



# *“This is now my path”*

Evaluation and Learning for the  
Community Based Adaptation Conference



# List of Acronyms

<b>ARA</b>	Adaptation Research Alliance
<b>AR</b>	Assessment Report
<b>CBA</b>	International Conference on Community Based Adaptation to Climate Change
<b>CBO</b>	Community based organisation
<b>CJRF</b>	Climate Justice Resilience Fund
<b>CLACC</b>	Capacity Strengthening in Least Developed Countries for Adaptation to Climate Change
<b>COP</b>	Conference of the Parties
<b>CSO</b>	Civil society organisation
<b>FCDO</b>	Foreign, Commonwealth, and Development Office
<b>GCA</b>	Global Commission on Adaptation
<b>GRP</b>	Global Resilience Partnership
<b>ICCCAD</b>	International Centre for Climate Change and Development
<b>IIED</b>	International Institute for Environment and Development
<b>IPCC</b>	Intergovernmental Panel on Climate Change
<b>LDC</b>	Least Developed Country
<b>LIFE-AR</b>	Least Developed Countries Initiative for Effective Adaptation and Resilience
<b>LLA</b>	Locally led adaptation
<b>LoCAL</b>	Local Climate Adaptive Living Facility
<b>MEL</b>	Measurement, evaluation and learning
<b>NGO</b>	Non-governmental organisation
<b>SDI</b>	Slum/shack Dwellers International
<b>SEMA</b>	Sustainable Environment Management Action
<b>SIDS</b>	Small Island Developing States
<b>ToC</b>	Theory of change
<b>UK</b>	United Kingdom
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>WRI</b>	World Resources Institute

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# I. INTRODUCTION

The International Institute for Environment and Development (IIED) and its partners have been organizing the International Conference on Community Based Adaptation to Climate Change (CBA) since 2005. Over the years, the conference has adapted to stakeholder needs as well as the broader climate adaptation sector. To this end, in 2018, conference organisers developed a new theory of change to reflect a change of approach to the conference format and a desire for more active efforts to influence adaptation policy and discourse.

## a. Scope of review

Four years into implementation of the 2018 theory of change, IIED seeks to evaluate the relevance, effectiveness, and impact of different CBA activities in relation to the objectives outlined in its 2018 theory of change. The objectives of this evaluation are the following:

- Carry out evaluation of the CBA conference series for the last four years (2018-2022), identifying the extent to which it has achieved intermediate outcomes identified in the theory of change based on existing data, and new key informant interviews.
- Assess strengths and weaknesses, successes, and failures from the last four years of conference related activities.
- Assess applicability of the Monitoring, Evaluation, and Learning (MEL) plan for future use, and make recommendations for alterations to support future usability.
- Make recommendations for how conference organisers can best deliver the theory of change in future, as well as suggestions for where the “theory” can be reassessed and improved, based on evidence.
- Record key evidence, quotes, or statistics for use in future CBA fundraising and communications materials.

We note that while the assessment of strengths and weaknesses and successes and failures is intended to cover the last four years, the nature of the conference and informants were such that a longer-term evaluation was possible and necessary to fully understand the impact of more recent changes. The analysis reflects this longer perspective.<sup>1</sup>

## b. Evaluation criteria

In order to link evidence with the conference theory of change, we created an evaluation matrix constructed around the IIED CBA MEL plan. This matrix guided the inquiry, highlighting areas of interest and indicating tools for gathering data. Most planned data collection listed in the IIED CBA MEL plan did not actually occur.

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1 In this report we use the term “CBA” in its shortened form as a convenient way to refer to the IIED-organised conferences and its participants. We have chosen this because the scope of this review focuses on the impact of the conferences, from the perspective of participants as agents. The report also documents changes that took place among a wider community-based adaptation community of practice, which includes the work of participants in CBA conferences (including, at times, IIED staff) outside the conferences. The report also examines changes in participant home countries reported by CBA conference participants involving communities, civil society, and government personnel who have no other contact with CBA conferences or the community of practice. When we refer to work outside of CBA conferences we attempt to clarify what the relationship with the conferences is.

Thus, the majority of the data for this evaluation comes from primary data collection through interviews and one facilitated workshop, as well as relevant documents recommended by stakeholders.

The evaluation matrix is in Annex III.

## **c. Methodology**

In order to evaluate the relevance, effectiveness, and impact of different CBA activities in relation to the 2018 theory of change, we used a qualitative approach, triangulated with quantitative data where appropriate. This evaluation rests on a strong evidence base, relying on key stakeholders, documents, and secondary data. The majority of data came from key informant interviews and one facilitated workshop conducted by the Team Lead, Chris Allan and the Research Associate, Mia Chung and organised by IIED staff. Key informants and workshop participants included representatives from CBA programme staff (5), conference participants (20), and one outside informant who had not participated in CBA. Data collection encountered some constraints, including that there was limited government involvement in interviews, in part due to the timing of the data collection period, which overlapped with the 27th Conference of Parties to the United Nations Framework Convention on Climate Change (UNFCCC) (COP 27). Additional data was sourced from desk review of documents (including conference surveys, project documents, policy briefs, and other relevant reports).

The MEL plan and theory of change extend all the way from conference results to ultimate changes in policy and practice by policy makers and practitioners. Traditional monitoring tools are unlikely to capture the contributions of various stakeholders and methods to shifts in the field itself, which include many influences far beyond the conferences. In order to manage this complexity, we conducted a modified Outcome Harvesting approach.

A detailed discussion of methodology is included in Annex V.

