

FGD GUIDE IMPACT ASSESSMENT OF CLIMATE CHANGE ADAPTATION INTERVENTIONS IN EAST AFRICA

Introduction

We have undertaken preliminary mapping from the NDCs and NAPAs and mapped several adaptation interventions in (country) working in different sectors (e.g. agriculture and food security, natural resources sectors like water, fisheries, coastal areas, forests and wildlife, energy, health, urban environments (cities), infrastructure and disaster risk reduction). We have mapped these interventions' design, locations, activities/innovations involved, and potential impacts based on secondary data and documents. We have identified some promising sectors and innovations where interventions could potentially create greater impacts and open opportunities for more investments. These include;

1. Nature-based solutions for adaptation
2. Water, Energy, Ecosystem and Food – nexus
3. Climate Resilient Infrastructure:

In this FGD, we aim to capture both the general perceptions of stakeholders as well as actual experiences from practical projects. More specifically, the discussions seek to unpack more insights on innovations and their effectiveness based on in-country experiences. We want to understand how these align with the country's priorities and which technologies or innovations in the target sectors are perceived as critical in resilience building and attracting investments for enhanced adaptation financing what exactly informs the prioritization of interventions in the specific country, experiences with interventions, factors that enable or constrain the effectiveness of different adaptation interventions and how these can be overcome including barriers to adopting some of the promising innovations. The specific questions are as follows:

1. We have identified some activities and innovations in this sector, do you agree that these provide greater opportunities for impact and if so what are these opportunities. Are there some other activities or technologies you think present greater opportunity for impact in this country and why?
2. What specific opportunities in the country do you foresee as critical in enabling the above innovations and activities to be more impactful i.e. (youth-led, policies, women empowerment opportunities, resilience cities agendas, and funding opportunities among others?
3. What barriers do you foresee as important in the adoption and financing of the key innovations highlighted above (e.g. institutional barriers, financial, capacity issues, etc) and what options exist to address these barriers?
4. How can impactful interventions be made more sustainable and what role can different stakeholders play? If possible, focus on specific innovations/examples. And what roles do National and Local leadership play in ensuring the effectiveness and sustainability

of adaptation interventions? Are there specific cases where the local leadership played a key role in ensuring effective adaptation efforts?

Types of adaptation interventions

Adaptation intervention	Examples of activities
Capacity building	Training and skills development, public outreach and education, dissemination of information to stakeholders, Identification of best practices, extension services
Adoption of practices, technology or behavior	Soil/land management techniques, climate-resilient crops or livestock practices, post-harvest storage, rainwater collection, expanding integrated pest management
Ecosystem-based approaches/nature-based solutions	Sustainable forest management, Reforestation, Agroforestry, Watershed management, Coastal zone management, Mangrove restoration, Wetlands restoration
Financing	Insurance schemes, microfinance, contingency funds for disasters
Physical infrastructure	Climate-resilient buildings, reservoirs for water storage, irrigation systems, canal infrastructure, sea walls
Policy and planning	Mainstreaming adaptation into development policies, land-use specific policies, improvement of water resource governance, revised design parameters, ensuring compliance with existing regulations
Warning or observing systems	Developing, testing, and deploying monitoring systems, upgrading weather or hydromet services

INTERVIEW GUIDE FOR PROJECT IMPLEMENTERS

The rationale for the interviews

The responses from these guides are meant to provide a detailed understanding of the effectiveness of specific adaptation projects and specific interventions undertaken within these projects across different EA countries. The effectiveness of the projects/interventions is evaluated based on the perceptions of project implementers using a number of indicators of effectiveness. Overall, the responses from the guides will help us to obtain detailed information about the project that was implemented, the adaptation interventions pursued and respondents' perceptions about the extent to which the projects/interventions contributed to building resilience and adaptive capacity of the project beneficiaries. Further, the responses will help us to understand the factors that enabled or constrained the project/intervention from leading to the anticipated adaptation outcomes

Interviewers will familiarize themselves with the information in the available project documents prior to carrying out the interviews in order to foster more meaningful discussions with the respondents.

