DEEP DIVE IN NEPAL

WHAT HAVE WE LEARNED FROM THE BRACED NATIONAL POLICY PROCESS IN NEPAL?

BRACED
KNOWLEDGE MANAGER

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Acronyms and abbreviations

AEC	Agro Enterprise Centre (the agricultural wing of the FNCCI)
ASHA	Adaptation for Smallholders in Hilly Areas
BRACED	Building Resilience and Adaptation to Climate Extremes and Disasters
BRACED-X	Extension of the Building Resilience and Adaptation to Climate Extremes and Disasters programme
CASA	Commercial Agriculture for Smallholders
CMESA-E	Climate and Meteorological Services Advancement in Ethiopia
CPA	Commercial Pocket Approach
DCF	Decentralising Climate Funds
DFID	Department for International Development (UK)
FNCCI	Federation of Nepalese Chambers of Commerce and Industry
GDP	Gross Domestic Product
ICIMOD	International Centre for Integrated Mountain Development
iDE	International Development Enterprises
KEQ	Key Evaluation Questions
LAPA	Local Adaptation Plan for Action
LDC	Least-Developed Countries
MLE	Monitoring, Learning and Evaluation
MoFE	Ministry of Forests and Environment
MUS	Multiple-Use water System
NAPA	National Adaptation Programme of Action
NCCSP	Nepal Climate Change Support Programme
OPM	Oxford Policy Management
ToC	Theory of Change
WFP	World Food Programme

Key messages

- The implementation of the policy dialogue process in Nepal has been adaptive to change. This was helped by DFID permitting the fund manager to operate without an explicit and up-front theory of change and/or a detailed plan of activities. This allowed the strategy, direction and plan of the policy dialogues to emerge through sprint cycles – short-term planning cycles designed to test, learn from and adapt activities. This adaptive approach proved useful in delivering unpredictable, complex and non-linear projects.
- The implementation of an adaptive programme requires processes and systems that support it. The evidence we present suggests that the administrative approvals and risk mitigation systems within the fund manager may have found the need for quick decision making, by the direct implementers of the policy dialogue, challenging.
- The BRACED programme is being managed from DFID headquarters. DFID Nepal needed some time to fit the policy dialogue process into the portfolio of the country's climate resilience and governance activities. The fund manager managed to accommodate the needs of the DFID country office, thanks to the flexible and adaptive approach of the policy dialogue.
- There are signs of uptake of Anukulan's Commercial Pocket Approach lessons and experiences by other climate resilience initiatives and by some government actors.
- However, as yet there are no signs that the policy dialogue process informed decisions or behaviours of key policy actors.
- An in-country presence by the fund manager for the duration of the policy dialogue would have allowed for the involvement of more policy actors in the dialogue process.

1. INTRODUCTION: THE BRACED PROGRAMME

Since 2015, the DFID-funded Building Resilience and Adaptation to Climate Extremes and Disasters (BRACED) programme has worked to build sustainable and scalable resilience for climate-vulnerable communities across the Sahel, East Africa, and Asia. DFID has awarded grants to 15 consortia projects to implement activities over a three-year period to collectively build the resilience of five million climate-vulnerable people. Furthermore, in late 2017 nine projects were awarded an extension to continue working until mid-2019.

A fund manager represented by KPMG has been responsible for overseeing the transfer of funds and the delivery of all BRACED projects. A key characteristic of BRACED has been that each implementing partner has its own project-level theory of change (ToC). This has underpinned problem- and context-specific experiments to test solutions that build local resilience capabilities, which align with the principles of adaptive development and programming (see, Andrews et al. 2017, BRACED 2015a, Booth and Unsworth 2014, Andrews et al. 2012, Booth 2011).

The knowledge management of BRACED has been led by the Overseas Development Institute (ODI), an independent think tank, in consortium with Asia Disaster Preparedness Centre, ENDA Energie, Itad, Red Cross/Red Crescent Climate Centre, and Thomson Reuters Foundation.[1] The knowledge manager leads the monitoring, evaluation and research activities of the BRACED programme (Itad 2018).

Towards the end of 2017, an assessment of the progress and changes achieved by the programme revealed that there were signs of transformational change as a result of activities at the local level. These went beyond the geographical extent and direct sphere of the project's influence (Itad 2018).

These positive results led to a decision by DFID in November 2017 to continue and extend the BRACED programme for 15 months for nine (out of 15) projects.[2] This extension began in January 2018 and project delivery ended in May 2019, with a wrap-up period that will last until July 2019.

1.1 Introduction to Component D

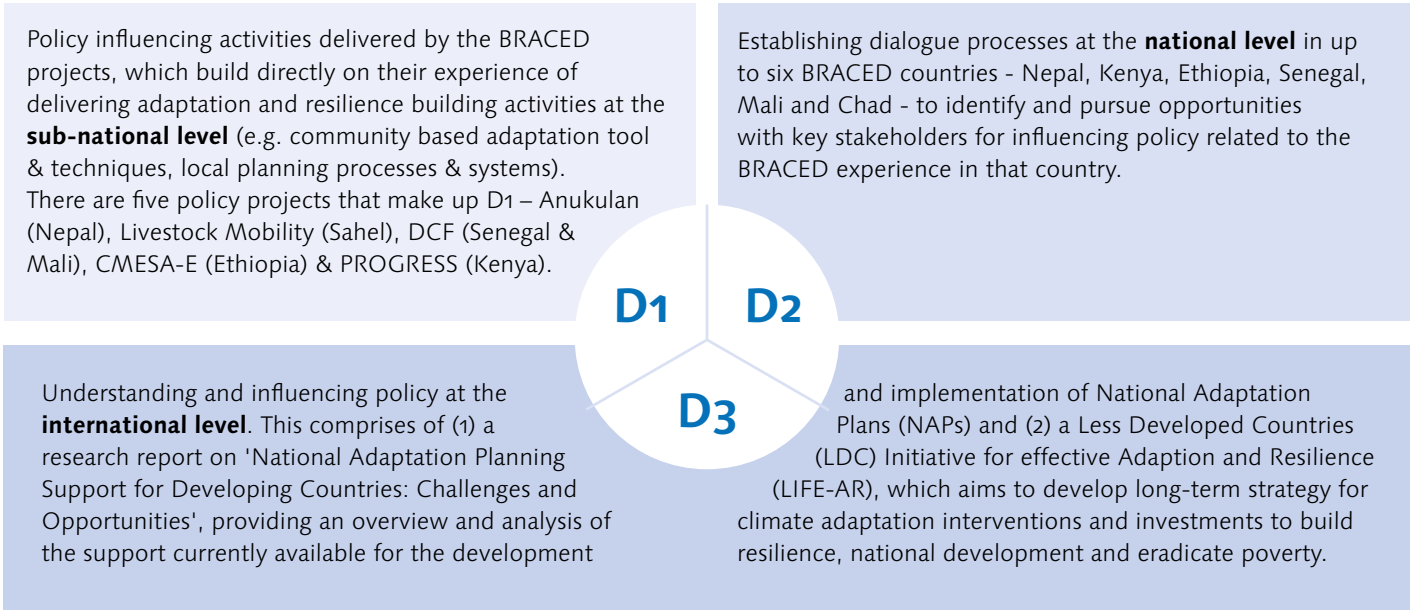
The goal of BRACED-X was to build on the results of the three-year implementation of BRACED and to foster, in the selected countries, further progress towards the sustainability of the programme's outcomes. One of the components of BRACED, called Component D, focussed on building national, regional and international capacity to prepare and plan for expected increases in the frequency and severity of climate extremes (BRACED 2019). Approved as part of the BRACED extension, Component D aimed to apply the lessons learned through BRACED to influence local, national and global resilience (BRACED 2019).

1 See http://www.braced.org/about/about-the-knowledge-manager

2 The projects are in the following countries: Chad, Mali, Senegal, Ethiopia, Kenya and Nepal.

Component D activities for BRACED-X have been separated into three elements operating at different levels (BRACED 2019):

Figure 1: The three elements of Component D of BRACED-X



Source: BRACED (2019)

Component D1 – Sub-national level: policy influencing activities delivered by the BRACED projects, which build directly on their experience of delivering adaptation and resilience-building activities at the sub-national level (e.g. community-based adaptation tools and techniques, local planning processes and systems). There are five policy projects that make up D1 and which received support from the fund manager: Anukulan (Nepal), Livestock Mobility (Sahel), Decentralising Climate Funds (DCF, Senegal and Mali), CMESA-E (Ethiopia) and PROGREX (Kenya). (See Figure 1, BRACED 2019).[3]

Component D2 – National level: with the support and facilitation of the BRACED fund manager, establishing dialogue processes at the national level in up to six BRACED countries (Nepal, Kenya, Ethiopia, Senegal, Mali and Chad) to identify and pursue opportunities with key stakeholders to influence policy related to the BRACED experience in that country.

3 Component D1 in Nepal consists of three main workstreams: (1) institutionalisation of Multiple-Use water Systems (MUS) through engagements with the Nepal MUS network, government agencies, research organisations, the private sector and stakeholders to facilitate recognition and investment in MUS as an important adaptation approach; (2) the extensions of public private partnerships for commercial pockets to support the Local Adaptation Plan of Action process; (3) continue to test ways to harmonise a Local Adaptation Plan for Action and with the Local Disaster Risk Management Planning process.

Component D3 – International level: Led by the BRACED Knowledge Manager who produces (1) a research report, 'National adaptation planning support for developing countries: Challenges and Opportunities', to provide an overview and analysis of the support currently available for the development and implementation of national adaptation plans; and (2) a least-developed countries (LDC) initiative for effective adaption and resilience, which aims to develop a long-term strategy for climate adaptation interventions and investment to build resilience, assist national development and eradicate poverty.

1.2 Focus of this report

This deep dive report, which was produced by the knowledge manager's monitoring, learning and evaluation (MLE) team of Component D2, describes what the team learned about the policy dialogue process in Nepal. It is part of a set of three deep dives and one review of the adaptive approach adopted by the fund manager for BRACED-X. The nature of the policy dialogue means that attributing any observed change to the work is challenging and as we describe, policy outcomes have not been achieved yet. Therefore, this report is focussed more on what we can learn about the policy dialogue process and whether it has potential as an approach to conducting policy work.

The audiences for this deep dive paper are primarily DFID, the fund manager and the knowledge management team. The style of the report is non-technical and jargon-free. We have simplified the use of acronyms and specific words related to this initiative to make it accessible to the international community of researchers and practitioners interested in learning about the results of climate resilience initiatives in Nepal, and the use of adaptive and iterative approaches to inform climate-resilient policy development processes.

Section 2 describes the Nepal project context; section 3 describes the approach and methodology used to gather the data and information to produce this paper. Section 4 describes the social, economic and political context that framed the policy work. Section 5 presents the findings and section 6 provides conclusions and answers the overarching questions, reflecting on the design of the policy dialogue process in Nepal.

2. NEPAL PROJECT CONTEXT

The Nepal policy dialogue builds on the experiences and lessons gathered through the implementation of the BRACED Anukulan project in Nepal between 2015 and 2017. Anukulan aimed to reduce the vulnerability of smallholder farmers to climate-induced disasters in the mid-west and far-west regions of Nepal. The goal was 'to support half a million poor and vulnerable people in rural Nepal to build their resilience to climate change impacts like floods and drought' (BRACED 2015b, 2).