## II. EXTENT OF ACHIEVEMENT OF INTERMEDIATE OUTCOMES IN THE THEORY OF CHANGE

The CBA programme achieved a number of the outcomes cited in the theory of change. Some arose during the conferences themselves, and others in follow up work by CBA participants in the wider community of adaptation practitioners and policy makers. CBA made important contributions to global practice such as the development of the Least Developed Countries Initiative for Effective Adaptation and resilience (LIFE-AR) programme and the development of the Locally Led Adaptation (LLA) principles. It also contributed to local level changes in policy and practice. The programme contributed to more engagement with other actors in the field, again from global to local level. The majority of changes were at the international level, with a smaller number at national or local level. In addition, the majority of changes occurred among civil society organisations, donors/foundations, and international governmental organisations. As expected for a task as complex as shifting the narrative, policy, and practice of climate change adaptation around the globe, most changes were of low significance to the theory of change, though there were achievements at medium and high levels (see below for an explanation of how we rated significance).

The CBA programme contributed to shifting the narrative around adaptation to include the perspectives and practice of communities and of Least Developed Country (LDC) governments. Participant Fiona Percy observed that:

“ *The discourse has definitely developed. There have been changes around who should have a voice. And I would say the CBA conference has been a leader in visibly bringing more people from the global south and more people who are really working at grassroots level, to have a voice, and to incorporate what they are saying into messages that go to the donors and finance.* ”

CBA of course did not promote these changes in isolation; indeed, an earlier IIED-funded study of the many influences on adaptation policy and practice found that “interviewees, who are all adaptation experts, were generally not comfortable in giving too much credit to the CBA events, although they all noted that, in terms of format, CBA conferences are indeed unique.”<sup>2</sup> However, the CBA conference was part of a stream that included many other influences such as the Global Commission/Center on Adaptation; the LDC Ministers group and LDC Expert Group of UNFCCC; Climate Action Weeks; Bonn Intersessional Side Events; Adaptation Research Alliance (ARA); shifts in the focus of the International Panel on Climate Change (IPCC); weADAPT; advocacy activities and dialogue at UNFCCC COPs; Gobeshona; Development and Climate Days; and donors such as the United Kingdom (UK), Irish, and American governments, amongst others.

Looking at the big picture, an analysis by the Organisation for Economic Cooperation and Development shows that “the share of finance targeting only adaptation remained below one-third...but increased in bilateral and

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2 Monzani (2020). The Use of Dialogue within IIED’s work: What works and why.



multilateral public finance between 2016 and 2020. In particular, the share of adaptation finance in bilateral climate finance doubled, from 18% in 2016 to 36% in 2020.”<sup>3</sup>

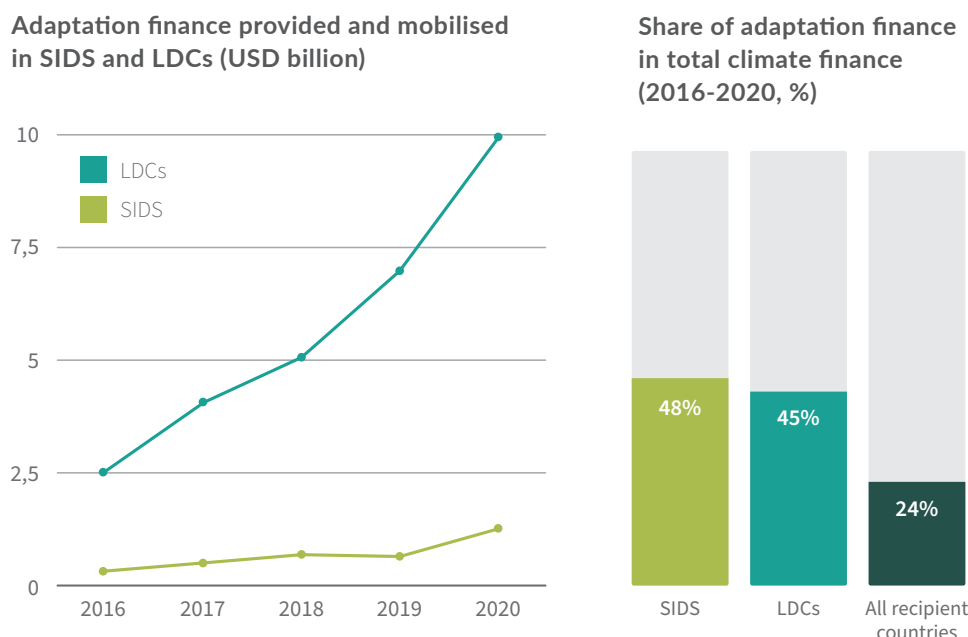
Looking in more detail, when limited to Small Island Developing States (SIDS) and LDCs, the proportion of climate finance supporting adaptation is even higher, as was the rate of increase 2016-2020. Figure 1 shows that 45% of climate finance to LDCs was to adaptation, and even higher in SIDS at 48%. <sup>4</sup>

Another indicator of trends in the wider world of climate adaptation is the weight given to adaptation in the IPCC reports. In 2001, when Saleem Huq and colleagues were developing the predecessors of CBA, the IPCC Third Assessment Report (AR3) for Working Group II: Impacts, Adaptation and Vulnerability had one chapter on adaptation. By the time the IPCC released AR4 in 2007, Saleem Huq was one of two Coordinating Lead Authors, and in AR5 in 2014 there were four chapters on adaptation. In the AR6 report of 2022, every chapter reported on adaptation, and one specifically addressed climate resilient development pathways.