Section A: Project background and general perception of its effectiveness

This section is meant to provide a broad understanding of the project and its implementation and covers project characteristics, objectives and general perceptions of project effectiveness

Factual information

Country:

Project name:

Project duration:

Budget:

Date of interview:

Guiding questions

1. Give me some general information about this project. For instance: Who funded it? Which organization(s) implemented it? What was the project duration? Is it ongoing or ended? What was its budget? Who were its main target groups? etc
2. What were the intended outcomes or objectives of the project?
3. Based on the outcomes that were finally achieved, do you think that the project was able to achieve the above-intended objectives?
 - a) If yes, what were the enabling factors?
 - b) Do you have any recommendations for strengthening the above factors to make the project more effective?

- c) If not, what were the challenges?
- d) Do you have any recommendations for overcoming the above challenges?

Section B: Adaptation interventions undertaken in the project and general perceptions about their effectiveness

In this section, we dive into actual adaptation interventions implemented by the project and interrogate implementers' perceptions about the effectiveness of these interventions.

Guiding questions

- 4. What activities were undertaken by the project to build people's ability to respond to, manage, or prevent impacts from climate change?

(The table below may be a useful guide for the probe. Remember however that examples of activities themselves may be more recognizable to respondents than adaptation intervention types-hence it is important to use some examples as you probe on this question)

Types of adaptation interventions	Examples of activities
Capacity building	Training and skills development, public outreach and education, dissemination of information to stakeholders, Identification of best practices, extension services
Practices, technologies, and behavior changes	Soil/land management techniques, climate-resilient crops or livestock practices, post-harvest storage, rainwater collection, expanding integrated pest management
Ecosystem-based approaches	Sustainable forest management, Reforestation, Agroforestry, Watershed management, Coastal zone management, Mangrove restoration, Wetlands restoration
Financing	Insurance schemes, microfinance, contingency funds for disasters
Physical infrastructure	Climate-resilient buildings, reservoirs for water storage, irrigation systems, canal infrastructure, sea walls
Policy, planning and governance systems	Mainstreaming adaptation into development policies, land-use specific policies, improvement of water resource governance, revised design parameters, ensuring compliance with existing regulations
Warning or observing systems	Developing, testing and deploying monitoring systems, upgrading weather or hydromet services

5. Among the activities you mentioned above, which ones do you think were most effective at enhancing people's ability to respond to, manage or prevent impacts from climate change?
6. Can you explain or describe any reasons or factors that contributed to the effectiveness of the mentioned activities?
7. Which ones do you think were not effective or were least effective at enhancing people's ability to respond to, manage or prevent impacts from climate change?
8. Can you explain or describe any reasons or factors that led to the failure of the mentioned activities to achieve their intended goals?

Section C: Effectiveness of the Adaptation Project

This section aims to provide a detailed understanding of the implementers' perception about the effectiveness of the project, using the 11 indicators of adaptation effectiveness i.e. the extent to which the project is 1) economically feasible and leads to (2) improved well-being (3) reduced vulnerability and enhanced adaptive capacity (4) enhanced resilience (5) promotes sustainable adaptation (6) avoids maladaptation (7) promotes ecosystem-based adaptation (8) facilitates community-based adaptation (9) achieves adaptive governance (10) ensures equity and justice and (11) promotes transformation.

As effectiveness may be perceived differently by different stakeholders, this section starts by asking respondents to state whether or not a certain indicator denotes effectiveness or not. Responses here will help us understand why respondents may rate the project or intervention in sections A and B above as effective or not. In other words, a respondent may rate the project/intervention as ineffective because it did not meet their subjective understanding of effectiveness.

Guiding questions

9. In your view, which of the following factors are important for an adaptation project to help households or communities respond to, manage, or prevent impacts from climate change?