Anukulan was implemented by a consortium of international and national research organisations, led by International Development Enterprises (iDE) Nepal, comprising Adventist Development and Relief Agency (ADRA), Nepal, International Maize and Wheat Improvement Centre (CIMMYT), International Water Management Institute (IWMI), the Middlesex University Flood Hazard Research Centre, Nepali Technical Assistance Group (NTAG), Netafim, Renewable World, Resource Identification and Management Society (RIMS) Nepal, Rupantaran, Support Activities for Poor Producers in Nepal (SAPPROS), and six local implementing partners, one in each of the districts where the project operated.[4]

4 For a brief description of the Anukulan project see https://bit.ly/2EVu4rN

Anukulan was one of the six projects that was selected for a 15-month extension under BRACED. The goal of the extension, which began in January 2018, was to build on the experience acquired by Anukulan over the previous three years and to inform and influence policy debates at the local and national level by focussing on three areas (BRACED 2015b):

- Multiple-Use water System (MUS): During BRACED, Anukulan established 162 MUS. It initiated MUS institutionalisation and scaling through national/international workshops that shared MUS experiences for adaptation, facilitation of a Nepal MUS network, and by assisting the Ministry of Forests and Environment to develop MUS guidelines for DFID's Nepal Climate Change Support Programme (NCCSP).

- Harmonisation of Local Adaptation Plans for Action (LAPAs) with disaster risk reduction planning: During BRACED, Anukulan implemented 86 integrated LAPAs, testing the integration of LAPAs and local disaster risk management plans being managed by separate committees. The harmonisation of LAPAs during BRACED enabled testing the inclusion of climate-induced disasters under LAPAs. This avoided duplication of activities and competition over resources, and fostered improved planning and coordination at local levels.

- Private partnerships for commercial pockets to strengthen climate-smart agriculture: Anukulan introduced the commercial pocket approach (CPA) in remote areas where a total of 57 collection centres and associated marketing and planning committees were established to support farmers who lack access to markets, technology, and know-how. Overall, Anukulan has worked in a total of 41 municipalities in three provinces.[5] The CPA allows farmers to set up agricultural product collection centres, and to increase scale and leverage by bringing smallholders together in a local organisation. Anukulan can work with the government, NCCSP, the private sector and communities to institutionalise and scale the CPA.

5 Provinces 5, 6, and 7.

3. METHODOLOGY

A team of four MLE specialists accompanied the activities implemented under the BRACED extension in the six countries. The guiding framework for the work of the MLE team was described in the MLE design document, published in September 2018 (BRACED 2018).

3.1 Learning Questions

The framework is structured around a key question that DFID wants to answer, regarding investment in policy dialogues of BRACED (Component D2) and sub-questions to unpack and analyse the policy dialogue processes.

The overarching question that we set out to answer is:

To what extent, how and in which circumstances does the Component D2 (policy dialogue) investment modality deliver (steps towards) policy change?

We adopt a broad definition of policy change for the policy dialogues. The contexts in which the policy dialogues have been designed is constantly evolving. As a result, it is important to refer to the definition of policy changes developed by Keck and Sikkink (1998) who have identified different types of policy change to which a policy engagement initiative can contribute (see BRACED 2018):

- **Framing debates** and getting issues on the national political agenda by drawing attention to new problems with evidence and new knowledge.
- **Influencing behaviour** change of policy and non-policy actors so that policies are effectively implemented and make use of evidence to inform implementation.
- **Legislative change,** such as changes in regional and national budget allocations, or the passage of new legislation and/or ministerial policy positions.

To answer this question across six countries, we identified five key evaluation questions (KEQ), with a short form of their focus in parentheses:

- KEQ 1: What change strategies have been designed to influence policy and capabilities at the country level? How appropriate and relevant are these strategies? (Sense of direction).
- KEQ 2: What internal systems have been put in place to design, adapt and iterate strategies and plans of action to address changes in context and circumstances? What changes have occurred as a result and why? (Operational effectiveness of adaptive approach).
- KEQ 3: What have been the responses to the policy dialogue (e.g. increased awareness of research and evidence, including from BRACED; demand for new or more evidence; etc.)? (Effectiveness of the activities).
- KEQ 4: Are there signs of behavioural change in line with the proposed change strategy? Were there any unintended changes observed? (Overall effectiveness/outcome level change).
- KEQ 5: How sustainable/scalable are these changes likely to be beyond the end of funding in July 2019? (Sustainability).

3.2 Data Collection

Data collection to answer the KEQs involved regular conversations and participation in meetings with the fund manager, as well as visits to Nepal, Mali and Kenya.

- Skype meetings: regular catch-up calls conducted over Skype between the MLE team and the fund manager. The information from these calls was recorded in notes, and the list of participants in the policy dialogue activities were updated.
- Quarterly review meetings in London: participation of the fund manager at DFID meetings in London.
- When possible, conduct after action reviews with the fund manager following a significant event, asking: What was supposed to happen? What actually happened? Why were there differences? What did we learn?
- Remote and in-country semi-structured interviews with 12 key informants which include the results manager, informants close to the policy dialogue, and experts about the Nepal policy context.

Data collection included a review of documents shared by the fund manager about specific countries' initiatives, such as planning documents (e.g. START and SPRINT documents), ToCs, stakeholder maps, progress documents, quarterly progress reports, country visit reports and policy dialogue reports.

Throughout the text we have kept the anonymity of the key informants. We have aggregated the responses from key informants following the table below which also shows the strength of the responses by the key informants.

Table 1: Responses from key informants

Descriptor	A few	Some	Several
No. of respondents	<3	3-8	>8
Strength	Low	Medium	Good

3.3 Limitations

This deep dive report describes the policy dialogue process in Nepal. It contains some reflections about the impact of the initiative, but its main purpose is learning about the process.

Some limitations of this deep dive that are important to highlight here are:

- The report does not try to be a comprehensive account that analyses all possible explanations of the changes, or limited changes, of the dialogue.
- The author of this deep dive worked closely with the fund manager and had regular conversations during the design and implementation of the initiative. In some cases, the fund manager suggested tools that could help the activities. This collaborative approach to monitoring influences the way the initiative is assessed and limits a more traditional evaluative approach.
- The triangulation and validation of the information gathered throughout the policy dialogue process took place with a limited number of key informants.

4. THE POLICY CONTEXT OF THE POLICY DIALOGUE IN NEPAL

The policy dialogue is part of a complex web of developments underway in Nepal around developing the capabilities of government and non-government actors to respond to the challenges posed by climate change, in particular for the most vulnerable members of society.[6]

The policy dialogue between January 2018 and July 2019 is therefore to be seen as part of a wider web of initiatives and policy developments.

In this section we summarise the key elements of that context by looking at three areas: the federal reform; climate resilience policies; and two programmes which are particularly relevant for the policy dialogue.

6 In her book, The Nature of Economies (2000), Jane Jacobs describes development as an open-ended process, a qualitative change that 'can't be usefully thought of as a line, or even a collection of open-ended lines. Development operates as a web of interdependent co-developments' (19).

4.1 Federal reform in Nepal

The governance reform that began after the promulgation of the new Constitution in September 2015[7] has been defined as a 'radical experiment', which followed 10 years of Maoist insurgency between 1996 and 2006. This was a difficult period, which included progressive restructuring of State institutions, the abolition of the monarchy, and a massive earthquake that hit Nepal on 25 April 2015 (The Asia Foundation 2017).

The new Constitution mandates the transition of Nepal from a centralised unitary state to a federal country with three tiers of government: a federal government at the centre, seven provincial governments, and local governments.[8]

The passing of the Constitution was an important milestone that raised enormous expectations, among citizens, for a rapid transition to federalism. There have been important successes over the last four years in implementing the mandates of the Constitution, in particular the definition of the 753 new local government units (Acharya 2018)[9] and the first local elections since 1997 which took place May and September 2017 electing 35,041 local government representatives.[10]

Some of the main challenges that law makers and policy makers tackled which contribute to the slow progress of federalism relate to the need to revise hundreds of laws, policies and procedures.[11]

Another area where there continues to be considerable uncertainty is the delegation, from national level, of significant decision-making power as well as autonomy over raising and spending revenue to sub-national ministries (Payne and Basnyat 2017).

In terms of climate resilience policy reforms and the policy dialogue process described in this paper, the changes that federalism brings is an opportunity to inform the policy debate with new ideas about the roles and responsibilities between tiers of government on climate resilience. At the same time, the politics of federalism means that the new system requires time to evolve and overall there is still considerable uncertainty about the way forward for Nepal and getting traction with particular policy ideas can be challenging.

7 Constitution of Nepal, 2015.

8 Out of the 753 local governments, 293 are categorised as municipalities (Nagar Palika), while the remaining 460 are categorised as rural municipalities (Gaun Palika).

9 Down from the previous 3,157 municipal and village governments.

10 The 753 local governments elected a mayor and deputy mayor (for municipalities), a chair and vice chair (for rural municipalities) and a ward chair and four ward members (a ward is a five-member unit, the lowest level of elected unit under the local government). Each local government has a different number of wards, depending on its population size.

11 See https://www.worldbank.org/en/country/nepal

The same conclusion was reached by a recent political economy study produced by Oxford Policy Management for DFID (2018 unpublished) on the implications of the federalism reforms on climate resilience. The study concluded that currently a large body of climate resilience action plans and strategies, designed at the local level, have led to considerable overlap and confusion about roles and responsibilities of implementing the different plans. Most of these plans will need updating.

4.2 Climate resilience context and policy response

While the economic outlook for Nepal is positive, its vulnerability to climate change could have a strong negative impact on economic growth.[12] Nepal is one of the most climate-vulnerable countries in the world, being ranked 14th in the global risk index of countries most vulnerable to climate change (Eckstein et al. 2017). The complex topography and the variability in climate and microclimates across shorter distances make Nepal particularly vulnerable to the impacts of climate change (DFID 2018). Climate change can have a strong negative impact on the national economy. In mid-August 2017, following the worst flood in decades, which affected 64,000 hectares of standing crop, the Central Bureau of Statistics revised the rate of GDP growth from 7.9% to 6.3% for 2018 (World Bank 2018). Overall, more than 1.9 million people were highly vulnerable to climate change, with another 10 million increasingly at risk (NAPA 2010).

Over the past 20 years, the Government of Nepal has designed various policies and regulations to minimise the effects of climate change and environmental degradation. These include the Land Acquisition Act 1977, Environment Protection Act 1997, Water Resource Act 1992, Water Resource Rules 1993, Forest Act 1993, and Environment Protection Regulation 1999.

12 The World Bank calculated that in the fiscal year 2018, Nepal's economic growth remained strong, at 6.3% (World Bank 2018).

Following the Interim Constitution of 2007, climate change became a more urgent national development priority. In 2010, the Climate Change Management Division was established at the Ministry of Environment, with the mandate of designing policies to safeguard the environment. In the same year the government prepared a long-term vision, which is summarised in two policy documents: The National Adaptation Programme of Action (NAPA), approved in 2010, and the National Climate Change Policy, which was launched in 2011. The Nepal NAPA describes nine priority areas, with a suggested budget allocation of approximately US$350 million (Government of Nepal 2010).[13]

The launching of NAPA led to the National Framework on LAPAs which since 2011 has supported the operationalisation of the NAPA priorities. LAPAs are an area of work of Anukulan. Their aim is to integrate climate change resilience into local development through different and context-specific entry points, such as agriculture, forestry, public health, water and sanitation, watersheds and micro-finance.

4.3 DFID climate resilience programming in Nepal

DFID is one of Nepal's most important development partners. The DFID budget allocation for Nepal for the financial year 2019/20 is £82 million. The bulk of the funding goes to human development (37%), economic development (27%), and governance and security (18%). Climate and environment investment account for 6% of the budget for 2019/20. The remaining 12% is divided between humanitarian interventions (11%) and global partnerships (1%) (DFID 2018).

DFID's strategic priorities for Nepal are:

- Governance and security.
- Making government more effective and able to deliver better services to the poor.
- Helping people, particularly women, benefit from economic growth.
- Helping Nepal tackle climate change and natural disasters.

13 The nine areas are: (i) Promoting community-based adaptation through integrated management of agriculture, water, forests and biodiversity; (ii) Building and enhancing adaptive capacity of vulnerable communities; (iii) Community-based disaster management for facilitating climate adaptation; (iv) Glacial Lake Outburst Flood monitoring and disaster risk reduction; (v) Forest and ecosystem management in supporting climate-led adaptation innovations; (vi) Adapting to climate challenges in public health; (vii) Ecosystem management for climate adaptation; (viii) Empowering vulnerable communities through sustainable management of water resources and clean energy supply; and (ix) Promoting climate-smart urban settlements. The major development partners in climate resilience initiatives in Nepal which contribute and support the NAPA through projects and programmes are DFID, EU, USAID, NORAD, JICA, WB, ADB and DANIDA.

