs reporting against outcome-level results<sup>12</sup> for year 2** (10 of the 15 IPs provided these data), but two factors continue to constrain robust reporting. First, there are no project-level M&E systems in place to measure and report on outcome-level results on an annual basis in recognition of the time required to see tangible outcome results. IPs originally planned for baseline, mid-line and end-line data collection. Second, many of those reporting at the outcome level this time indicated that it was **too early in the programme to see outcome-level change**. However, all IPs were able to outline how their projects were contributing to building resilience capacities as well as transformational change.
- While a great deal of data was received from each project, there is **limited detailed analysis of how change happens and of how the context is enabling or constraining change**. This report sought to overcome this by consulting with BRACED Evaluation Teams as well as KM research colleagues in order to deepen the analysis based on their BRACED evaluation and research work (see Section 2.2).

The companion report, *Routes to resilience: Lessons from monitoring BRACED, year 2*, further explores some of these challenges and issues in terms of the evidence and learning they offer on how to monitor and measure resilience-building.

<sup>12</sup> End-line data against resilience outcomes will be collected during final project evaluations. Data are expected to be publically available by June 2018.



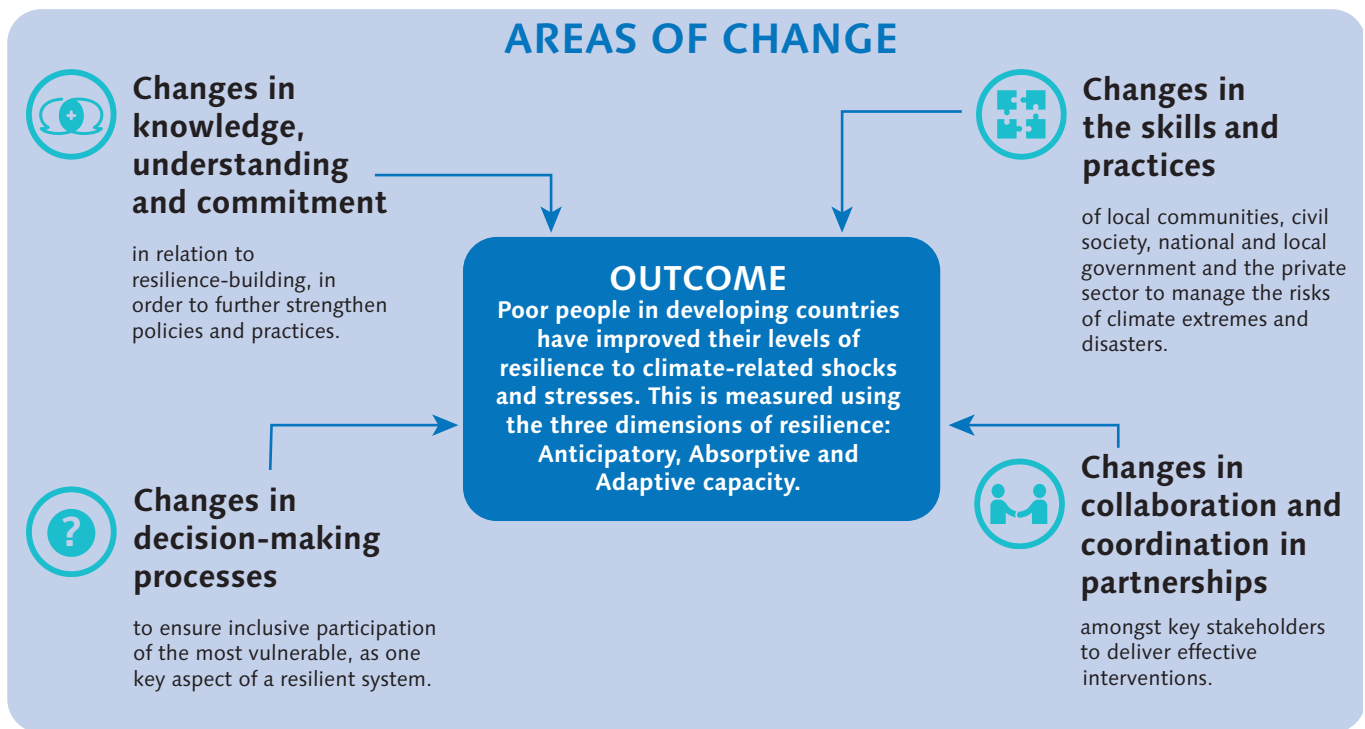
# 3. SUMMARY OF YEAR 2

Image: Neil Palmer  
(CIAT)

The BRACED programme ToC identifies four interrelated 'Areas of Change' through which change is anticipated to happen to achieve the programme's long-term objective. These form an integral part of the BRACED programme-level M&E framework. As Figure 2 illustrates, they enable us to better understand the set of processes that link project outputs to resilience outcomes and ultimately to impacts on human well-being. They also provide the framework for assessing BRACED's trajectory towards impact. With more data available in Year 2, an analysis of progress against the Areas of Change led to the identification of four interrelated processes that reveal how projects are building resilience. This is further explored in [Section 4](#).

This section provides a summary of progress made during year 2 set out against the BRACED M&E framework. This is to situate the reader within an understanding of progress to date. For a more detailed assessment of IPs' progress and achievements during year 2, see [annex 8](#).

Figure 2: BRACED Areas of Change



### 3.1 Improving knowledge, understanding and commitment towards climate and disaster resilience

The BRACED programme ToC hypothesises that awareness, knowledge, understanding and commitment to act underpin individuals' capacities and hence capacity-building processes. At this level, activities are geared towards influencing commitment to act and generating incentives to adopt and apply new practices. The main stakeholders in BRACED projects are local communities and local authorities.

Progress against this Area of Change is on track. During year 2, all projects made substantial progress in terms of improving access to and use of climate and weather information. Projects continued to engage stakeholders in knowledge-generating activities, through tailoring knowledge-building activities to local needs; capacity-building of staff, project partners and facilitators or lead farmers; translation from scientific French and English to local languages; and finding effective ways to communicate information.

These activities have been effective in improving the knowledge base and securing stakeholders' willingness and commitment to participate in BRACED. An increased number of projects, 10 in total, reported positive changes in both knowledge and practices related to the use of climate information at a local level, for instance to support village-level planning or to inform agricultural



and pastoralist activities.<sup>13</sup> However, evidence on this local use remains anecdotal or at a small scale, and several projects are still limited in terms of their facilitation of the use of climate information within communities, particularly for longer-term (beyond seasonal) information. These challenges relate in part to building user trust in forecasts, as well as to regional or national capacities for forecasting (see Sections 4.1.1 and 4.1.2). For further information about how projects are accessing and using climate information, see Box 1. Section 4.1 (Layering and Linking) explores these approaches in more detail.

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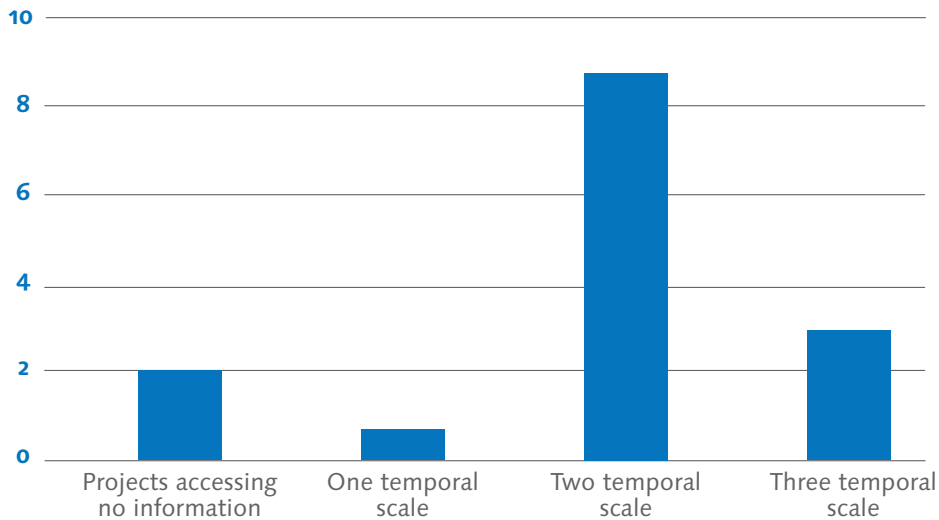
**Box 1: Improving awareness and the use of climate information**

During year 2, all IPs continued to focus on improving awareness and knowledge about access to and use of climate information. Consortia rely on a range of different sources for climate and weather information. Most commonly, they acquire data from national meteorological and government departments, through openly accessible formats and bulletins and, when this is not possible, via collaboration agreements (e.g. BRES, RIC4REC, CIARE, MAR and Zaman Lebidi). In addition, consortia continue to rely on regional or international institutions such as AGHRYMET and the Famine Early Warning Systems Network (FEWSNET) for the provision and translation of climate and weather information.

This year, most projects reported accessing information at two different temporal scales, focusing mainly on the short and medium term. Rainfall data were the most commonly accessed and used. Most projects are increasingly layering different time scales across daily, decadal and seasonal information yet this information is being used mostly to inform short-to medium-term decisions. Seasonal rainfall forecasts mainly provide input into the planning of agricultural and pastoralist activities. Daily and decadal information complements these seasonal forecasts and supports resilience by allowing for an anticipation of gaps in rainfall as well as facilitating near-time adaptation of decisions around when and what to plant or when to move livestock. IPs continue to act as both users and knowledge-brokers, translating and communicating information in innovative ways to facilitate understanding and use, such as via community radios, flipcharts or mobile devices.

<sup>13</sup> Anukulan, CIARE, DCF, Livestock Mobility, Myanmar Alliance, PROGRESS, RIC4REC, SUR1M, BRES, Zaman Lebidi.

**Number of projects using climate and weather information to build resilience at different temporal scales**



Note: Temporal scales were interpreted differently between projects; this figure is not based on a common definition but on IPs' self-reporting.

Gaps in the temporal and spatial layering of information are still large around longer-term timeframes to inform strategic decision-making, as well as around the availability and interpretation of localised data needed to increase the relevance and use of information at community level. The latter seems to be a continuous challenge across all regions (PRESENCES, PROGRESS, BRICS, Myanmar Alliance).

### 3.2 Strengthening skills and practices to manage climate and disaster risks

Building resilience is a complex process that involves more than building knowledge and awareness. The BRACED ToC hypothesises that changes in knowledge and awareness can lead to shifts in practice if people have the capacity to take action.

Progress against this Area of Change is on track. During year 2, considerable progress was made, with a significant number of capacity-building and training activities continuing to take place for a wide range of stakeholders, including local communities, governments, technical staff and private sector providers. Strengthening technical skills to improve livelihoods, income generation and access to financial resources was a key area of work this year. There is emerging evidence that the trainings are prompting changes in behaviour, attitudes and practices regarding climate-smart agriculture, livelihoods, livelihood decision support, health and hygiene and community resilience investments. The integration of weather and climate information into these activities

is key. IPs target a variety of entry points to build capacities along the climate and weather information value chain; from data generation and supply,<sup>14</sup> to intermediary communication channels<sup>15</sup> (reaching beyond project participants), to end users (e.g. project staff, government officials, communities).<sup>16</sup> By coupling climate information with improving climate-related agricultural skills and practices, farmers are now able to use new approaches and techniques, which is improving their yields and in some cases leading to a surplus that they can use to increase capital.

The importance of context is key to interpreting results in year 2. While successes have started to emerge, IPs are still dealing with key challenges related to lack of infrastructure and formal structures to support capacity-building around agriculture development, banking, marketing and processing business.

Overall, progress to date suggests this work is contributing and will continue to contribute to BRACED outcomes on improving resilience and transformational change. Factors affecting the success of training activities include going beyond training to provide additional support (material or mentoring) as well as gaining endorsement from sub-national and national government (physical presence or relevant plans and policies). Section 4.1 (Layering and Linking) explores these success factors.

### 3.3 Building partnerships to deliver interventions for resilience

The BRACED programme ToC hypothesises that building effective partnerships is a central means to effectively achieve BRACED outputs and outcomes. Work in this area covers changes in the collaboration and coordination of partnerships established to deliver better project and programme results. Working through a diverse set of partnerships was a criterion for applying to BRACED in the first place. It is therefore a feature of the programme's design and, in turn, is driven by it.

Progress against this Area of Change is on track. During year 2, *all* IPs strengthened partnerships forged in year 1 and also sought new partnerships. Across the portfolio, improved engagement of actors has generated buy-in for BRACED activities, improved the development of tools and approaches within and beyond BRACED and led to more synergy among stakeholders. Partnerships have lent resource and capacity to BRACED projects, including a wider range of technical expertise, required for a diverse range of strategies. As a result, emerging evidence suggests partnerships are proving effective; speeding up and smoothing implementation; and enabling BRACED projects to achieve results they could not have done alone. These include brokering access to hard-to-reach groups or wider networks; providing technical knowledge, resources

<sup>14</sup> E.g. Zaman Lebidi.

<sup>15</sup> BRES, Zaman Lebidi, SUR1M.

<sup>16</sup> E.g. Anukulan, DCF, BRES.

and services; generating avenues for scaling-up and scaling-out of interventions (including collaborations with other initiatives in project areas); and helping foster buy-in and demand for interventions, increasing the potential for sustainability. Partnerships have been and will continue to be essential for the projects to achieve their intended results. Sections 4.1, 4.2, 4.3 and 4.4 further explore the roles of partnerships.

There remain some challenges with partnerships, including lengthy bureaucratic processes, as well as time and resource constraints of project partners and distrust, either associated with understanding the purpose of BRACED projects or as a legacy of previous failed project initiatives<sup>17</sup> (see Section 4.3.4). Many of these challenges were overcome throughout year 2 through engagement, particularly as projects delivered against their commitments, building trust.<sup>18</sup> However, there are key challenges for projects operating in fragile or conflict-affected states, as they face unpredictable changes in local or national-level actors, reduced possibilities for partnerships with the private sector and a lack either of government capacity (human and material resources) or of incentives to support initiatives or help embed them for future sustainability<sup>19</sup> (see Section 4.3.2).

### 3.4 Improving decision-making through inclusive resilience-building

The BRACED ToC hypothesises that ensuring decision-making processes are inclusive is a key aspect of a resilient system. Progress against this Area of Change is behind, as evidence of change remains weak. However, during year 2, projects showed improvement towards increased inclusion (responsiveness) and also participation of vulnerable groups in decision-making processes at both the household and the community level. Most progress to date has been made in ensuring the participation of women in decision-making processes at household and community level. This is supported by anecdotal evidence suggesting early signs of change towards greater participation.

Coupled with building awareness of the importance of including vulnerable and at-risk groups in decision-making, participatory approaches are the main strategy used within projects to promote inclusion. These have provided platforms for vulnerable groups (predominantly women and pastoralists) to take part in the decision-making and planning processes that acknowledge and address their relevant challenges. To support these approaches, projects use quotas to ensure representation, engage with diverse stakeholders to promote multi-stakeholder participation and have informed policy for decision-making. Further, at the household level, projects provide targeted trainings (mainly for women) to build new skills and support income generation (see Section 4.2).

<sup>17</sup> MAR, Anukulan, CIARE, Livestock Mobility.

<sup>18</sup> PROGRESS, BRICS.

<sup>19</sup> IRISS, BRICS.



Despite efforts, inclusion remains largely localised, and progress is slow. This level of progress is to be expected, as inclusion is a long-term goal that involves a variety of interventions and actors, as well as a general change in cultural and social norms and supporting governance processes to achieve legitimacy for marginalised groups. Progress to date indicates we are unlikely to have sufficient evidence to draw conclusions about the inclusion and empowerment of women and marginalised groups by the end of the BRACED programme. Section 4.2 further explores the pathways towards inclusion.

## 3.5 Resilience outcomes

The BRACED ToC assumes changes in knowledge, understanding and commitment, skills and practices, partnerships and decision-making for inclusive resilience-building will lead directly to the outcome that poor people have improved levels of resilience to climate-related shocks and stresses. This outcome is measured using three interlinked capacities to absorb, anticipate and adapt to shocks and stresses (the 3As).

The BRACED ToC hypothesises that people's capacity to anticipate, absorb and adapt to shocks can be built, enhanced and reshaped through transformational changes. Put differently, BRACED intends to move beyond supporting incremental changes in people's resilience and to support a more radical shift in the distribution of vulnerability in BRACED project locations. To this end, the ToC posits that bottom-up and top-down approaches are necessary. The bottom-up element comprises the 15 field-based projects (the focus of this report). The assumption is that, through the provision of national policy and capacity support (Component D of the programme), the project-level community-based approaches will achieve and deliver sustained outcomes and have impacts on people's resilience to climate extremes. Unfortunately, Component D has not been implemented yet.

### 3.5.1 3As

This year, there was much more data available for the various outcome indicators the IPs use to generate evidence of progress against the different resilience capacities. During year 1, progress was noted mainly against building anticipatory and absorptive capacity. In year 2, IPs showed positive results in building adaptive capacity, apart from in two projects.<sup>20</sup> Adaptive capacity has been built mainly through the use of climate information, with some evidence that this use has enabled communities to take decisions that have helped them adapt to a certain disaster impact or to changing climate conditions.

The use of climate-smart technologies has also been a key factor in building adaptive capacity, as have income diversification and job creation, although these are additionally associated in some cases with absorptive capacity.

<sup>20</sup> 1) DCF did not report against adaptive capacity; 2) BRICS did not report clear results for Sudan.

Enhanced adaptive capacity is described in detail in the IPs' reports in terms of activities implemented; however, behavioural changes (e.g. in farmers taking into account long-term risks in planning crop activities) is less described, and is sometimes considered an aspect of friction with the other two capacities given their shorter-term nature. Behavioural change is an aspect of adaptive capacity where evidence of progress remains weak.

In spite of the progress in year 2, some tension remains between achieving the long-term impacts required for building adaptive capacities and the shorter-term nature of anticipatory and absorptive capacities, which still appear the most 'needed' by communities to improve resilience. Section 5 explores implications for practice.

### 3.5.2 Transformation

Year 2 provided much stronger evidence of processes of transformation as projects progressed with their implementation, but this remains in the early stages. Compared with year 1, the evidence points to progress throughout the portfolio. As some IPs acknowledge, their year 3 plans reflect moves to 'scale out' for greater impact. Project planning reflects a linear sequence from community work to 'scale up'. Similar to year 1, the main pathways for transformation are through catalysing other actors, particularly those in local government, to take up project approaches or interventions, and through empowering women. This year there are also examples of greater variation, for example through partnerships with private sector actors.

**Transformative outcomes will remain  
a challenge for the BRACED portfolio,  
as transformation processes tend to be  
locally rooted and the linkages to scale  
at the outcome level remain unclear**

In year 2, most IPs reported tentative evidence of change – but none reported no evidence of change. Transformative outcomes will remain a challenge for the BRACED portfolio, as transformation processes tend to be locally rooted and the linkages to scale at the outcome level remain unclear. The potential is evident, but this outcome is particularly dependent on mobilisation of the final component on institutional capacity (component D) as there are limits to the degree to which projects can achieve this policy-level change without complementary engagement in reform processes. The outcome will continue to be affected by the progress of higher-level reform processes and the political dynamics of context, especially for projects operating in conflict – and security-affected environments.

### 3.6 What effect have shocks and stresses had in year 2?

The BRACED ToC situates climate and disaster resilience as an outcome, which, in turn, will contribute to the BRACED programme's ultimate goal of improving human well-being. This understanding implies that the main objective of BRACED projects is to build the capacity of poor people to anticipate, absorb and adapt to climate-related shocks and stresses for the achievement of the more fundamental goal of improving human well-being in the context of shocks and stresses. Understanding how BRACED is contributing to strengthening resilience cannot take place in isolation from the climatic context within which IPs operate. Table 2 presents a summary of the climatic context during year 2; more detail for the different regions in which BRACED projects work is available in '2016 in review: BRACED in the context of climate shocks and stresses'.<sup>21</sup>

During years 1 and 2 of BRACED, some IPs accessed and made use of contingency funding (PHASE)<sup>22</sup> to deal with shocks and stresses affecting their projects. An evaluation of the PHASE contingency mechanism for resilience provides more detail on the BRACED experience of crisis modifiers in the Sahel. During year 2 of BRACED, climate – and disaster-related shocks affected nearly half of the countries in which projects operate, affecting project progress.<sup>23</sup> Extreme events produce crucial moments for reflection and learning, providing a testing ground for what works well (and not so well) for building resilience during an actual climate shock or stress.<sup>24</sup> However, year 2 annual reports provide only limited detail about the climatic context within which projects operate, and how and the extent to which activities and strategies IPs implement deal with this. Section 4.3.2 presents the evidence for how project-led initiatives have supported communities to cope. Section 4.3.5 discusses the ways in which the capacities built have reduced the impact of shocks and stresses.

<sup>21</sup> The KM is documenting in real time what works to strengthen resilience during extreme climate events through its [Reality of Resilience](#) initiative.

<sup>22</sup> Through the DFID–ECHO Providing Humanitarian Assistance in Sahel Emergencies (PHASE) programme, BRACED IPs operating in the Sahel are able to apply for contingency funding ahead of/during a crisis in order to protect BRACED resilience gains. A total sum of £1.5 million is available to Sahel-based IPs; this is disbursed through the FM.

<sup>23</sup> DCF, PROGRESS, CIARE, Zaman Lebidi, MAR.

<sup>24</sup> The KM is undertaking a specific piece of work, [Reality of Resilience](#), to support the generation, collection and dissemination of evidence on resilience during and after extreme events. [More information is available here.](#)

**Table 2: Year 2 BRACED climatic context**

TIMING	CLIMATE SHOCKS AND STRESSORS	REGION/ COUNTRY	NUMBER OF PEOPLE AFFECTED	IMPLEMENTING PARTNER
April 2016	Floods	Ethiopia	493,080	CIARE, Market Approaches To Resilience
June, July 2016	Floods	Burkina Faso	34,893	Zaman Lebidi, Changing Farming Practices
June, July, August 2016	Floods	Niger	126,266	PRESENCES, SUR1M, Livestock Mobility
July 2016	Floods	Senegal	10,646	Decentralizing Climate Funds
July 2016	Floods	Mali	9,500	RIC4REC, Decentralizing Climate Funds, Livestock Mobility, SUR1M
July 2016	Floods	Myanmar	852,227	Myanmar Alliance
2014–17	Drought	Myanmar	Unknown	Myanmar Alliance
2015–16	Drought	Ethiopia (northeast)	10,200,000	CIARE, Market Approaches To Resilience
June–August 2016	Floods	Sudan	90,000	BRICS
2016–17	Drought	Ethiopia (south)	Unknown	CIARE, Market Approaches To Resilience
2016–17	Drought	Kenya	1,254,600	PROGRESS





# 4. PATHWAYS TO RESILIENCE: EMERGING THEMES

Image: Ollivier Girard, (CIFOR)

This section presents the findings from the synthesis of progress to date at the programme level. In spite of their wide range and diversity of contexts and approaches, BRACED projects share a number of common themes in relation to the processes and pathways through which they are contributing to resilience-building. Evidence from year 1 enabled us to better understand how IPs had established the building blocks for change, as well as the challenges and lessons related to this. Progress made during year 2 enables us to introduce new learning according to our improved understanding of the processes by means of which resilience has been built and strengthened. This generates, at the programme level, a deeper and more nuanced understanding around the central question of this report: 'How is BRACED building resilience?'