An effective adaptation project should:

- 1) Provide intended benefits at minimal cost while maximizing economic benefits for the household or community i.e. for some interventions the costs of investment in terms of money, time or effort may be higher than the actual or perceived benefits of the interventions such as when farmers need to spend long hours searching for mulching materials, organic manure, etc.
- 2) Contribute to the well-being of the household or community e.g. through improving food security, increasing the quantity and quality of products produced, or access to

essential products or services in the community such as food, water, access to markets, etc

- 3) Reduce the vulnerability of households/communities (the extent to which they are susceptible to climate shocks) while enhancing their adaptive capacity (their ability to cope with, adjust to climate-related risks, manage loss and damage, or explore alternative opportunities)
- 4) Enhance resilience i.e enable beneficiaries to recover from any climate shocks such as floods, droughts or landslides, etc
- 5) Ensure sustainable adaptation by ensuring that adaptation outcomes are economically, ecologically, and socially viable over the long term e.g. an intervention whose costs of investment outweigh its benefits may not be economically sustainable. Similarly, an intervention that contributes to adaptation outcomes while compromising other ecosystem functions is not ecologically sustainable e.g. an intervention where the increase in crop yields comes with an expansion of cropland into forest areas or where farmers harvest groundwater to fill water storage structures which may decrease available groundwater and increase water scarcity in the long-run. Finally, an intervention that does not account for justice and equity issues such as if it makes some groups worse off especially those that are most vulnerable e.g. the poor, youth or women) may not be socially viable over the long term.
- 6) Avoid or minimize any negative unintended consequences e.g an adaptation project that increases crop or livestock yields may increase the expansion of crop or grazing land into forests, or a project aimed at protecting a water catchment may make it more difficult for community members to access some resources e.g water or firewood
- 7) Invest in ecosystem conservation, management, and restoration in order to enhance ecosystem services and mitigate climate impacts on ecological and human systems
- 8) Facilitate bottom-up community-led processes that ensure co-production of adaptation strategies and integration of Indigenous and local knowledge, participation of multiple stakeholders, and enables devolution of decision-making authority and administrative control
- 9) Facilitate participatory and inclusive processes that lead to transparent, accountable, and representative adaptation outcomes and processes (adaptive governance)
- 10) Promote just and equitable adaptation outcomes that ensure that the most vulnerable groups in the community are shielded from climate impacts and that their well-being is not compromised further through actions taken to respond to climate change
- 11) Fundamentally challenge the power structures and structural constraints that generate vulnerability to climate impacts especially for those marginalized from power and with

the least access to resources e.g Changes in policies, structures of access to resources or decision-making or attitudes

Section C: Effectiveness based on outcomes of adaptation intervention

This section is meant to capture implementers' perceptions about the extent to which the project was effective at contributing to specific adaptation outcomes. The section is divided into goal-oriented outcomes (economic feasibility, improved well-being, reduced vulnerability, enhanced resilience, avoided mal-adaptation, sustainable adaptation, ecosystem investments) and process-oriented outcomes (equity and justice, community-led-adaptation, enhanced adaptation governance, and transformation)

(All discussions in this section should purpose to understand the reasons why the particular outcome was achieved or not achieved i.e. the barriers or enablers of effective adaptation).

Guiding questions

Section C1: Effectiveness of the project at achieving the goal-oriented outcomes

10. Please explain the extent to which you think the project activities:

(The answers should attempt to explain how and the reasons why outcomes were achieved or not achieved)

- a)** Are (were) economically feasible in terms of the money, time, and effort needed to implement them vis a vis the benefits?
- b)** *Led to improved well-being e.g by improving food security, yield, access to certain products or services, or access to markets*
- c)** *Reduced vulnerability by decreasing susceptibility to climate shocks and increasing the ability to cope with and adjust to climate risks and manage loss and damages*
- d)** Enhanced resilience by enabling beneficiaries to recover from climate shocks
- e)** Led to unintended consequences either on the environment, community, or certain groups of people within the community
- f)** Led to outcomes that are economically, ecologically, or socially sustainable over the long-term
- g)** Invested in ecosystem restoration, management or restoration

Section C2: Effectiveness of the project at achieving the process-oriented outcomes