In terms of building climate resilience overall, DFID Nepal's focus is on rural development and economic growth through agriculture and connecting communities with markets, and through building communities' resilience and ability to cope with climate shocks and stresses. This is done through sustainable economic development in rural areas; access to water, health and sanitation; improving local planning processes; disaster risk reduction work through developing early warning systems to anticipate shocks and stresses; and encouraging decentralised decision making in the new federalist system.

In terms of building resilience to crises, and reconstruction, DFID investments between 2011 and 2015 contributed to helping over 1.3 million people cope with the effects of climate change, and provided emergency shelter to 230,000 people after the 2015 earthquake (DFID 2018). The three main programmes to which DFID Nepal contributes as the main funder are briefly described in the tables below.

Table 2: Nepal Climate Change Support Programme

Project	Nepal Climate Change Support Programme (NCCSP)
Total investment	£17.6 million, with contributions from DFID (£10 million), the EU and the Government of Cyprus (€8.6 million), and UNDP (US$0.43 million) from its core resources
Duration	2013 to October 2019[14]
Geographic focus	43 rural municipalities and 22 municipalities across three provinces in the mid- and far-western regions
Brief description	It is the first significant, government-led initiative to implement Nepal's NAPA. It focusses on promoting community-based adaptation under six main themes,[15] it provides technical assistance and financial support to the Ministry of Forests and Environment, the Ministry of Federal Affairs and Local Development, and other local government stakeholders implementing LAPAs.[16]

Source: NCCSP 2018

14 The next phase of NCCSP, NCCSP II, is planned to begin in late 2019 to early 2020 and is expected to last four to five years. The aim is to build on the lessons and results achieved during the first phase, and to continue to support the development of the climate resilience capabilities of the new federal system.

15 These are: (i) Agriculture, livestock and food security, (ii) Forest management and biodiversity, (iii) Alternative energy, (iv) Climate-induced hazards and physical infrastructure, (v) Human resources, capacity building and livelihoods, and (vi) Human health.

16 See https://www.undp.org/content/dam/nepal/docs/reports/NCCSP%20Brochure.pdf

Table 3: Adaptation for Smallholders in Hilly Areas

Project	Adaptation for Smallholders in Hilly Areas (ASHA)
Total investment	The total value of the project is US$37.6 million[17]
Duration	2015 – 2021
Geographic focus	Seven climate vulnerable districts in the mid-west of Nepal, namely Dailekh, Kalikot, Salyan, East Rukum, West Rukum, Jajarkot and Rolpa.
Brief description	ASHA seeks to strengthen the climate change resilience of vulnerable households by helping diversify their livelihood and income streams, improving their risk management capacity through better access to knowledge on adapting to climate change, developing social networks, particularly farmer groups, protection from some climatic hazards as a result of community infrastructure, and direct engagement in village level planning.

Source: http://asha.gov.np/about-project/

Table 4: Commercial Agriculture for Smallholders

Project	Commercial Agriculture for Smallholders (CASA)
Total investment	£35 million
Duration	Planned to start in 2019 and to end in 2024
Geographic focus	Three countries: Uganda, Malawi and Nepal.
Brief description	The goal of CASA is to improve the livelihoods of farmers by facilitating their equitable engagement in expanding commercial markets, while enhancing the sustainability and climate resilience of farming systems and supporting the conservation of biodiversity and ecosystems. The implementing organisation in Nepal is Swisscontact.

Source: Swisscontact https://bit.ly/31tDDrV

This is the background and context within which policies and programmes are currently being designed and implemented. There is considerable uncertainty about the continued evolution of the governance system in Nepal. This state of uncertainty presents significant challenges, but also a number of opportunities for resilience and climate change strategies and policies. In the next section, we describe the process of using policy dialogues to bring the experiences and lessons from the Anukulan projects to the attention of national level actors, with the aim of informing the policy debate and discussion around climate change resilience for smallholder farmers.

17 The Government of Nepal's contribution is US$6.6 million (17.6%). See http://asha.gov.np/about-project/

5. FINDINGS FROM THE DEEP DIVE

In this section we present the findings of the data collection conducted when accompanying the fund manager, along with the policy dialogue work in Nepal, the review of documents produced by the fund manager, and remote and in-country interviews with 12 key informants (see list of key informants in Annex 1). We organise the findings using the KEQs described in the MLE design document (BRACED 2018).

5.1 Strategy and direction of the policy dialogue process

This section answers the following KEQ:

> What change strategies have been designed to influence policies and capabilities at the country level and what activities have happened? How appropriate and relevant are these strategies? Why?[18]

18 KEQ 1 in the MLE design document (BRACED 2018).

Activities in Nepal

Table 5 summarises the chronology of the key moments of the policy dialogue in Nepal.[19] This provides background for those who are not familiar with the specific activities that took place in Nepal. A more detailed timeline can be found in Annex 1.

Table 5: Policy dialogue timeline

Date	Description of event or activity
October 2017	The fund manager begins consultations with DFID UK and iDE (implementing partner for Anukulan in Nepal) to prepare for the policy dialogue work under Component D, which is due to start in January 2018
January 2018	Component D work begins
May 2018	Contract between fund manager and DFID for Component D2 signed
May–June 2018	SPRINT N. 1 begins with the aim of conducting a roundtable meeting with key BRACED/Anukulan stakeholders
31 May 2018	First roundtable meeting in Kathmandu between DFID, IOD PARC, NCCSP, Anukulan, OPM, ASHA, AEC/FNCCI (Chambers of Commerce) and Muktinath Bank Key decisions: Focus the policy dialogue on climate resilience of communities. Draw from the experience of Anukulan. Do not include LAPAs in the policy dialogue. Expand participation in the next roundtable meeting
6 June 2018	DFID Nepal signs off on the START document produced by the fund manager, which gives a green light to undertake the policy dialogue in Nepal and to focus on the CPA
June–October 2018	SPRINT N. 2 begins with the aim of continuing to identify entry points for the policy dialogue and new stakeholders to join the roundtable meetings
24–26 September 2018	Field trip to Province 6 to share lessons on commercial agriculture approaches and water infrastructure activities. ASHA, NCCSP, Anukulan, Muktinath Bank, AEC/FNCCI (Chambers of Commerce), FNCCI, DFID Nepal, IOD PARC and OPM joined the field trip. ASHA, NCCSP and Anukulan agree to hold coordination meetings every two months, facilitated by the fund manager
27 September 2018	Second roundtable meeting held in Kathmandu and decision to commission an independent study on the effectiveness of CPAs before embarking on policy dialogues with national government actors
October 2018–May 2019	SPRINT N. 3 begins and involves continuing the bi-monthly coordination and knowledge sharing meetings and procuring and conducting the assessment of CPAs
21 November 2018	Third roundtable (now called bi-monthly Resilience Building Coordination Meeting) hosted by iDE with participation of OPM, WFP, DFID, ASHA, NCCSP, IOD PARC.
December 2018	The CPA study is awarded to IOD PARC

19 A more detailed timeline can be found in Annex 1.

Date	Description of event or activity
31 January 2019	A kick-off meeting for the CPA study with the Joint Secretary for MoFE and Chief of Climate Change Management Division and fourth Resilience Building Coordination Meeting
29. March 2019	Fifth Resilience Building Coordination Meeting
25–29 April 2019	IOD PARC team presents the preliminary results of the CPA study Field visit to Provinces 5 and 6 to observe the CPA, with MoFE, AEC/FNCCI (Chambers of Commerce), IOD PARC, BRACED fund manager, ASHA, iDE, municipalities, and provincial government.
June 2019	SPRINT N.4 begins and runs until July 2019
6 June 2019	The Ministry of Forest and Environment organised a climate conference where iDE, the Director General of Agriculture, and the Under Secretary and NCCSP-II Focal Person of the Ministry of Forest and Environment presented a joint paper titled 'Effects of Climate Change in Agriculture and Food Security, and Initiatives undertaken for Adaptation'.
July 2019	IOD PARC team presents the findings of the CPA study
Beyond July 2019	
September 2019	Government of Nepal participates in the United Nations Climate Action Summit. iDE has been asked to share Anukulan's experiences.
December 2019	Government of Nepal participates in the United Nations Climate Change Conference, Conference of the Parties 25 (COP 25) in Santiago de Chile. iDE may be asked to share Anukulan's experiences.

Development of a policy change strategy

The change strategy for the policy dialogue in Nepal emerged over time. The fund manager and the iDE team implementing Anukulan did not sit down on day one to design a theory of change (ToC) for the initiative, rather they chose to collect information and engage with some of the key stakeholders, allowing the strategy to emerge as a result of these consultations.

The timeline above shows that the fund manager began discussions with DFID Nepal, iDE and some organisations indicated by DFID Nepal, such as the ASHA project, IOD PARC,[20] OPM[21] to first reflect on the experiences of Anukulan and explore areas where Anukulan could provide the best opportunities to inform dialogue and policy discussion at the national level.

20 IOD PARC is commissioned by DFID Nepal to conduct the monitoring and evaluation of DFID's portfolio of climate resilience initiatives (See fund manager quarterly reports Q13 and Q14).

21 OPM is commissioned under DFID's resilience portfolio to support the Policy and Institutions Facility. The Facility was established to address Nepal's disaster and climate change policy, and institutional framework. The entry point for the Policy and Institutions Facility was through a political economy analysis of Nepal related to climate change and disaster processes and planning. OPM shared some of the initial findings of the political economy analysis (Source: fund manager meeting notes).

Identifying a policy priority

These initial discussions helped identify three possible elements of Anukulan that could be used to inform the policy dialogue: LAPAs, MUS and CPA. In May and June 2018, the CPAs was identified as the priority as commercial pockets often incorporate MUS but not the other way around.

As for LAPAs, the roles and functions of local governments and provinces were being defined and there is considerable uncertainty about the shape and form of LAPAs in the new federal system. Several respondents mentioned that it could take a decade for the new system to be in place. Moreover, the DFID country office started discussion on LAPAs with national level actors and was keen to avoid giving the impression of setting up a parallel activity. For these reasons, it was considered better to hold policy dialogue on sharing the lessons and experiences of the CPA, a more established area of Anukulan and with links to Component D1 (See footnote 3).

Several of the respondents to this deep dive stated further advantages of focussing on CPAs. One was that CPAs provided an opportunity to include other Nepal DFID-supported initiatives (that could be interested in the experience of Anukulan) on climate change in the policy dialogue (e.g. NCCSP and ASHA). Efforts would be made to leverage the channels and access to decision makers that those initiatives have, in addition to those that Anukulan has.

A second advantage was that CPAs are not new to government and non-government actors. One respondent mentioned that an agricultural pocket approach was part of a 20-year Agriculture Prospective Plan launched in 1994 by the government. The implementation of the Plan and the pocket approach struggled due to disagreements between line ministries and the start of the insurgency. iDE, the lead organisation for Anukulan, has been using the CPA since 2004 and has accumulated, with its partners, considerable experience on this approach. The model is flexible and adaptable to different contexts. Over the years, iDE and its partners have added new elements to the approach in the agriculture sector. With Anukulan, iDE has added elements of climate resilience by creating linkages with the development of local adaptation plans. These new and older elements of the approach were all at the centre of the policy dialogue in Nepal.

The evolution of the change strategy

The START document produced by the fund manager presented the rationale for pursuing a policy dialogue in Nepal and was approved by DFID Nepal on 6 June 2018, one month after the official start of Component D2 in Nepal. As it was produced at the beginning of the policy dialogue, it based the argument for pursuing a dialogue on the results of the context analysis (especially around the federal reform and implications for LAPAs). It also drew on in-country consultations around the Anukulan areas that provided the best opportunities to share learning with key government and non-government actors implementing resilience activities in rural Nepal. This was to present the perspectives of different stakeholders, rather than just one perspective from the fund manager and iDE.