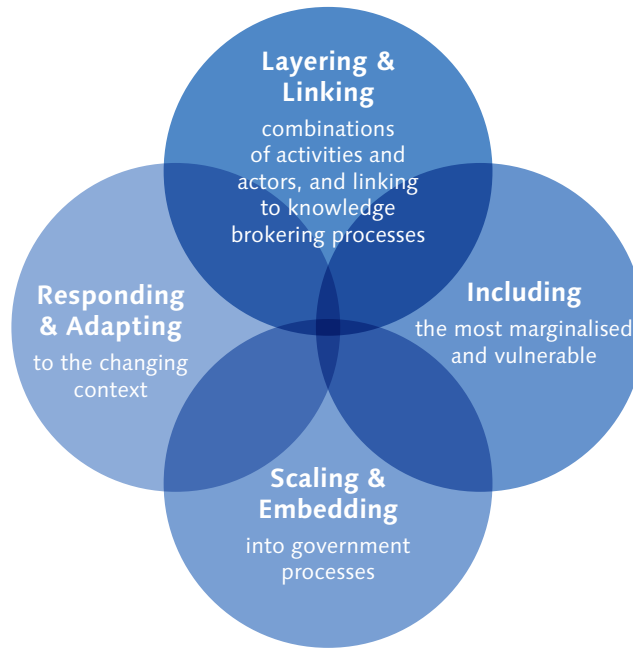
This section presents a set of cross-cutting and overlapping empirical themes in the data.<sup>25</sup> A comparative analysis, looking across the project-level synthesis to seek emergent patterns within the data relating to the core question of this report, points to four interrelated processes that lead to change:

- **layering and linking** (Section 4.1) – a set of processes to maximise synergies
- **including** (Section 4.2) – socially marginalised groups and tackling root causes of inequality

<sup>25</sup> See [annex 7](#) for a detailed thematic mapping.

- **responding and adapting to context** (Section 4.3) within which they work to build on opportunities and address contextual challenges
- **scaling and embedding** (Section 4.4) – approaches to promote uptake and sustainability.

**Figure 3: Pathways to resilience – enabling processes**



To date, the extent to which these four processes overlap and the nature of the interactions between them remain unclear. The following sub-sections provide an analysis of each of these themes and explore the extent to which each of these processes is contributing to resilience capacities and transformational change.

## 4.1 Layering and linking

The BRACED ToC posits that resilience is multidimensional and therefore resilience-building programmes require a multi-sectoral approach to improve absorptive, anticipatory and adaptive capacities. However, the ToC does not elaborate or specify any approaches for implementation. The evidence to date highlights that, in practice, integrated programming goes beyond working across sectors; rather, it requires a layered and linked approach to implementation of the following processes:

1. layering and linking different capacity-building pathways to bridge the gap between knowledge and action
2. layering and linking a combination of activities so as to address multi-sectoral and multidimensional issues.

This theme explores each of these approaches, drawing together the evidence from across the Areas of Change (see Section 2.2). Evidence to date enables us to identify which and in what ways the combination of activities, partners and interventions are contributing to change. Efforts to link project activities to other non-BRACED programmes are considered a critical pathway towards effective implementation and maximising impact. These are further explored in Section 4.4 (Scaling and Embedding).

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## SUMMARY

- **The provision of information and training activities is not enough to bridge the gap between knowledge and action.** A layered approach to capacity-building includes establishing knowledge intermediaries and decision support mechanisms, influencing the enabling environment and providing critical resources for implementation and uptake.
- **Layering and linking of climate information is crucial for informing resilience-building activities, but its use is challenged by high costs, capacity requirements and short project timeframes.** Projects have addressed this challenge through finding innovative ways to translate and communicate information in more accessible ways. Yet the financing approaches to source climate and weather information lead to questions as to the sustainability of achievements to date.
- **Multi-sectoral and integrated approaches to resilience-building may run the risk of becoming a set of *ad hoc* project activities.** The real challenge lies in understanding the timing, sequencing and layering of different activities and processes.
- **The timing and sequencing of processes and interventions has critical implications for generating important lessons for project design and delivery.** Demonstrating tangible results on the ground proves critical to ensure buy-in and, more importantly, to close the gap between knowledge and practice, but *'How long does it take to see results emerging from one activity to engage communities in others?'* *'How many activities should target a specific individual/household or community?'* And, more importantly, *'How many activities can or should/be implemented in a three-year project?'* Such questions may start to challenge the assumption that layering and linking different components is essential to create a pathway to build resilience capacities. This should be an area of further investigation in the next year's annual report as well as in final evaluations.

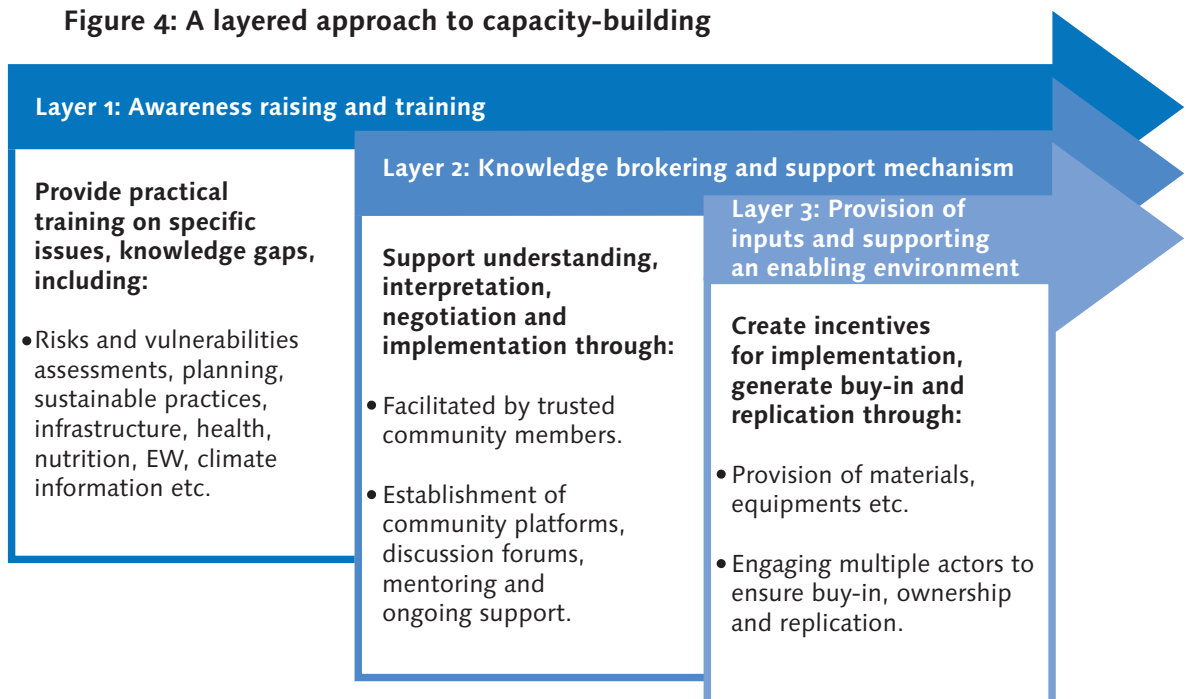
Overall there are signs of improvement in anticipatory and absorptive capacities but evidence to date does not allow for an exhaustive assessment of progress towards adaptive capacity. It is too early in the programme to validate the BRACED ToC in relation to its integrated approach to resilience-building. Evidence to date: See [Section 5](#) (Key message 1) for the implications for future resilience-building efforts, design and practice.

### 4.1.1 Layering and linking pathways to capacity-building

The BRACED ToC hypothesises that improving the knowledge base, coupled with strengthening skills and capacities to manage the risk of climate extremes and disasters, will lead to shifts in practice. Progress to date highlights that the path from knowledge to skills development, and then to changes in practice, is not smooth and is far from fixed. Capacity-building encompasses a number of inter-linked learning processes; its cumulative impact enhances the potential for individuals to strengthen their capacities to absorb, anticipate and adapt to shocks and stresses. Rather than a linear path from knowledge to action, translating knowledge into practice is largely dependent on the layering of capacity-building processes, through which information is shared and skills are built.

Translating knowledge into practice  
is largely dependent on the layering of  
capacity-building processes, through which  
information is shared and skills are built

**Figure 4: A layered approach to capacity-building**





As Figure 4 illustrates, evidence to date suggests a layered approach to capacity-building includes three interlinked processes.

The following paragraphs illustrate practical examples of how the different layers work in tandem to facilitate the transition from knowledge to skills development to changes in practice.

### Layer 1: Awareness-raising and trainings

During year 1, IPs largely focused on this layer, raising awareness and providing trainings to address critical knowledge gaps against specific issues. See *Routes to Resilience report year 1* for a detailed assessment. Yet evidence from this year highlights that, although intake of information is important, it is not sufficient in and of itself.

### Layer 2: Knowledge-brokering and support mechanisms

During year 2, BRACED projects took a step further in their capacity-building processes by not only implementing community trainings but also acting as knowledge-brokers through trusted and respected community members. This was particularly the case for translating and communicating climate information, where IPs are taking on intermediary roles, helping users acquire, understand, value and consider climate information within their decision-making processes (see annex 6). For example, **PRESENCES** trained community facilitators, who shared this information with other farmers and agro-pastoralists in the intervention zone. In these trainings, the project used visual presentations to facilitate the understanding of climate information and enable its use in decision-making. Yet, when project-level technical capacities are limited, the selection, processing and interpretation of data remain difficult. Several IPs highlighted this as a challenge. **Anukulan** and **DCF** worked to overcome parts of the capacity gap through staff trainings or partnering with technical agencies and radio stations. Nevertheless, this raises questions about how project partners, local or national authorities and communities evaluate the quality of the climate information and forecasts they access or receive and the extent to which they trust this information. The role of non-governmental organisations in supporting climate services is an on-going area of investigation in BRACED.<sup>26</sup>

Beyond translating and communicating climate information, all IPs have played an intermediary role in enabling communities to access, share and discuss knowledge and experiences. Support mechanisms in BRACED take a variety of forms, including demonstration sites,<sup>27</sup> community platforms,<sup>28</sup> exposure visits,<sup>29</sup>

<sup>26</sup> Jones, L., Harvey, B. and Godfrey-Woods, R. (2016) *The changing role of NGOs in supporting climate services*. BRACED Knowledge Manager Resilience Intel.

<sup>27</sup> IRISS, BRES, Zaman Lebidi, PRESENCES, RIC4REC, BRICS, Myanmar Alliance, SUR1M.

<sup>28</sup> BRES, PRESENCES, PROGRESS, CIARE.

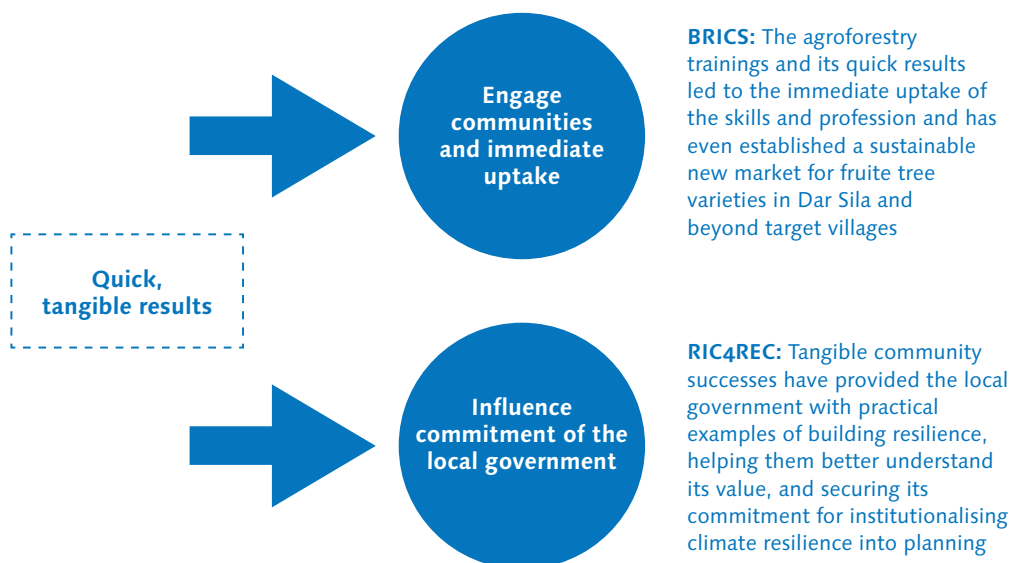
<sup>29</sup> MAR, Anukulan.

dialogue/negotiation forums with government officials,<sup>30</sup> peer-to-peer learning,<sup>31</sup> mentoring and on-going technical support,<sup>32</sup> shared learning dialogue spaces<sup>33</sup> and exchange visits.<sup>34</sup> These mechanisms are grounded in participatory processes and specifically seek to draw on local knowledge to help ensure learning comes from the collective experience of the community. These processes are enabling projects to close the gap between information, knowledge, commitment and practices.

### IPs' intermediary role is enabling projects to close the gap between information, knowledge, commitment and practices

As intermediaries, IPs also act as the interface between different community members to support dialogue and negotiation spaces. For example, in Niger, **Livestock Mobility** combined training modules with informed debates to facilitate negotiations between farmers, local landowners and local authorities regarding the securing of a section of the livestock corridor in the rural commune of Diagourou. The securing of the corridor has allowed for the free movement of livestock towards the border with Burkina Faso, a strategically important area for trans-border movement. **Livestock Mobility** reports that, overall, the impacts of conflicts between farmers and herders have reduced as a result of these negotiations. As illustrated in Point for reflection 1, key to ensuring engagement and buy-in, is the demonstration of quick, tangible results.

#### Point for reflection 1: Quick wins matter as they provide practical examples to engage communities and ensure buy-in of resilience-building efforts



30 Livestock Mobility, Anukulan, Myanmar Alliance, DCF, LWW, SUR1M.

31 Zaman Lebidi, PROGRESS, PRESENCES, RIC4REC, SURM1.

32 BRES, RIC4REC, PROGRESS.

33 PRESENCES, PROGRESS, RIC4REC.

34 IRISS, DCF, Livestock Mobility, RIC4REC.

### Layer 3: Provision of inputs and supporting an enabling environment

In addition to layering training, giving on-going support as intermediaries, providing project materials is also essential, as people and groups need access to inputs (financial, equipment, seeds, etc.) to improve and fulfil their livelihood decisions as well as to undertake their intended plans. In other words, without appropriate provision of such materials, the various individuals, households and groups could remain, in an important sense, 'incapacitated'. For example, a **CIARE** participant pointed out that, despite receiving information about rainfall onsets in advance and preparing fields, they could not sow because crop seeds were not available. Similarly, for **BRICS** in Chad, lack of material resources for Local Action Committees has constrained the implementation of local disaster risk reduction (DRR) and early warning action plans.

Alongside the provision of critical inputs, building a supportive environment forms the third layer of the capacity-building pathway. These two elements are proving essential to creating the necessary incentives and structures to translate capacities into sustainable practices. Building a supportive and enabling environment requires that decision-makers engage in bottom-up approaches as a means to ensure buy-in and ownership of project activities. In this regard, IPs are also building knowledge and skills of stakeholders at different scales, combining bottom-up and top-down approaches to capacity-building. [Section 4.4](#) (Scaling and Embedding) explores this issue further.

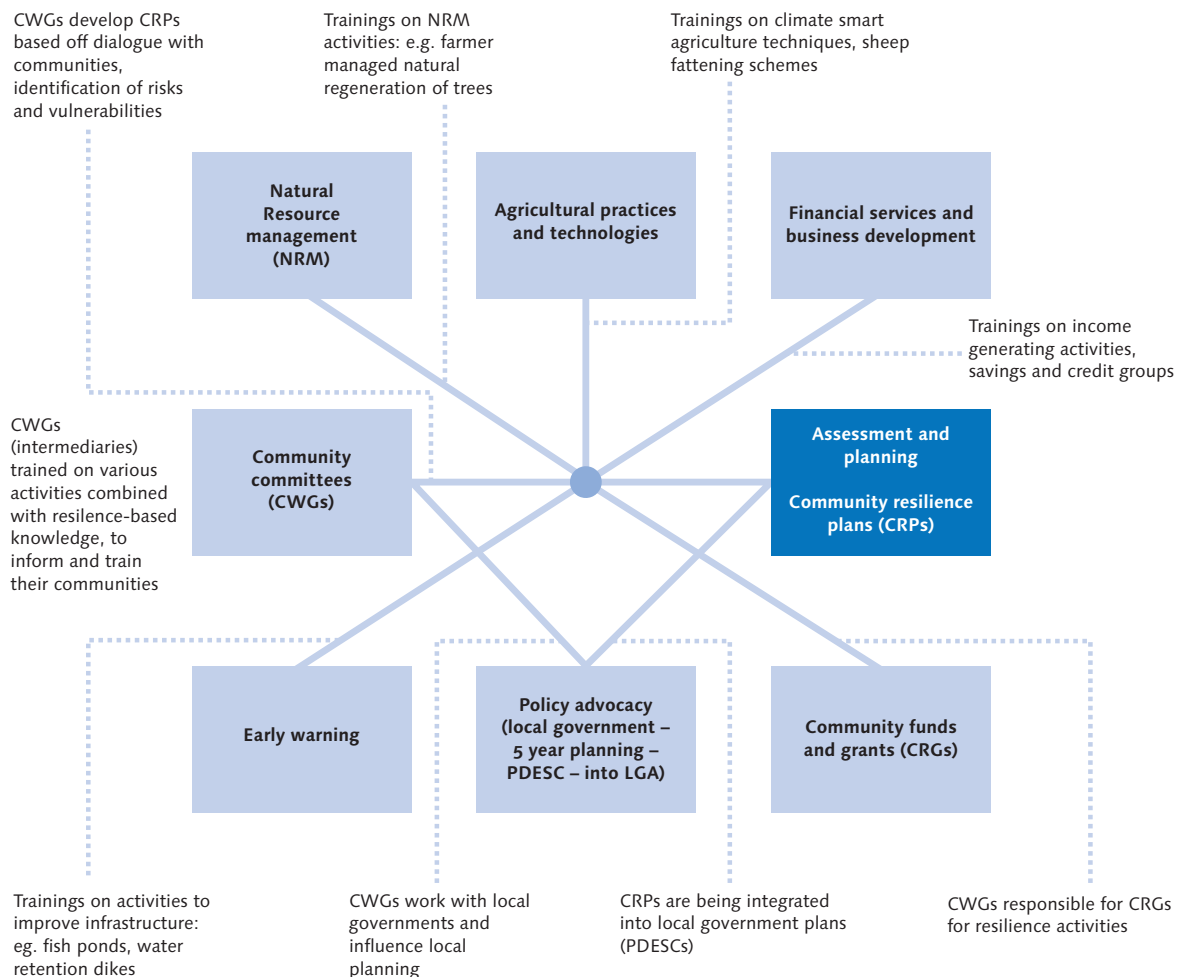
### A key concern is whether and how community platforms and committees will continue to function and provide support after the projects' completion

To summarise, evidence to date provides valuable insights about the implementation processes required to support changes in behaviour and practice through knowledge generation and capacity-building activities. In order to progress along the pathway from knowledge to skills development and, ultimately, to changes in practice, there is a need to take a layered approach to capacity-building. Despite progress to date across the BRACED portfolio, a key concern is whether and how IP established platforms and committees will continue to function and provide support after the projects' completion. There is a risk that community support mechanisms will disintegrate as a result of lack of resources, demand and/or interest. Emerging evidence from year 2 also suggests influencing changes will in practice have only marginal impacts on livelihoods unless they are complemented by processes that allow for further investment in building resilience, including access to markets, better health, financial services and infrastructure to reduce disaster risk. This is another emerging theme of this synthesis.

### 4.1.2 Layering and linking a combination of project activities

BRACED projects' ToCs are based around a layering model, whereby households or groups simultaneously receive a combination of activities: early warning, adaptation and DRR planning, agricultural practices, natural resource management, basic service delivery, access to finances, etc. The assumption is that only through a combination of activities will resilience capacities be built and, in turn, will they contribute to improving the well-being of stakeholders.<sup>35</sup> At the programme level, the ToC assumed that a range of cross-sectoral activities were needed to contribute towards achieving the overall outcome of improved resilience to climate-related extremes and disasters. However, it did not identify the implementation approaches or processes by means of which outcomes could be achieved, as across the portfolio projects are promoting different sets of activities with a wide range of stakeholders.

**Figure 5: Illustrative example – layering and linking a combination of activities through community plans**



<sup>35</sup> See annex 6 for a detailed mapping of project activities and annex 7 for a detailed mapping of combinations.



The BRACED Mid-Term Review explored in detail the different approaches and combination of activities projects were implementing. This report thus does not explore this theme in detail. However, progress made during year 2 points to critical insights about the assumption underpinning the BRACED projects' and programme's ToCs. This is particularly the case for projects that are layering and linking activities and actors in relation to planning for resilience at community level and connecting these plans to existing development plans; promoting financial services and linking activities to improved access to markets; and establishing early warnings and linking this information to inform planting seasons and agricultural practices.<sup>36</sup> As Figure 5 illustrates,<sup>37</sup> common across these approaches is the wide range of activities being implemented.

It is important to highlight here that that, without project partners, the implementation of activities would not have been feasible. Linking and partnering with multiple actors is critical to the delivery of these activities to ensure there is support from different societal entities, as well as their commitment and buy-in to facilitate the inclusion, implementation and eventual sustainability of community-level structures.

IPs have started to report key achievements as a result of layering and linking a wide range of activities at the local level. For example, the linking activities that promote access to climate information with the provision of improved seeds while at the same time linking farmers with existing markets have contributed to better-informed decision-making and income generation (in 10 out of 15 projects).<sup>38</sup> Similarly, the establishment of village savings and loans associations (VSLAs),<sup>39,40</sup> (12 out of 15 projects) is leading to an increase in savings and new job opportunities. This change has been facilitated through a number of different layered and linked activities (including accessing credit, intensive training and coaching), combined with additional support activities to further strengthen the financial capabilities and livelihoods of targeted communities.

Although encouraging, to date evidence of change remains anecdotal (see outcomes results in the following section). It remains unclear, partly as a result of reporting methodologies, how activities build on each other to deliver better outcomes. In most cases, it is still unknown how activities are integrated with others to form a combination of activities that are greater than the sum

<sup>36</sup> More detailed information about each of these approaches can be found in annex 9.

<sup>37</sup> The figure illustrates the intervention approach by the RIC4REC project.

<sup>38</sup> SUR1M, RIC4REC, CIARE, PRESENCES, Livestock Mobility, PROGRESS, Zaman Lebidi, BRES, IRISS, DCF.

<sup>39</sup> CIARE, PROGRESS, Myanmar Alliance, IRISS, MAR, PRESENCES, Livestock Mobility, PROGRESS, RIC4REC, SUR1M.

<sup>40</sup> For an overview of the context and structure of the financial services sector in three BRACED countries – namely, Ethiopia, Mali and Myanmar – see Haworth, A., Frandon-Martinez, C., Fayolle, V. and Simonet, C. (2016) *Climate resilience and financial services: Lessons from Ethiopia, Mali and Myanmar*. BRACED Knowledge Manager Working Paper.

of their parts. Limited evidence to date about outcomes, coupled with the wide range of activities being implemented, raises questions as to whether quantity of activities has taken precedence over quality of delivery. Cases where the layers and links between activities are clear demonstrate the added value of a layered and linked approach through maximising the synergies and benefits between activities. Yet, as Case in point 1 illustrates, such an approach faces a number of critical challenges that we should not underestimate.