These trends show that support for adaptation is increasing, but say nothing about whether this support includes increased recognition of the importance of community based adaptation.<sup>5</sup> To answer that question we had to dig deeper into the issues. In order to trace the influence of CBA across countries and time in a complex, moving environment, we conducted an Outcome Harvest to see who CBA has influenced and how.

## FIGURE 1.

Adaptation finance in SIDS and LDCs in 2016-2020



3 OECD (2022). Climate Finance Provided and Mobilised by Developed Countries in 2016-2020: Insights from Disaggregated Analysis, Climate Finance and the USD 100 Billion Goal, OECD Publishing, Paris, <https://doi.org/10.1787/286dae5d-en>.

4 Ibid.

5 For a detailed look into how much climate financing actually reaches communities, the following IIED issues paper may be of interest: Marek Soanes et al. (July 2021) *Tracking Least Developed Countries' adaptation finance to the local level*. IIED. While estimates of finance for locally led adaptation are difficult to pull out of existing data, this paper estimates that between 2014-2018, only US\$ 5.9 billion out of a possible LDC adaptation finance dataset of US\$ 60.8 billion was invested in projects with the main objective of delivering climate adaptation outcomes with some degree of localised decision making.



Using this approach, we looked for outcomes – defined as *observable changes in the behaviour, relationships, practices, policies, or actions of an individual, group, or institution*<sup>6</sup> – not just activities conducted.

We harvested 48 outcomes from interviews and a workshop with CBA participants. We analysed them by:

1. Expected outcomes in the theory of change;
2. Stakeholder group of conference participants;
3. Geographic level; and
4. Significance to the theory of change.

For each category of analysis, we coded the outcomes with appropriate categories – for example, for geographic level the codes were local, regional, national, and international – and for each we had space for “other,” in order to catch unexpected results. A sample of outcomes harvested is in [Table 2](#) at the end of Section II, and a full list is in Annex IV.

## a. Achievement by outcome

The theory of change and MEL plan lists the following expected outcomes:

1. Decision makers and practitioners adopt policy and practice;
2. Actors at all levels understand, value, and demonstrate commitment;
3. Local actors engage with and influence other actors;
4. Local organisations capacity improved;
5. CBA participants at any level understand and value local experience and knowledge;
6. Improved discourse/narratives reflecting the importance of local experiences and priorities;
7. New and innovative ideas are ground-truthed, with perceived wisdom challenged;
8. Evidence shared of work based on southern agendas informed by the experiences and priorities;
9. Active community of practice; and
10. A good quality conference is delivered.<sup>7</sup>

Figure 2 shows the distribution of outcomes harvested. The most frequent outcome was that decision makers adopted policy and practice that reflects the values, experiences, and priorities of those living in poverty and exclusion. This is an important finding, since change in policy and practice is the ultimate goal of the 2018 theory of change.

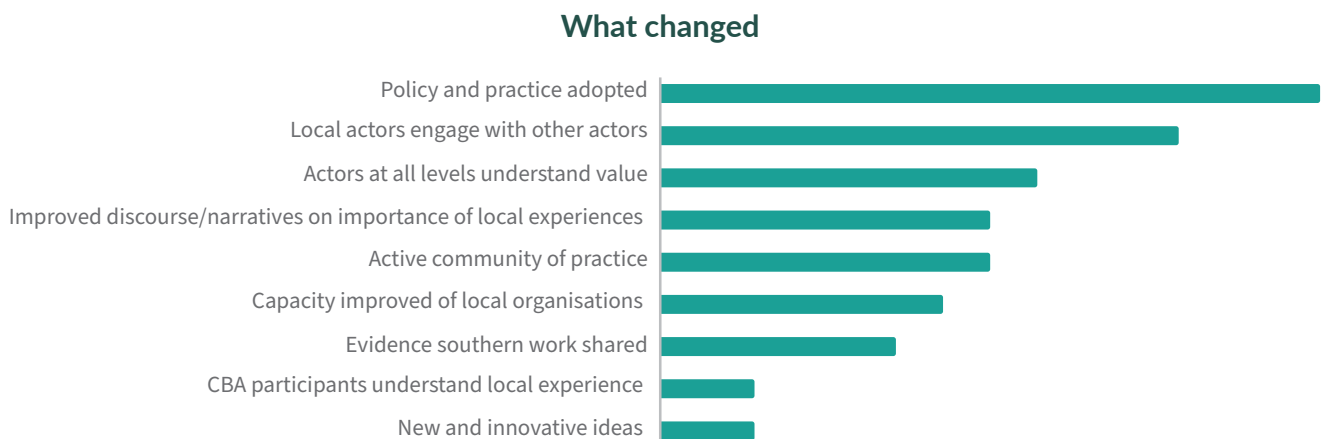
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6 We drew on the method as described in Ricardo Wilson-Grau, *Outcome Harvesting: Principles, Steps, and Evaluation Applications*, Information Age Publishing, Charlotte, NC, 2019; Ricardo Wilson-Grau and Heather Britt, *Outcome Harvesting*, Ricardo Wilson-Grau, Heather Britt, and the Ford Foundation, November 2013; World Bank, *Outcome-Based Learning Field Guide*, World Bank, June 2014.