The START document suggested organising a series of roundtables involving the main actors in climate resilience to share lessons from different programmes and initiatives (not just Anukulan) and to contribute to informing policies and programmes through that exchange.

Evolution of the Theory of Change

As with the START document, the ToC of the policy dialogue in Nepal was not designed on day one. The first version of the ToC and the map of the main stakeholders was finalised in November 2018. This does not mean that it took 11 months to define a strategy; the START document did that earlier. Rather than being a document that guides the initiative, the ToC of the policy dialogue in Nepal provides a good snapshot of the knowledge of the context, the specific changes that the policy dialogue has been pursuing, the focus on the CPA, and the stakeholders with whom the initiative has interacted with over the previous 10 months.

The ToC is not a static document. As a result of new information acquired through the meetings and discussions in Nepal, as well as feedback provided by the knowledge manager's MLE team which suggested focussing more on the CPA and considering what was achievable in the time available for this initiative (15 to 18 months), the ToC was updated in May 2019.

The original mission statement (ToC version November 2018) was:

'To initiate growth in the number of projects adopting the iDE CPA approach in Nepal. In support of the long-term goal, the D2 process will work to enhance coordination and share learning with key actors implementing resilience activities in rural Nepal. This process will (1) ensure there is supporting information to prove the effectiveness of successful approaches, such as the CPA, in building the resilience of rural populations, (2) improve knowledge of the market opportunities to scale this approach, and (3) start interrogating different business models to scale this approach. It will build and disseminate evidence and findings from the CPA and MUS as a way of building resilience of rural farmers and ensuring best practice is disseminated across a range of actors to improve future resilience programming.'

The mission statement of May 2019 is more focussed on the CPA and sharing with similar initiatives in Nepal:

> 'Improve the understanding, uptake and integration of Anukulan's Commercial Pocket Approach (CPA) in Nepal into ongoing and new resilience building initiatives and policies being developed and implemented by development actors and the Government of Nepal through (1) the delivery and effective dissemination of a rigorous study looking at the effectiveness and potential scale of models of the Commercial Pocket Approach (CPA) in Nepal, and (2) a wider engagement strategy that looks to better coordinate and improve the sharing of lessons learned between relevant actors working in climate change adaptation and resilience building in Nepal.'

Another example of the way the ToC has been updated is the description of the changes that the policy dialogue sought to achieve with specific groups of stakeholders. For example, the ToC of November 2018 identified DFID-supported projects such as ASHA, NCCSP and Anukulan as one group of stakeholders. For this group, the ToC described the specific outcome challenge related to the policy dialogue, and the short-, medium- and long-term changes or goals to which the policy dialogue could contribute (see Figure 3).

The feedback from the knowledge manager's MLE team was that defining short-, medium- and long-term goals for up to eight groups of stakeholders (including those we use as examples, ASHA, NCCSP and Anukulan in Figure 2) could result in unrealistic expectations on the results the fund manager would be able to achieve.[22] We therefore suggested that the description of the changes using the Outcome Mapping's 'expect to see', 'like to see', 'love to see' could help better define what the policy dialogue (led by the fund manager) could achieve within the timeframe and resources provided by the policy dialogue in Nepal (i.e. 'expect to see' change). If the policy dialogue then went well, it could try to contribute to the 'like to see' and 'love to see' changes as described in the figure below. In this way, the fund manager commits to what can realistically be delivered (expect to see) and, if things go well, achieve a bit more (like to see, love to see).

22 The other groups of stakeholders are: DFID Nepal, OPM, IOD PARC, Muktkinath Bank, AEC/FNCCI.

Figure 2: Excerpts from November 2018 (left) and May 2019 (right) versions of the ToC

	November 2018		May 2019
Stakeholders	ASHA, NCCSP, ANAKULAN (DFID PROJECTS)	**Stakeholders**	ASHA, NCCSPII, CASA (DFID funded PROJECTS)
Outcome challenge	The D2 process intends to ensure all DFID programmes in Nepal are connected, coordinated and actively engaged and learning from each other. The goal is to help DFID Nepal clearly plan and articulate a common vision for resilience building in the country and act as champion for the CPA	**Outcome challenge**	The D2 process intends to ensure all DFID programmes in Nepal are connected, coordinated and actively engaged and learning from each other, and a more robust evidence based which supports the CPA is built and used to influence stakeholders. The goal is to integrate CPA (or elements of) into relevant resilience building programmes in Nepal, starting with DFID funded programmes
Short term goals	• Attend and share lessons on resilience building • Connect projects to key private sector stakeholders to discuss sustainability/market linkages • Attend field trips and learn from experiences from each other and other projects	**Expect to see**	• Attend reilience building coordination meetings and actively participate in sessions • Attend field trips – engage in sharing experiences and see relative benefit of CPA approach in comparison with other approaches
Medium term goals	• Share lessons on resilience building (e.g. improving market linkages, involving private sector, maintaining funding, incentivising match funding) • Adopt approaches from other projects in extension phases	**Like to see**	• Adopt learning approaches from other projects in new projects (in start up phase) or midway (i.e. after mid-terms or in extension phases) and in particular from the CPA approach • Proactively reach out to request support in integrating CPA • Contribute data and lessons to inproving the CPA approach
Long term goals	• Continued collaboration and sharing of lessons between programmes • Contribute data and lessons to improving the CPA approach • Integrate elements of the CPA in future resilience programming	**Love to see**	• Mainstreaming of CPA approach into all relevant and future resilience building programmes in Nepal • Creating CPA champions within other resilience building programmes in Nepal
Contributing factors and challenges	• **Strong relationships among project stakeholders** • Timing of project activities (Mid-term reviews, closure, second phases) limits their ability to engage and adopt changes	**Contributing factors and challenges**	• **Strong relationships among project stakeholders** • **Earlt start up phase of 2 large resilience building programmes creating opportunities for mainstreaming (NCCSPII & CASA)** • Timing of some project activities (start-up, Mid-term reviews, closure, second phases) limits their ability to engage and adopt charges

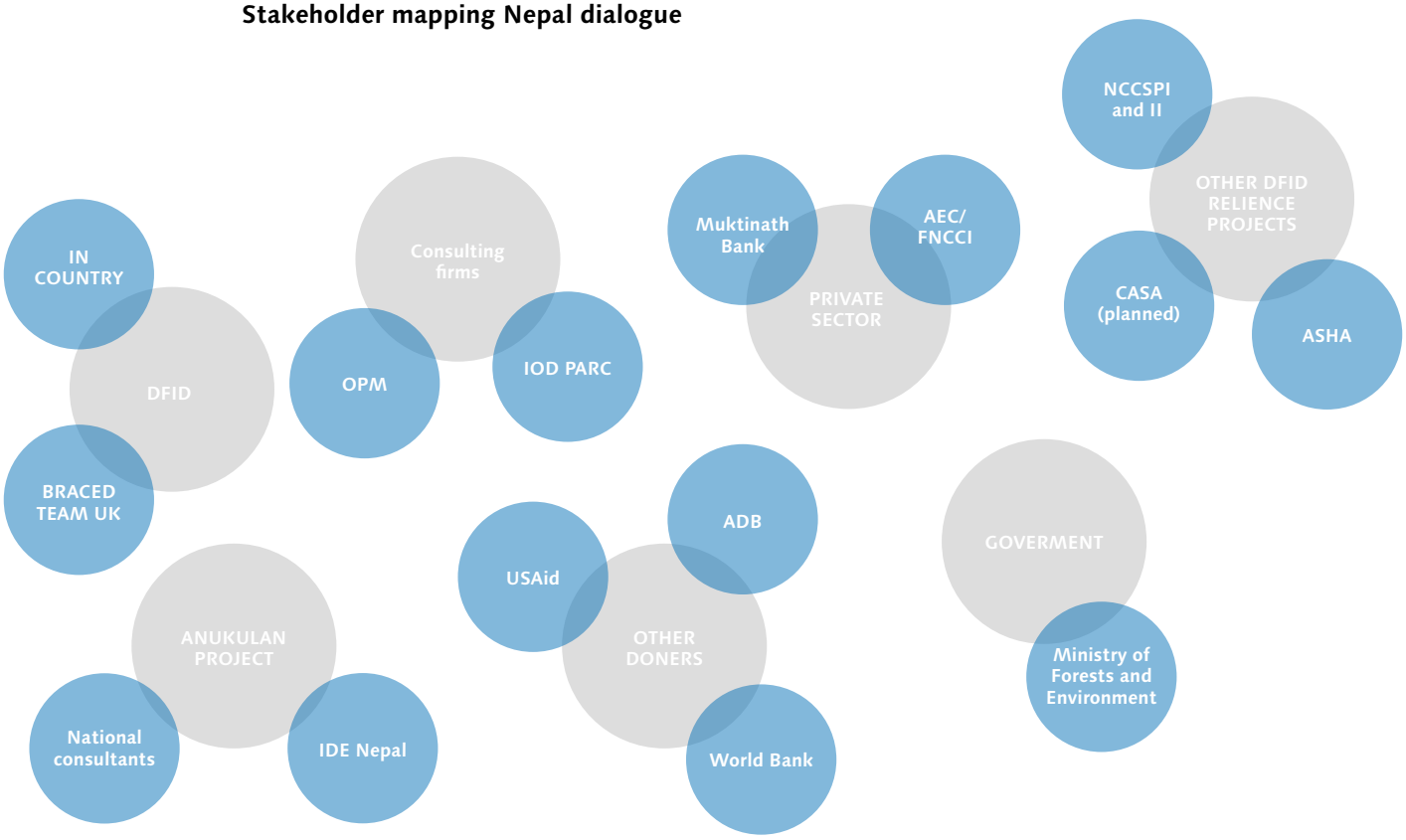
Source: fund manager ToC November 2018 and May 2019.

Mapping and tracking the key stakeholders and their interest

The mapping of stakeholders of the policy dialogue also changed over time, informed by the strategy and progress achieved by the policy dialogue. The mapping included in the ToC shared in November 2018 showed the actors and stakeholders organised in main groups, which were then used to define specific changes for each group (see Figure 3).