### **Case in point 1: Linking VSLAs to private sector and markets, a challenging pathway**

During year 1 in Ethiopia, MAR focused on the establishment of VSLAs and cooperatives. This year, MAR worked with the local government to promote the adoption of the Participatory Natural Resource Management (PNRM) approach, which has provided legal status for new cooperatives and assigned forest patches to these. Alongside this, MAR layered its approach by promoting income diversification, offering trainings on PNRM practices (soil and water conservation, rangeland conservation) and encouraging cooperatives in Afar to produce a new type of animal feed. The strategy has taken the next step by linking the empowered cooperatives with sugar corporations and microfinance institutions, which have provided access to financial services for individuals and cooperatives in remote areas. Partnerships with cooperatives have involved different stakeholders, such as sugar plantation farmers, cooperatives and Afar Micro Finance Institute. The scheme has brought together sugar corporations, cooperatives, communities and microfinance institutions.

Despite this progress, MAR has faced a series of difficult challenges. It reports that recurrent droughts caused price inflation of goods and forced local communities to migrate to other areas. The drought led to VSLA members taking out more loans, and some VSLAs were unable to collect the funds because they were spent on immediate needs. Moreover, MAR experienced challenges because its key partners (the local government and microfinance institutes) agreed to carry out activities but did not follow through, causing delays in implementation during year 2. MAR's report further suggests the delays were a result of MAR's disjointed activities and objectives.

Although activities to date are leading to discrete results, the layered and linked approach MAR and other IPs are following raises questions about the quantity of activities, their sequencing and the time required for implementation. IPs may be facing the risk of undertaking an approach that is attempting to tackle too many issues simultaneously.

As previously noted, working in partnerships is critical to the delivery of activities that cut across several sectors and engage with a wide range of actors. Related to this, projects also report critical challenges when partnering and engaging with other actors, in particular government officers.<sup>41</sup> IPs report that lack of project-provided budget incentives, coupled with limited capacity, not only represents an obstacle for the implementation of current project activities but also may bring into question the sustainability of relying on and engaging government officials. They claim it may be difficult not only to ensure participants continue to receive the necessary support but also to eventually scale out project activities. Findings from the *Mid-Term Review* also point to the fact that the magnitude of change is greater where activities at the community level work across 'systems', not only with direct project participants. This can be seen particularly where access to financial services is sustained and magnified by their linkages to systems – extending the reach of the intervention.

### Findings from this year require us to reflect upon what is needed, what is essential and what is feasible for resilience programmes

Findings from the BRACED *Mid-Term Review* also emphasise that activities appear to work best when partners work with inclusive community-based organisations with specific and shared objectives, thereby increasing credibility and securing participant commitment. When this occurs, participants can see the coherence and linkages across combinations of activities, and these activities speak to and address their existing concerns. This also enhances the credibility of the projects, increasing the likelihood of changes in reasoning and behaviour. *Section 4.3.4* explores the ways in which projects have engaged with initiatives beyond BRACED. Yet the real challenge lies in understanding the timing, sequencing and layering of different activities and processes.

#### 4.1.3 Resilience outcomes

Building from the pathways, evidence from year 2 is starting to show signs of progress towards outcomes across the 3As. These gains were recorded in a number of ways across the projects, as contributing to one or more of the three capacities.

##### Gains in anticipatory capacity

In year 2, the layering and linking of capacity-building approaches as well as the combination of activities started to deliver gains in terms of anticipatory capacities, particularly in relation to planning and connecting. Here, the preparation of community resilience (and DRR) plans, and the extent to which planning is inclusive and based on a participatory approach, is key to successfully

<sup>41</sup> BRES, RIC4REC, PROGRESS-Uganda, LWW.

building anticipatory and adaptive capacity when longer-term climate change risks are taken into account. **RIC4REC's** community plans enhanced anticipatory as well as adaptive capacity, through communities purchasing early-maturing cereal seed varieties and through implementing water storage facilities for use in the dry season. However, building anticipatory capacity through planning requires functioning institutions that implement activities on the ground, which creates challenges in some fragile and conflict-affected contexts. For example, **IRISS** in South Sudan established 17 Community Resilient Planning Committees, reaching its target, but no activities have been carried out so far through these.

Another key element noted across a number of projects that determines successful planning (and therefore enhanced anticipatory capacity) is inclusion of climate information. There is evidence that, in year 2, such information was being used in the planning process. Community committees, governments and project staff are in many cases employing climate information in the short term, for example to plan for evacuations or humanitarian responses; in the longer term, it is being used for (participatory) planning, public goods investments, monitoring and to decide on project interventions.

### **Gains in absorptive capacity**

Through developing activities to link communities with financial services and access to markets, projects are supporting increased income generation, which is a key aspect of building absorptive capacity. Projects have achieved this through job creation, access to loans, savings and other financial services, including financial safety nets. Most projects have reported substantial improvements on one or more of these factors. Particularly positive results are noted in Ethiopia for both the **MAR** and the **CIARE** projects. **MAR** highlights that, through the project, a total of 1,435 new jobs have been created, and the average income has increased by 20% from last year. In the **CIARE** project, the proportion of households that access credit schemes increased from year 1, from 46% to 60%, and the proportion of those that practised savings increased from 89% to 97%. Both of these projects have linked and layered approaches to financial services and access to markets, yet there is no direct link to demonstrate whether the combination of activities has contributed to greater outcomes.

Additionally, increasing food security is an important factor for building absorptive capacity. For example, in Burkina Faso, the **Zaman Lebidi** project found that 59.3% of households reported an increase in food reserves in the lean season, compared with 28% at baseline, with similar results for men and women. Half of the remaining households reported no change or negative change, which is something that requires further attention and follow-up. It is important to note that both income generation and food security are traditional development indicators and, as such, their improvements are not necessarily a sign of increased absorptive capacity. To assess whether this capacity has improved, these factors need to be linked and interpreted with climate indicators so we can understand whether they have increased coping mechanisms in the face of shocks and stresses.



### Gains in adaptive capacity

Building adaptive capacity requires layering and linking a number of activities together as well as mediating between different actors and institutional settings that may have different or contrasting needs. The adoption of climate-smart technologies is an indicator for building adaptive capacity. During year 2 in Nepal, through the **Anukulan** project, 88% (22% in year 1) of participants adopted climate-smart technology. In South Sudan, under the **IRISS** project, the number of targeted farmer and agro-pastoralists trained on climate-smart agricultural techniques doubled from 1,457 to 2,914 individuals. Positive results have also been reported in Chad through the **BRICS** project, where 14 possible techniques of climate-smart agriculture were identified and used by an increasing number of participants (up 2.4% from year 1). However, these results are not disaggregated by gender, which is a limitation in fully confirming progress in building this capacity. Meanwhile, although these examples show signs of progress in terms of building adaptive capacity, the lack of evidence about behavioural changes (including whether women also benefited from climate-smart agriculture) prevents an exhaustive assessment of the progress towards building adaptive capacity.

The use of climate information (including both scientific climate information and weather forecasts) has enabled communities to take decisions that help them adapt to a certain disaster impact or to changing climate conditions. Beyond shorter-term reactions to daily, decadal or seasonal forecasts, climate information seems to have contributed to this capacity by enabling them to shift to climate-smart agricultural practices such as crop diversification, drip irrigation or solar-powered water pumping (e.g. **Anukulan**). Yet it is unclear how weather and climate information for decision-making around these adaptation activities is also informed by broader risk assessments (e.g. hydrological and geological in the case of water pumping), and which type of weather and climate information informed these decisions more specifically. Where only short – and medium-term information is used, the capacity to adapt to longer-term climatic changes may be limited.

Common challenges in using climate and weather information to support adaptive capacities are 1) user understanding of, and trust in, this information and 2) resources available to take action. In order to support understanding and interpretation, projects are implementing capacity-building activities of end users and communication channels, for example radio station staff, translating information into non-scientific local languages and issuing advice and recommendations with the data. **SUR1M**, for instance, provides producers with recommendations on seasonally adapted seeds and sowing dates. However, even when local populations have access to this information, contextual factors can constrain their capacity to adapt. For example, one **CIARE** participant pointed out that, despite them receiving information about rainfall onsets in advance, and preparing fields, sowing could not take place because crop seeds were not available.

Climate information has started being used in a more transformative way, through the generation of information to guide longer-term policy and planning processes. However, this is limited to a few consortia, and generally happening within

a discrete set of activities. For example, **BRICS** is using a future climate analogue exercise with climate modelling for a timeframe up to 2055 to assess the future viability of currently cultivated crops. Similarly, future climate analogue exercises were implemented in two villages by **RIC4REC**, resulting in the initiation of a new process for the co-management of tree conservation in one of them. **LWW** drew on longer-term information with a 10-year return period to inform the type of infrastructure that would be built under the project. The assessment and use of longer-term climate information to support transformation processes at scale remains a key challenge overall.

Overall, there are signs of improvements in building anticipatory and absorptive capacities through inclusive planning, integration of climate information, income generation and food security. Yet it is unclear in particular whether income generation and food security necessarily require the layering and linking of activities. What seems clearer is that the linkages with climate information are essential to many of the outcomes achieved, and that layering and linking of activities to support the adoption of climate-smart agriculture is important in building adaptive capacity. The processes through which change happens are still emerging, and there is not yet sufficient evidence about how the layered and linked pathways contribute to resilience outcomes at this stage. This leads to questioning as to whether layering and linking is essential to achieving resilience outcomes (or not)?

To conclude, projects have adopted an approach that encompasses a multidimensional, multi-actor and multi-sectoral strategy to implement a wide range of activities. Anecdotal evidence from year 2 suggests that, when adopted, layering activities so they reinforce each other, and linking the implementation of activities between multiple actors, has strengthened household and community resilience. Yet it is too early in the programme to validate projects' ToCs. Findings suggest that timing and sequencing the 'right' combination of activities, actors and processes are essential to ensure the effectiveness of layered and linked approaches. Otherwise, multi-sectoral and integrated approaches to resilience-building may run the risk of becoming a set of *ad hoc* project activities. Projects' final evaluations should explore this further.

It is important to consider the implications of layering and linking when it comes project design, ToCs and assumptions. *'Are IPs trying to solve too many issues briefly (quantity) rather than focusing on a limited number of activities and partnerships (quality)?'* Put differently, *'Is it true that the more activities the better the results?'* Findings from this year require us to reflect on what is needed, *'What is essential to accomplish and what is feasible for resilience programmes?'* See Section 5 (Key messages 6 and 7) for the implications for future resilience-building efforts, design and practice.

## 4.2 Including

The BRACED ToC posits that empowering women and socially marginalised groups as well as improving decision-making processes through inclusive participation is a critical pathway to strengthen resilience at all levels of society.<sup>42</sup> However, it does not elaborate or specify implementation approaches towards social inclusion. By drawing together insights from across the Areas of Change, this theme presents evidence of how projects are addressing inclusion (see Section 2.2). Approaches range tackling the root causes of inequality, through to awareness-raising, to representation. This theme explores and highlights the approaches and findings of eight out of fifteen projects that have opted to directly address inequalities in relation to gender, marginalised groups, land and access to new services across a range of contexts where illiteracy, socio-cultural beliefs and power are unevenly distributed among the population (see annexes 6 and 7: Gender and Including).

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### SUMMARY

- **Social participation and the inclusion of the most vulnerable in decision-making processes is the foundation for the fair and effective implementation of resilience programmes.** Similar to in the layered approach to capacity-building, addressing social exclusion also requires a layered and linked approach to implementation.
- **The pathway to inclusion is not direct and requires a multi-faceted and multi-actor approach.** Some BRACED projects have designed inclusion as a pathway towards change; others have adopted a less direct approach. Early insights show that, to promote inclusion, the context must also be 'ready for change'.
- **The participation and inclusion of marginalised groups in income-generating activities is not sufficient or adequate in and of itself** to ensure a sustainable change in the control such groups have over their finances, as the inequalities prevalent in the existing power structures at the household, community, local and national levels must be addressed.

Evidence of resilience outcomes as a result of inclusive decision-making is weak and lends little insight into how inclusion pathways contribute to improved outcomes. Progress to date suggests there will not be sufficient evidence by the end of the programme to draw conclusions about the inclusion and empowerment of women and marginalised groups. See Section 5 (Key message 2) for the implications for future resilience-building efforts, design and practice.

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<sup>42</sup> For a review of different approaches to incorporating gender and equality objectives into resilience projects and monitoring gender equality outcomes, see Le Masson, V., Norton, A. and Wilkinson, E. (2016) *Gender and resilience*. BRACED Knowledge Manager Working Paper.

## 4.2.1 Pathways to inclusion

In year 2, eight BRACED projects opted to tackle root causes of inequalities. Of these, four directly targeted gendered practices, or approached gender inequality, first through exploring women's roles and then supporting targeted activities delivered in a way that facilitates women's involvement<sup>43</sup> (see also Section 3.4). For example, **PROGRESS** specifically tackled gender-based violence through establishing forums and a Gender Technical Working Group to respond to gendered practices including early marriage, withdrawal from education and rape. It also supported the development of the Country Gender and Resilience Strategy, and developed safe space groups for girls and boys, as well as all-male groups, to discuss gender dynamics. Participants committed to be future mentors for schoolmates and village colleagues. **Livestock Mobility** conducted a survey to better understand women's roles in pastoralism and targeted activities for women in pastoralism, including training on the management of fodder banks, as they are predominantly involved in milk production and animal fattening. In addition to these, some projects addressed gender inequality through raising awareness of gender-based stereotypes and inequalities with both project staff<sup>44</sup> and participants,<sup>45</sup> and male-only groups to discuss gender stereotyping.<sup>46</sup>

Beyond these examples of direct engagement with engendered norms, other projects approached inclusion in a less direct way. They ran specific trainings for women and children (e.g. life skills) as well as establishing participatory forums that include women (e.g. via quotas to maintain a level of representation) (see Section 3.4). In particular, reflecting on its approach, **RIC4REC** reported that confrontational approaches used in the past had not led to changes in social norms, so instead it had taken a less direct approach to work with both men and women to design appropriate inclusive approaches. Some of the indirect approaches BRACED projects have taken have led to examples of increased voice, inclusion and decision-making power of women at household or community level.<sup>47</sup>

In addition to a focus on gender, four BRACED projects worked to promote the inclusion of marginalised pastoralists in decision-making platforms to negotiate and reconcile livestock corridor routes or support inclusive communication and resource management groups<sup>48</sup> (see Section 4.2). In particular, **Livestock Mobility** conducted multi-stakeholder trainings with project staff, local government actors and community stakeholders to promote greater understanding of pastoralist livelihoods. This approach directly tackles misunderstandings that can lead to tensions and conflict, which has been key to bringing together multiple stakeholders in decision-making platforms. Another critical factor of these initiatives lies in including both formal and

<sup>43</sup> PROGRESS, BRES, Livestock Mobility, BRICS.

<sup>44</sup> Anukulan, BRICS, DCF, RIC4REC.

<sup>45</sup> IRISS, Myanmar Alliance, PROGRESS, SUR1M, BRES.

<sup>46</sup> PROGRESS, Zaman Lebidi, BRICS.

<sup>47</sup> MAR, IRISS, BRES, Livestock Mobility.

<sup>48</sup> PRESENCES, Livestock Mobility, DCF, BRICS.



informal land management actors, and bringing them together to draw on their authority to negotiate arrangements and agreements, increasing the legitimacy of the agreements and promoting understanding and ownership of the process and outcomes.

In addition, three projects addressed land rights and supported more equal access to land.<sup>49</sup> Projects facilitated negotiations with land management structures to resolve disputes and raised awareness of land rights, working with multiple actors to reach agreements. For example, **SUR1M** focused on awareness of land tenure law and equitable land ownership, which has resulted in 115 formal land tenure registrations from both men and women to date. Also, the project formally addressed women's right to land, and in year 2 18 women's associations gained formal access to land for cultivation. Challenging socio-cultural norms and religious beliefs is critical when attempting to influence community attitudes, behaviour and practice. An interesting example of how to promote culturally appropriate products to open new markets in Islamic financial services for Muslim communities is found in the **PROGRESS** project in Kenya (Case in point 2).

#### **Case in point 2: Engaging religious leaders can help change attitudes to financial services**

In an initiative aimed at providing services traditionally considered incompatible with religious beliefs, the **PROGRESS** project worked with Crescent Takaful Sacco (CTS), a savings and credit cooperative to provide Sharia-compliant financial products and services to communities in Wajir, Kenya. **PROGRESS** adopted a multi-faceted strategy by providing technical and financial support to buy down the risk of opening a new branch and working with VSLA members to promote understanding and acceptance of the products. Further, the project engaged religious leaders to help change attitudes and promote acceptance of these services within the predominantly Muslim community. Hundreds of clients have registered for these services since the branch opened, showing the high levels of demand in the area for Islamic financial products.

<sup>49</sup> SUR1M, BRES, PROGRESS.

## To promote inclusion, the context must also be 'ready for change'

All direct approaches to tackle root causes of inequality involve multiple actors and multi-faceted approaches as pathways towards inclusion. In these forums, tangible signs of progress have been made (e.g. securing and negotiating land agreements, supporting policy development, opening-up of new markets). Approaches that focus in on specific marginalised groups, raising awareness and improving understanding of their unique issues and challenges, are showing signs of slow and steady progress towards inclusion at the local level. However, these examples are also observed in contexts with complementary inclusive government policies (e.g. Kenya), in areas where demand for services is high and/or the need acute, or as a result of inclusive design of participatory platforms to create the legitimacy to negotiate tangible agreements to address pressing issues. So far, the evidence suggests that, to promote inclusion, the context must also be 'ready for change'.

As illustrated in Point for reflection 2, although gains in terms of inclusion have been made, moving to transformational change in social relations requires structural changes. These may involve including women from marginalised groups in relevant projects (e.g. those excluded by caste or religion), changing intra-household dynamics to give women more control over household investment decisions or requiring changes in the law to open up higher-level decision-making spaces that were previously closed to female participants. These may be necessary to ensure women have the full capacity to make adaptive decisions, for example.

### **Point for reflection 2: How far do female participation and representation lead to changes in gender relations and female empowerment?**

Changes in norms, empowerment and leadership are an aspect much less closely considered than governance processes in terms of implications for scale and sustainability in BRACED. Understanding how far reported female participation and representation lead to changes in gender relations and female empowerment – and the pathways through which they do so – is critical to understanding transformational change. At both the household and the community level, most IPs report changes in women's attitudes and behaviours owing to direct targeting and the inclusion of women, greater awareness of their roles and more acceptance and respect – a foundation for their power 'over' others as well as within and between themselves. In some cases, this is reportedly feeding through to behavioural change between women and men in the household.

A key mechanism for changing both attitudes and behaviours is the promotion of women's income-generating activities, which give them greater control over household expenditures.\* Critically for vulnerable women, in BRES, through greater decision-making power on project management committees, women are able to protect market gardening activities and influence the procedure for land allocation to prevent land-grabbing by powerful males. Women may also gain confidence to enter the public sphere and in two contexts (Mali and Kenya) are being elected to political positions for the first time – in Kenya facilitated by mass sensitisation campaigns to improve their role. There is also a small amount of emergent evidence about the links between gender-based violence and resilience: PROGRESS reports that interventions to reduce gender-based violence have a spill-over effect on the abilities of young women in particular to discuss their experience of shocks and stresses and find joint coping mechanisms.

The importance of context, however, is key to interpreting the significance of the scale of change. We still know too little in BRACED as to the full scale of these changes.

\* BRICS, SUR1M, RIC4REC, MAR, Anukulan, PRESENCES, Zaman Lebidi.

#### 4.2.2 Resilience outcomes

The BRACED ToC assumes that improving decision-making for inclusive resilience-building will contribute to the outcome that poor people have improved levels of resilience to climate-related shocks and stresses. However, reporting against outcomes derived from this pathway is limited, as the indicators IPs use to assess progress in building the 3As are not consistently distinguished by gender or disaggregated. This makes analysing the extent to which building the 3As has been conducted in an inclusive way challenging.

**Myanmar Alliance** is a good example of progress towards building anticipatory capacity showing that the same number of men and women have access to and use weather forecast and risk information. Participants are also making progress in terms of coping with shocks of a similar severity to those faced last year. Additionally, progress in building absorptive capacity in an inclusive way has been noted across a number of projects.<sup>50</sup> In most cases, this is characterised by anecdotes of women feeling they have increased decision-making power in their household as a consequence of increasing and diversifying income generation. In Uganda, for example, **PROGRESS** enabled a positive change in female power dynamics by shifting from pastoralist to agro-pastoralist livelihoods. There is

<sup>50</sup> RIC4REC, SUR1M, PRESENCES, PROGRESS, BRES.

also evidence that, through the **Zaman Lebidi** project, women now engage in livestock activities, which has increased their decision-making power and confidence. Additionally, communities now use seasonal forecasts for agriculture production, which 'has helped them to adapt their productions to the nature of climate predictions received'. In spite of these emerging examples relating to the inclusion of women, overall there is scant evidence that progress has been made in building adaptive capacity in an equal and inclusive way (i.e. including other marginalised groups as well as women). In the future, projects should ensure that from the start they design in inclusive pathways that go beyond participation.

To date, the evidence for resilience outcomes as a result of inclusive decision-making is weak and lends little insight into the ways in which inclusion pathways contribute to improved outcomes. At this stage, it is not possible to say whether any of the gains in inclusion will lead to wider change, or whether they are likely to be sustained or institutionalised beyond the lifetime of the projects. This is a result of both the insufficient nature of the evidence to date and the scale of the challenge. The level of progress suggests there will not be sufficient evidence by the end of the programme to draw conclusions about the inclusion and empowerment of women and marginalised groups. A large part of this relates to the scale of the challenge and the long timeframes required. These approaches require multi-pronged approaches and the buy-in of multiple actors. Participation alone is not enough to ensure sustainable or transformational change in social relations, which requires structural changes in society to shift the existing balance of power that leads to inequalities. Much of the change reported to date in women's participation in decision-making remains at the household-level.

*'To what extent can small-scale household-level shifts in women's decision-making amount to shifts in their wider inclusion (in sub-national and national decision-making processes) over the long term?'* Therefore, the question that remains is, *'Can BRACED or other resilience-building projects expect to shift structural constraints that are the root causes of inequality within short-timeframes?'*

See [Section 5](#) (Key message 3) for implications for future resilience-building efforts, design and practice.

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## 4.3 Responding and adapting

A key assumption underpinning the BRACED ToC is that projects are subject to numerous external drivers and influences and therefore it is imperative that they consider, respond and adapt to the climatic context, the local political context, the complexities of national and international political processes, the on-going implementation and so on. BRACED projects operate within a complex interplay of social, cultural, environmental, political and economic factors that shape development processes. These contexts pose particular challenges and opportunities. This theme explores how projects have responded and adapted to shocks and stresses, in unstable contexts, and by learning-by-doing as challenges and opportunities emerge, as well as the ways in which they build on and align with each other and other initiatives within the context.