7 The first nine of these indicators meet the definition of “outcome” that we used. Thus, we harvested, categorised and coded in accordance with these desired outcomes. We note that the last one listed here – “A good quality conference is delivered” -- does not actually appear in the theory of change diagram, only the MEL plan, nor does it meet the definition of outcome used. Thus we did not code it, but analysed it separately using surveys conducted by IIED staff. The full text of each outcome and the associated indicators can be found in Annex III, Evaluation Matrix. They are shortened here in the text to improve narrative flow.

## FIGURE 2.

Achievement by theory of change outcomes



A steering group member noted that:

“ I do think there is more attention and more money to adaptation now than there used to be. And there is real emphasis on the need for community based approaches that this conference has played an important role in fostering.

The majority of these changes were at the international level, not just local or national. For example, in January 2021, the Global Commission on Adaptation (GCA) and its partners launched the Principles for Locally Led Adaptation, endorsed by an initial 40 governments and institutions. As of December 2022, over 80 governments and organisations have endorsed the LLA Principles. There were many streams of influence that produced this result beyond CBA, but one important contribution was that in April 2019 at CBA 13, members of the GCA had side meetings with CBA participants, staff from the International Centre for Climate Change Adaptation and Development (ICCCAD), World Resources Institute (WRI), IIED, Slum/Shack Dwellers International (SDI), and others, influencing the Commission to include locally led approaches in its reports.

The next most frequent outcome was local actors engaging with and influencing other actors. Most of these outcomes involved civil society organisations (CSOs) influencing other CSOs, but there were also instances of influencing local and national government, and one instance of influencing the World Bank: After presenting two sessions at CBA 14 in 2020, the Huairou Commission was invited to present at the Understanding Risk Forum, organized by the World Bank Global Facility for Disaster Risk Reduction Global Facility for Disaster Reduction and Recovery.

More typical were examples like one from Kenya, where an organisation devoted to discussion of social issues that had previously had no experience in climate change work shifted focus as a result of participation in CBA. Inspired by attendance at CBA 13, Campde Voices encouraged students at every school programme to do an impact activity. The programme persuaded local authorities to buy materials for 60 schools to plant at least 100 trees at every school, give each tree its scientific name, and have students adopt the trees. Students protect the tree until graduation, then nominate a younger student to carry on. In addition, students at ten schools have created “green corners”, which are areas of land managed by environmental or debate clubs at schools, with small gardens with trees and flowers.

The next four outcomes from the theory of change showed similar frequencies of occurrence:

2. Actors at all levels understand, value, and demonstrate commitment;
6. Improved discourse/narratives reflecting the importance of local experiences and priorities;
9. Active community of practice; and
4. Capacity improved – Local organisations.

Examples of each are presented in [Table 1](#).

## b. Achievement by stakeholder group

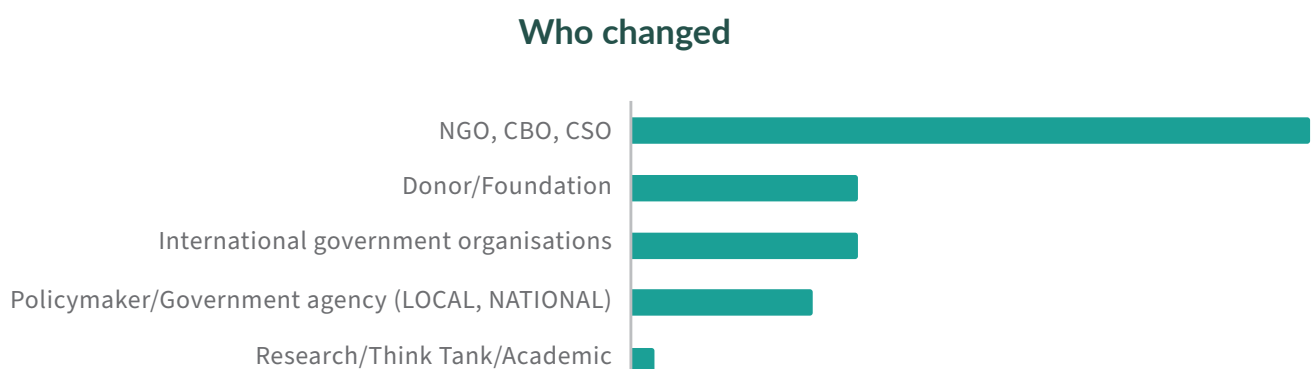
To assess what kinds of organisations changed behaviour, we used the categories that IIED uses in its surveys of CBA participants:

- Non-governmental organisation (NGO), Community-based organisation (CBO), CSO;
- Donor/Foundation;
- Media;
- Policymaker/Government agency (local or national);
- Private sector, social enterprise;
- Research/Think tank/Academic;
- International government organisation, multilateral, bilateral, intergovernmental organisation; and
- Not representing an organization.

Figure 3 shows the distribution of outcomes by the type of organisation that achieved them. About half were CSOs, followed by donors, international governmental organisations, and local or national governments. Civil society changes were spread across the theory of change and from local to international. Outcomes 4, “Engaging in the CBA community of practice”; 8, “Evidence shared of work based on southern agendas informed by experiences and priorities”; and 3, “Engaging with and influencing other actors” were among the most common outcomes. One example came from Bangladesh, where through participation at CBA, Friendship NGO improved the way it talks about climate change adaptation for different audiences, clarifying the aspects

**FIGURE 3.**

Outcomes by stakeholder who changed



of adaptation that can be emphasized in traditional development activities. About three quarters of these civil society outcomes fell in the category of “low” significance since they were either steps on longer processes, or they affected a fewer people than medium or high level outcomes that changed policy practice at provincial, national, or international level.<sup>8</sup>