Figure 3: Initial mapping of the policy dialogue stakeholders

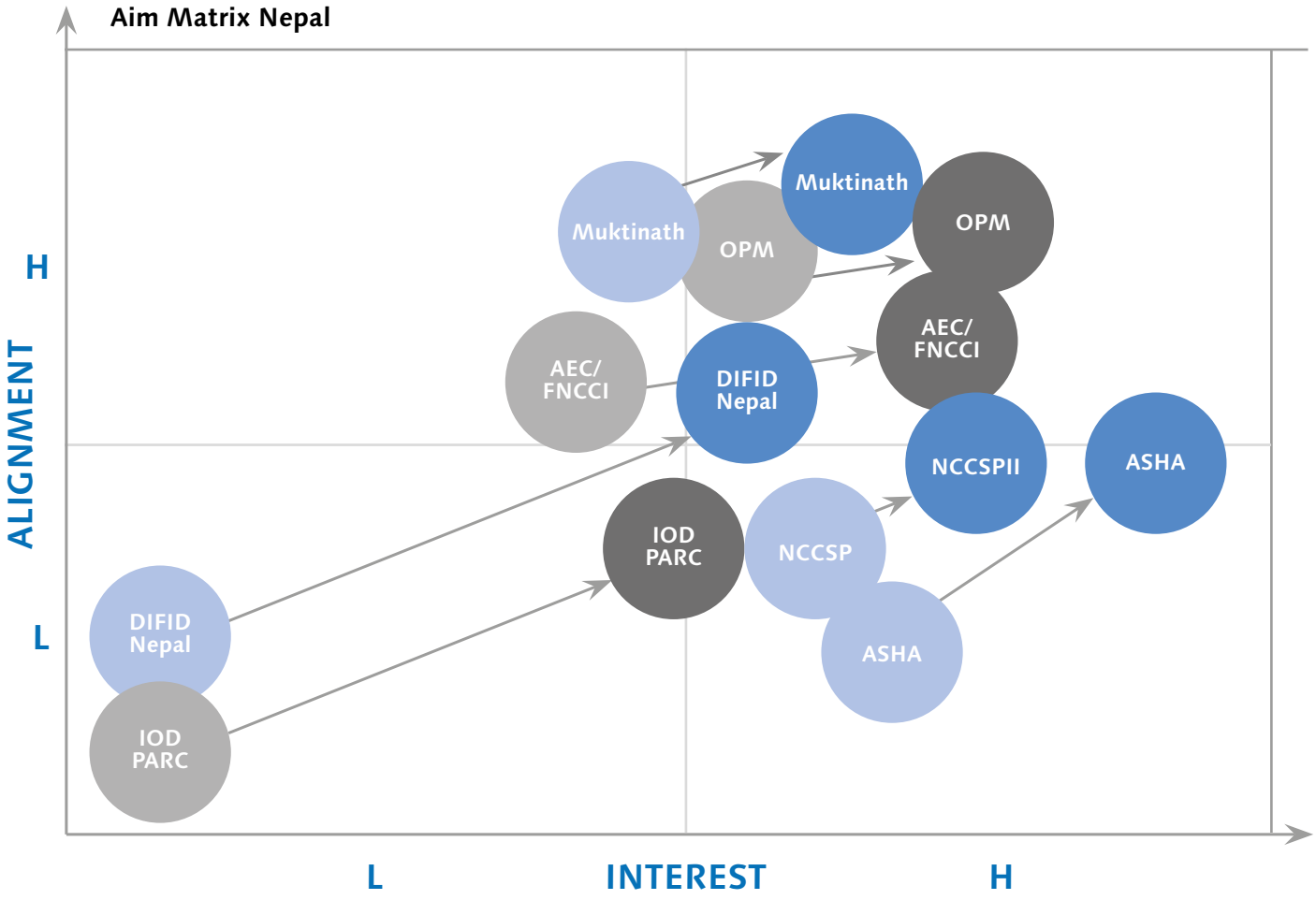
Stakeholder mapping Nepal dialogue



Source: fund manager stakeholders map version November 2018

In the ToC shared in May 2019, and as a result of consultations and meetings in Nepal, a smaller list of actors was mapped by the fund manager using an Alignment Interest Influence Matrix which had been proposed as a suitable planning and analytical tool by the Knowledge Manager monitoring and learning team. Figure 4 shows the self-assessment of the shifts by the fund manager in the alignment and interest about the CPA model by the selected participants in the policy dialogue in May 2019 vs November 2018. Most of the shift by the actors were expected by the fund manager. DFID Nepal and IOD PARC are the policy process participants that, according to the fund manager, have shifted their position more than expected between November 2018 and May 2019 (Figure 4).

Figure 4: Alignment Interest Matrix for Nepal. Starting point in November 2018 (faded circles) and shift as of May 2019 (full colour)



Source: fund manager stakeholders map version May 2019

How appropriate and relevant are these strategies?

Our answer is that the strategy adopted by the fund manager, given the time and resources for the policy dialogue, was appropriate and relevant. The experience and lessons from Anukulan were the starting point for the policy dialogue. The dialogue and the specific topic of the dialogue emerged through consultation and discussion facilitated by the fund manager, and by bringing together different actors who shared an interest in exploring solutions to climate resilience problems, either through policy design or by designing and implementing climate resilience projects and programmes. The START document and the ToC were the result of in-country consultations, and were not rushed at the beginning of the initiative. The focus on CPAs emerged over time and was not pushed at the beginning of the policy dialogue. The strategy and plan of the policy dialogue adapted to the decisions taken during roundtable meetings.

For example, at the roundtable meeting in September 2018 it was suggested and agreed that the evidence produced by iDE on CPAs needed to be validated through an independent assessment of the effectiveness of CPAs before embarking on policy dialogues with national government actors. Therefore, DFID Nepal and the fund manager adapted the plans for the policy dialogue and commissioned the study through a restricted tender, awarded to IOD PARC. Preliminary results of the study were presented in April 2019 in Kathmandu. The final report is expected in July 2019 and will be shared at a coordination meeting with all key stakeholders of the policy dialogue.

5.2 Internal system and process set up to manage the policy dialogue process

In this section we focus on the process and system put in place by the fund manager to design and deliver the policy dialogues. The findings we present here answer the question: What internal systems have been put in place to design, adapt and iterate strategies and plans of action to address changes in context and circumstances?[23]

The policy dialogue process

The system and processes designed by the fund manager to manage the delivery of the policy dialogue in Nepal was the same across the six countries under Component D2. The policy dialogue process consists of the following steps (BRACED 2019):

Step 1 – Scoping: to identify a range of potential areas of focus and entry points for the dialogue process in each country. The scoping exercise looks at collecting the following information: (1) current policy context in-country, (2) the emerging lessons learned from the BRACED project in the country, and (3) DFID's evolving climate resilience priorities.

Step 2 – Surfacing: this step involves working in-country to identity concrete opportunities that could be pursued by the dialogue process. This may be done in a number of ways, but most typically will be achieved through convening meetings of relevant stakeholders (referred to as a 'roundtable') or through a series of meetings with targeted individuals and/or organisations with the aim of identifying: (1) the key lessons learned from the BRACED experience in-country, (2) any policy implications of these lessons, (3) links between these lessons and other new and/or ongoing initiatives in the country, and (4) any immediate opportunities for translating these policy lessons into action.

Step 3 – Exploring: this step involves tasking an individual(s) or organisation(s) with exploring the opportunities identified in Steps 1 and 2. Ideally, the explorer would have been involved in BRACED and would have strong existing links with the policy space and relevant networks in the country. The task of the explorer is to identify the best entry points for feeding into BRACED project experiences.

23 KEQ 2 in the MLE design document (BRACED 2018)

The fund manager engaged two consultants to assist with the policy dialogues in-country: (1) an international consultant to conduct research and assessments, and to help with the logistics of the policy dialogues; and (2) an experienced national consultant, former civil servant with the Ministry of Agriculture with good links to projects, programmes and ministries.

Step 4 – Enabling: the final step involves moving from exploration into acting on the identified opportunity. This step may require resources to enable specific activities relevant to the dialogue process to proceed. This could be for a discrete product (e.g. a survey of food security needs) or for ongoing services (e.g. technical assistance to ministers).

The fund management manual (BRACED 2019) states that given the 'messiness' of policy processes, 'these [four] steps will not necessarily be followed in a linear fashion, and some of the dialogue processes may skip some steps or go backwards' (p.18). The steps are not prescriptive in terms of what needs to be produced. They all adapt to the topic and stakeholders of the policy dialogue.

At the time of writing, the policy dialogue in Nepal was at Step 4 – Enabling. The assessment study commissioned from IOD PARC will be the concrete output of the policy dialogue process and the result of decisions and choices made throughout the various steps of the policy dialogues, from Scoping to Exploring.

Operationalising the policy process

To operationalise the steps described above and implement the policy dialogues, the fund manager used three processes of documentation.

START Document

The START document, already mentioned in Section 5.1, was produced in May and approved in June 2018 following the first round of in-country consultations with DFID, iDE and other key stakeholders. The START document provided the justification for conducting the policy dialogue process in Nepal. Its objectives were to seek DFID approval and sign-off on the overall objectives and scope of the policy dialogues, as well as the budget allocation. At four pages long, the START document for Nepal was succinct and informative (See Annex 2).

Sprint Cycles

To design the policy dialogue activities and seek approval for the budget from both the fund manager senior management and DFID, the fund manager and DFID adopted sprint cycles designed by DFID's LearnAdapt team.[24] Sprint cycles apply a test-learn-adapt approach to project management and can be useful in delivering unpredictable, complex and non-linear projects.

24 See DFID LearnAdapt, Things to Try flyer. 'Build–measure–learn approach: Sprints and reflection'.

The fund manager defined the sprint cycle as 'a small batch of work that will generate learning and will result in a feedback loop, which can be used to make informed decisions on next steps' (BRACED 2019: 19). The advantage of working through sprint cycles instead of yearly activity plans is that they can facilitate greater collaboration, engagement and ownership of the process by key stakeholders, and they empower project teams to design solution-focussed activities.

The sprint cycle designed by the fund manager has four components:

1. Design of the sprint.

2. Deployment of resources (human and financial).

3. Running activities.

4. End of activities, iteration and design of a new sprint.

The duration of the sprint is not fixed or pegged to the quarterly review cycle and can vary between two and several months.

So far, the policy dialogue in Nepal has gone through four sprint cycles.[25] Each one is described in a sprint cycle document of about three to five pages (See Annex 3).

SPEND process

This process follows the approval of the Sprint Cycle and involves (1) a more in-depth design and costing of activities and (2) procurement and contracting of relevant experts, be it individuals or organisations, to then deliver the activities. A detailed description of the processes and decision points of the SPEND steps can be found in the Component D2 Manual produced by the fund manager (BRACED 2019). The main activities of the steps involved the production of detailed terms of reference for procuring services, the procurement process and selection of the contractor, and approval to spend and contract, the contracting of the consultant/organisation. All in all, the SPEND process involves nine steps (See BRACED 2019: 33).

Quarterly meetings – status updates and decision points

Every quarter the fund manager prepared an activity report about the policy dialogue activities in Nepal for the quarterly DFID and knowledge manager meeting in London. The one-page format provided a good summary of activities and progress (or sometimes lack of progress) achieved during a quarter (See Annex 4). So far, the fund manager has produced four quarterly reports for the policy dialogue in Nepal.[26]

25 Sprint Cycle 1, May–June 2018; Sprint Cycle 2, June–October 2018; Sprint Cycle 3, November 2018–May 2019; Sprint Cycle 4, June-July 2019.

26 Quarter 13; Quarter 14; Quarter 15; Quarter 16

At the quarterly meetings in London, the fund managers mentioned that they also produce documents such as terms of reference, deliverables, and other documents required to contract consultants or organisations as part of implementing the policy dialogue activities. The MLE team did not have access to these documents and cannot assess the amount of information required to fill them.

How these documents support the adaptive process

The systems and processes designed by the fund manager enabled Nepal to follow a step-by-step process involving:

- Scoping the context of the policy dialogues, with a particular focus on the federalism reform, climate resilience policy priorities of the Government of Nepal and DFID Nepal, and main lessons from Anukulan.
- The identification of three opportunities for policy dialogues (LAPAs, MUS, CPAs) and mapping of the main stakeholders.
- An exploration of entry points by hiring two consultants in-country, which led to the decision to focus on CPAs.
- Enabling the policy dialogues by commissioning an independent study of the effectiveness of the CPAs to be used to inform key stakeholders.

The START and SPRINT documents are informed by the findings from meetings, workshops and roundtables, facilitated and led by the fund manager. These documents were produced when sufficient information was available to justify the initiatives as a whole (START document in May 2018) or a specific set or batch of activities (SPRINT documents in May 2018, June 2018, November 2018). The one-page quarterly report helps inform DFID of progress, results, challenges, and importantly, the rate of expenditure of the policy dialogues.

These documents are needed to receive approval and sign-off from the fund manager's senior managers to implement activities and access budgets. DFID UK reviewed and signed off only the START document and did so in consultation with the DFID Nepal. All the documents have gone through various rounds of internal reviews and comments. These documents are helpful to keep a record of the rationale for suggesting specific activities, the use of budget, and progress towards the goals and objectives of the policy dialogue process.

What is unclear is the amount of time required to provide these documents, respond to comments, and receive approval. The total budget allocated to Component D2 was £1,128,067. The allocation for the policy dialogue in Nepal was £203,052 (or 18% of the Component D2 budget) (BRACED 2019). At the time of writing, and with one month left until the end of the projects in July 2019, £73,224 had been spent (See Fund Manager M D2 Q18 report). The final activities are likely to increase the rate of spending.