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### SUMMARY

- **Resilience investments in difficult contexts raise critical issues about how their results are assessed. Should the same performance measures be applied across contexts?** Some IPs have chosen to engage in particularly challenging contexts and environments, whereas others have chosen to operate in enabling environments. Context matters: starting points, trajectories of change and 'results' are different. Should programmes focus on progress along resilience trajectories, rather than resilience outcomes?
- **To be effective, responding and adapting to context is not optional. However, what really counts as adaptive management?** How much learning and adaptation is feasible for consortia projects? And what level of flexibility and adaptation is necessary for resilience programming?

To truly test BRACED assumptions about adaptive and flexible project management and implementation, the ToC needs to clarify how much adaptation and change projects and the programme should demonstrate. With BRACED entering its final year, these kinds of reflections are particularly important when considering the success of the programme and what this means for future programming. See [Section 5](#) (Key messages 3 and 4) for the implications for future resilience-building efforts, design and practice.

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### 4.3.1 Shocks and stresses

The BRACED ToC posits that reducing vulnerability of the poorest, and building capacities of local government, Civil Society Organisations (CSOs) and the private sector to respond to shocks and stresses, will lead to improvements in levels of resilience. BRACED offers the opportunity to test assumptions about the ways in which shocks and stresses affect development, and the ways in which those impacts may be reduced. In the Sahel, BRACED projects have been able to apply for humanitarian funding through PHASE, a support fund appropriated in order to protect development gains (See Section 3.6).<sup>51</sup>

#### Project-supported initiatives are seeing some successes in self-managing localised, low-impact shocks and stresses

Shocks and stresses have affected a number of projects this year (see Table 3). Evidence shows that these have not only delayed implementation and affected communities and partners' abilities to fully participate in activities,<sup>52</sup> but also have caused some projects to respond by changing their own implementation plans, or by allocating funds.<sup>53</sup> For example, in response to climate conditions (El Niño), **BRICS** changed their planned activities from livestock distribution in Sudan to a livestock vaccination campaign, to reduce the stress of introducing more livestock into already stressed pastures. For **IRISS** in South Sudan, as a result of a famine declared in the region they introduced a new 'cash for assets' component, to protect assets from being sold to cope during famine, and to develop assets that will help to protect communities from future flooding (e.g. dyke construction) or drought (water harvesting). As illustrated in the box below, progress in year 2 shows the importance of community-led and owned initiatives to prepare and respond to localised impacts, while humanitarian assistance remains crucial in larger crises.

<sup>51</sup> For more detailed information about crisis modifiers and the PHASE contingency mechanism, see a report on the evaluation of the PHASE mechanism from experiences of BRACED projects in the Sahel Peters, K. and Pichon, F. (2017) *Crisis modifiers: a solution for a more flexible humanitarian-development system?* Overseas Development Institute: London, UK.

<sup>52</sup> DCF, PROGRESS, CIARE, ZAMAN LEBIDI, MAR.

<sup>53</sup> BRICS, IRISS, Zaman Lebidi, PROGRESS.

### Case in point 3: Implementing project activities through local groups can support communities to cope when faced with small-scale shocks and stresses

In seven out of fifteen projects, project-implemented activities and newly established groups provided support mechanisms in times of stress.\* For example, community structures established through BRICS in Chad received early warning information forecasting food security pressures during May–July 2017. The community groups decided to prioritise the construction of granaries, which was complemented by a food distribution campaign launched in collaboration with the World Food Programme to protect seed for the 2017 harvest. Additionally, in Mali, the village-level Early Warning Groups established by SUR1M assessed impacts and community needs following flooding in July 2016, and sought emergency assistance and support from both international non-governmental organisations and the government. There remain challenges in relation to self-support in some circumstances; for example, in Ethiopia, the VSLA groups supported by MAR have accelerated share-outs by members under recurrent drought conditions, helping communities cope with the effects. Yet, as a consequence, some of these groups have been unable to regroup (see [Section 4.1.2](#)).

\* BRICS, SUR1M, RIC4REC, MAR, Anukulan, PRESENCES, Zaman Lebidi

Emerging evidence from year 2 shows project-supported initiatives are seeing some successes in terms of self-managing localised, low-impact shocks and stresses. However, under chronic conditions (e.g. low rainfall/famine/drought), distribution of material funds or resources is needed to protect household and community assets. Shocks and stresses of higher impact and/or affecting broader regions require wider humanitarian support.

#### 4.3.2 Fragile and conflict-affected states: special considerations/adaptations

BRACED is one of the first resilience programmes to deliver adaptation spending at scale to post-conflict and conflict contexts. As such, BRACED offers the opportunity to better understand what works and what does not, as well as the challenges and implications involved in implementing climate resilience projects in conflict-affected areas. Evidence from year 2 shows that projects have faced challenges from basic infrastructure, as well as dynamic changes in context. Working in these contexts requires not only knowledge and skills but also resources, scaled-back project ambitions and a high degree of flexibility. Findings also highlight the importance of working both with and through partners embedded in the context for delivery and to promote sustainability in contexts with weak governance.

In year 2, some projects were delayed or affected by conflict occurring within their area, as well adjacent to the project area, with impacts on stakeholder groups as well as project implementation. For example, insecurity and the presence of armed radical groups in the **RIC4REC** project area slowed progress in integrating Community Resiliency Plans into local government authority (LGA) five-year development plans, which have not begun as planned in several LGAs. Additionally, the border regions in which **Livestock Mobility** operates received over 2,000 refugees, driven by the conflict in the neighbouring Côte d'Ivoire. Project partner RECOPA-Ouest received PHASE funding to absorb the shock and held meetings to increase cross-border communication with Côte d'Ivoire, Burkina Faso and Ghana towards finding solutions before shocks and agreeing common aims for livestock mobility.

Political sensitivities and conflict have also constrained the provision of climate information in particular. For example, in Mali, conflict destroyed observation centres and meteorological stations, resulting in scattered and disrupted access to data. Projects working in such contexts require a fundamentally different design and implementation approaches. As Case in point 4 illustrates, when working in a context of insecurity, adopting alternative approaches to implementation is of critical importance.

**Case in point 4: In a context of insecurity, working in partnerships enables projects to adopt alternative approaches to implementation**

The BRICS project had planned to use climate analogues to forecast long-term climate patterns and recommend future crop or tree varieties for a future climate in Sila. The selected climate analogues were in eastern Sudan and were not secure enough for communities to visit. As a result, the project altered its approach to instead use climate modelling to explore the viability of cultivated crops in future climates. For the BRICS project, insecurity restricted access to some areas, causing them to adopt a different model for gathering information to monitor changing conditions. Their collaboration with Tufts University, a national civil society organisation (Darfur Development and Reconstruction Agency, DDRA) and local community-based organisations has represented an effective approach to working in a protracted conflict setting. The local network of community-based organisations collects and analyses data from over 70 markets to interpret patterns of trade and markets for agriculture and livestock commodities. The information supports the Market Monitoring and Trade Analysis project, which is led by DDRA in partnership with Tufts, to better understand the effects of conflict.

In many BRACED contexts, the broader governance context also constrains the potential for higher-level government engagement. For example, in Myanmar, *'... the transitional government, early stages of decentralised planning and limited government investment in DRR and climate change planning in Myanmar will limit the sustainability of many BRACED activities in terms of being able to integrate activities directly into formal planning systems that are not yet fully functional.'*<sup>54</sup>

**Myanmar Alliance** has therefore focused its efforts at the local scale while mapping the requirements for the scale-up and replication of the BRACED resilience planning approach and making recommendations to relevant government departments and development partners.

In addition to conflict, insecurity and political sensitivities, low literacy levels, aid dependency and food security issues also prevail in conflict-affected states. In South Sudan, there is a lack of formal structures to support knowledge and skills around agriculture development, banking, marketing and processing business (see Section 4.3.3). **IRISS** has adapted implementation to adjust to rapidly changing conditions, and to trial alternative approaches both to the implementation of activities and to embed practices to increase the likelihood of sustainability (see the Case in point 5, on responding and adapting in fragile and conflict-affected states).

The evidence suggests that, as a result of delays to implementation (stemming from conflict both within and adjacent to project operating areas), lack of formal structures and infrastructure to support implementation and the need to adopt approaches that are sensitive and tailored to the context, results may be localised, but small changes can be significant at household or community level. In fragile and conflict-affected contexts, there is a different starting point for development and a different trajectory for changes in resilience. As Case in point 5 illustrates, the learning from BRACED so far points to the need for alternative models of implementation in conflict-affected areas, with more flexible and adaptive management. Additionally, delivering through partnerships, in particular with locally embedded community-based organisations, allows for continuity amid conflict and opportunities to embed knowledge to improve the likelihood of sustainable outcomes in the absence of state institutions or weak governance. See Section 5 (Key message 3) for the implications for future resilience-building efforts, design and practice.

<sup>54</sup> Myanmar Alliance, year 2 Annual Report.



### **Case in point 5: Flexibility in project implementation and responding to community needs is key in fragile and conflict-affected states**

IRISS is working with farmers and communities in South Sudan to create resilience in a humanitarian crisis context, where people struggle to meet their basic needs. In this context, security concerns caused delays in distributing seeds and agricultural tools and in securing strong relationships with seeds suppliers. The project altered course: instead of just importing seeds from neighbouring countries, it sourced good-quality local varieties as well as focusing on transmitting knowledge on seed selection, saving and storage, allowing participants to autonomously supply themselves with seeds. In the future, IRISS expects that farmers and community members will not only start growing their own crops but also be able to self-supply and trade seeds.

The unstable context also affected the project's partnerships, causing one of the key partners (SNV) to withdraw from operations in the country during the year. This had a significant impact on the timely delivery of project's activities, but some SNV staff members were retained as consultants to continue implementing planned activities. Yet partner withdrawal coupled with the lack of basic infrastructure in-country affected project ambitions for a Weather Forecast Model. This activity was consequently scaled back and turned into a pilot. Additionally, given the challenging context, the project developed a close working relationship with ACTED, a consortium partner, to share knowledge and experience from its project activities in South Sudan.

### **4.3.3 Learning-by-doing**

The BRACED ToC assumes that learning takes place within the BRACED programme, and that IPs will apply the learning gained to improve their respective projects and maximise impacts. BRACED projects are learning by doing in their implementation strategies, and finding ways to adapt as learning develops, as barriers to implementation become evident and as opportunities to influence emerge. Evidence from year 2 shows projects are incrementally adjusting implementation as they learn 'what works'. The evidence shows engagement and building relationships are essential to ensure alignment within the context, to identify needs to course-correct and to promote improved outcomes.

In year 2, projects adapted approaches as they learnt more about the nuances of working within particular contexts. To ensure activities are locally appropriate, **SUR1M** organises quarterly multi-actor Learning to Action Discussion groups to gather feedback from communes. Other projects have learnt through the process of implementing. For example, **DCF** found it was more locally appropriate to alter the timing of its investments to align with the seasonal calendar. In addition to tailoring interventions to be appropriate within the local context, projects have had to refine and target their approaches to ensure relevance to specific stakeholder groups. In supporting the development of the Wajir County Climate Information Service (CIS) plan, **PROGRESS** found it needed to increase its understanding of how and why CIS could benefit participants, and pastoralists in particular. Refining its focus to be more targeted to the needs of pastoralists resulted in increased engagement with researchers and decision-makers, and helped the project influence the CIS discourse (see Section 4.3.4).

### BRACED projects are learning by doing in their implementation strategies, and finding ways to adapt as learning develops

Some projects have developed an emerging understanding of practical constraints to project goals. For example, **BRES** discovered that a lack of storage facilities for producers was constraining their access to markets, as farmers were unable to store produce until they commanded a higher price and instead had to sell when supplies were plentiful and prices low. The project plans to equip farmers with storage facilities in the coming year. In South Sudan, a lack of a strong formal agricultural education system meant **IRISS** needed to support farmers and extension workers with on-going capacity development in climate-smart agriculture and value chain development, to facilitate implementation.

Some BRACED projects have encountered barriers to implementation that have taken time and engagement to overcome. In the case of **CIARE**, reaching partnership agreements between BBC Media Action and mass media agencies Oromia and South Radio and Television organisations required engagement with government officials to overcome barriers associated with international media involvement in the process of gathering and disseminating national to local-level climate information. Negotiations to convey intentions and alignment of the project with government development priorities paved the way for these agreements.

An interesting case that highlights challenges in overcoming existing social structures was reported by **RIC4REC** (see Section 4.1.1). The Community Working Groups supported by the project interface with communities and define community-level priorities, but in one village its decisions became dominated by the village chief, who used the platform to benefit his circle. The project intervened to re-explain the process and expectations at both LGA and village level to ensure the process was community-driven. This case reflects challenges overcoming social norms and power structures, and the need to support change processes through regular engagement.

Alongside learning-by-doing and adjusting implementation to course-correct, during the course of project implementation political landscapes have shifted, triggering changes in project strategy to ensure alignment with the new structure. For example, in Kenya, **PROGRESS** was working to support village-level Resilience Adaptation Committees. However, in 2016 Wajir County passed the Wajir County Climate Change Fund Act, which recognised ward-level community-based institutions as the mechanism to manage and disburse Climate Adaptation Funds. This was a recommendation of the DFID-funded ADA consortium working in the area – that ward level was a more effective intervention point than community level in Wajir. The Act represented a shift in the climate funding landscape, which led the project to change focus to support and establish Ward Adaptation and Planning Committees in year 2.

In other cases, opportunities to influence at higher levels arose through networks. For example, an opportunity arose through **DCF**'s partnership with local authorities to influence and support the integration of climate-proofing into the economic and social development planning process in Mali. Although larger-scale changes and opportunities to influence are infrequent, projects such as **CIARE** ensure alignment through their partnerships with regional and *woreda* government offices, which helps facilitate synergies with government planning.

Overall, projects have had to tweak interventions as practical constraints and understanding of operating contexts have developed. However, tailoring and targeting their approaches effectively, identifying resources needed to support activities and processes and maintaining longer-term involvement in implementing new decision-making structures have proved important to ensure inclusion and support change processes. Windows of opportunity so far have been few. Where projects have been well positioned to take advantage of these, opportunities have derived from the relationships developed through regular engagement, forming partnerships and ensuring alignment within the political context. These factors have proven important to facilitate and contribute to emergent opportunities. Yet projects are reflecting mainly on learning through implementation – that is, course-correction and alignment with context (often termed 'implementation failure') – rather than reflecting on and challenging underlying assumptions underpinning resilience theory (often referred to as 'theory failure').

This is for two main reasons. First, project ToCs are underpinned by fairly broad and general assumptions about resilience-building, meaning any lessons learnt that challenge these assumptions will represent fundamental changes in the theoretical understanding of resilience-building. Second, projects unpacked their ToCs in more detail during the **Mid-Term Review**, and thus they will not reflect on these until their final evaluations. In the meantime, these findings reflect growing understanding of how projects adjust and adapt in changing contexts and through learning-by-doing, bridging the gap between theory and practice. However, findings also raise important questions as to whether the right actors are involved to influence higher levels of governance and the extent to which additional regional and national support is required – for example through Component D. See **Section 5** (Key message 4) for the implications for future resilience-building efforts, design and practice.

#### 4.3.4 Collaboration with other initiatives

The BRACED ToC acknowledges that BRACED is not the only initiative working on climate and disaster resilience and that BRACED projects are located within a wider set of international and national development actions. It highlights that BRACED needs to build upon and leverage these initiatives to contribute to higher-level impact. Evidence in year 2 shows that over half of projects are collaborating either with a BRACED project or with another initiative operating in the context, mostly on specific topics, to optimise delivery and coordinate efforts.

In addition to adjusting implementation to course-correct and building on opportunities to influence the political landscape, during year 2 IPs also built synergies and collaborated with other initiatives within and beyond the BRACED programme. BRACED projects operating in the same location or country are taking the opportunity to maximise synergies and build on each others' experiences as well as to scale out project activities.

For example, in Ethiopia, collaboration between **CIARE** and **MAR** is enabling projects to address overlaps, maximise collaboration and pool resources. These projects are working together to avoid the overlap of climate information services in South Omo. Together, they are developing a joint platform on climate information, using radio transmission as the main medium for relevant climate information. This collaboration is also proving a useful avenue for iterative learning and improving project approaches. **MAR** has adopted **CIARE**'s climate information services model and **CIARE** is planning to adapt **MAR**'s innovative enterprises development model. Both projects share automatic weather stations and are co-organising dialogue workshops on DRR and resilience for IPs of both consortia. Moreover, **CIARE** and **MAR** are currently planning joint research on climate advisory services.

Similarly, in Burkina Faso, collaboration between **BRES** and **Zaman Lebidi** is leading to better coordination and knowledge exchange between both projects, which are working together to 1) produce a multi-lingual lexicon of agro-meteorological terminology to facilitate translation of scientific forecasts, 2) co-write a strategic document focused on improving access to climate information through mobile phone providers and 3) choose a service provider that will disseminate weather forecasts via SMS/IVR platforms to their project areas. IPs report that these activities could substantially increase access to climate information in and beyond their project areas.

Beyond BRACED projects, IPs are also joining forces and partnering with similar initiatives to maximise impact and the effective use of resources (financial and technical). For example, in Mali, **RIC4REC**'s formal partnership with AEDD has opened doors to building an informal partnership with GIZ, a key climate change player in the area. Through regular dialogue and information-sharing with projects that share a common goal of improving the well-being of vulnerable Malians, **RIC4REC** seeks to increase value for money through coordinating complementary support and sharing expertise. For example, UN Women, the Livestock Value Chain project and the **DCF** BRACED project jointly organised trainings with **RIC4REC** on gender development and

Mali Agriculture Land Use Policy. This allowed **RIC4REC** to better assist women's market gardening groups and to obtain formal land use authorisation 'acts' from local authorities.

More broadly, **IRISS** is working with ACTED to plan activities together and to foster shared learning in South Sudan. Further, **PROGRESS** is collaborating with, and building on the successes of, the DFID-funded ADA consortium in establishing Ward Adaptation and Planning Committees and developing the Wajir CIS plan (see Section 4.3.3). Additionally, **Livestock Mobility** is working with the PARSAO project to share learning by combining workshops, and during year 2 was able to build on PARSAO experience in the area of market access.

### To what extent is collaboration beyond consortia projects feasible when establishing already complex and multi-faceted programmes?

Collaborating with other projects both within BRACED as well as wider initiatives enables IPs to maximise synergies, leverage and pool resources and learn from each other. However, to date, evidence of such collaboration remains limited to discrete examples, raising questions about the challenges involved in establishing such partnerships. Within complicated multi-partner consortia projects, and particularly in the early stages of implementation, *'To what extent is collaboration beyond consortia projects feasible when establishing already complex and multi-faceted programmes?'* Awareness of other initiatives, synergies and dialogue needs to be embedded at the design stage, as these collaborations could become real opportunities to scale out project successes.

BRACED projects work in a range of contexts, some of which are more enabling environments, which can facilitate and speed the course of change, with others more challenging, requiring either scaled-back ambitions or longer processes of engagement to build relationships and trust to lay the foundations for change. Point for reflection 3 draws out this important contextual influence from the experiences of BRACED projects. This lends a more nuanced understanding of how enabling or constraining each context is for resilience-building projects. See Section 5 (Key message 3) for the implications for future resilience-building efforts, design and practice.



**Point for reflection 3: Progress is more effective when project interventions are designed to work with the context rather than against it**

Across the spectrum of BRACED countries, on-going processes of social change, building on (or overcoming legacies of) previous initiative, and the broader political and social context have significantly influenced progress. While some projects have faced the need to overcome legacies of past interventions that either delivered less than promised or were not successful (IRISS, Livestock Mobility, MAR, Anukulan, CIARE), others have been able to build from an enabling environment in part created by the achievements of past initiatives. For example, both DCF and PROGRESS are operating in contexts with a history of interventions that have been similarly aligned, resulting in important relationships and credibility with partner communities.

Wider on-going patterns of change may also facilitate uptake of project interventions. For example, PROGRESS notes that in Kenya there is a growing number of people exiting pastoralism and looking for alternative sources of income and livelihoods, which has facilitated peoples' enthusiasm to engage in business opportunities such as VSLA, spare parts and energy groups. Additionally, favourable legislation, for example on national food and nutritional security, and Law 012-2014 in Burkina Faso, which provides guidance on managing disaster risk, align project aims with national development priorities (BRES, Zaman Lebidi). Likewise, favourable government policies for gender inclusion in Kenya have facilitated progress in tackling gender inequalities and achieving greater female representation in public office and decision-making committees (PROGRESS). For projects working to facilitate decentralised decision-making power and climate funding in particular (e.g. PROGRESS, DCF), working in contexts with decentralising or decentralised governments has facilitated the uptake of project aims and approaches.

### 4.3.5 Resilience outcomes

In year 2, IPs were asked to report on the evidence generated through the projects to show that the capacities built had reduced the impact of events. However, not all IPs provided information on this issue; when they did, they described the indicators used to measure capacities, and how these had contributed to reducing the impact of the events, rather than presenting a deeper reflection on the role of capacity built in reducing such impacts. Overall, there is much more evidence about how anticipatory and absorptive capacities, rather than adaptive capacity, have mitigated impacts.

One emerging factor that helped build anticipatory capacity and reduced the impact of events was the adoption of early warning systems (EWS). For example, **Anukulan** reported that, through the establishment of EWS, there was no loss of life from floods in Nepal. Under **CIARE**, EWS helped reduce the impact of drought in Ethiopia through reducing hunger and the number of animal losses. There is also evidence that EWS made it possible to anticipate a possible food security emergency in Chad through early action that enabled **BRICS** to plan a response with the World Food Programme. Additionally, reduced impact from events as a result of absorptive capacity is documented through the experience of the **PRESENCES** project, through its use of Index-Based Livestock Insurance in Niger. This covered 76% of the population affected by flash floods that were leading to losses of livestock among communities. By accessing funds, communities managed to replenish their herds to pre-existing levels within three months, demonstrating absorptive capacity. Evidence of adaptive capacity reducing the impact of events is scarce. One example from the **Zaman Lebidi** project in Burkina Faso demonstrates that training and equipment on implementing new irrigation practices enabled the community to adapt their irrigation methods and absorb the impact of the dry months.

Similarly to year 1, an indicator that is lacking in assessing progress towards building adaptive capacity is whether information from past events and shocks is taken into account when decisions are made on how to respond or to adapt to a certain shock. In other words, the learning-by-doing dimension should be better reflected when considering resilience outcomes.

## 4.4 Scaling and embedding

The BRACED ToC posits that, to achieve resilience outcomes and transformational change, change needs to happen at all levels. This requires IPs to link implementation efforts across scales so as to influence change at all such levels. The ToC is premised on the thinking that abiding change comes when governance at the top meets advocacy and grassroots efforts at the bottom. This theme explores how BRACED projects are scaling out and embedding approaches to building sustainable local and national capacity fostering transformational change, by drawing together insights from across the Areas of Change and transformation scorecards (see Section 2.2). Evidence to date shows projects are embedding their approaches through establishing participatory platforms for decision-making, and inputs into local policy development and planning processes, as well as promoting

multi-stakeholder engagement and building strong relationships with communities. They are also engaging with local government in particular, and regional and national technical services, to promote understanding and uptake, to input into national policies<sup>55</sup> and to try to scale up approaches.

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## SUMMARY

- **Locally rooted transformation is possible.** Despite uneven progress across the portfolio, some examples show how pathways to institutionalisation have been catalysed through a tangible demonstration of benefits, creating demand for new approaches, or through partners' direct collaboration and involvement in participatory processes, which promotes local leadership and ownership and increases the likelihood of uptake beyond the lifetime of the projects.
- **Structural changes in government processes and social relations are key to scaling and sustainability.** An improvement in the relationship between communities and local government has led to greater community ownership of project resources and planning.\* There is anecdotal evidence that, whereas before communities were neither involved in nor aware of government planning, there has been an improvement in government transparency and accountability and communities have been empowered to approach local government with inputs and priorities.