- a) In what ways were vulnerable groups including women, girls, and youth engaged in building their resilience against the impacts of climate change?
- b) Were the strategies above effective at achieving inclusivity? If not please explain why?
- c) To what degree were the stakeholders, including marginalized groups, and the local leadership engaged in the co-creation process of this project?
- d) How was the stakeholder's feedback integrated into the co-creation process of this project?
- e) Were there any challenges experienced during this process?
- f) In your opinion, what recommendations would you suggest for an effective co-creation process to ensure inclusivity?
- g) Explain if and how the project facilitated (or failed to facilitate) participatory and inclusive processes engaging all relevant stakeholders at different levels?
- h) Did the participatory processes above lead to transparent, accountable, and representative processes? If not, please explain why?
- i) Do you think that the project was able to fundamentally change the structures that perpetuate vulnerability to climate impacts in your community? e.g through changes in policy, societal attitudes or structures of governance or resource access
- j) Explain how the project was able to (or failed to lead to) the fundamental changes above

KEY INFORMANT GUIDE: IMPACT ASSESSMENT OF CLIMATE CHANGE ADAPTATION INTERVENTIONS IN EAST AFRICA

Introduction

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1. Nature-based solutions for adaptation
2. Water, Energy, Ecosystem and Food – with a focus on the nexus across the sectors
3. Infrastructure:

In this interview we aim to delve deep into the operational designs and impacts of various interventions guided by a set of indicators that define impact/effectiveness to determine the extent to which interventions achieve their objectives and results for different social groups. Additionally, the KIIs will pay attention to the key cross-cutting principles including 1) Local leadership and community ownership; 2) Transformative approaches for gender, equity and social inclusion. 3) Nature and ecosystem-based solutions. 4) Application of both scientific innovation and, where relevant, Indigenous knowledge 5) Sustainability beyond donor funding – e.g. innovative finance, institutional mainstreaming into existing structures among others.

Category 1 respondent: Guide for beneficiaries/ community KIIs

Section A: Community background and general perceptions of project effectiveness

This section is meant to provide a broad understanding of the community where the intervention was implemented and general perceptions of project effectiveness

Background information

Country:

Project name:

Date of interview:

Guiding questions

1. Give me some general information about the type and extent of climate risks in your community and how the project aimed to provide solutions to these climate challenges. For instance: What are the types of risks? How often do they occur? How was the community managing them before the project? If the community has been engaged in other adaptation projects before this one? What new adaptation interventions were introduced by the project?

2. Based on the outcomes that were finally achieved, do you think that the project was able to build your community's capacity to respond to and manage the impacts of climate change?
 - a) If yes, what do you think are factors that enabled the project build your capacity to respond and manage the impacts of climate change?
 - b) If not, what were the challenges encountered that may not have made the project achieve its intended outcome?
 - c) What are some of the factors to be considered in future projects so that such challenges do not arise again?

Section B: Adaptation interventions undertaken in the project and general perceptions about their effectiveness

In this section, we dive into actual adaptation interventions implemented by the project and interrogate beneficiaries' perceptions about the effectiveness of these interventions.

Guiding Questions

3. What activities were undertaken by the project to build people's ability to respond to, manage, or prevent impacts from climate change?

(The interviewer should provide an opportunity for the respondents to answer in as much detail as possible the different adaptation interventions undertaken by the project in their community. However, he/she should also probe further to ensure that no potential adaptation interventions are left out as some activities may not be interpreted as direct responses to climate change by the respondents.)

The table below may be a useful guide for the probe. Remember however that examples of activities themselves may be more recognizable to respondents than adaptation intervention types-hence it is important to use some examples as you probe on this question)

Types of adaptation interventions	Examples of activities
Capacity building	Training and skills development, public outreach and education, dissemination of information to stakeholders, Identification of best practices, extension services
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Physical infrastructure	Climate-resilient buildings, reservoirs for water storage, irrigation systems, canal infrastructure, sea walls
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4. Among the activities you mentioned above, which ones do you think were most effective at enhancing people's ability to respond to, manage or prevent impacts from climate change?
5. Can you explain or describe any reasons or factors that contributed to the effectiveness of the mentioned activities? *(It will be useful to probe for reasons for each of the different activities separately)*
6. Which ones do you think were not effective or were least effective at enhancing people's ability to respond to, manage or prevent impacts from climate change?
7. Can you explain or describe any reasons or factors that led to the failure of the mentioned activities to achieve their intended goals? *(It will be useful to probe for reasons for each of the different activities separately)*