Overall, (without exact data) the impression is that the fund manager for Nepal had to spend a considerable amount of time producing the documentation required by the processes described in this section, as well as establishing relationships with in-country stakeholders, line managers and consultants hired by the fund manager. The fund manager in Nepal also had to manage the logistics of roundtables, meetings and field visits, and liaise with the knowledge manager's MLE team, all of which is necessary to progress the policy dialogue. There seems to be over documentation for an initiative that is almost complete, and that has so far resulted in spending approximately £73,000 on in-country activities.[27]

5.3 The response to the policy dialogue process

In this section we present the findings of stakeholders' responses in Nepal to the policy dialogue process. The questions we are answering are: *What were the responses to the policy dialogue process? What were the barriers to achieving responses to the policy dialogues?*[28]

During our interviews we were looking for signs such as:

- Interest in the process,
- Ideas that have emerged from being involved and participating in the process,
- Changes in knowledge and learning about CPAs, and;
- Demand for more evidence.

These are all signs of change that can contribute to behaviour change by actors, such as development programmes and government partners, as well as changes in legislation, policies and or commitment to fund new programmes and projects on climate resilience.

Several respondents to this deep dive report all agreed that the most significant outputs of the policy dialogue process so far were:

27 This amount may increase by the end of the implementation of activities in July 2019 and the Fund Manager expects to almost reach the planned estimate of £190,100 (See Fund Manager M D2 Q18 report). We just do not know at this stage.

28 KEQ 3 in the MLE design document (BRACED 2018).

The field trip to Province 6 that took place on 24–26 September 2018. The aim was to visit three project areas: the irrigation canal in Bagdula by NCCSP; meet the mayor and farmer groups in Dailekh with ASHA, and meet a women's farmer group, a market and planning committee at a CPA collection centre with Anukulan. The visit allowed the group to observe and share lessons about commercial agriculture approaches. It included representatives of ASHA, NCCSP, Muktinath Bank AEC/FNCCI (Chambers of Commerce), government organisations, Anukulan and the fund manager. There were 15 people on the field trip.

The field trip to Provinces 5 and 6 on 26–29 April 2019 was organised to observe the CPAs implemented by iDE and its partners. The field visit involved 15 people from different organisations, such as MoFE, AEC/FNCCI (Chambers of Commerce), IOD PARC, the fund manager, ASHA, iDE, municipalities and provincial governments units.

The independent assessment of CPAs, conducted by IOD PARC and whose preliminary results were presented to approximately 40 people from the government, NGOs and the private sector at a workshop in Kathmandu.

In the rest of this section we present the responses to the policy dialogue process, in particular the three main outputs described above, by grouping our findings into three stakeholder groups: development programmes and organisations; DFID Nepal and government organisations.

5.3.1 Response from development programmes and organisations

Overall, the increase in the number and continued attendance of participants at roundtable/coordination meetings indicates that there was a gradual increase in interest in sharing lessons and learning around CPAs, which is at the centre of the policy dialogue process.

The number of representatives of development programmes and development organisations grew constantly during the policy dialogue process. The organisations that met for the first roundtable meeting in May 2018 were DFID Nepal, IOD PARC, NCCSP, Anukulan, OPM, ASHA, AEC/FNCCI (Chambers of Commerce) and Muktinath Bank. They formed a core group that participated in all the roundtable meetings (later called Resilience Building Coordination Meetings or Coordination Meetings) and field visits. They were joined by representatives of other organisations as the policy dialogue process began to focus on the lessons and evidence from the CPA. These organisations are WFP, Mercy Corps, the Agriculture Sector Development Project (ASDP), High Value Agriculture Project (HVAP), and the Rising Incomes of Small and Medium Farmers Project (RISMFP). Some knowledge sharing meetings that were held later in the policy dialogue process, for example IOD PARC's presentation of the preliminary findings of the independent assessment of CPAs, on April 2019, attracted more participants, including representatives of relevant ministries (see Section 5.3.3).

The feedback and evaluation that the fund manager has collected after each coordination meeting and field visit show a high satisfaction score by the participants, especially for the field visits (8 out of 10 on average).

Demonstration visits identified as a key tool

The field visits in September 2018 and April 2019 were mentioned as the highlight of the policy dialogue process. Several respondents said the field visits were more useful than meetings in Kathmandu (there are many organisations implementing various programmes and projects) in terms of learning and sharing. Some of the respondents said the field visits created a space for informal communication and sharing, which helped 'to get to know the staff from other programmes and projects' (informant). This allowed them to establish better personal relationships, due to the time spent together in the provinces which according to the respondents has allowed a useful sharing of ideas and experiences. Importantly, these visits were not only about learning from the Anukulan experience with CPAs. The field visit in September 2018 to Province 6 covered three programmes: NCCP, ASHA and Anukulan.

Greater demand for in-country coordination across programmes

A significant response to the sharing and learning through field visits (e.g. the September 2018 visit to Province 6) was the decision by NCCSP, ASHA and Anukulan to initiate coordination sharing meetings every second month facilitated by the fund manager. What brings these programmes together is that they all involve the design and implementation of activities linked to commercialising agriculture and enhancing the livelihoods of smallholder farmers. In terms of CPA, Anukulan is perceived as having more experience than other programmes. At the same time, the organisations that implemented Anukulan learned about the activities and results that NCCSP and ASHA[29] tested and achieved to strengthen the climate resilience of smallholder farmers.

The programmes rotated the chair of these coordination and sharing meetings and invited other organisations to join, such as WFP and Mercy Corps. Discussions in the initial meetings focussed on sharing the respective approaches, lessons and updates. So far, there is no evidence of more concrete forms of collaboration, but these initial signs and decisions are promising. ASHA, NCCSP and Anukulan are committed to continue collaborating, sharing and exchanging through the coordination meetings. It would be interesting to return to Nepal in six or 12 months, after the end of the fund manager support in July 2019, to observe whether these coordination meetings are continuing, what collaborations have emerged as a result, and what type of influence these collaborations have had on policies and programming decisions.

29 ASHA was undertaking a mid-term review at the time of the field visit.

Perceived constraints in the policy dialogue process

Some respondents would have preferred more on-the-ground presence of the fund manager. The fact that the fund manager was not based in Kathmandu was due to the overall design of Component D2 in general, and the limited timeframe of the initiative. Although the fund manager travelled regularly to Nepal, being based in Kathmandu could have resulted in a more continuous policy dialogue process. The fund manager hired local consultants to manage the logistics and invitations to roundtables and field visits, and as discussed, the feedback was very positive overall.

A few respondents commented on the way iDE, the implementing organisation of Anukulan, presented the CPAs without strong evidence or data. They said it seemed a bit too close to 'marketing'. iDE has been working with CPAs since 2004 through various projects and with support from different funders. The funding from BRACED gave iDE an opportunity to continue working with CPAs and to include climate resilience elements in the model. This funding from BRACED is finishing in July 2019. Some respondents said that at times, it seemed that iDE was trying to sell its CPA model and approach a bit too much. The decision to commission an independent study was a good way to manage this risk and perception.

A few respondents have commented that the design of a policy dialogue process towards the end of the implementation phase of Anukulan in 2017 might have been a bit late. A policy dialogue exercise such as the one under Component D2 should have been part of the design from the beginning and throughout Anukulan.

5.3.2 Response from DFID Nepal

In-country alignment is important and takes time – the flexible approach supports this

The response from DFID Nepal to the policy dialogue process evolved over time. During the early stages in January and February 2018, the extension of BRACED for 18 months and the design of Components D1 and D2 were perceived as not fully aligned with the strategy and programming of DFID Nepal. The perception from DFID Nepal was that the timeframe for the policy dialogue was too short to produce, inform and influence policy. In early 2018, after the successful sub-national elections of 2017, the federal process had reached one of its milestones and kick started the process of establishing the roles, functions and capabilities of municipalities and provinces.

At the same time, this created both uncertainty and new opportunities for DFID Nepal's programming. BRACED-X was designed at DFID headquarters. By the time Nepal was selected as a BRACED-X country, and work on policy dialogue began, the DFID Nepal team had to deal with uncertainty and major changes in governance systems in Nepal (as well as staff changes). The team had to calculate the risks of starting a policy dialogue process to influence policy actors at the national level when there were many unknowns around the direction and implications of federal reform in Nepal.

In Section 5.1 we described how the policy dialogue process was designed to emerge over time. There was no set plan, model or approach, or specific policy objectives that had to be pursued from day one. This flexibility gave DFID Nepal an opportunity to take the lead during the first few months of the process, to manage links with the country portfolio, and to contribute to the strategy and direction of the policy dialogue.

DFID Nepal initially asked the fund manager to limit the consultation to only DFID-funded projects and organisations, and not to involve other donors or government partners. This meant that the initial stages of the policy dialogue (during the Sprint N.1) resulted in fewer meetings than perhaps desirable, but it allowed DFID Nepal to fit the policy dialogue work under Component D2 of BRACED-X to its portfolio. This gradually changed throughout Sprints 2 and 3 when DFID Nepal found a way (i.e. field visits and coordination meetings) to link the policy dialogue process to the other climate resilience programmes it funds.

The collaboration between DFID-funded projects through the dialogues also helped bring new ideas to the programmes. This was at a time when the NCCSP was winding down its first phase and beginning to design the NCCSP II, and when ASHA was undergoing a mid-term review.

A sound evidence base is an essential pre-requisite to Government engagement

In terms of engaging government actors in the policy dialogues, DFID Nepal was of the opinion that before doing that, it was important to have stronger and more independent evidence (than iDE was able to provide) about the results and conditions required for the CPAs to succeed. Presenting weak or not credible evidence about CPAs could result in the relevant government actors rejecting the model tested by iDE under Anukulan and limit the uptake of the lessons and experiences from CPAs into relevant policies and government programmes. It could also undermine other relationships that DFID Nepal has with government actors as part of its programme portfolio.

To mitigate this risk, the roundtable members agreed to commission an independent study, which IOD PARC conducted. The fund manager contracted a consultant, an ex-government official, under the third sprint to do some low-level engagement with relevant line ministries and individuals. This was to make them aware of the study and discuss possible uses of recommendations (e.g. map the policy landscape, upcoming initiatives, policy work, etc.).

Don't assume availability of in-country teams

Overall, and understandably, DFID Nepal applied a cautious approach to the policy dialogue process, reflecting the uncertain governance context in Nepal and the need to find ways to link the BRACED-X extension with the programme portfolio in Nepal on climate resilience (NCCSP and ASHA). It also reflected the time that the DFID Nepal advisors and managers could actually devote to an initiative that was designed in headquarters. The turnover of staff at DFID Nepal resulted in more time being needed to build relationships and bring everyone up to speed on the objectives and process of Component D2.

Local buy-in and tensions between in-country and UK-based team priorities

The experience of the policy dialogue process revealed differences between DFID headquarters and DFID Nepal in terms of the feasibility and timescale in Nepal. It took time for the policy dialogue process to find its place within the portfolio of programmes managed by DFID in Nepal. The policy dialogue process competed for the time of DFID staff. Other investments designed and managed in-country, fully occupied the country office staff, therefore, when initiatives came in that were designed at headquarters, it felt like an additional management burden on staff. There is no simple solution to this problem, which is not specific to Nepal. DFID Nepal's solution was to focus the policy dialogue process on linking programmes and initiatives in climate resilience, which are funded by DFID, engaging government actors, and involve OPM and IOD PARC (both of which are contracted by DFID Nepal) somewhat as a proxy/complement for DFID engagement. The result was a good quality, independent study about the impacts and changes that can be enabled through the CPA.

5.3.3 Response from government organisations

Government interest grew over time

Government representatives began to join the bi-monthly Resilience Building Coordination Meetings (earlier called roundtable meetings), where it was possible to share the preliminary results of the study on CPAs that was conducted by IOD PARC. The engagement with government actors from MoFE, where the climate change resilience unit is located, was possible due to the credibility of the organisation implementing the study and the quality of the evidence generated. The preliminary results were shared at a meeting on 25 April 2019, which was followed by a second successful field visit to Provinces 5 and 6. The Joint Secretary of MoFE and Chief of Climate Change Management Division.