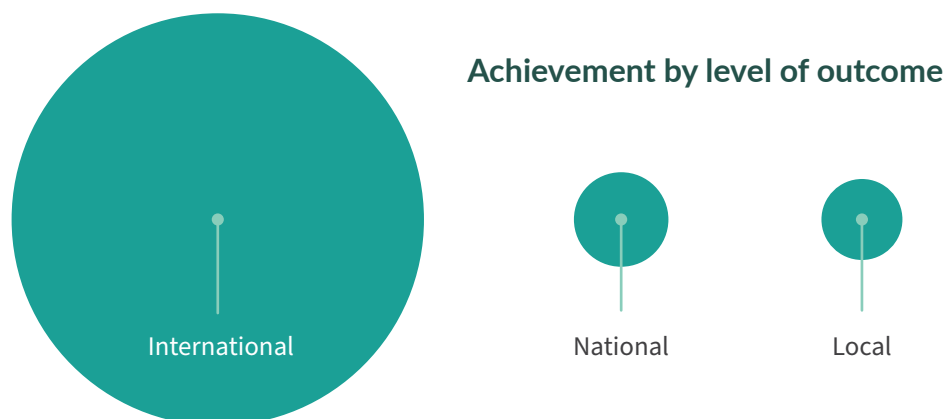
Governments also made some changes, such as when the governments of Uganda, Malawi, and Ethiopia agreed to be the first three of the six “front runner countries” for implementation of the LIFE-AR strategy, following CBA conferences being held in those countries (CBAs 11, 12, 13). It is likely that the commitment of government officials to LIFE-AR was increased by their ability to engage at these conferences with CBA participants - which include other LDC colleagues, IIED, and donors - to discuss ideas in context and in a meaningful way. Another example comes from the UK: in 2021, the UK government was the first government to endorse the LLA Principles. Vincent Gainey of Foreign, Commonwealth, and Development Office (FCDO), noted that attendance at CBA conferences 14-16 helped him to formulate the arguments to convince the minister to sign.

### c. Achievement by level of outcome

We coded all outcomes by geographic level: local, regional, national, and international. Since CBA is an international conference, the vast majority of outcomes were international as well, as illustrated in Figure 4. The two most common outcomes at international level were decision makers and practitioners adopting policy and practice, and improved discourse/narratives reflecting the importance of local experiences and priorities. One example of improved narratives comes from COP 26 in 2021, when the UK government made LLA a key component of its presidency in 2021. While many others also contributed to that decision, the CBA conferences and community of practice were key in promoting LLA as UK government policy.<sup>9</sup> Others included improved capacity of local organisations. One example came from Nepal: Sushila Pandit facilitated the opening and closing plenaries at CBA 16, which included the head of UK FCDO, head of Netherlands Development Cooperation, large International NGOs like SouthSouthNorth and Global Research Alliance, as

**FIGURE 4.**

Achievement by level of outcome



8 Please see section II d below, “Achievement by significance”, for an explanation of how we defined significance.

9 See the text box discussion of the development and adoption of the Locally Led Adaptation principles for more detail.

well as a discussion panel. Despite having over a decade of experience in the climate sector, this was the first time she had the opportunity to engage with these stakeholders in an international forum. In her words,

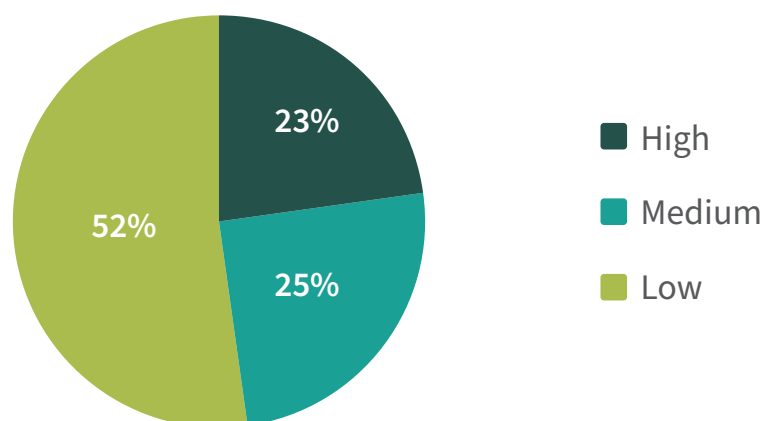
“ It wasn’t possible to talk and communicate with senior professionals and heads of big organisations like FCDO, SouthSouthNorth, or Global Resilience Partnership before involving in the CBA four to five years back. Coming from that scenario to facilitating the session, and hosting a roundtable talk in this year’s CBA, the courage and encouragement come from the openness and support of the CBA community. They also value the integration of various groups or people and the countries we represent.

#### d. Achievement by significance

The outcomes harvested varied greatly in their significance to achieving the theory of change. Some documented steps along a path of change, such as instances of networking and collaboration among small CSOs, while others described important changes in international adaptation practice. To get a better sense of how meaningful these outcomes were, we rated each in terms of significance to the theory of change.<sup>10</sup>

As shown in Figure 5, about half of the outcomes were of low significance. Note that the term “low significance” does not mean they are not meaningful outcomes along the path of the theory of change. For example, two outcomes included southern participants exchanging experience across borders after the conference, several described bringing southern voices to international fora, and several included getting small grants for local

**FIGURE 5.**  
Significance of changes to the theory of change



10 We defined degree of significance as follows:

- **High** – policy change or change in practice affecting large numbers of people such as the population of a province, country, or multiple countries, or setting precedents that will have wide application. Change in discourse only if from an extremely influential source.
- **Medium** – local level policy change, or national level change in policy and practice affecting people below provincial or national level. Change in discourse or organisational capacity.
- **Low** – meaningful to a small number of people such as an individual or part of a community, or one of many steps on a path to outcomes of more significance.
- **None/negative** – sets back progress by generating negative reactions or opposition.

work (though without clear outcomes of that funding). The remainder of outcomes were evenly split between medium and high significance. We found no negative outcomes. All but one of the high significance outcomes occurred at international level, which is not surprising since outcomes below that level had to be profound to affect policy or practice at international level.