Section C: Effectiveness of the Adaptation Project

This section aims to provide a detailed understanding of the beneficiaries' perceptions about the effectiveness of the project, using the 11 indicators of adaptation effectiveness i.e the extent to which the project is 1) economically feasible and leads to (2) improved wellbeing (3) reduced vulnerability and enhanced adaptive capacity (4) enhanced resilience (5) promotes sustainable adaptation (6) avoids maladaptation (7) promotes ecosystem-based adaptation (8) facilitates community-based adaptation (9) achieves adaptive governance (10) ensures equity and justice and (11) promotes transformation.

As effectiveness may be perceived differently by different stakeholders, the section starts by asking respondents to state whether or not a certain indicator denotes effectiveness or not. Responses here will help us understand why respondents may rate the project or intervention in sections A and B above as effective or not. In other words, a respondent may rate the project/intervention as ineffective because it did not meet their subjective understanding of effectiveness.

Guiding questions

8. In your view, *In your view, did the project contributed to the following aspects with regards to adaptation effectiveness*

S/N	Description with regards to the intervention	(Rank)
	Provided intended benefits at minimal cost while maximizing economic benefits for the household or community i.e. for some interventions the costs of investment in terms of money, time, or effort may be higher than the actual or perceived benefits of the interventions such as when farmers	

	need to spend long hours searching for mulching materials, organic manure, etc	
	Contributed to the well-being of the household or community e.g. through improving food security, increasing the quantity and quality of products produced, or access to essential products or services in the community such as food, water, access to markets, etc	
	Reduce the vulnerability of households/communities (the extent to which they are susceptible to climate shocks) while enhancing their adaptive capacity (their ability to cope with, adjust to climate-related risks, manage loss and damage or explore alternative opportunities)	
	Enhance resilience i.e. enable beneficiaries to recover from any climate shocks such as floods, droughts or landslides, etc	
	Avoided or minimised any negative unintended negative consequences e.g an adaptation project which increases crop or livestock yields may increase expansion of crop or grazing land into forests, or a project aimed at protecting a water catchment may make it more difficult for community members to access some resources e.g water or firewood	
	Invested in ecosystem conservation, management, and restoration in order to enhance ecosystem services and mitigate climate impacts on ecological and human systems	
	Facilitated bottom-up community-led processes that ensure co-production of adaptation strategies and integration of indigenous and local knowledge, participation of multiple stakeholders, and enables devolution of decision-making authority and administrative control	
	Facilitated participatory and inclusive processes that lead to transparent, accountable and representative adaptation outcomes and processes (adaptive governance)	
	<p>Promoted just and equitable adaptation outcomes that ensure that the most vulnerable groups in the community are shielded from climate impacts and that their well-being is not compromised further through actions taken to respond to climate change</p> <p>Challenged the power structures and structural constraints that generate vulnerability to climate impacts especially for those marginalized from power and with least access to resources e.g Changes in policies, structures of access to resources or decision making or attitudes</p>	

Section C: Effectiveness based on outcomes of adaptation intervention

This section is meant to capture beneficiaries' perceptions about the extent to which the project was effective at contributing to specific adaptation outcomes. The section is divided into goal-oriented outcomes (economic feasibility, improved well-being, reduced vulnerability, enhanced resilience, avoided mal-adaptation, sustainable adaptation, ecosystem investments) and process-oriented

outcomes (equity and justice, community-led-adaptation, enhanced adaptation governance, and transformation) *(All discussions in this section should purpose to understand the reasons why the particular outcome was achieved or not achieved i.e the barriers or enablers of effective adaptation)*