Delays in the design and implementation of national and regional policy and capacity support hinder the achievement and sustainability of BRACED outcomes. See [Section 5](#) (Key message 5) for the implications for future resilience-programming, design and practice.

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\* Livestock Mobility, Anukulan, MAR, LWW, Myanmar Alliance, PRESENCE, PROGRESS, RIC4REC, SURM1, Zaman Lebidi.

### 4.4.1 Pathways to scaling and embedding

As highlighted under previous themes, all BRACED projects work directly with local communities to build the resilience capacities of the rural poor. In addition, the process of influencing policies, planning and budgeting across government scales is a key component of transformative change as understood in BRACED, which aims to support resilience outcomes to achieve impact at scale (i.e. beyond the project context) and sustainably beyond the lifetime of the project through catalysing approaches that others can replicate and

<sup>55</sup> BRICS, Myanmar Alliance, MAR, DCF, PROGRESS.

finance. The implications for scale and sustainability from catalytic activities are difficult to verify at present. However, most IPs are now engaged in some form of catalytic activity: only two IPs<sup>56</sup> report planning policy engagement in year 3. Catalytic activities predominantly take the form of engagement of local governments, but there are different entry points for this engagement (see annex 7 for a full thematic mapping). The predominant entry points are described in the following paragraphs.

- **Influencing institutions to replicate approaches independently** following a demonstration effect in BRACED projects or training by BRACED partners<sup>57</sup> (with others reporting this as a nascent approach). They may replicate either a 'hard' technology (e.g. solar-powered pumps in Nepal, fodder banks in Ethiopia or livestock corridors in West Africa) or a 'soft' institutional approach (e.g. a multi-stakeholder approach to managing livestock corridors, VSLAs in Ethiopia, training of ward committees in Kenya or community-led total sanitation in South Sudan). While in most cases it is governments that replicate approaches (particularly at the local level), it may also be development agencies that do this. For example, in the **BRICS** project in Sudan, where development agencies complement the role of local government, the adoption by the Food and Agricultural Organization of the UN of local seed purchasing (as opposed to importing seed) has been critical to scaling the practice from three to eight localities.
- **Incentivising local communities and local governments to replicate activities in non-project areas.** Scaling-out is occurring largely at a local level through replication, as non-participants see the successes of some initiatives and seek advice to adopt approaches. This is reported by 11 IPs in the cases of climate information, savings groups, community-built latrines and agricultural techniques.<sup>58</sup> In some cases – such as climate information or community drainage – the effects of interventions are non-exclusionary so they have inherent benefits for the whole community. In other cases, techniques are either shared, requested or copied, although anecdotal evidence is that take-up among non-project participants is slower – but there is no information about usage and impacts beyond project participants.
- **Working with local champions to generate demand.** A number of projects report that local townships have shown demand for project approaches in their area, requesting support to replicate initiatives.<sup>59</sup> For example, mayors have shown intentions to scale out participatory approaches across their LGA (**RIC4REC**). In particular, two projects highlight that champions have significantly enabled project progress: local government actors (**LWW**) and community leaders to generate buy-in and

<sup>56</sup> CIARE, Zaman Lebidi.

<sup>57</sup> Anukulan, IRISS, Livestock Mobility, MAR, PROGRESS in Kenya, RIC4REC.

<sup>58</sup> Anukulan, IRISS, Livestock Mobility, PROGRESS, MAR, PRESENCES, CIARE, SUR1M, RIC4REC, BRES, Zaman Lebidi.

<sup>59</sup> IRISS, Myanmar Alliance, RIC4REC.

mobilise communities (**PROGRESS**). Additionally, in some cases (five out of fifteen projects), children are either acting as agents of change<sup>60</sup> or are assisting with translation for parents and family members.<sup>61</sup> However, as highlighted in a forthcoming publication from the KM, catalytic change cannot be guaranteed even if planned, as individuals respond differently in different contexts.<sup>62</sup>

- **Supporting communities themselves to have greater voice in government planning and budgeting processes.** A number of projects (10 out of 15) report stronger community input into local government processes, principally because of community training and organising but also through the facilitation of dialogue.<sup>63</sup> In Kenya, the training of ward committees has changed the role and perception of communities, while in Uganda resilience action committees have become a focal point for communities advocating with government (**PROGRESS**). In contexts as diverse as Ethiopia, Myanmar and Niger, four project partners report that communities are now going to local government with their proposals and asking for support, and achieving a stronger input into local development activities.<sup>64</sup>
- **Integrating community resilience priorities into government planning and budgeting processes.** Related to the point above, this is happening across most projects at the local government level,<sup>65</sup> either through involving government ministries as partners from the inception of the project (as is the case for **LWW** in Senegal and **BRES** in Burkina Faso) or through working with them on the back of community activities – and responding in some cases to government requests for support. This is reported at the local level for four projects<sup>66</sup> and includes prioritising and funding new technologies, recognising multiple use water systems, introducing long-term climate risk information, changing the approach to urban water management, recognising the needs of pastoralists and the livestock sector and introducing DRR, adaptation and gender concerns into planning and budgeting.
- **Creating new institutional spaces for local stakeholders.** This is an approach trialled in five projects<sup>67</sup> (in Nepal, Myanmar and West Africa) to support local adaptation planning, the institutionalisation of livestock corridors and new civil society platforms for DRR and adaptation, as well as water management committees.

<sup>60</sup> PROGRESS, LWW, IRISS.

<sup>61</sup> Myanmar Alliance, RIC4REC.

<sup>62</sup> Grist, N. (forthcoming) Does innovation build climate resilience in the Sahel? BRACED Knowledge Manager Resilience Intel.

<sup>63</sup> Livestock Mobility, Anukulan, MAR, DCF, LWW, Myanmar Alliance, PRESENCES, PROGRESS, RIC4REC, SUR1M, Zaman Lebidi.

<sup>64</sup> SUR1M, RIC4REC, Myanmar Alliance, MAR.

<sup>65</sup> Livestock Mobility, BRICS, CIARE, DCF, LWW, MAR, Myanmar Alliance, PRESENCES, PROGRESS, RIC4REC, SUR1M, BRES, Zaman Lebidi.

<sup>66</sup> SUR1M, LWW, Anukulan, PROGRESS.

<sup>67</sup> Anukulan, Myanmar Alliance, Livestock Mobility, DCF, LWW.



As illustrated below, a subset of projects have had influence at the regional, national and cross-border scales. However, most projects are making progress primarily in influencing government plans and policies at the local level. These policies and strategies are yet to lead to wider changes, but these represent the first steps towards wider integration.

#### Case in point 6: to work across scales pathways need to be designed in from the start

A subset of projects have been able to influence change at the regional, national and cross-border scales, aided by deliberate strategies of engagement at these scales and, in the two most prominent cases (Livestock Mobility and DCF Mali and Senegal), on the back of established project approaches. Livestock Mobility's work to secure livestock corridors for pastoralists through hard infrastructure as well as multi-stakeholder agreements has become a regional reference point and has been taken up by development partners in other West African contexts. DCF has sought to create national platforms and the institutions to decentralise climate finance so as to support local adaptation planning processes. Elsewhere, work by MAR in Ethiopia has engaged regional governments in the application of diverse approaches; in Chad, the BRICS project has been engaging with national actors on relevant policies and international agreements; for Myanmar Alliance, despite the absence of government planning structures and processes, there has been a peer-to-peer civil society learning process that has been international in scope. LWW in Senegal has engaged with local and national government to sign a memorandum of understanding for the implementation of a new approach to urban water management. We need to know more about what has driven these catalytic effects, and the role of individual agency, programme strategy and context in their outcomes.

Establishing the sustainability of BRACED interventions is still a highly subjective measure, but the catalytic effect is driving confidence among IPs that particular approaches will continue after the programme ends. IPs report sustainability where government partners demonstrate willingness to take up approaches. For example, in the **CIARE** project, the Ethiopian government will fund water infrastructure and user groups after BRACED ends, as BRACED interventions were designed to conform to government regulations and because of levels of community buy-in for particular interventions. For **Livestock Mobility**, the intensity of the process of creating multi-stakeholder committees to protect livestock corridors in West Africa means high buy-in from partners is required, and has yielded results in terms of the number of successful dispute resolutions. In some contexts, savings groups are independently

viable (e.g. **Myanmar**, and **MAR**'s microfinance project is opening its own institution) – although in other contexts, such as South Sudan, low levels of literacy impede self-sufficiency. In South Sudan, however, the success of a community-led total sanitation project carried out without subsidy in an aid-dependent area is being held up as a marker of sustainability. The private sector's role is also key – through seed and input sales (e.g. **SUR1M**) and the mobile phone provision of climate services by the Orange mobile network in Mali, supported by the **RIC4REC** project.

### Most projects are making progress primarily in influencing government plans and policies at the local level

Beyond the sense of transformation as 'mass change', IPs are also beginning to report structural changes in governance processes and social relations, which underpin scaling and are often critical to sustainability. On the back of the processes discussed above, a number of IPs report an improved quality of relationship between local governments and communities. Increased transparency and accountability is reported in three projects: in **Anukulan** in Nepal, as a result of the introduction of a multi-stakeholder process where bank accounts are shared; in **DCF** in Mali, through the introduction of decentralised mechanisms for planning and finance; and for **RIC4REC** in Mali, through greater participatory planning. The engagement between communities and local governments reported above has shifted the nature of relationships. The **Livestock Mobility** project is leading to greater community ownership of resources; the **Myanmar Alliance** project to spaces for dialogue and communication that were not open prior to the BRACED project; and the **RIC4REC** project to a shift away from government planning without village-level inputs (villagers were informed of local government decisions after they had been made) to one where communities can approach local government to inform them of their priorities.

It is important to highlight here again the bottom-up and top-down assumption underpinning the BRACED ToC. The bottom-up element is the 15 field-based projects (the focus of this report). The assumption is that, through the provision of national policy and capacity support (Component D of the programme), project-level community-based approaches will achieve and deliver sustained outcomes and affect people's resilience to climate extremes. Examples from the programme illustrate how conflict, security concerns, lack of government resources, lack of government structures and local political dynamics are all impediments to catalysing government actors at higher scales. Delays in the design and implementation of this component may hinder the achievement and sustainability of BRACED outcomes. Although progress to date is encouraging, both building relationships/partnerships with government authorities and creating new government policy take time, and project-level activity is unlikely to achieve this output without complementary institutional support from Component D.

#### **4.4.2 Resilience outcomes**

Given the timeframe and the challenges involved in achieving transformational and sustainable change at scale, there is currently no outcome-level evidence. Structural change should support improvements in capacities, particularly for the most marginalised and vulnerable social groups, but evidence here is also very scarce. There is also a lack of understanding as to how the activities promoted through the scaling process relate to the three resilience capacities built through those activities. Additional focus is required on the BRACED resilience and transformation M&E frameworks in future discussions and monitoring exercises. The implications for future M&E efforts are further discussed in the companion report, *Routes to resilience: Lessons from monitoring BRACED, year 2*.





# 5. CONCLUSION

Image:  
Scott Wallace  
(World Bank)

## 5.1 What have we learnt from year 2?

BRACED is the biggest global effort to build resilience locally, in highly vulnerable places, yet at scale. The programme is still being implemented, hence the results reported by IPs are reflective of the continued delivery. Despite some concerns and limitations as highlighted in this report, progress to date is in line with programme-level expectations in terms of the processes and activities implemented.

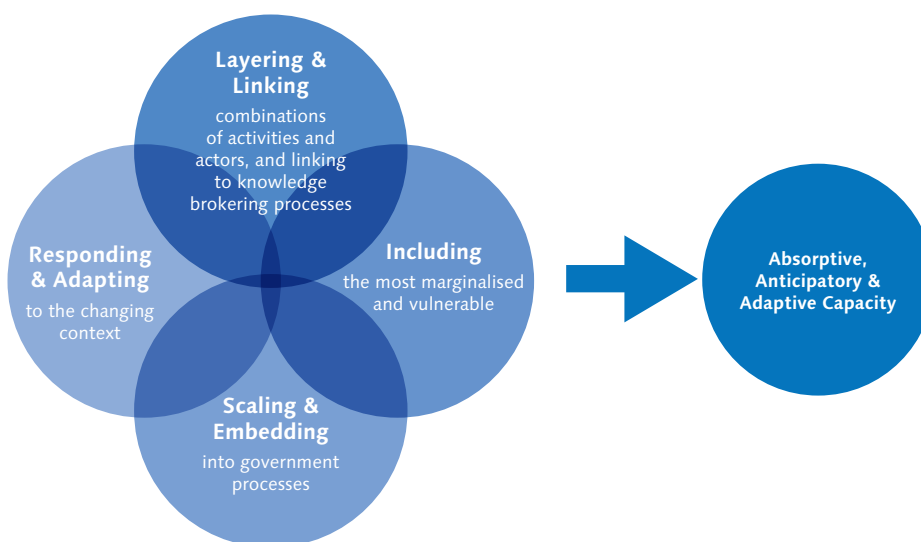
BRACED has had a very busy second year, implementing a large number of activities that are starting to contribute to tangible results. This report has focused on understanding and addressing the question '*How are BRACED projects building resilience to climate extremes and disasters?*' Reflecting on this question requires us to go beyond summarising progress to understand the factors, processes and pathways that lead to change, as well as the challenges involved in doing so.

Two years into the implementation of the BRACED programme, we have more substantive and insightful evidence of changes across the programme. This has allowed us to deepen our understanding of the four main enabling processes through which BRACED projects are building resilience. These are:

1. **layering and linking** a set of processes and activities
2. **including** the most vulnerable and marginalised to address inequalities
3. **responding and adapting** to the changing context
4. **scaling and embedding** efforts into on-going government processes

Analysis of these results makes it clear that these processes are key, not only to understanding resilience and interpreting results across the programme but also to generating a better understanding of *how* and *in what ways* BRACED projects are building resilience.

**Figure 6: Pathways to resilience – enabling processes towards resilience outcomes**



A focus on four key processes has allowed us to 'open up the black box' between outputs to outcomes and enabled a more holistic way of thinking. Through this analytical lens, we have drawn insights from across the pathways to resilience, exposing evidence of where the 'whole' is adding up to more than just the sum of the parts. Drawing out these emerging themes from the findings across a wide diversity of resilience-building projects certainly has value, yet their wider application across resilience-building programmes warrants further development and consideration. For example, other projects and programmes need to clearly articulate and integrate the role of science so as to strengthen resilience. In BRACED, there is a thematic focus on climate and weather information to draw scientific data into the programme, yet challenges remain in the use of longer-term climate information to support adaptation (see [Key message 7](#)). Additionally, work done by IPs in year 1 focused on establishing community-based risk and vulnerability assessments, as well as drawing on other information such as farming techniques and market prices (see [Routes to Resilience report year 1](#)).

The themes have provided an analytical lens that has improved our understanding of the pathways in the BRACED ToC. While these four processes broadly encapsulate the processes of change within BRACED, we envisage that they will remain somewhat fluid as our understanding grows. Having said this,



the four themes point directly to the underlying assumptions of the programme, which broadly resonate with current thinking about resilience-building programme design.<sup>68</sup> While evidence to date remains weak for assumptions yet to be fully tested, this analysis enables us to start deeper reflections and discussions about the practical implications of designing and implementing programmes like BRACED. For example, it is clear that, if taken alone, these themes have science as a critical gap, and how these processes integrate scientific understanding and research. Work on this could include considering how to involve relevant hazard and risk scientists through advisory committees, in project design and as partners, in project implementation.

## 5.2 Key messages and implications for practice

The BRACED programme has less than a year left before the projects start to close out their activities. Recommendations given here will have limited impact, given the timeframe remaining to change course at this juncture. Given this, we draw on our learning from monitoring BRACED over the two-year period to derive a set of seven key messages that reflect our interpretation of what this learning means for resilience-building efforts, together with implications for future practice. Our aim is that these seven key messages and implications will support learning throughout the remainder of the programme, as well as advancing thinking and practice in the field of climate and disaster resilience programmes and their accompanying monitoring and results reporting efforts at large. Taken together with our wider reflections in Section 5.3, which aim to reframe the debate around resilience-building efforts, these messages and implications are intended to provide the basis for a deeper evidence-based discussion about resilience-building practice both within and across BRACED and beyond, as well as considerations for designing and commissioning resilience programmes.

**Key message 1: Activities alone are not enough to build resilience at community level; they need to be integrated, tailored to the context and sequenced to ensure quality.**

Evidence to date points to the fact that, in reality, progress along the resilience pathways is constantly changing and interacting in interdependent and unpredictable ways, creating non-linear feedback loops; it is not one activity or process that determines success or failure but rather the logic, sequencing and timing of implementation (see Section 4.1: Layering and Linking). In short, it is about how they work and interact together. This raises the question of *'To what extent does quantity compromise quality?'* This challenges central assumptions underpinning programme and project ToCs as there is no 'right' approach or 'scale' – nor does it make sense to assume that quantity is more important than quality.

<sup>68</sup> Frankenberger, T., Constan, M. A, Nelson, S. and Starr, L. (2014) Resilience programming among nongovernment organisations. Lessons for policymakers. Washington, DC: International Food Policy Research Institute.

In promoting changes, the quantity, range or diversity of activities may be less important than developing the 'right' mixture of activities, actors and processes to enable change. Fostering and nurturing relationships through continued engagement can help ensure the alignment of activities and approaches in the context, provide support for stakeholders throughout the process of change and open up avenues to influence when 'windows of opportunity' arise (for examples, see Point for reflection 3: Progress is more effective when project interventions are designed to work with the context rather than against it, in Section 4.3.4). The demonstration of 'quick' tangible results is key to generate trust and incentives, but *'How many activities need to be implemented and how long does it take to see results emerging from one activity to engage communities in others?'* Reflecting on the logic, timing and sequencing of the 'right' combination of activities, actors and processes is essential to ensure the effectiveness of resilience programmes.

In addition, the role of knowledge-brokers and trusted intermediaries (often played by IPs) is also key to facilitating these processes. Knowledge intermediaries have many roles to play, including supporting access, understanding and application of climate information; supporting livelihood processes; and linking communities with basic services, such as linking farmers to markets<sup>69</sup> (see Section 4.1.2). In addition, IPs themselves are playing intermediary roles through creating dialogue, decision-making and negotiation platforms; mentoring; and supporting peer-to-peer learning and shared learning dialogues. The importance of knowledge-brokers and intermediaries in facilitating these processes requires projects build in longer lead-in times to lay the foundations for this through building partnerships, developing relationships and trust and aligning within the context. While progress to date enables us to understand how critical intermediary roles are, it remains unclear 'how' this works, what contextual factors influence it, its effectiveness and its sustainability, as much of the evidence available remains anecdotal and inconclusive. This also raises the question: *'Are the right actors involved?'* This should be an area of investigation for the final evaluations.

## Implications for practice

Project designs need to include nested ToCs, with a robust assessment and identification of the logic, sequencing and integration of the combinations of activities, actors and processes that lead to change. ToCs need to be based on realistic timeframes, including longer lead-in times to build relationships and reflecting what can be achieved within existing timeframes. At the programme level, they need to provide an overarching vision while retaining some level of specificity of projects' underlying assumptions.

<sup>69</sup> Livestock Mobility, BRES, BRICS, RIC4REC.

**Key message 2: Building resilience requires equality: projects must move beyond participation of the most vulnerable towards addressing the root causes of exclusion.**

Change pathways include much more than a set of layered and linked project activities. They involve transforming the social processes that have contributed to vulnerability in the first place. It remains unclear the extent to which IPs are engaging in social processes that contribute to empowering individuals, households, communities and institutions not only to react and respond but also to challenge the drivers of risk and promote alternative pathways to development. To create pathways to change, inclusive approaches need to be layered and linked and designed-in as a pathway towards change. Evidence suggests few IPs are approaching inclusion as a pathway towards resilience, but most projects are ensuring women are included, in particular in income-generating project activities (see Section 4.2.1: Including). Whether (or not) inclusion is designed as a core pathway to building resilience has key implications, in relation not to whether resilience can be built but to for whom it is being built. BRACED projects aim to build resilience and equality. This raises questions for BRACED: *'If inclusion of marginalised and most vulnerable groups is not designed-in as a central objective, then to what extent can BRACED claim to be inclusive?'*

Both approaches have reported improvements in inclusion, but it remains unclear the extent to which these may lead to significant changes in terms of improving people's living conditions and tackling discriminatory social norms. Projects with direct targeted strategies towards inclusion, and operating in contexts that are also 'ready for change', are making slow but steady progress towards challenging the causes of exclusion at the local level, through building the awareness and understanding of multiple actors, as well as the skills and resources to enable change. The questions that remain are: *'Can BRACED or other resilience-building projects expect to shift structural constraints that are the root causes of inequality in the short-term? Should they be trying to?'* And, *'Are the right actors involved?'*

## Implications for practice

To promote inclusion, project design needs to include multi-faceted and multi-scale strategies from the start, and ensure the buy-in of multiple actors to progress along pathways towards inclusion. Designs need to reflect realistic timeframes about what can be achieved with existing levels of funding and timeframes.

**Key message 3: Context matters: there are different trajectories for resilience-building so assessments of progress should be relative to the starting point.**

Evidence to date shows progress towards results is relative to the starting point: there are different trajectories of change. Some IPs are working in contexts with rapidly evolving security risks, in chronic and humanitarian crises and/or in fragile contexts, with weak governance and low capacity. Crises are not static, and both climate – and conflict-driven migration add to the rapidly changing contexts in which BRACED projects work. In these contexts, trajectories towards change

are complex and unique, and protracted. This raises the question of whether projects that achieve more 'immediate results' are more successful. We have seen that, in fragile and conflict-affected states, projects have had to scale back their ambitions, and adapt their approaches to emerging understanding of change processes, and in light of evolving circumstances (see Section 4.3.2: Responding and Adapting). This has challenged project assumptions about how much and in what ways change could be achieved. Depending on the context, small gains made can be transformative for populations. In fragile and conflict-affected states, progress is more localised but it may still be transformative. For example, changing gender roles at the household level may enable greater opportunities for generating small but significant gains in household income. Assessments of project 'success' or 'underperformance' based on performance ratings or 'results' alone are not appropriate. This raises the question of expectations and criteria against which achievements are 'measured'.

Each context poses a unique set of challenges and opportunities for change. Contextual alignment and readiness for change are key influencing factors in change processes. Starting points are not equal. There are varied levels of (mis)trust, as well as new versus established relationships, and the buy-in and structure of governance within each context affects progress (see Section 4.3.4). Projects operating in enabling contexts may see more 'results'.

### Implications for practice

- More nuanced assessments of progress relative to the starting point of each project are necessary.
- Projects operating in fragile and conflict-affected states require both alternative models for development and a more sustained effort to build resilience.