### e. Overall quality of CBA conferences

In response to post-conference surveys for the years under review in this evaluation (2018-2021), participants rated the conference good or higher as follows:

- CBA 13, 2019: 85%;
- CBA 14, 2020: 97%; and
- CBA 15, 2021: 98%. <sup>11</sup>

Note that CBA 14 was the first of three virtual CBAs. The responses show a high level of satisfaction with the quality of the conference.

While the CBA programme tracks participants extensively, there was little data in the surveys that addressed the theory of change outcomes. One exception was for CBA 13, where moderators were asked directly about the extent to which the sessions they moderated addressed four of these outcomes. The percentages in Table 1 indicate how many responded “yes” to these questions:

**TABLE 1.**

Percentage of “Yes” responses of moderators at CBA 13 to theory of change questions

Was the session based on the perspectives and research agendas of those from the global south?	100%
Was the session informed by the experiences and priorities of those living in poverty and exclusion south?	100%
Was the session drawing on evidence of what works?	100%
Were there instances where new and innovative ideas were ground-truthed, and perceived wisdom being challenged during the sessions, particularly by those who are working closely by those most affected by climate change. <sup>12</sup>	86%

These responses came from the “CBA Conference Session Moderator Debrief Form,” which is one of the tools listed in the MEL plan.<sup>13</sup> The results show that the workshops in question addressed these key areas of the theory of change. No data from other sources, particularly interviews and the workshop, suggested that the other CBA conferences were different, so we infer that CBA did address southern perspectives based on experience that draws on evidence of what works. The Session Moderator Debrief Form does not seem to have been used after this first time at CBA 13, or if it was, the results were not shared with the evaluation team.

11 CBA 12 in 2018 is not included here since the question only began appearing in the annual survey at CBA 13.

12 A number of moderators who filled out the form noted that they were not clear on what this indicator was referring to, or how they would know if something had been “ground-truthed.”

13 The others listed in the MEL plan were “CBA conference participant evaluation form,” “CBA conference participant follow-up survey tool,” and “CBA COP Member Interview Guide.”

**TABLE 2.**

Examples of harvested outcomes by Theory of Change outcomes

Outcomes from the theory of change	Examples of outcomes harvested
	<p data-bbox="349 533 1193 568"><b>Decision makers and practitioners adopt policy and practice</b></p> <ul data-bbox="349 651 1417 1240" style="list-style-type: none"> <li data-bbox="349 651 1417 864">• The Least Developed Countries (LDC) group at UNFCCC launched the Initiative for Effective Adaptation and Resilience (LIFE-AR) 2050 vision in 2019 at the UN Climate Action Summit in New York. LIFE-AR then developed its strategy and a compact, which was endorsed at COP 25 in Madrid in 2019. Development of the initiative took place at discussions at two CBA conferences (11 and 12), a National Adaptation Plan Expo, four regional meetings, and an LDC Experts meeting to write it up.</li> <li data-bbox="349 927 1417 1066">• In January 2021 the Global Commission on Adaptation (GCA) and its partners launched the Principles for Locally Led Adaptation (LLA), endorsed by an initial 40 governments and institutions. As of December 2022, over 100 governments and organisations have endorsed the Principles.</li> <li data-bbox="349 1137 1417 1240">• In 2021, Pauline from Rural Women’s Network Kenya and Violet Shivutse from Shibuye Community Health Network, both Kenya partners of the Huairou Commission, together established a grassroots-led demonstration learning centre for agricultural practices.</li> </ul>
	<p data-bbox="349 1330 1315 1366"><b>Actors at all levels understand, value, and demonstrate commitment</b></p> <ul data-bbox="349 1449 1417 1827" style="list-style-type: none"> <li data-bbox="349 1449 1417 1626">• In 2021 the Climate Justice Resilience Fund (CJRF) and Global Resilience Partnership (GRP), launched the Catalytic Grants programme. The programme awarded targeted grants to up to five winning teams to implement their ideas towards enhancing locally led climate change adaptation and resilience. The creation of the catalytic grant program created a platform to connect CBA participants across the annual cycle of touchpoints.</li> <li data-bbox="349 1688 1417 1827">• After attending CBA 15, staff from Pamoja Youth Initiative in Zanzibar, Tanzania changed its strategic plan to include Climate Change, Resilience, and Adaptation as a thematic area. This area is in addition to their other work on Livelihoods, Democracy and Governance, and Sexual and Reproductive Health and Rights.</li> </ul>