Guiding questions

Section C1: Effectiveness of the project at achieving the goal-oriented outcomes

9. Please explain the extent to which you think the project activities;
(The answers should attempt to explain how and the reasons why outcomes were achieved or not achieved)
- a) Are (were) economically feasible in terms of the money, time, and effort needed to implement them vis a vis the benefits?
 - b) Led to improved well-being e.g by improving food security, yield, access to certain products or services or access to markets
 - c) Reduced vulnerability by decreasing susceptibility to climate shocks and increasing the ability to cope with and adjust to climate risks and manage loss and damages
 - d) Enhanced resilience by enabling beneficiaries to recover from climate shocks
 - e) Led to unintended consequences either on the environment, community, or certain groups of people within the community
 - f) Led to outcomes that are economically, ecologically, or socially sustainable over the long-term
 - g) Invested in ecosystem restoration, management, or restoration

Section C 2: Effectiveness of the project at achieving the process-oriented outcomes

- a) In what ways were vulnerable groups including women, girls, and youth engaged in building their resilience against the impacts of climate change?
- b) Were the strategies above effective at achieving inclusivity? If not please explain why?
- c) To what degree were the stakeholders, including marginalized groups, and the local leadership engaged in the co-creation process of this project?
- d) How was the stakeholder's feedback integrated into the co-creation process of this project?
- e) Were there any challenges experienced during this process?
- f) In your opinion, what recommendations would you suggest for an effective co-creation process to ensure inclusivity?
- g) Explain if and how the project facilitated (or failed to facilitate) participatory and inclusive processes engaging all relevant stakeholders at different levels?
- h) Did the participatory processes above lead to transparent, accountable and representative processes? If not, please explain why?
- i) Do you think that the project was able to fundamentally change the structures that perpetuate vulnerability to climate impacts in your community? e.g through changes in policy, societal attitudes or structures of governance or resource access

Question Guide for Project Funders Klls

1. What criteria do you consider in allocating funds for adaptation interventions?
2. How do you perceive climate change adaptation effectiveness; and how do you assess effectiveness?
3. What are the specific considerations you have put in place that are key in contributing to the effectiveness and sustainability of adaptation interventions?
4. What are some of the challenges and gaps you perceive are a hindrance to achieving the effectiveness of adaptation interventions in the country?
5. In what ways do you ensure the outcomes of adaptation intervention are sustainable?
6. What are some of the ways you are promoting partnerships and collaboration in your network to realise effectiveness in adaptation interventions?
7. How is your institution mainstreaming Gender Equality and Social Inclusion in adaptation interventions and how does this contribute to the overall effectiveness and sustainability?
8. From your perspective, which are the priority sectors in the past funded adaptation intervention in this country and why?

How can adaptation effectiveness be achieved in the named priority sectors?

Question Guide for policy makers/decision makers KIIs

1. Please provide a general overview of the climate change adaptation status in your country.
2. How are your country's policy instruments and existing frameworks tailored to foster the effectiveness and sustainability of climate change adaptation interventions?
3. What are some of the climate change adaptation priority sectors in your country? And why?
4. In what ways do policy frameworks impede adaptation actions and interventions on the ground?
5. Based on your experience what are the potential adaptation investment areas that could be much more impactful and why?
6. To what extent is indigenous knowledge integrated into climate change adaptation strategies to enhance the effectiveness and sustainability of adaptation interventions?
7. In what ways does the government collaborate with other stakeholders such as NGOs, Civil societies, and the private sector in enhancing adaptation effectiveness?
 - a. In what ways does the government support ongoing adaptation interventions?
 - b. What value do they see in the ongoing adaptation interventions
 - c. In their opinion, are adaptation interventions meeting the policy expectations, if yes, how? If not, why?
 - d. How is the government supporting adaptation interventions to ensure effectiveness?
8. What are some of the current efforts being put in place by your country on climate resilience infrastructure?

What are the modalities being put in place to ensure its effectiveness and sustainability against climate risks in your country?
9. What are some of the cross-cutting challenges and gaps hindering the effectiveness and sustainability of adaptation interventions in your country?
10. What are the existing barriers to the uptake of innovations in climate-resilient technologies especially in your country's agricultural sector?
11. What are the existing frameworks and strategies used to incorporate gender perspectives in your county's climate change adaptation interventions?

Are there success stories that you can share with us?
12. To what extent have sustainability and effectiveness of adaptation interventions been considered in your country?