Moreover, on 6. June 2019, the the Ministry of Forest and Environment organised a climate conference which saw the participation of ministers, parliamentarians, national planning commission members, senior government officials of the federal government, province government officials and local government chief and deputy chief of Province 5 (Communication from iDE). The organisers invited iDE, the Director General of Agriculture, and the Under Secretary and NCCSP-II Focal Person of the Ministry of Forest and Environment to present a joint paper titled 'Effects of Climate Change in Agriculture and Food Security, and Initiatives

undertaken for Adaptation'. The paper included experiences from Anukulan. Two points of the Nepalganj Declaration of the Climate Conference are related to areas of work of Anukulan (Communication from iDE).[30]

The feedback from MoFE was very positive about both the preliminary results of the study on CPA, and the observation of the CPA during the field visit. This shows that in terms of presenting and sharing evidence about a project initiative, such as the CPA, it is important to combine different modes of sharing evidence. The findings from a rigorous study are one way, while roundtables and workshops are another. Direct observation of the intervention in different locations is also an option. Together, they can help generate ideas and suggestions that can inform programming policy decisions.

Incorporation of policy priority into existing programme design

As a result of the presentation of the CPA study, the preliminary results, and the field visit to Provinces 5 and 6, the Joint Secretary for MoFE/Chief of Climate Change Management Division expressed considerable interest in the CPA and asked DFID to incorporate CPAs into the design of the NCCSP II projects. These mainly focussed on rural infrastructure and are about to begin the inception phase.

5.4 Signs of behavioural change and likely changes beyond the end of BRACED-X

In this section we join two of the KEQs (4 and 5) and discuss whether there have been changes in behaviour by key stakeholders involved in the policy process, in particular policy actors. We reflect on the sustainability of the policy dialogue process beyond the end of BRACED-X/Anukulan in July 2019.[31]

Currently, no definitive signs of behaviour change towards stated policy goals

The policy dialogue process in Nepal brought together programmes linked to the climate resilience portfolio of DFID Nepal, organisations such as Mercy Corps and the WFP, and some policy actors. This allowed for sharing a wider set of experiences around strengthening the climate resilience of smallholder farmers, which was not limited to the CPAs of the Anukulan project and which we have

30 It was not possible to triangulate with government actors the information shared by iDE. The conference took place after the data collection field visit to Nepal. The two points of the final declaration that are related to Anukulan according to iDE are: Art. 2., in order to maintain updated data/information related to environment and climate change, initiatives to be taken to establish a weather information centre at local level; and Art. 5, while implementing local climate adaptation programme, agriculture and forest based commercial pockets to be developed based on identification of areas that have comparative advantage. (Unofficial translation by iDE)

31 We join two KEQs: KEQ 4 (Are there signs of behavioural change in line with the proposed change strategy? Were there any unintended changes observed?) and KEQ 5 (How sustainable/scalable are these changes likely to be beyond the end of funding in July 2019?).

described in the previous section and which fall, in our opinion, under the responses to the policy dialogue process.

Looking beyond July 2019, it is uncertain whether the regular coordination meetings between programmes such as NCCSP II, ASHA, Anukulan and others will continue once the support ends. Actions to mitigate this include establishing a rotating host, providing initial support to establish a strong mandate and operating model for the group, which will be confirmed before the end of BRACED-X (e.g. agenda-setting, format, purpose), and growing the group slowly to ensure it forms a core group of key members.

The hope is that the meetings and sharing of the policy dialogue process will continue, and perhaps diversify and decentralise to include specific discussions at the sub-national level linked to specific contexts and climate resilience challenges for farmers. This was the objective of Sprint Cycle N. 4 which was underway at the time of writing.

Positive indicators of potential policy and programming outcomes

The request to include CPA in the design of the NCCSP II is a positive sign. It shows not only that the CPA model can be part of other programmes and initiatives, but that there is an opportunity to bring the bottom-up planning processes and community ownership of the development of climate resilience capabilities that are a key part of the CPAs into other elements of climate resilience programming. These include the maintenance and management of rural infrastructures, which are an important part of programmes like NCCSP II.

6. CONCLUSIONS

What have we learned from the policy dialogue process in Nepal in 2018 and 2019?

Component D2, considered an experiment, was designed as an 18-month extension of the BRACED projects in Nepal. The goal was to use the lessons learnt building climate resilience of smallholder farmers, to inform policy debate and discussion on climate resilience at the national level. The knowledge was acquired through the implementation of experiments and pilot activities under the various work streams of Anukulan.

The link to the experience of Anukulan and the intention to inform policy debate and decisions at national level were the parameters of the policy dialogue. These gave the fund manager some freedom in terms of designing and operationalising the policy dialogue experiment.

We found that the response to the policy dialogues has been positive overall, but there are no signs (yet) that the policy dialogue process had informed decisions or behaviours of key policy actors at the national and sub-national level.

Why is that? The answer to this question must be addressed on two levels: the design of the policy dialogue in Nepal (as well as in the other five countries) as Component D2 of the BRACED extension (BRACED-X); and the implementation and operationalisation of the policy dialogue process in Nepal. The distinction

is important, as the design of Component D2 and the idea that is behind it (informing policy decisions using the experiences of the BRACED project in six selected countries) has an influence on freedom, and the way the policy dialogue experiments could be implemented in Nepal by the fund manager.

Conclusions and associated recommendations related to Component D2 design:

- The planning for Component D2 of BRACED-X began towards the end of 2017. Some of the respondents saw this as a weakness. Policy dialogue processes require considerable time to establish and to build relationships with relevant actors and decision makers. They should be part of the initial design of programmes and projects that aim to inform policy.

  Recommendation: A suggestion for future initiatives could be to include in the design of a programme, the policy dialogue and the engagement with policy makers at various tiers of government. Make it an explicit (and experimental) area of work of a programme from day one.[32]

- The timing of the end of BRACED and the beginning of the policy dialogue process in Nepal was slightly unfortunate, as the main policy discussion occupying most of the attention of government actors and development partners was federal reform. That in itself was a major experiment that the Government of Nepal had undertaken. As with any experiment, it was characterised by uncertainties related to the roadmap of federalism, the definition of roles, responsibilities and accountabilities of the different tiers of government, and political tensions that are inherent with any devolution of decision-making power to sub-national levels of government. These issues, which are critical for the social and economic future of the country, are key priorities for policy makers. Sectoral or cross-sectoral policy issues, such as climate resilience, matter, but in order to take policy decisions on those, more clarity is required in terms of the new federal system.

  Recommendation: The timing and conditions for engagement with policy actors needs to be right, and there is a need for some luck as well. Therefore, tools such as a rapid political economy analysis can help to provide this information at the design stage of a policy dialogue initiative.

- A third reflection about the overall design of the policy dialogue that emerged during the data collection was that the result manager was based in the UK, with regular travel (almost every second month) to Nepal. This point comes under design, as all the fund managers were based in London and travelled regularly to the six countries where they facilitated the policy dialogue process. The role of the fund manager was as a facilitator of the policy dialogue process, linking and involving the different actors who were part of the dialogue.

32 It is important to note here that Component D was included in the original design of the BRACED programme but it was commissioned only in late 2017.

- Some respondents mentioned that while the fund manager managed the facilitation role well, an in-country presence for the duration of the policy dialogue would probably have allowed for the involvement of more policy actors in the dialogue process than could be achieved through frequent, short-term visits, and by relying on locally recruited consultants to manage the in-country activities. They seem convinced that facilitating the policy dialogue process required continuous in-country presence. It would be interesting to return to Nepal in six or 12 months, after the end of the fund manager support in July 2019, to observe whether the coordination meetings are continuing.

  Recommendation: consider providing funding for someone to be based full time in Nepal (or identify national staff) to maintain communication and keep momentum going. This would be especially important in the short timeframe available under Component D.

Reflections on the implementation and operationalisation of the policy dialogue process in Nepal:

- Overall, the implementation of the policy dialogue process in Nepal was adaptive and iterative to changes and circumstances. This was helped by DFID not requiring the fund manager to produce a ToC and/or a detailed plan of activities at the beginning of the initiative, but rather let the strategy, direction and plan of the policy dialogues emerge through sprint cycles. This allowed the initiative to move away from a direct policy influence initiative to a more research-type intervention through knowledge, sharing discussions, field visits, and the commissioning of an independent study on the impact and benefit of the CPA model, tested under Anukulan. In doing so, it responded to suggestions by DFID Nepal and some of the policy dialogue participants to build a stronger and more independent evidence base to inform policy discussions.

- The achievements in terms of uptake of the policy dialogue process, and the successful organisation of field visits to observe and learn from the experiences of different DFID-funded programmes working on climate resilience in Nepal, were possible due to close collaboration between iDE, the main implementing organisation of Anukulan, and the fund manager. At times, iDE was seen as pushing its own CPA approach a little too much during roundtable meetings and knowledge sharing activities. However, the link between the work of iDE and the facilitation by the fund manager encouraged learning beyond a single project, and discussions on possible new cross-programme collaborations and exchanges that will hopefully continue after the end of the initiative.

- DFID Nepal's involvement in the policy dialogue process needed to find complementarity and space within the country's climate resilience and governance activities. The DFID country office is managing several climate resilience programmes, some of which are in their inception phases having been designed over the last eight to 10 months. These programmes required a considerable amount of time from the country team. The policy dialogue

under Component D2 added to the load and responsibilities of the DFID team. Workload and staff turnover meant the country team had limited time to be involved in the design of the dialogue. The team suggested limiting initial discussions and knowledge sharing to organisations and programmes funded by DFID, and delaying inviting policy actors until a later stage. It was possible to accommodate the needs of the DFID country office, thanks to the flexible and adaptive approach of the policy dialogues.

- The implementation of an adaptive programme requires processes and systems that support it. Being adaptive does not mean building a system that provides approval and requires reporting, while at the same time enabling freedom in decision making within given parameters, such as budget, timeframe, human resources, etc. It is a fine balance. The evidence that we have presented suggests the administrative approvals and risk mitigation systems within the fund management may have been challenged by the need for quick decision making by the direct implementers of the policy dialogue. The fund management systems are well suited to grant management functions, but struggle with direct implementation of flexible and adaptive initiatives, such as policy dialogue. This resulted in the fund manager having to 'over-document' when seeking approval on plans and budgets, hiring consultants, commissioning organisations, and reporting on progress. This possibly led to delays in the implementation of activities required by the policy dialogues.

Rondinelli (1984) has argued that, in order to cope with uncertainty and complexity, projects of any size must be seen as policy experiments. As such, we argue, they involve trial and error. In all experimental projects, as we have seen in this deep dive report, some things will work, and some will not. Most importantly, every experimental project will provide lessons that can be applied to the design of the projects and initiatives that follow. The lessons and learning from the policy dialogue process in Nepal are being taken up by other climate resilience programmes being implemented in-country, and will complement the lessons and learning from the policy dialogue undertaken in the other five countries under Component D2 of BRACED-X. Together, these lessons and learning provide the evidence base to make the case for an experimental and adaptive approach to projects and initiatives that aim to inform climate resilience policies at national and sub-national level.