## Outcomes from the theory of change

## Examples of outcomes harvested



### Local actors engage with and influence other actors

- Following a relationship developed during the CBA 14 meet and greet, Susan Nanduddu in Uganda developed a partnership through her organization African Centre for Trade and Development with Plan International. The partnership is for a programme called “My Body My Future”, which is a 6-country project currently in its second phase. As part of this, Susan is supporting the Ugandan team to do work across six local governments to build understanding of climate change with regard to sexual and reproductive rights and health.
- Attendance at CBA 13 in 2019 broadened the contacts of Campde Voices staff to include participants from Ethiopia and Kenya as speakers in the virtual discussions for Kenyan students held online and posted on YouTube before COP 25.
- Receiving a Catalytic Grant in 2021 improved the capacity of Sustainable Environment Management Action (SEMA) in Singida Region, Tanzania to a) connect with other climate activists in other countries (specifically Bangladesh and Zambia), b) set up hubs of teen youth climate champions who were trained on climate change and resilience, and c) develop the ability to submit proposals to other bigger donors. SEMA also produced cartoons in local languages, and teamed up with traditional performance groups, who worked with SEMA to spread climate messages during monthly community meetings with local government officials and community members.
- After CBA 15, Rashid Mwinyi realised that the adaptation needs collaboration of everyone working in the area. Therefore, Pamoja Youth Initiative in Zanzibar, Tanzania joined various adaptation networks and coalitions, starting with the Climate Action Network in September 2022.







### Capacity of local organisations improved

- Through a contact met at CBA 15, Pamoja Youth Initiative from Zanzibar, Tanzania learned about a grant opportunity and received money from Swarovski Waterschool Global Initiative to pilot (2021), and then to scale the same project in the following year. The pilot educated young people on climate change adaptation issues, especially water and tree planting.
- Mercy Corps Nepal field staff provided training to a local partner NGO, United Mission to Nepal, on their request, using the confidence and skills gained by participation in CBA.



### CBA participants at any level understand and value local experience and knowledge

- Following an initial exposure to climate change issues at CBA 13 in 2019 in Ethiopia, Campde Voices in Kenya started organizing virtual debates among Kenyan youth before every climate COP. Attendance at CBA changed the focus of the organisation to emphasize climate change in the discussions it sponsors. The organisation started the “Changamkia” (“rise up and do something”) campaign as a result.

Outcomes from the theory of change	Examples of outcomes harvested
	<p><b>Improved discourse/narratives reflecting the importance of local experiences and priorities</b></p> <ul style="list-style-type: none"> <li>On April 30, 2014, delegates at CBA 8 in Nepal, released the Kathmandu Declaration on Financing Local Adaptation to Climate Change that calls for a radical shift in flows of finance to ensure the most vulnerable communities can adapt to climate change. Subsequent CBA conferences have focused on climate finance as a theme.</li> </ul>
	<p><b>New and innovative ideas are ground-truthed, with perceived wisdom challenged</b></p> <ul style="list-style-type: none"> <li>In April 2019 at CBA13 in Ethiopia, women from Il'laramatak Community Concerns in Kenya learned about the benefits of producing and selling honey from Ethiopian women. After returning from the conference, the organisation bought 40 hives, 20 for women, 20 for men, in Inkinyi in Kajiado County.</li> <li>At CBA 13, Euster Kibona of Forum CC, from Tanzania, learned from a participant in Zimbabwe how to work with men in communities to open space for women to participate in adaptation activities.</li> </ul>
	<p><b>Evidence shared of work based on southern agendas informed by the experiences and priorities</b></p> <ul style="list-style-type: none"> <li>At COP 26 in Glasgow in December 2021, Friendship NGO connected directly from Glasgow to people in rural Bangladesh with whom Friendship works. They showed first-hand how they live, and houses that were flooded and now are protected thanks to the mangrove reforestation that Friendship has been doing.</li> <li>One Bangladeshi woman participant in CBA 15 shared the experience of the community where she comes from, repeatedly indicating that she wanted to share despite having other senior people in the room.</li> </ul>
	<p><b>Active community of practice</b></p> <ul style="list-style-type: none"> <li>Local Climate Adaptive Living Facility (LoCAL), IIED and World Resources Institute (WRI) sponsored a platform called “LLA Hub” at COP 27 to raise awareness of the eight principles of Locally Led Adaptation, which was published by the Global Commission on Adaptation (GCA) and launched at the 2021 Climate Adaptation Summit.</li> <li>22 staff from Mercy Corps Nepal and local partners attended CBA for the first time in 2015, and participated in discussions.</li> </ul>

# III. STRENGTHS AND WEAKNESSES, SUCCESSES AND FAILURES

In addition to intended changes described in the theory of change, the CBA conference can be considered in terms of its strengths and weaknesses, as well as its successes and failures. Overall, the conference is placed well within the IIED ecosystem, leveraging the organisation's other programmes well. However, a weakness of this approach has been a conflating of IIED's many programmes with CBA itself. In addition, CBA conference organisers effectively adapt management of the conference to changing conditions, and have sought to improve the conference based on participant feedback. Shifting to a digital format in the wake of COVID-19 restrictions can be considered a success in this aspect as well, even if it also resulted in a loss of some other key aspects of the conference, such as its networking value. Similarly, the conference is participatory, and is a platform for local voices where people feel safe to share. This does come with costs, such as time investment. There are also concerns about accessibility of the conference, including affordability, language, and time zone. The conference successfully acts as a bridge between communities and the world, connecting people at all levels. It also effectively builds social capital, creates connections that change careers and bring people together for valuable unscripted interactions. The personal nature of the conference comes with mixed results, however: while this is the key way in which the conference has achieved its reach, it has also limited new connections. Finally, the conference message – that local voices and local participation are crucial in climate adaptation – is well understood by all. However, there are gaps in coherence on the precise value-add of the conference, as well as the intended audience.