#### **Key message 4: Resilience programmes need to move beyond responding and learning-by-doing towards more meaningful flexible and adaptive programming.**

BRACED projects are designed to adopt flexible and adaptive approaches to implementation. Projects that are well aligned with emerging priorities and needs in countries, are engaged with networks of influential actors and can adapt flexibly as opportunities to influence arise stand to maximise their influence (see Section 4.3.4: Responding and Adapting). At the implementation level, projects are demonstrating incremental learning and adaptation as they come across barriers and opportunities to align initiatives, but overall there remains limited questioning of underlying assumptions about how change happens, particularly when contexts are ever-changing, and whether other routes may offer alternatives in the 'new' context (see Section 4.3.3). Linear implementation in an ever-changing context may render approaches no longer relevant depending on the speed of change. This raises the following question: *'If projects are not challenging project designs and assumptions, can we consider this to be resilience programming?'* In reality, most projects are adopting a single-loop approach to learning to improve performance, rather

than double-loop learning, which would lead to wider reframing of goals, problem-framing and assumptions.<sup>70</sup> This may take time, and may become more apparent in final evaluations as the Realist Evaluation approaches adopted by IPs encourage unpacking of project-level ToCs. Engaging in these deeper reflections to draw out lessons learnt that challenge assumptions of change is an important criterion for resilience programming.

## Implications for practice

Questioning underlying assumptions about how change happens through M&E efforts needs to be considered a key criterion for resilience programming.

**Key message 5: Reaching scale and embedding change is possible at a local level, but the scope for success is limited without complementary investments at national and regional levels.**

There are different entry points for scaling and embedding across BRACED projects. Some projects engage at national/regional levels, and some operate in very constrained conditions where they are largely unable to reach beyond community level. Most engage at the community/local government interface. Transformations are relative to context: even small-scale transformations can have a significant impact on lives and livelihoods.

There is uneven progress across the portfolio, but some examples show how locally rooted transformation happens. Pathways to institutionalisation have been catalysed through a tangible demonstration of benefits, creating demand for new approaches, or through partners' direct collaboration and involvement in participatory processes, which promotes local leadership and ownership and increases the likelihood of uptake beyond the lifetime of the projects (see Section 4.4.1: Scaling and Embedding). Evidence shows that achieving catalytic transformation is possible at local scale, but transformational change at higher scales within the lifetime of the programme is limited in certain contexts without the top-down component of BRACED (Component D). The multiple contexts and entry points for BRACED projects offer the potential to better consider and operationalise different pathways for locally rooted transformations in resilience, keeping in mind the broader spectrum of meaning of the term 'transformation', beyond just the move to scale.

While BRACED has focused on scaling and embedding in relation to transformation, it is also important to consider structural change in governance and gender relations as critical to the sustainability of interventions, as well as how climate-sensitive such transformatory processes are. Structural changes in government processes and social relations are key to scaling and sustainability. An improvement in the relationship between communities and local government leads to greater community ownership of project resources and planning and empowers communities to approach local government with inputs and priorities.

<sup>70</sup> Pahl-Wostl, C. 2009. A conceptual framework for analysing adaptive capacity and multi-level learning processes in resource governance regimes. *Global Environmental Change*, 19, 354–365.



Structural changes raise relevant questions for BRACED about the relationship between resilience activities and development activities that tackle the root causes of risk. *'Can resilience practices catalyse improved development outcomes that are transformational in changing the structures of vulnerability, or is "transformation" catalysing resilience?'* At present, the evidence is too nascent to draw firm conclusions.

The final meaning of transformation – so far little explored in BRACED – is change in social systems in response to climate thresholds or tipping points that make existing structures impossible to maintain. The only indication of this in the BRACED programme is through the use of climate information to define economic activities and technologies. While a large portfolio of projects report using 'climate-smart' techniques, this is not necessarily defined in relation to resource and adaptation constraints; it is more often defined in relation to renewable technologies or the income-generating effect (the 'development dividend') on households coping with climate shocks and stresses.

### Implications for practice

For transformational impact to be sustained, projects and programmes need to invest **both** in 'top-down' investments through institutions and policies at national and regional level and 'bottom-up', by directly supporting communities.

**Key message 6: Building adaptive capacity is essential for strengthening resilience: projects must address the trade-offs between realising short-term priorities and providing for longer-term community needs.**

Evidence to date shows a continuum between anticipatory, absorptive and adaptive capacities. Yet, while there is evidence that both anticipatory and absorptive capacities improved in year 2, the extent to which these two capacities also include adaptive elements is less clear. Building adaptive capacity is deeply embedded in building anticipatory capacity, for example ensuring resilience plans take into account long-term climate information, and in building absorptive capacity, for example achieving not only income generation but also income diversification to access more varied sources of finance, which take climate change considerations into account, such as Index-Based Livestock Insurance schemes. Similarly, when assessing progress in building adaptive capacity, although there are indicators that show improvements, evidence on enhanced adaptive capacity *per se* is less clear (see Section 4.3.5: Responding and Adapting resilience outcomes). This leaves us with the question, *'Are all BRACED projects enhancing resilience to climate extremes and variability?'*

Potential trade-offs between the three capacities have also been highlighted, but limited evidence means it is not possible at this stage of the programme to understand the extent to which these could be overcome. In particular, the long-term approach needed to build the adaptive capacity and required by project implementers appears in contrast with the shorter-term 'response'-driven approach needed by communities for building absorptive capacity (see Section 4.1.3: Layering and Linking resilience outcomes). This is an important obstacle to be noted in terms of what can be achieved under

BRACED, as it makes the inclusion of local communities' priorities challenging in any serious attempt by BRACED to include climate change considerations in its activities. It is critical to reflect on the distinction between adaptive capacity being essential and it being feasible, given the difficult starting points of some of the countries where BRACED projects are implemented and the timeframe and resources available.

## Implications for practice

At design stage, more honest and clearly articulated strategies should be clear about which capacities projects are aiming to contribute to. In addition, project designs need to consider potential trade-offs and any possible complementarities between short – and long-term goals.

**Key message 7: The access, translation and use of long-term weather and climate information is crucial to build adaptive capacity and transformational change.**

Climate information underpins approaches to building knowledge, skills, partnerships and inclusive decision-making in BRACED projects. However, it also mirrors the overall focus on anticipatory and absorptive capacities. This is manifested in projects' relatively high access to and use of shorter – and medium-term weather information. Longer-term climate information is so far used by only a few projects at very small scale (see Section 4.1.3: Layering and Linking resilience outcomes). While the use of longer-term climate information is crucial as a knowledge base for strengthening adaptive capacity, it is much more complex to access, understand and use for projects and their target populations. Some of the key challenges entail a lack of infrastructure for generating information, especially in (but not limited to) conflict affected areas, and more technical capacity is needed at project level to adequately interpret and translate climate information into action. In addition, the high costs related to some sources of climate and weather information used by consortia and project partners lead to questions as to how sustainable these financing approaches are.

The same applies to climate and weather information mechanisms more generally: some projects have established new partnerships, built new knowledge infrastructure and established channels of communication, but it remains unclear what the exit strategy is.

Moving from the provision of information towards community empowerment is key to sustainability. Projects have addressed this through translation, communication and other efforts to make information more accessible and understandable. However, few IPs are explicitly tackling the questions of how communities can be not only receivers but also contributors to, or producers of, information, and how to integrate top-down and bottom-up sources of climate information.

## Implications for practice

Establishing sustainable mechanisms for communities to access weather and climate information, beyond the programme, needs to be a priority in project and programme design. Going forward, DFID and IPs are advised to consider what is feasible when it comes to the use of longer-term information, considering projects' different starting points and contexts. Specifically, projects need to make sure they are not promoting livelihoods that will not be resilient in the future.

## 5.3 Going beyond the data: reframing the debate

The findings and evidence generated in BRACED over a two-year period provide a solid foundation to move beyond the conceptual to the practicalities and realities of actually designing, implementing and monitoring resilience-building programmes. This moves away from questioning '*What is different about building resilience?*' or '*How long does it take to build resilience?*' to a more refined set of questions that reframe the debate towards practical implications for resilience programming.

### 5.3.1 What is essential in resilience programming, and what is feasible?

There is a need to move away from theoretical frameworks to start grounding discussions in practice. This moves beyond simply ticking boxes against the elements or criteria of resilience-building programmes towards a better understanding of the processes of change that are both feasible and appropriate within each context. At their core, problems defined in context are development issues. Resilience programmes adopt multidimensional approaches that are designed to account for and build capacities to face and adapt to shocks and stresses, to foster learning and transformation within changing contexts. This approach creates integrated programmes, working with multiple actors and across scales, to address long-term needs and priorities beyond the capacity of any single organisation or entity. However, given the complex nature of resilience-building, programmes can quickly become large and complex, and, in practice, even when all of the boxes are ticked, efforts may still fall short of delivering 'resilience programming'. There are several reasons for this, relating to scope, processes and outcomes.

**The multidimensional, multi-actor and multi-scale scope of resilience-building approaches can lead to an assumption that 'more activities lead to better results'**

Logic and coherence within and across the range of activities and partnerships is essential to support and enhance change processes. Yet the multidimensional, multi-actor and multi-scale scope of resilience-building approaches can lead to an assumption that 'more activities lead to better results', particularly in terms of the number and range of project activities and partnerships. This has implications for the effectiveness of projects if they are not integrated with clear logical links to how activities work together coherently in a complementary and multi-faceted way. This assumption also raises the risk that complexity becomes considered a tick-box exercise of 'items' to be included, rather than considered holistically to form an integrated approach. The assumption that 'more activities leads to better results' raises critical questions about the scope of resilience-building projects and the expected minimum requirements from project design and implementation.

At the outcome level, a focus on building capacities is positive: it draws attention to people's agency as actors interacting within their context rather than focusing solely on vulnerabilities and considering people passive 'victims'. Yet the risk with an explicit focus on capacities is that the role of science and scientific information is not necessarily explicit. It is possible to 'tick the boxes' and build capacities without explicit attention given to the changing climatic context, drawing on current and future hazard scenarios, and more broadly considering the role of science and scientific research in informing resilience-building approaches. This challenge also raises the question '*Are the right actors involved in resilience-building programmes?*'

In particular, the use of long-term climate information is essential to building climate resilience. Within BRACED, the focus on climate information integrates climatic understanding across the programme, but the use of climate information is not necessarily sufficient in and of itself. There are risks in failing to bridge the gap between the short-term provision of weather information and the long-term understanding of climate change, which must be addressed.

**Adaptive capacity is essential to building resilience, yet the concept of the three capacities themselves can create trade-offs in focus, between building shorter-term anticipatory or absorptive capacities and longer-term adaptive capacities**

Finding ways to integrate climate change adaptation within efforts to build anticipatory or absorptive outcomes may be a feasible pathway to ameliorate trade-offs between achieving short – and long-term goals, rather than treating adaptive capacity as a third isolated outcome.

There are essential elements in resilience programming but they need to be balanced with what is feasible in practice, and what are the most effective approaches and processes within each context to achieve meaningful change.

### **5.3.2 What does it take in each context to progress along resilience trajectories?**

There is a need to move away from discussions about the timeframes needed to build climate and disaster resilience, which implicitly implies that resilience is a tangible entity with an end point. A focus on resilience as a process draws attention instead to the question *'What does it take in each context to achieve meaningful change?'*

## Discussion about timeframes should not be centred on what can be achieved in terms of resilience as a final outcome

Acknowledging that there is variation in the extent to which contexts are 'ready for change', that there are different starting points for resilience-building and different entry points and approaches for addressing problems, discussion about timeframes should not be centred on what can be achieved in terms of resilience as a final outcome; more enabling environments may see more 'results'. Instead, the focus should lie on the extent to which projects can support stakeholders within their context to move along development pathways, while at the same time building capacities to enable coping, adaptation and transformation in the face of climate and disaster risk. This argument reframes the question from *'How long does it take to build resilience?'* to *'Are resilience programmes actually about progressing along resilience trajectories?'* If so, and given the variation in starting points and in resilience trajectories across contexts, donors are able to make normative choices about funding. This leads to the explicit concern *'Are donors going to prioritise quicker "results" in resilience-building rather than supporting change in the most vulnerable contexts?'*

### **5.3.3 What should monitoring and evaluation efforts focus on?**

If we agree that, at their core, problems defined in context are development issues, then 'results' are development outcomes. It is a focus on resilience as a *process* that makes resilience programmes different, and the results of the process are 'good' development outcomes. Therefore, at the programme level, there is also a need to move away from ticking boxes against resilience outcome indicators or capacity frameworks to monitoring and measuring the processes programmes follow. The aim is to ensure programmes are designed, tailored and delivered in a way that meets a longer-term need within each context. Resilience can only truly be measured in the face of shocks or stresses. The success of



resilience programmes is measured not by means of resilience outcomes *per se* but in the achievement of positive development outcomes in the context of shocks and stressors.

The success of resilience programmes  
is measured not by means of resilience  
outcomes *per se* but through the achievement  
of positive development outcomes in the  
context of climatic shocks and stresses

Capacity frameworks for measuring improved resilience become more relevant when households, communities or countries at large are exposed to shocks and stresses. If the processes of resilience-building are coherently linked and layered, inclusive, responsive and adaptive and scaled and embedded, and integrate science, as appropriate to the problem and feasible within the context, then outcomes will, by virtue of a focus on the process, follow. So, perhaps the wider debate is about whether the focus should lie on measuring resilience results, or whether it is the processes and developmental outcomes that emerge in the context of shocks and stressors that we should monitor and measure. This leads to the question *'How can we better tell the story of resilience-building processes?'* The M&E system in BRACED attempts to track and understand processes and pathways of change. Such narratives open up the black box of 'how' resilience is being built, leading to an improved understanding that fosters learning for practice. Lessons learnt about how we can better tell the resilience story are further explored in [Routes to resilience: Lessons from monitoring BRACED, year 2](#).

BRACED is still being implemented and results are tentative. However, we hope that these questions will spark meaningful debate and conversation about what it really takes to build the resilience of the most vulnerable to climate and disaster extremes.

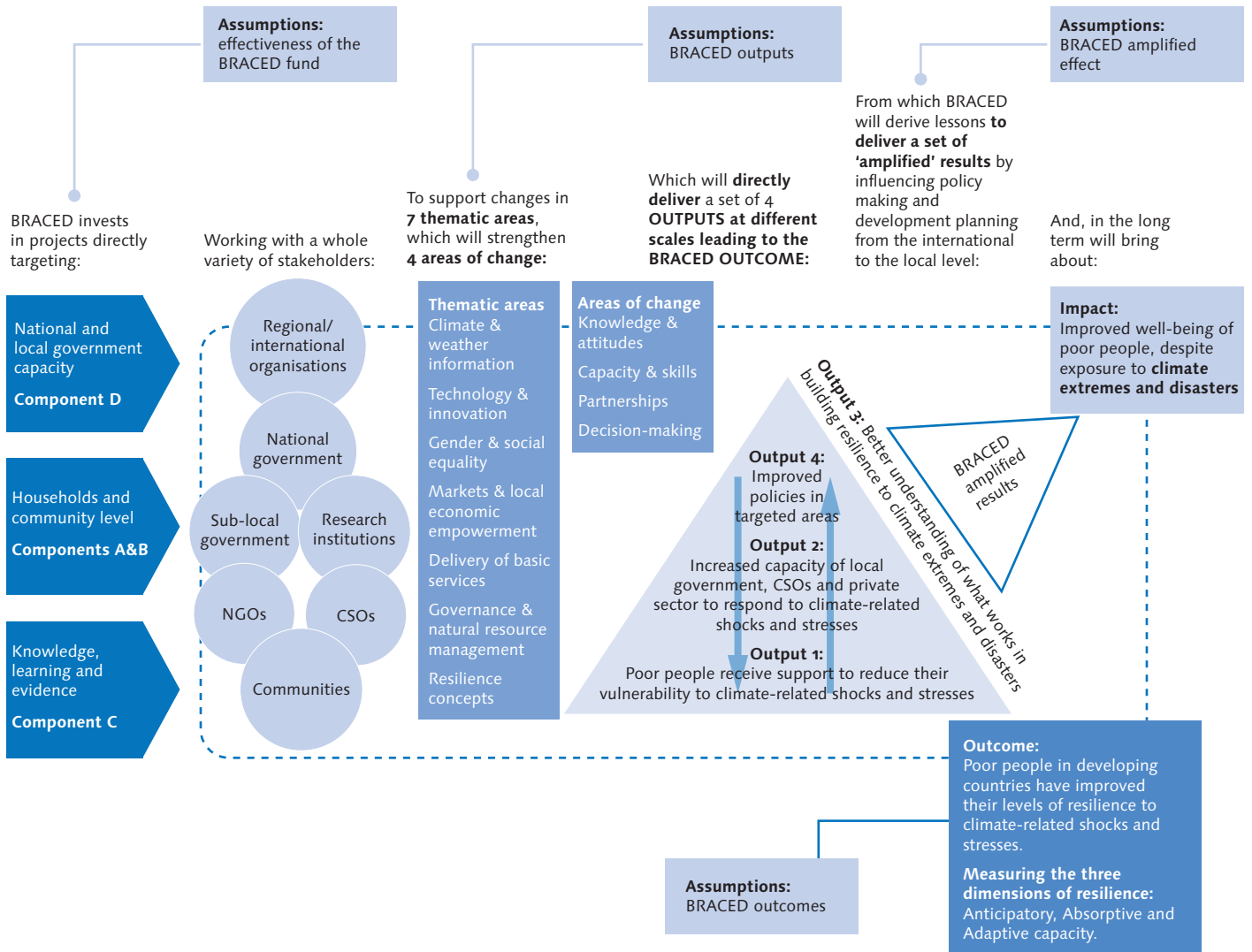
## Annex 1: Components of the BRACED programme

The BRACED programme comprises four components:

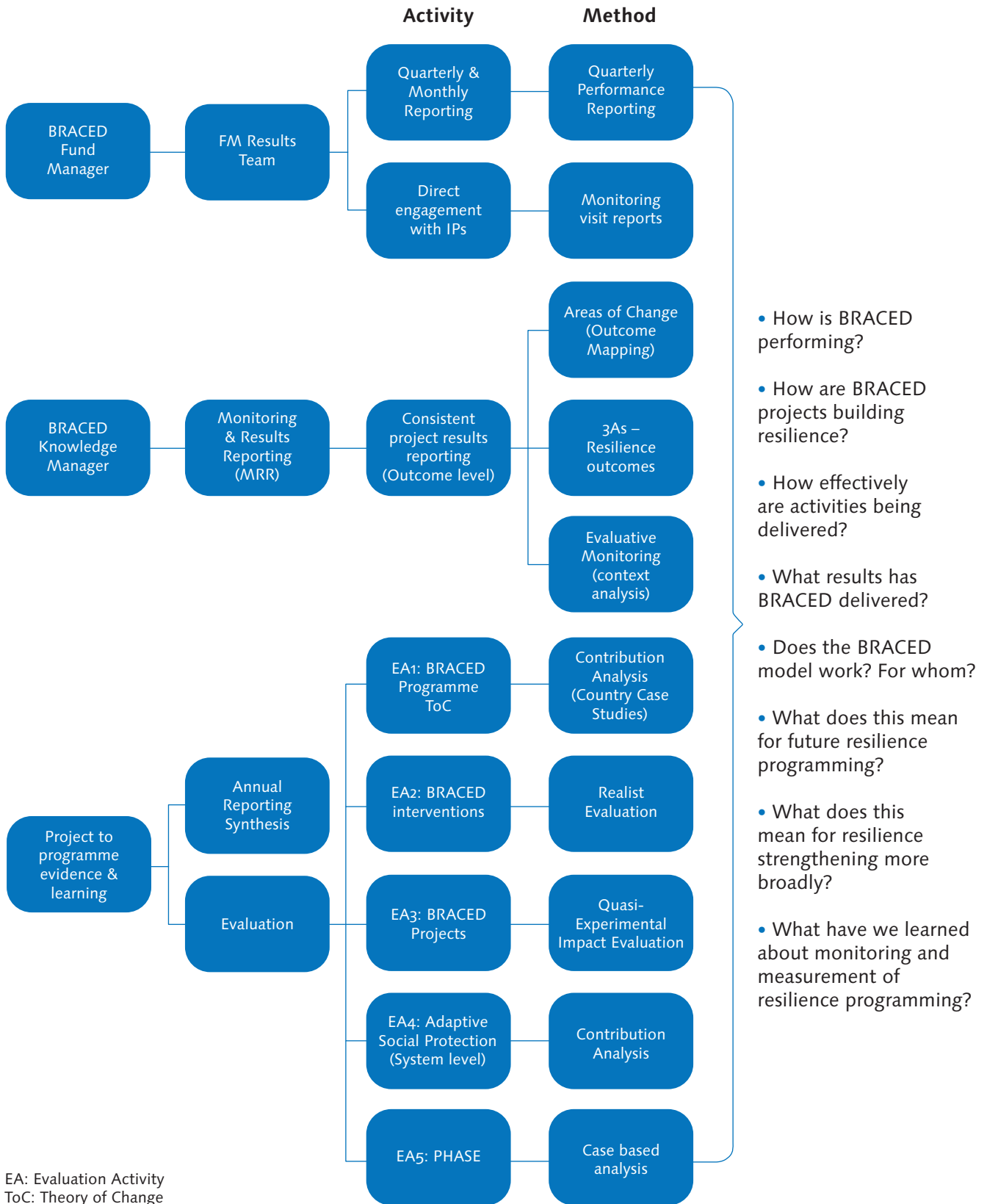
- **Components A and B** are field-based resilience-building projects in the Sahel and East Africa/Asia, respectively. These 15 three-year projects are being run concurrently, usually in 1 or 2 of the 13 BRACED countries.<sup>71</sup> Each BRACED project is unique in its design, target stakeholders, activities and operating context, and is delivered by a BRACED Implementing Partner (IP). IPs are typically multi-organisation consortia that have come together to design and deliver a resilience-building project under BRACED. Annex 4 provides a list of the IPs and their projects. A Fund Manager (FM) manages the performance of the 15 projects.
- **Component C** aims to develop a better understanding of what works in building resilience to climate extremes and disasters. To this end, DFID is also supporting a Knowledge Manager (KM). The BRACED KM is a consortium of monitoring and evaluation (M&E), research, learning, communications and regional organisations. Working alongside the 15 project IPs, the KM is building a knowledge and evidence base of what works to strengthen resilience. The KM networks internally and externally to get that knowledge and evidence into use within and beyond BRACED countries.
- **Component D** (still being designed and subject to approval) aims to build the capability and capacity of developing countries and regional organisations to prepare and plan for the expected increases in the frequency and severity of climate extremes and disasters.

<sup>71</sup> The BRACED countries of operation are Burkina Faso, Chad, Mali, Mauritania, Niger, Senegal, Sudan (Component A) and Ethiopia, Kenya, South Sudan, Uganda, Myanmar, Nepal (Component B).