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Annex 1: Detailed timeline of the policy dialogue process in Nepal

October 2017	The fund manager begins consultations with DFID UK and iDE (implementing partner for Anukulan) to prepare for the policy dialogue work under Component D, due to start in January 2018
January 2018	Component D work begins
February 2018	The fund manager travels to Kathmandu for meetings, including meetings with iDE and DFID Nepal. The DFID country office is committed to policy dialogue.
May 2018	Contract between fund manager and DFID for Component D2 signed
May–June 2018	SPRINT N. 1 of the policy dialogue begins in May 2018 and is planned to last two months. It is developed based on the results of the meetings and consultations conducted by the fund manager up until this point. Its key objective is to conduct roundtable meetings involving the main BRACED/Anukulan stakeholders to: 1) explore the federalisation process and its implications for Anukulan and the policy dialogues; 2) share the key lessons learned from Anukulan in three main areas: MUS, commercial pockets and the development of LAPAs; and 3) discuss possible policy influencing opportunities and identify immediate next steps. Two key DFID-funded initiatives that are very important for the policy dialogue are OPM's Policy and Institutions Facility (PIF) and IOD PARC's MLE activities on climate resilience for DFID Nepal.
May 2018	A consultant is hired to: 1) review and summarise the key lessons from Anukulan's work with LAPAs, CPAs and MUS; and 2) conduct a stakeholder and policy landscape analysis
31 May 2018	First roundtable meeting in Kathmandu with representatives from DFID Nepal, IOD PARC, NCCSP, Anukulan, OPM, ASHA, AEC/FNCCI (Chambers of Commerce) and Muktinath Bank. LAPAs, MUS and scaling up resilience building activities were highlighted as key areas. The agreements from this first meeting were: focus the policy dialogue on the resilience of communities and draw from the extensive experience of Anukulan in this area; suggestion to exclude LAPAs from the policy dialogue, as DFID was uncertain about whether LAPAs would remain relevant in the new federal system; and hold the following roundtable (September) meeting at provincial level to attract government representatives. Try to expand participation in the meeting to include more programmes and projects, and the private sector.
June 2018	Scoping work in-country confirms that there is a government-led process to revise and adapt LAPAs to the new federal systems. Therefore, it is agreed that it is better to leave the review of LAPAs to those government-led initiatives, as they are likely to take time and go beyond the Component D timeline to July 2019. DFID Nepal approved the START document submitted by the fund manager.
6 June 2018	START document approved by DFID Nepal. This document presents the rationale for pursuing policy dialogues in Nepal, based on the information collected by the Anukulan context analysis. It presents opportunities to inform national-level policy dialogues, the opinions expressed during the roundtable, and the scoping work around LAPAs. It suggests next steps and also a tentative description of what success would look like. Approval from DFID means the policy dialogue can begin.
June–October 2018	SPRINT N. 2 begins. The aim is to: Follow up with stakeholders on agreements reached during the first roundtable. Continue to identify entry points for the policy dialogue and map other projects and programmes taking place in Nepal to which the policy dialogue could link. Identify potential stakeholders to join the roundtable (development partners, private sector, government, NGOs). Organise the second roundtable to be held in Province 6 and visiting projects sites from NCCSP, ASHA and Anukulan.

30 August 2018	Quarterly meeting in London between the fund manager, DFID and the knowledge manager. A change strategy is emerging on the policy dialogues and the focus is likely to be the CPA
24–26 September 2018	Joint field trip with ASHA, NCCSP and Anukulan to Province 6 to share lessons on commercial agriculture approaches and water infrastructure activities. The visit included stakeholders from the private sector (Muktinath Bank/Chamber of Commerce/FNCCI) as well as DFID Nepal, IOD PARC and OPM. A total of 15 people participated in the field trip. ASHA, NCCSP and Anukulan all involve commercialising agriculture and enhancing the livelihoods of smallholder farmers. There are a lot of complementarities and the three programmes agree that CPAs are a promising approach to building resilience in the commercial agriculture sector. The programmes agree to hold coordination meetings every two months, facilitated by the fund manager.
27 September 2018	Second roundtable meeting was held at the DFID Nepal office to share impressions from the field trip with all participants. A key decision for the policy dialogue was taken at this meeting, following a suggestion from IOD PARC that there was a need to build a strong, independent evidence base on the effectiveness of CPAs, before embarking on policy dialogues with national government actors. DFID UK and Nepal agreed with this suggestion and the preparation of the ToR and restricted tender for a study of CPAs began.
October 2018–May 2019	Start of the SPRINT N. 3. The focus is: Continue the bi-monthly coordination and knowledge sharing meetings (the name roundtable was dropped to avoid giving the government the impression that the policy dialogue was a parallel policy process to the initiative it is managing) Commissioning a reputable organisation to conduct a study on effectiveness, benefits and drawbacks of the CPA, and opportunities to scale the CPA in Nepal.
21 November 2018	Third bi-monthly coordination meeting now called bi-monthly Resilience Building Coordination Meeting hosted by iDE (the implementing partner of Anukulan). This was the first coordination meeting where the fund manager did not attend and hired a consultant to facilitate the discussion. Attendees were from iDE, OPM, WFP, DFID, ASHA, NCCSP and IOD PARC. The discussion was about project updates and knowledge sharing.
29 November 2018	Quarterly meeting in London between the fund manager, DFID and the knowledge manager. The fund manager presented the first version of the ToCs and stakeholder maps for the policy dialogue in Nepal.
December 2018	The CPA study was awarded to IOD PARC. The plan was to conduct the study between February and May 2019.
January–February 2019	The fund manager travelled to Nepal and facilitated/participated in two meetings: A kick-off meeting (31 January) for the CPA study, with 35 participants. The Joint Secretary for MoFE and the Chief of Climate Change Management Division (Maheshwar) joined the meeting and expressed considerable interest in the CPA approach. Fourth Resilience Building Coordination Meeting with NCCSP, ASHA and Anukulan, which was joined by the WFP, Mercy Corps, IOD PARC, and DFID. Interest in continuing these meetings facilitated by the fund manager remains strong.
29 March 2019	Fifth Resilience Building Coordination Meeting: the coordination group continued their bi-monthly meetings, this time hosted by the AEC (Chamber of Commerce. The participants shared information and key lessons learned from their respective projects.

25–29 April 2019	The fund manager travelled to Nepal to facilitate/attend a workshop during which the IOP PARC team presented the preliminary results of the CPA study. There were approximately 40 people at the meeting, from the government, NGOs and the private sector. Key preliminary findings shared at the workshop were: CPA is a viable approach to improving the lives, resilience and incomes of farmers. There is clear evidence of a positive change in women's empowerment through the CPA, and most farmer groups comprise predominantly women. CPA may not work everywhere, but when the right conditions and the appropriate combination of environmental factors exist, it can form the basis of systemic and sustainable changes. The CPA improves levels of household income at a cost that seems acceptable and motivating for farmers, and provides a 'return' that seems reasonable. The workshop was followed by a three-day field visit to Provinces 5 and 6 to observe the CPA. This included 15 people from MoFE, AEC/FNCCI (Chambers of Commerce), IOD PARC, the BRACED fund manager, ASHA, iDE, municipalities, and the provincial government. The fund manager held a bilateral meeting with development partners and projects/programmes involved in climate resilience, and those interested in the policy dialogues/CPA: USAID, CASA (Swisscontact), Mott Macdonald (NCCSPII), MoFE, OPM and DFID Nepal.
June 2019	DFID approves the CPA Manual
June 2019	SPRINT N.4 begins and runs until July 2019. Focus is on: Develop a sustainability plan for the Resilience Building Coordination Meetings post-BRACED and support an organisation to take over management of these meetings. Organise and facilitate a technical workshop and knowledge sharing event on CPA at the provincial level and/or municipal level
6 June 2019	The Ministry of Forest and Environment organized a climate conference where iDE, the Director General of Agriculture, and the Under Secretary and NCCSP-II Focal Person of the Ministry of Forest and Environment presented a joint paper titled 'Effects of Climate Change in Agriculture and Food Security, and Initiatives undertaken for Adaptation'. The paper included experiences from Anukulan
July 2019	IOD PARC team presents the findings of the CPA study
July 2019	Workshop in Nepalganj to share and discuss the CPA Manual produced by iDE
Beyond July 2019	
September 2019	Government of Nepal participates in the United Nations Climate Action Summit. iDE has been asked to share Anukulan's experiences
December 2019	Government of Nepal participates in the United Nations Climate Change Conference, Conference of the Parties 25 (COP 25) in Santiago de Chile. iDE may be asked to share Anukulan's experiences.

Annex 2: START document

BRACED-X
START

TEMPLATE A : NEPAL

FM RESULTS LEAD		
MAIN DFID CONTACTS		
BRACED PROJECT IN COUNTRY		
OTHER RELEVENT DFID PROGRAMMES IN COUNTRY		
OTHER PROJECTS IN THE COUNTRY		
LAST UPDATE		
INITIAL ROUNDTABLE STAKEHOLDERS		
FM APPROVAL		
DFID APPROVAL		

PART 1. CONTEXT

The aim of Component D2 is to influence national, regional and global resilience policies. The below summary includes a brief outline of the rationale for choosing as a D2 country, information on the country context and DFID in-country priorities.

WHAT IS THE COUNTRY CONTEXT?

WHAT ARE DFID'S RESILIENCE PRIORITIES?

WHAT ARE THE KEY BRACED LESSONS IN COUNTRY?

PART 2. SCOPING

WHAT SCOPING WORK HAS BEEN DONE?

WHAT IS THE POTENTIAL FOR A BRACED DIALOGUE?

WHAT ARE THE RISKS OF A BRACED DIALOGUE?

WHAT MIGHT SUCCESS LOOK LIKE?

SHOULD WE PROCEED WITH A DIALOGUE?	
IS THERE THE BUY-IN FROM STAKEHOLDERS TO SUPPORT A DIALOGUE?	YES / NO / MAYBE
IS THE DFID COUNTRY OFFICE / ADVISER SUPPORTIVE OF A DIALOGUE?	YES / NO / MAYBE
WILL DFID BE able TO ACTIVELY PARTICIPATE IN THE DIALOGUE?	YES / NO / MAYBE
SHOULD WE PROCEED WITH THE DIALOGUE	YES / NO / MAYBE

FURTHER READING

Annex 3: SPRINT document

BRACED-X **SPRINT**

TEMPLATE B: **NEPAL**

FM RESULTS LEAD	
SPRINT CYCLE NUMBER	
ESTIMATED DURATION OF SPRINT CYCLE	
ESTIMATED TOTAL BUDGET	
PART 1 APPROVAL	
PART 2 APPROVAL	

PART 1 : BEFORE SPRINT

WHY THIS SPRINT CYCLE IS NEEDED? i.e. justification

WHAT THE SPRINT CYCLE WILL DO?

WHAT ACTIVITIES ARE PROPOSED?			
Activity	**Description**	**Resources**	**Cost**
Total			

WHAT WOULD A GOOD OUTCOME LOOK LIKE?

HOW WILL THE SPRINT CYCLE BE ASSESSED?

PART 2: AFTER SPRINT

WHAT ACTIVITIES WERE DELIVERED?

WAS THE OUTCOME WHAT WE EXPECTED?

WHAT ARE THE KEY LESSONS LEARNT?

Annex 4: Quarterly Progress Report format

D2	COUNTRY

Stakeholders	Other partners

* names in orange denote an addition from the previous quarter

FINANCIAL SUMMARY			
BUDGET ENVELOPE			£0.00
TOTAL ALLOCATED FUNDS			
		SPRINT NUMBER	
TOTAL PAYMENTS TO DATE			
		SPRINT NUMBER	

CONTINUE / STOP

STATUS OF DIALOGUE

ACTIVITIES COMPLETED SINCE LAST REVIEW

KEY ACHIEVEMENTS OR AREAS OF PROGRESS

KEY CHALLENGES OR BARRIERS TO PROGRESS

NEXT STEPS AND EMERGING OPPORTUNITIES/ENTRY POINTS FOR NEXT QUARTER (action plan)

BRACED aims to build the resilience of more than 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, Thompson Reuters Foundation and the University of Nairobi.

The views presented in this paper are those of the author(s) and do not necessarily represent the views of BRACED, its partners or donor.

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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.

This paper has been awarded with the BRACED Knowledge Manager's SILVER Accreditation. The purpose of Gold and Silver Accreditation is to set apart knowledge and evidence that significantly advances understanding of what it takes to build resilience to climate and disaster extremes. To be awarded, publications are reviewed by an Accreditation Board whose aim is to identify BRACED funded products that significantly advance knowledge, thinking or practice.

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