# Annex 2: BRACED theory of change



## Annex 3: BRACED M&E 'infrastructure'



## Annex 4: The BRACED projects

Each BRACED project is using different intervention strategies and being implemented in different climatic and operating contexts. The table below provides a brief synopsis of the location and focus of each of the 15 projects considered in this report, and the name/abbreviation by which they are referred to throughout the report.<sup>72</sup>

### Synopsis of BRACED projects

PROJECT NAME	PROJECT ABBREVIATION	PROJECT LOCATION	PROJECT FOCUS
<b>ANUKULAN</b>	ANUKULAN	Nepal	Driving small farmer investment in climate-smart technologies
<b>Building Resilience in Chad and Sudan</b>	BRICS	Chad, Sudan	Strategies and technologies to build resilience against droughts and floods, including climate-smart agriculture, improved irrigation and early warning systems
<b>Climate Information and Assets for Resilience in Ethiopia</b>	CIARE	Ethiopia	Improving access to reliable climate information and increasing local communities' capacity to respond to climate threats
<b>Decentralising Climate Funds</b>	DCF	Mali, Senegal	Decentralising climate funds in Mali and Senegal
<b>Improving Resilience to Climate Change in South Sudan</b>	IRISS	South Sudan	Strategies and technologies to build resilience against droughts and floods
<b>Livestock Mobility</b>	Livestock Mobility	Burkina Faso, Mali, Mauritania, Niger, Senegal	Strengthening the resilience of pastoralists and agro-pastoralists, through trans-border livestock mobility
<b>Market Approaches to Resilience</b>	MAR	Ethiopia	Financial models and economic opportunities adaptable to climate extremes
<b>Myanmar Alliance</b>	Myanmar Alliance	Myanmar	Improving access to climate risk information and community disaster preparedness and approaches
<b>Projet de la Résilience face aux Chocs Environnementaux et Sociaux au Niger</b>	PRESENCES	Niger	Natural resource management and governance, climate-resilient livelihoods and improved climate information
	PROGRESS	Kenya, Uganda	Building resilient governance, markets and social systems
<b>Renforcement des Initiatives Communautaires pour la Résilience aux Extrêmes Climatiques</b>	RIC4REC	Mali	Strengthening communities' initiatives for resilience to climate extremes
<b>Scaling up Resilience to Climate Extremes for over 1 Million People</b>	SUR1M	Niger, Mali	Intelligent agriculture, saving circles and radio messaging for resilience in the Niger River basin
<b>Welthungerhilfe (name of lead IP agency)</b>	BRES	Burkina Faso	Changing farming practices to prepare for heavy rain and high temperatures
<b>Zaman Lebidi</b>	Zaman Lebidi	Burkina Faso	Improving access to reliable climate information and increasing local communities' capacity to respond to climate threats

<sup>72</sup> For more information about BRACED projects visit: [www.braced.org](http://www.braced.org)



## Annex 5: Project screening grid

BRACED M&E FRAMEWORK	HOW ARE BRACED COMPONENTS A AND B BUILDING RESILIENCE TO CLIMATE EXTREMES?
<b>Pathways to resilience</b>	<p><b>Categorising changes along the four Areas of Change</b></p> <p>Who are the main actors (boundary partners)?</p> <p>What activities have been undertaken and where?</p> <p>What are the main achievements/changes?</p> <p>What level of change has been seen?</p> <p>What are the main challenges? How is the project addressing them?</p> <p>Are there any unexpected results?</p> <p>Are there any links of change processes to outcome-level change?</p> <p>What is the level of evidence shown on how project activities have contributed to change?</p>
<b>Contextual factors affecting change</b>	<p><b>Contextualising resilience</b></p> <p>What are the main constrainers of the project related to (internal or external to the project)? How are these contextual factors constraining change from the project?</p> <p>What are the main enablers of the project related to (internal or external to the project)? How are these contextual factors enabling change from the project?</p> <p>Have the contextual factors contributed to any unexpected outputs or outcomes?</p> <p>What are the key lessons learned in relation to change processes?</p> <p>What is the level of evidence?</p>
<b>Shocks and stresses</b>	<p><b>Shocks and stresses</b></p> <p>What shocks and stresses have occurred during Year 2?</p> <p>What impact have shocks and stresses had on project progress?</p>
<b>Understanding resilience outcomes</b>	<p><b>Categorising outcome-level changes</b></p> <p>Who are the direct/indirect stakeholders and how have they benefitted?</p> <p>What are the main capacities being built?</p> <p>What evidence is there that building adaptive, anticipatory and absorptive capacities has reduced the impact of shocks and stresses?</p> <p>Do any project activities/initiatives help enhance more than one capacity at a time?</p> <p>Are there any trade-offs in initiatives to enhance adaptive, anticipatory and absorptive capacity, where enhancing one capacity may result in the erosion of another?</p> <p>Where is the project lagging behind/no longer relevant?</p> <p>What is the level of evidence?</p>
<b>Theory of Change</b>	<p><b>Theory of Change reflections</b></p> <p>Has the project revised its theory of change?</p>

## Annex 6: Mapping of project activities

PROJECT	Assessment and planning	Establishment of community committees	Agricultural practices/technologies	Nutrition and health	Infrastructure	Gender and social inclusion	Drm + early warning (ew)	Forecasting and weather information	Natural resource management (nrm)	Financial services	Business development/ entrepreneurship	Community funds/grants	Policy advocacy
Live Stock Mobility	•	•			•	•	•	•	•	•			•
Anukulan	•	•	•	•	•		•	•	•		•	•	•
BRICS	•	•	•	•	•	•	•	•	•				•
CIARE	•	•	•		•		•	•		•	•		•
DCF	•	•	•		•	•	•	•	•				•
IRISS	•	•	•	•	•		•	•	•	•	•		•
LWW	•	•	•				•	•	•				•
MAR	•	•	•	•			•	•	•	•	•		•
Myanmar Alliance	•	•	•		•	•	•	•	•	•	•	•	•
PRESENCES	•	•	•		•	•	•	•		•			•
PROGRESS	•	•	•		•	•	•	•	•	•	•	•	•
RIC4REC	•	•	•		•	•	•	•	•	•	•	•	•
SUR1M	•	•	•	•		•	•	•	•	•	•	•	•
BRES	•	•	•	•			•	•	•		•		•
Zaman Lebidi	•	•	•	•	•		•	•	•				•

## Annex 7: Thematic mapping

A comparative analysis of the project-level synthesis was conducted against the core question of this report. Content analysis led to the mapping of recurring cross-cutting 'empirical' themes at the programme level, guided by the expert knowledge and interpretation of the Monitoring and Results Reporting team (based on their intimate knowledge of the programme). A rule of thumb was used whereby a minimum of three occurrences of an idea represents a pattern within the data (a theme). These empirical themes were then related to one another, as it became clear that there were cross-cutting processes that connected them.

For example, it became clear 'how' projects were making progress towards scaling-up and sustainability, including by working through partnerships, demonstrating tangible outputs early on and institutionalising approaches through engagement and participation to try to foster local ownership. These empirical themes are connected through the processes of 'Scaling and Embedding' and this process cuts across the Areas of Change (knowledge, skills and practices, partnerships). The themes were grouped by the overarching process that connects them, forming the four core concepts (processes) used to structure this report.

### Layering and Linking

PROJECT	KNOWLEDGE TRANSFER & CAPACITY BUILDING			COMBINATIONS OF ACTIVITIES		
	Layer 1: Awareness raising and training	Layer 2: Knowledge Brokering and support Mechanisms	Layer 3: Inputs and enabling environment	Planning and Connecting	Financial Services and access to markets	Early warnings and Agricultural practices
Livestock Mobility		•				•
Anukulan	•		•	•		
BRICS	•	•				
CIARE		•			•	•
DCF	•		•	•		•
IRISS		•		•	•	•
LWW	•			•		
MAR	•		•	•	•	
Myanmar Alliance	•		•	•	•	

## Layering and Linking continued

PROJECT	KNOWLEDGE TRANSFER & CAPACITY BUILDING			COMBINATIONS OF ACTIVITIES		
	Layer 1: Awareness raising and training	Layer 2: Knowledge Brokering and support Mechanisms	Layer 3: Inputs and enabling environment	Planning and Connecting	Financial Services and access to markets	Early warnings and Agricultural practices
PRESENCES		•		•	•	•
PROGRESS		•		•	•	•
RIC4REC		•		•		•
SUR1M		•		•	•	•
BRES		•		•		•
Zaman Lebidi		•		•		•

## Gender and Including

PROJECT	REPRESENTATION		TARGETING	INFORMING		INCLUDING (TACKLING ROOT CAUSES)			
	Inclusion or quotas for women's representation	Quotas for other marginalised groups	Trainings or activities for women	Groups and activities and training for children, boys and girls	Awareness raising or training about gender stereotypes/equality	Informing policy or supporting decision-making	Directly targeting gendered practices and using gender-sensitive approaches	Access to culturally-appropriate financial services	Land rights and more equal access to land
Livestock Mobility	•		•				•		•
Anukulan	•	•			• (staff)				
BRICS	•		• (life skills)		• (staff)				•
CIARE	•		•						
DCF	•				• (staff)				•
IRISS	•		•	•	•				
LWW	•			•					
MAR	•		•					•	
Myanmar Alliance	•		•	•	•				

**Gender and Including continued**

PROJECT	REPRESENTATION		TARGETING	INFORMING		INCLUDING (TACKLING ROOT CAUSES)				
	Inclusion or quotas for women's representation	Quotas for other marginalised groups	Trainings or activities for women	Groups and activities and training for children, boys and girls	Awareness raising or training about gender stereotypes/equality	Informing policy or supporting decision-making	Directly targeting gendered practices and using gender-sensitive approaches	Access to culturally-appropriate financial services	Land rights and more equal access to land	Participatory platforms including pastoralists
PRESENCES	•									•
PROGRESS	•			•	• (and male-only)	•	•	•	•	
RIC4REC	•		•		• (staff)					
SUR1M	•				•	•			•	
BRES	•		•		•		•		•	
Zaman Lebidi	•		• (and male-only)							

**Responding and Adapting**

PROJECT	Adjusting implementation as a result of shocks and stresses	Activities or groups supporting communities to cope with shocks and stresses	Adapting in fragile and conflict affected states	Learning by doing	Collaboration with other initiatives and projects
Livestock Mobility	• PHASE		•		•
Anukulan		•			
BRICS	•	•	•		
CIARE				•	• MAR
DCF	• PHASE			•	• RIC4REC
IRISS	•		•	•	•
LWW					
MAR	•	•			• CIARE



### Responding and Adapting continued

PROJECT	Adjusting implementation as a result of shocks and stresses	Activities or groups supporting communities to cope with shocks and stresses	Adapting in fragile and conflict affected states	Learning by doing	Collaboration with other initiatives and projects
Myanmar Alliance					
PRESENCES	• PHASE	•			
PROGRESS	•			•	•
RIC4REC	•	•	•	•	• DCF
SUR1M	• (PHASE)	•		•	
BRES				•	• ZL
Zaman Lebidi	• (PHASE)	•			• BRES

### Scaling and Embedding

PROJECT	Inputs to national policies	Influencing institutions to replicate approaches independently	Incentivising local communities and governments to replicate approach in non-project areas	Working with local champions to generate demand	Replication by local townships	Influence of 'champions'	Children as agents of change	Supporting communities to have greater voice in planning or budgeting	Integrating community resilience priorities into planning and budgeting	Creating new institutional spaces for stakeholders	Working across scales
Livestock Mobility		•	•					•	•	•	•
Anukulan		•	•					•		•	•
BRICS	•								•		•
CIARE			•						•		•
DCF	•								•	•	•
IRISS		•	•	•		•					

Scaling and Embedding continued

PROJECT	Inputs to national policies	Influencing institutions to replicate approaches independently	Incentivising local communities and governments to replicate approach in non-project areas	Working with local champions to generate demand			Supporting communities to have greater voice in planning or budgeting	Integrating community resilience priorities into planning and budgeting	Creating new institutional spaces for stakeholders	Working across scales
				Replication by local townships	Influence of 'champions'	Children as agents of change				
LWW					•	•	•	•	•	•
MAR	•	•	•				•	•		•
Myanmar Alliance	•			•		•	•	•	•	•
PRESENCES			•				•	•		•
PROGRESS	•	•	•		•	•	•	•		•
RIC4REC		•	•	•		•	•	•		•
SUR1M			•				•	•		•
BRES			•					•		•
Zaman Lebidi			•				•	•		•

## Annex 8: Detailed summary of progress, year 2

### Improving knowledge, understanding and commitment towards climate and disaster resilience

#### What have IPs achieved in year 2?

The use of climate and weather information by individuals, communities, local governments and project staff as a basis for decision-making has increased overall. Activities contributing to the greater use of climate information include capacity-building of staff, project partners and facilitators or lead farmers; translation from scientific French and English to local languages; and finding effective ways to communicate information.

Only two projects<sup>73</sup> reported no use of climate and hydro-meteorological data, which was related to on-going conflict and lengthy negotiations to secure affordable access to data. Nine projects<sup>74</sup> are using such information as a basis for decision-making and planning. In four cases, local governments also use this information, for instance to plan interventions and public investments or provide advice on transhumance timeframes.<sup>75</sup> An increased number of projects, 10 in total, reported positive changes in both knowledge and practices related to the use of climate information at a local level, for instance to support village-level planning or to inform agricultural and pastoralist activities.<sup>76</sup> For example, **PRESENCES** observe that, as a result of community dialogues and awareness-raising, communities in Niger are now requesting seasonal forecasts before making decisions about farming activities. They have improved their knowledge on the use of enhanced seeds, as well as use of crop residues to improve the nutritional quality of animal feed. However, evidence on this local use remains anecdotal or at a small scale, and several projects are still limited in facilitating the use of climate information within communities, particularly for longer-term (beyond seasonal) information. These challenges relate in part to building user trust in forecasts, as well as to regional or national capacities for forecasting (see Sections 4.1.1 and 4.1.2). For further information about how projects are accessing and using climate information, see Box 1: Improving awareness and the use of climate information, in Section 3.1.

In year 2, there were examples of knowledge being shared between participants and non-participants. For example, **RIC4REC** supported Community Working Groups – cornerstones of peer-to-peer learning – to participate in project-facilitated inter-village exchanges during which group members present

<sup>73</sup> IRISS, MAR.

<sup>74</sup> BRICS, DCF, LWW, Livestock Mobility, Myanmar Alliance, PRESENCES, PROGRESS, SUR1M, BRES.

<sup>75</sup> CIARE, DCF, Livestock Mobility, Myanmar Alliance.

<sup>76</sup> Anukulan, CIARE, DCF, Livestock Mobility, Myanmar Alliance, PROGRESS, RIC4REC, SUR1M, BRES, Zaman Lebidi.

and discuss what they are accomplishing with project support. In addition to the exchanges, Community Working Groups promote informal peer-to-peer learning, facilitating the scaling-out of knowledge-building initiatives and increasing the visibility of activities.

Three IPs<sup>77</sup> supported the creation of platforms through which stakeholders can take part in discussions, improve knowledge and subsequently commit to engage in new practices. Moreover, IPs worked with and included various societal members, including children, service providers, women, farmers and local and national authorities, in the same platforms. For example, in Nepal, **Anukulan** facilitated training platforms for farmers to interact and build relationships with government officials and to access information about support services. As a result, farmers now approach the District Agriculture Development Office to request inputs and support for their agricultural activities.

In addition, knowledge-building activities have also taken place with local, sub-national and national governments,<sup>78</sup> focusing largely on building awareness of climate change and its risks as well as integrating climate change into local and national planning. For example, in Senegal, **DCF** launched a platform at the national level to promote dialogue across key national stakeholders working on climate change issues and to ensure synergy across efforts and tools for integrating climate change into national guidelines for local planning.

Despite efforts to promote knowledge generation, to date IPs are still challenged with regard to engaging stakeholders in BRACED activities. Challenges include low levels of literacy and education, which makes it difficult for stakeholders to fully grasp the content of the knowledge-building activities. In addition, remoteness, security issues and cultural norms (especially regarding participation of women) have hindered participation in activities in some areas.

## Strengthening skills and practices to manage climate and disaster risks

### What have IPs achieved in year 2?

Strengthening technical skills to improve livelihoods and income generation has been a key area of work this year. BRACED IPs follow different approaches to support local communities and governments to adopt new livelihoods in income-generating options (see annex 6 for a detailed mapping of project activities). IPs target a variety of entry points to build capacities along the climate and weather information value chain – from data generation and supply,<sup>79</sup> to intermediary communication channels<sup>80</sup> (reaching beyond project participants), to end users (e.g. project staff, government officials, communities).<sup>81</sup>

<sup>77</sup> PROGRESS, CIARE, Anukulan.

<sup>78</sup> DCF, RIC4REC, Livestock Mobility, Zaman Lebidi.

<sup>79</sup> e.g. Zaman Lebidi.

<sup>80</sup> BRES, Zaman Lebidi, SUR1M.

<sup>81</sup> e.g. Anukulan, DCF, BRES.

By coupling climate information with improving climate-related agricultural skills and practices, farmers are now able to use new approaches and techniques, improving their yields and in some cases leading to a surplus that can be used to increase capital.<sup>82</sup> **BRES** provided households and producer groups with intensive trainings and support on income diversification, specifically the production of market garden vegetables, wetland rice, cassava and poultry. As a result, new practices increased households' nutritional diversity and the possibility of accessing the market to increase capital (a 'case in point' in Section 4.1 explores this further).

In most cases (11 out of 15 projects), improving access to financial resources and diversification of income for vulnerable groups through VSLAS is leading to increased financial resources and decision-making power.<sup>83</sup> For example, **IRISS** trained VSLA members (majority women), who now are not only building trust and cooperation with each other but also deciding on how to use their loans, such as to contribute to the schooling of their children or as a safety net during the extended lean season. **MAR** has introduced new small financial services, including VSLAs and microfinance institutions for rural pastoralists living in remote areas. This has enabled communities to start up new businesses, engage in income-generating activities and expand their existing business.

IPs have also focused on creating community-based institutions to build community and individual capacity in areas like business and savings (e.g. **CIARE**), identification of local issues and priorities (e.g. **RIC4REC**), dissemination of early warnings (e.g. **Zaman Lebidi**) and managing community infrastructure on livestock corridors and pastoral fodder banks (**Livestock Mobility**).

Improving skills and practices of local communities and local governments for DRR and adaptation planning and implementation has been another key area of work.<sup>84</sup> IPs focused on building the capacities of adaptation committees to improve public commitment and to integrate climate change into local planning through training and funds to implement as well as monitor and evaluate their own projects. Alongside this, activities focused on improving the skills of local government technical services<sup>85</sup> to support community-based institutions and local planning. **CIARE**, for example, provided trainings on GIS, remote sensing, map production and visualising and use of satellite images for land-cover analysis so that technical services staff could better support integration of climate change into local development planning. Bringing governance and technical services together through these committees aims to ensure technical aspects are taken into account in decision-making.

<sup>82</sup> Zaman Lebidi, Anukulan, BRES, CIARE.

<sup>83</sup> MAR, PRESENCES, Myanmar Alliance, IRISS, SURM1, Myanmar Alliance, PROGRESS, IRISS, MAR, RIC4REC, BRES.

<sup>84</sup> DCF, PROGRESS, RIC4REC, IRISS, BRICS, PRESENCES.

<sup>85</sup> CIARE, RIC4REC, DCF, Zaman Lebidi, BRES.

Improving the delivery of services to vulnerable communities by private service providers has been key for some projects. For example, **Anukulan** trained service providers along with community business facilitators (CBFs) to disseminate resilience-based technologies developed by the project in order to reach vulnerable communities in remote locations. By linking services through CBFs, the project enabled vulnerable communities, within as well as outside targeted districts, to access business services such as improved seed varieties and suitable bio-pesticide. This resulted in strong linkages between service providers, CBFs and vulnerable farmers.

Also, eight out of fifteen IPs<sup>86</sup> focused on improving health conditions in communities by introducing new hygiene and nutritional practices that are also leading to tangible results. For example, **BRICS** and **IRISS** have made significant progress in hygiene and sanitation. **BRICS** has seen significant increases in access to suitable latrines as a result of its trainings from 3% to 68% in project areas in Chad. In addition, six out of fifteen projects have focused on improving livestock health as a key aspect of livestock security.

The importance of context is key to interpreting results in year 2. Successes are emerging but IPs are still dealing with key challenges related to lack of infrastructure and formal structures to support capacity-building on agriculture development, banking, marketing and processing business. In challenging contexts, there is a different starting point for development, and more time is needed to develop knowledge and understanding before skills can be developed to lead to changes in practices.

## Building partnerships to deliver interventions for resilience

### What have IPs achieved in year 2?

Partnerships have lent resource and capacity to BRACED projects, including a wider range of technical expertise, required for a diverse range of strategies. For example, **LWW** has partnered with a Swiss engineering consultancy group to improve the quality of resilience-related information provided to government departments, which has led to faster implementation of flood management plans. Also **BRICS** was able to establish nurseries for agroforestry drawing on the technical expertise of the World Agroforestry Centre.

Partnerships and networks are also crucial for access to, and provision of, climate information. Consortia have been active in establishing connections to address challenges with the availability and costs of climate information, to facilitate data generation and access that supports increased resilience. For example, to address data availability issues, **Anukulan** collaborates with the Nepalese Department of Hydrology and Meteorology to install river gauges and automatic hydro-meteorological stations. Some challenges prevail – for example **MAR** struggled to access information owing to high charges on forecast products by the Ethiopian National Meteorological Agency. Lengthy negotiations resulted

<sup>86</sup> Anukulan, BRICS, IRISS, BRES, SURM1, Zaman Lebidi, CIARE, Myanmar Alliance.



in significant delays, and no climate or weather information had been accessed by the project at the time of reporting. It is unclear whether there are alternative sources that could have been used by building different partnerships or accessing new networks.

BRACED partnerships have also enabled stakeholders to access inputs and new services. This includes through connecting farmers to improved seeds by working in partnership with agro-dealers or district agriculture offices<sup>87</sup> and brokering access to new financial services in new areas<sup>88</sup> (for further detail see Section 4.2).

Working in partnerships has facilitated multi-actor and multi-disciplinary collaborations, connecting across scales to facilitate integration of local needs into resilience planning<sup>89</sup> and decision-making structures. Government buy-in has facilitated smoother implementation through granting permissions and permits<sup>90</sup> and promoted ownership of decision-making platforms, leading to engagement and interest of different stakeholders in institutionalising approaches.<sup>91</sup> Such jointly owned initiatives have increased the likelihood for sustainability. Working in partnerships has enabled projects to access partners' networks, opening doors to broaden reach through further collaboration<sup>92</sup> as well as opportunities to influence processes at a national or international level.<sup>93</sup> Projects have also leveraged partners' established and trusted relationships,<sup>94</sup> in particular with remote or marginalised communities,<sup>95</sup> connecting them with decision-makers to develop platforms for negotiation and conflict resolution.

There remain some challenges with partnerships, including lengthy bureaucratic processes, as well as time and resource constraints of project partners or distrust, either associated with understanding the purpose of BRACED projects or as a legacy of previous failed project initiatives<sup>96</sup> (see Section 4.3.4). Many of these challenges were overcome in year 2 through engagement, particularly as projects delivered against their commitments, building trust.<sup>97</sup> However, there are key challenges for projects operating in fragile or conflict-affected states, as they face unpredictable changes in local or national-level actors, reduced possibilities for partnerships with the private sector, and a lack of government capacity (human and material resources) or incentives to support initiatives or to help embed them for future sustainability<sup>98</sup> (see Section 4.3.2).

<sup>87</sup> SUR1M, Anukulan.

<sup>88</sup> PROGRESS, MAR.

<sup>89</sup> Anukulan, Livestock Mobility, Zaman Lebidi, DCF, BRES, RIC4REC.

<sup>90</sup> CIARE.

<sup>91</sup> DCF, RIC4REC.

<sup>92</sup> RIC4REC, PROGRESS, PRESENCES.

<sup>93</sup> DCF, IRISS, PROGRESS.

<sup>94</sup> LWW.

<sup>95</sup> BRICS, Livestock Mobility.

<sup>96</sup> MAR, Anukulan, CIARE, Livestock Mobility.

<sup>97</sup> PROGRESS, BRICS.

<sup>98</sup> IRISS, BRICS.

## Improving decision-making through inclusive resilience-building

### What have IPs achieved in year 2?

Projects have established participatory platforms to foster representation, participation and leadership of the most vulnerable in shaping the decisions that affect them. These ensure decision-making and planning processes are both inclusive, and tailored to local community needs. To facilitate inclusion, projects have also implemented various specific trainings to raise awareness and increase understanding of the value of including vulnerable groups in decision-making. Within such community platforms, minimum quotas for women (and marginalised indigenous populations)<sup>99</sup> ensure they are represented. For example, **SUR1M** ensured women's inclusion in community groups, with 50% of early warning groups including at least 25% women.

Other participatory decision-making platforms focus on land access and rights for transhumants and pastoralists, and associated infrastructure management.<sup>100</sup> The forums established include a diverse range of stakeholder groups to promote inclusive decision-making, address any conflicts and negotiate outcomes. Livestock corridor agreements, commitments and inclusive governance arrangements to share and manage infrastructure are tangible outcomes of these processes. Trusted relationships between project partners and stakeholders and inclusion of formal and informal decision-makers and locally respected leaders<sup>101</sup> have enabled gains and agreements that have contributed to increased use of routes and fewer conflicts as well as reduced impact of conflicts,<sup>102</sup> although evidence is anecdotal at this stage.

Two projects have supported the development of policy to support planning and inclusive decision-making related to women's right to land (**SUR1M**); integrate pastoralists' climate information needs (**PROGRESS**) and combat gender-based violence (**PROGRESS**) (see Sections 4.2 and 4.3.3).

At the household level, through targeted training for women on VSLAs and climate-smart agriculture,<sup>103</sup> women have gained access to savings and loans, as well as skills to adopt new strategies and diversify livelihoods. New practices are starting to generate income<sup>104</sup> and some women have set up small businesses.<sup>105</sup> For example, **BRES** implemented a gender-focused approach, combining activities including women-focused technical livelihood-based trainings, developing market gardens, promoting women's inclusion

<sup>99</sup> Anukulan.

<sup>100</sup> DCF, BRICS, Livestock Mobility and PRESENCES.

<sup>101</sup> Livestock Mobility, DCF.

<sup>102</sup> Livestock Mobility.

<sup>103</sup> BRES, IRISS, Zaman Lebidi, Livestock Mobility.

<sup>104</sup> MAR, BRES, Livestock Mobility.

<sup>105</sup> IRISS, MAR.

in communal management bodies and supporting the adoption of new practices by allocating land parcels for individual women. This has afforded participants more control over their personal decision-making about the produce and income generated, enabling some women to contribute more to household expenditure and exercise greater decision-making power at the household level, although evidence is anecdotal.

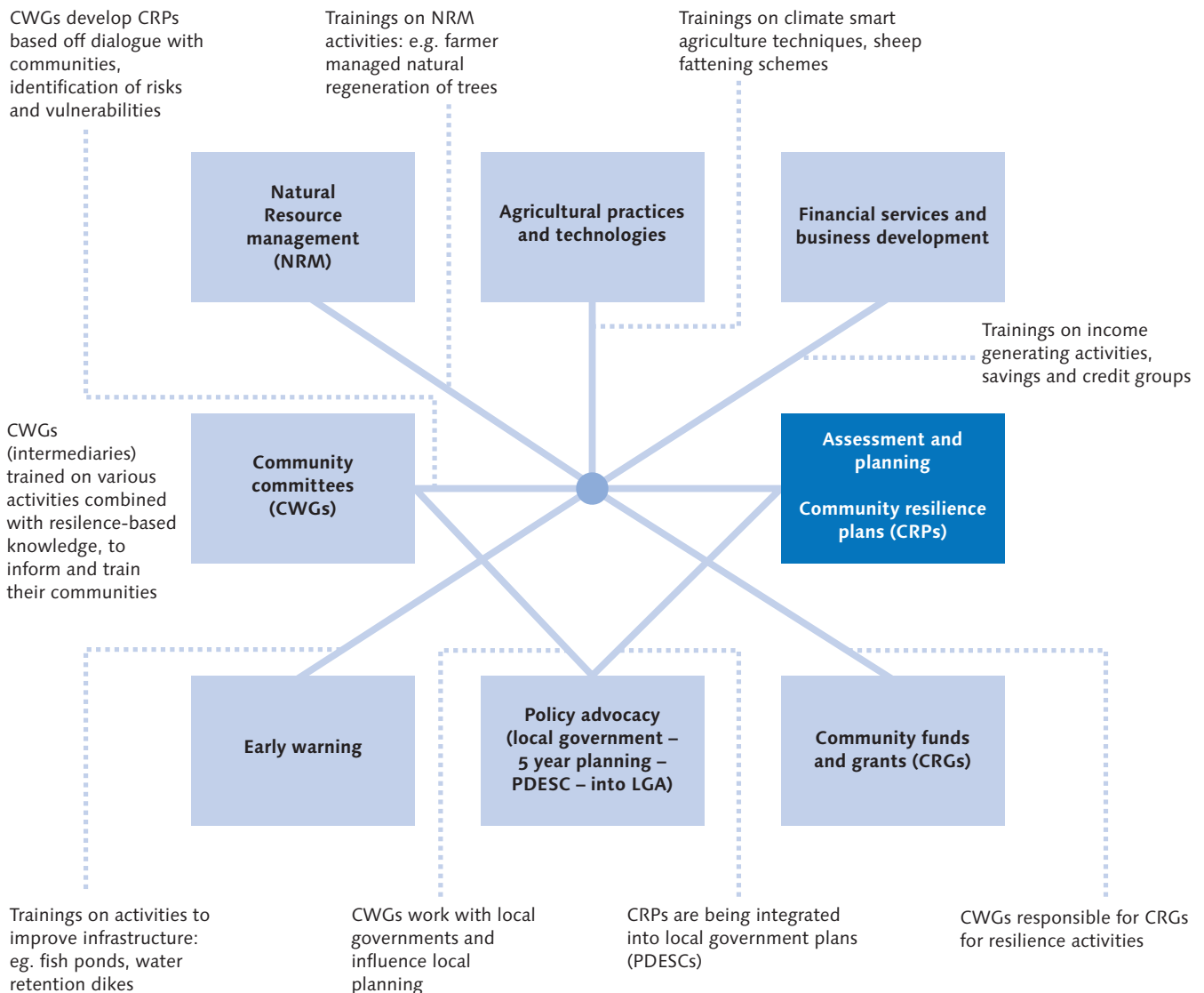
In general, BRACED projects indicate that there has been an improvement in terms of the inclusion of vulnerable groups. A variety of approaches are used and it remains difficult to assess which ones have led to significant changes in terms of improving people's conditions and tackling discriminatory social norms. All activities have the potential to lead to improvements, particularly where different approaches are combined (e.g. investing in life skill training, while supporting fairer access to key resources), but achieving legitimacy for the most vulnerable relies on shifting deeply rooted social and cultural norms, which will take time.

# Annex 9: Illustrative examples – layering and linking a combination of activities

## Planning and connecting

Last year's report (Routes to Resilience report year 1) highlighted how community planning was the entry point for engaging communities and local authorities in BRACED project activities. During year 2, progress was made in implementing layered activities linked to community plans – for example training local communities and government authorities, establishing and operationalising EWS, accessing climate information and forecasting, improving nutritional status and access to health services, implementing mitigation actions through grant-making, improving natural resource management and policy-influencing. To date, it remains unclear how health and hygiene-related activities are integrated with other activities to form a combination of activities that is greater than the sum of its parts. Having said this, while implementation modalities vary across projects, important results emerged during year 2.

## Illustrative example: Layering and linking a combination of activities through community assessment and planning (RIC4REC)



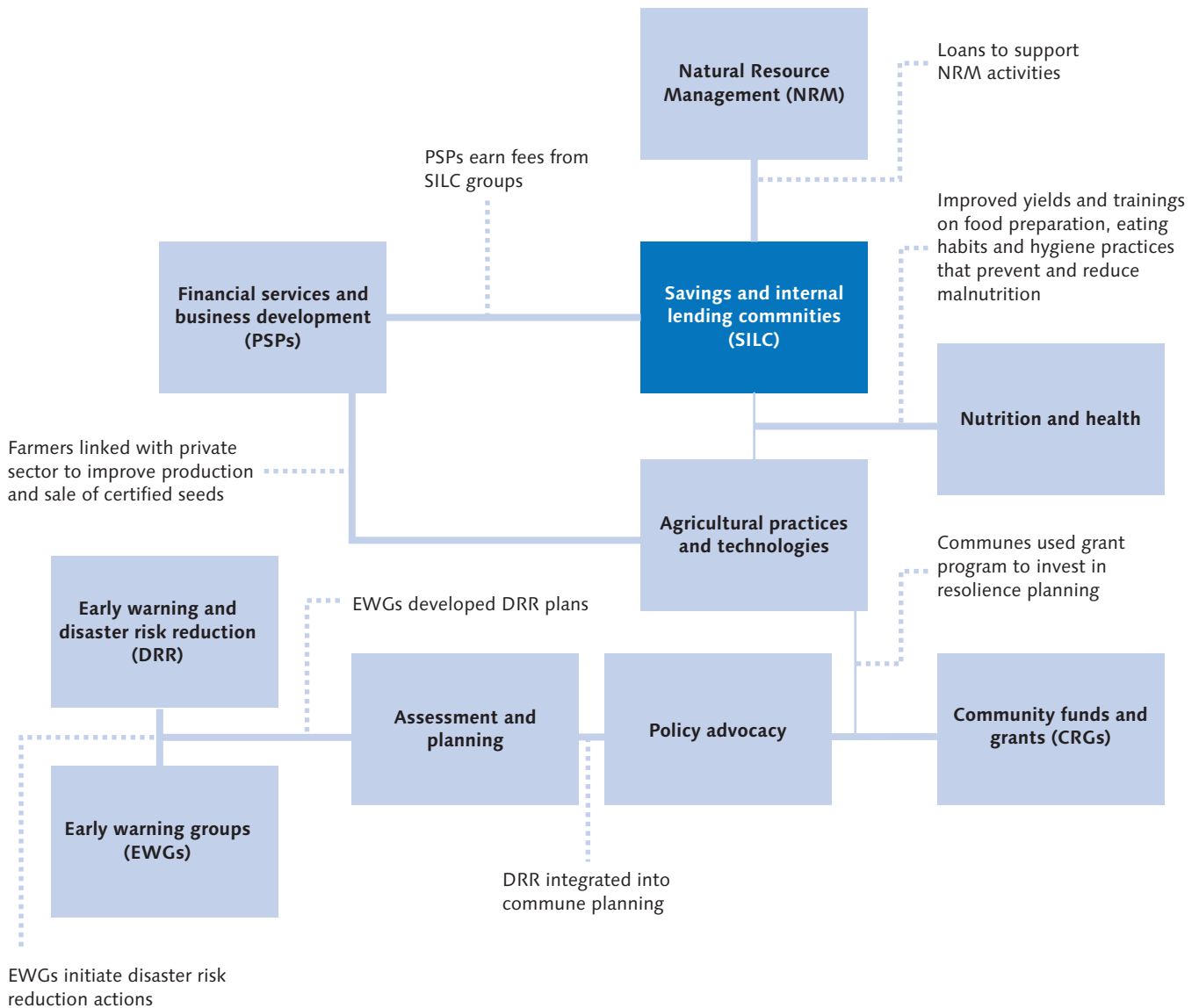
For example, with the objective of creating linkages and synergies at the planning level and to mobilise resources for the implementation of the community-developed Local Adaptation Plans of Action (LAPAs). **Anukulan** improved the mechanisms to bring together local commissions responsible for DRR as well as climate adaptation planning and implementation. The LAPAs developed during year 1 are now being implemented, through formal and informal partnerships with Village Development Committees/Municipalities. In addition, the project linked the implementation of the plans with dialogue forums consisting of private sector service providers, community-based organisation networks, civil society organisations and political parties, in order to build and improve relationships between key stakeholders, leverage resources for LAPA implementation and maintain transparency and accountability. Moreover, **Anukulan** is also linking with and leveraging resources from other initiatives, such as the Poverty Alleviation Fund, supported by the World Bank, which enables the project to distribute additional assets (identified in the LAPAs) beyond the intervention area.

### **Financial services and access to markets**

Improving access to financial services continues to be a central component of most projects<sup>106</sup> (12 out of 15 projects). The implementation of VSLAs not only includes delivering a number of different layered activities, usually accessing credit and savings, intensive training and coaching, etc., but also providing VSLA members with additional support activities to further strengthen the financial capabilities and livelihoods of targeted communities. Critical to the delivery of these activities is linking and partnering with multiple actors to ensure support from different societal entities as well as their commitment and buy-in to facilitate the inclusion, implementation and eventual sustainability of VSLAs as community structures. Partnerships have paved the way for contributing to these changes, which, in turn, improve the chances of sustainability.

<sup>106</sup> CIARE, PROGRESS, Myanmar Alliance, IRISS, MAR, PRESENCES, Livestock Mobility, PROGRESS, RIC4REC, SUR1M.

**Illustrative example – combination of activities for the implementation of financial services and access to markets (SUR1)<sup>107</sup>**



Some projects (seven out of fifteen) provided VSLA members with trainings on business skills and development, which have built linkages between the VSLA and small business development.<sup>108</sup> Four projects have also linked this with working through private sector and value chains to improve access to markets and services.<sup>109</sup> Evidence to date highlights that the magnitude of change is greater where activities at the community level work across 'systems', not only with direct project participants. This can be seen particularly where access to financial services is sustained and magnified by their linkages to systems – extending the reach of the intervention (Mid-Term Review).

<sup>107</sup> For an overview of the context and structure of the financial services sector in three BRACED countries – namely, Ethiopia, Mali and Myanmar – see Haworth, A., Frandon-Martinez, C., Fayolle, V. and Simonet, C. (2016) *Climate resilience and financial services: Lessons from Ethiopia, Mali and Myanmar*. BRACED Knowledge Manager Working Paper.

<sup>108</sup> MAR, CIARE, IRISS, Myanmar Alliance, PROGRESS, PRESENCES, SUR1M.

<sup>109</sup> MAR, PROGRESS, IRISS, SUR1M.



### Illustrative examples – combination of activities for the implementation of financial services and access to markets

ACTIVITY	PROGRESS (KENYA AND UGANDA)	SUR1M	MAR (ETHIOPIA)	PARTNERS
Financial Services and Business development	•	•	•	Local government, MFI, CTS, cooperatives, private, University, farmers
Community committees	•	•	•	CBOS, Local gov
Community Funds/Grants	•	•		Commune authorities are accountable to civil society for the selection of grants – BUT CSO ARE NOT PARTNERS
Agricultural Practices/technologies	•	•	•	Met, local cooperatives, government, private sector, University
EW	•		•	Met, Private, EWG Govt Departments
Infrastructure			•	
Nutrition and Health – DOMESTIC	•	•	•	
NRM	•	•	•	Radio stations, University
Assessment and Planning	•	•	•	Local government, University
Policy Advocacy	• (Local, Sub-national, & leveraging National)	• (Local-Commune)	• (Local-Woreda)	Radio Stations, University

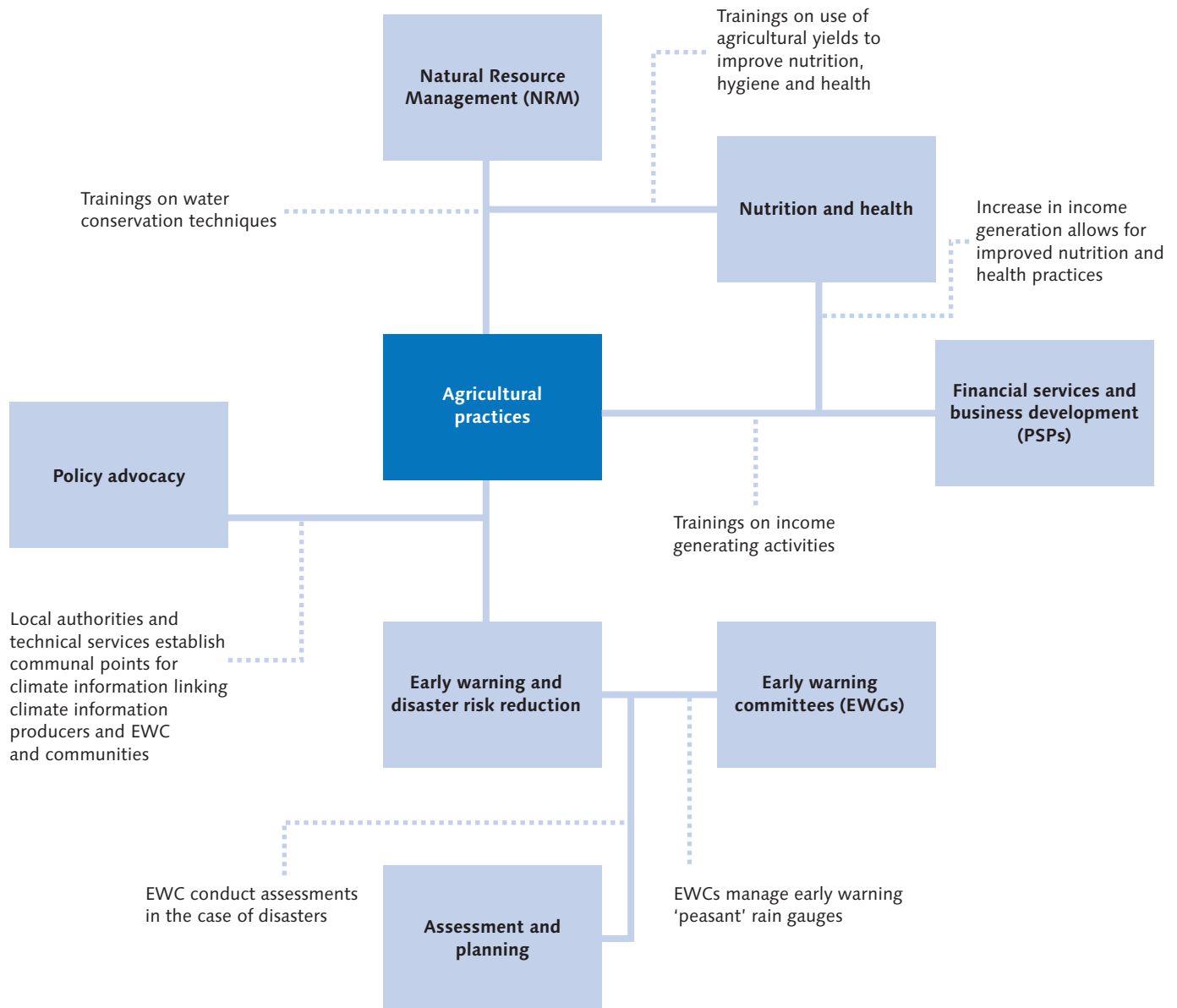
#### Early warnings and agricultural practices

Most projects (12 out of 15) focus on agriculture and livestock, generally combining the access and use of climate information with improved seed supply and building skills for the adoption of innovative agricultural practices. During year 2, the layered approach included improvements in access to climate information coupled with trainings and/or the provision of improved seeds, and contributed to better-informed decision-making (in 10 out of 15 projects).<sup>110</sup> In addition, given that one of the goals of agricultural production is to facilitate improvements in livelihoods, four IPs had to either create and/or improve access to markets or link farmers, agro-pastoralists, etc. with existing markets.<sup>111</sup>

<sup>110</sup> SUR1M, RIC4REC, CIARE, PRESENCES, Livestock Mobility, PROGRESS, Zaman Lebidi, BRES, IRIS, DCF.

<sup>111</sup> Livestock Mobility, BRES, BRICS, RIC4REC.

**Illustrative examples – combination of activities for the implementation of early warnings and improved agricultural practices (Zaman Lebidi)**



During year 2, improving access to weather and climate information was key, as it influenced and was a part of combining early warning and agricultural activities. In other words, early warning and agricultural activities depend on quality and updated weather and climate information, so stakeholders can make informed decisions. When such information has been accessed and used, results have started to emerge. For example, in the **Zaman Lebidi** project in Burkina Faso, based on seasonal rainfall forecasts farmers opted to grow millet and sorghum in the highlands and rice in the lowlands. After the announcement of the early end of the rainy season in the east and north regions, some farmers planted improved short-cycle crop varieties. Following the announcement of heavy rains, some farmers moved their animals from low-lying to higher areas. However, in spite of emerging examples, the project acknowledges that improving the use of climate information continues to be a challenge, as many in the community believe God is responsible for predicting the weather;

they do not believe forecasts can predict the agricultural season. **Zaman Lebidi** assumes that, over time, such socio-cultural beliefs will shift as forecasts – disseminated via radios – are seen to be reliable.

In addition, four IPs<sup>112</sup> considered the links to climate information and improved seeds as a means to improve nutrition and health among populations, via nutritional trainings and awareness campaigns. For example, in Nepal, **Anukulan** reports that, during year 2, farmers improved their agricultural production as a result of improved seeds and the adoption of project-promoted technologies such as integrated pest management. However, as highlighted in a forthcoming Knowledge Manager publication,<sup>113</sup> multiple activities, adaptations and actions may need to be woven together to make innovations work in difficult rural settings.

### Illustrative examples – combination of activities for the implementation of early warnings and improved agricultural practices

ACTIVITY	ZAMAN LEBIDI	BRES	CIARE	PARTNERS
Agricultural Practices/ technologies	•	•	•	Government extension officers, technical services, local agricultural institutions, Government (Departments of Agriculture, Environment, & Animal Resources & the Department of Plant Protection) Met
EW	•	•	•	Met, Radio, Zaman Lebidi, Local Gov, Technical Services
Community Funds/Grants				
Financial Services & Business development	•	•	•	Government (Departments of Agriculture, Environment, & Animal Resources & the Department of Plant Protection) technical services
Nutrition and health – DOMESTIC	•	•	•	Technical services
Community committees	•	•	•	
Infrastructure			•	
NRM	•	•	•	Government extension officers, technical services, local agricultural institutions
Assessment and Planning	•	•	•	Ministry of Environment, Forest, and Climate Change (MEFCC) Local Government

<sup>112</sup> BRICS, Zaman Lebidi, SUR1M, Anukulan.

<sup>113</sup> Grist, N. (forthcoming) Does innovation build climate resilience in the Sahel? BRACED Knowledge Manager Resilience Intel.

BRACED aims to build the resilience of up to 5 million vulnerable people against climate extremes and disasters. It does so through a three year, UK Government funded programme, which supports 108 organisations, working in 15 consortiums, across 13 countries in East Africa, the Sahel and Southeast Asia. Uniquely, BRACED also has a Knowledge Manager consortium.

The Knowledge Manager consortium is led by the Overseas Development Institute and includes the Red Cross Red Crescent Climate Centre, the Asian Disaster Preparedness Centre, ENDA Energie, Itad and Thomson Reuters Foundation.

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The BRACED Knowledge Manager generates evidence and learning on resilience and adaptation in partnership with the BRACED projects and the wider resilience community. It gathers robust evidence of what works to strengthen resilience to climate extremes and disasters, and initiates and supports processes to ensure that evidence is put into use in policy and programmes. The Knowledge Manager also fosters partnerships to amplify the impact of new evidence and learning, in order to significantly improve levels of resilience in poor and vulnerable countries and communities around the world.

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