As can be seen in this brief overview, in many cases, a strength was at the same time a weakness or gap. Thus, strengths and weaknesses are discussed together in more detail below. Successes and failures are highlighted individually and considered in relation to associated strengths or weaknesses. Case studies are integrated where appropriate.

## **a. CBA conference is placed well in the IIED ecosystem**

IIED has effectively leveraged the CBA conference with its other programmes. CBA is well integrated with other IIED programmes that promote decentralized climate finance, capacity building for southern climate experts, networking and learning at UNFCCC COPs and others. For instance, Susan Nanduddu speaks about being chosen as a fellow of the Capacity Strengthening in Least Developed Countries for Adaptation to Climate Change (CLACC) fellows. As part of this, she was required to attend CBA conferences; since then, she has attended 11 conferences and has grown her career alongside it. On behalf of her organisation, African Centre for Trade and Development, Susan was recently requested to participate as a fund manager for one of the participating countries in another of IIED's programmes, LIFE-AR, thereby allowing the project to be implemented in Uganda. In this sense, as new programmes and networks come online, such as the ARA, it is worth considering whether one of the values CBA adds to the field is its ability to leverage other aspects of IIED and its partners, and if so, to describe it more explicitly as such.

Indeed, this is one of the ways in which the CBA conference has successfully helped to put community based adaptation and LLA on the global radar. Alongside bridging stakeholders and building social capital – discussed in more detail below – the CBA conference organisers have actively contributed to and are connected with a variety of streams which include organisations, processes, and points of view. Selected examples include the

GCA and the LLA Principles; the formation of the ARA, and hosting of a dialogue on differences and similarities between the adaptation research principles and the LLA principles; advocating for and providing evidence to support the increased attention that IPCC reports have devoted to adaptation over the last 20 years; the creation and continued implementation of Climate and Development Days at climate COPs; and the development and implementation of LIFE-AR. In the text boxes below, we present a summary of how CBA provided a platform for developing and launching two of these efforts, the LLA Principles and LIFE-AR.

In another example, CBA acted as a platform for candidates for the CJRF- and GRP-supported Catalytic Grants micro-grant programme. Amounts of US\$ 5,000 were granted to three individual community-based organisations, many of whom heard about this opportunity through connections made at CBA. These grants achieved some local successes due to strategic partnership, such as one grant that was given to two organisations who partnered together to use the grant in Kenya. However, the influence of the grant programme was limited since grants overall were one-off and too small to achieve noteworthy and sustainable changes. Most individual grantees were not previously connected in any way. For example, one grant was given to grantees in Tanzania, Zambia, and Bangladesh who had no previous relationship, and limited collaboration in implementation. If the catalytic grant was meant to create new relationships, more structure in the grantmaking is needed. This also impacted the sustainability of the projects for which the grants were utilised. Overall, the catalytic grant programme has potential, but there is room to finesse its particulars to ensure higher effectiveness and sustainability.

### **Negotiators at UNFCCC COPs have united around a set of principles for Locally Led Adaptation (LLA).**

The development and adoption of Locally Led Adaptation Principles are intimately tied with CBA. Responding to the LDC 2050 Vision of the UNFCCC Least Developed Countries Expert Group, the eight Principles are intended “to help stakeholders build an adaptation ecosystem that empowers local actors on the frontline of climate change to lead more adaptation solutions.” Driven by the Global Commission on Adaptation’s Locally Led Adaptation Track, these principles represent a high point in the recognition of adaptation and local voices in the global climate change narrative.

The CBA conference’s role in this development has been complex and multifaceted. The principles themselves were drafted by key partners of the conference, including staff and steering group members, and guided by a paper produced by IIED. The CBA conference served as a space to both generate ideas and to ground-truth what eventually became the LLA Principles. The conference also held many sessions explicitly discussing “locally led adaptation” – for instance, in CBA 13, the Global Commission on Adaptation (GCA) and the World Resources Institute (WRI) hosted a session entitled “Global Commission on Adaptation: empowering locally led action on adaptation.” Another session, called “Letting the people decide: how can devolved climate finance aggregate projects that shape local climate resilient futures?” highlighted “opportunities for scaling up these approaches for effective locally led adaptation.” Further, in CBA 14, key talking points arising from the conference – such as business unusual, longer-term investment, and others – can be mapped to what eventually became the LLA Principles. In this sense, the conference served as a platform to develop the principles.

Today, the conference acts as one of three events intended to forward the LLA Principles. This year, CBA 16’s theme was putting the locally led adaptation principles into practice.

The downside of IIED's ability to mobilise its partners across its programmes beyond CBA is a lack of clarity between IIED programmes, CBA, and the individuals who have been involved. A number of interviewees conflated the efforts of IIED, Saleem Huq – the driving force behind the creation and development of CBA – and the CBA programme itself to the point that all were in some ways synonymous with the conference. Indeed, in the words of Saleem himself, “CBA conferences are, over time, along with a number of other things, my story... [I wanted to see them] developing a constituency of their own that could continue without me being the river.”

In another example, a recent potential CBA participant noted, “We had several platforms to engage on zoom calls at different times, to share experiences. This is part of what CBA has been doing,” only later to share that she had yet to attend an actual CBA conference due to technical issues. From this it became clear that she had understood “CBA” and “IIED” to be one and the same. Similarly, while IIED has indicated that it wants to be seen as a “programme partner” – a horizontal form of networking – even the more nuanced views of IIED do not match this. A core member of the steering group describes the organisational process as one where IIED bears the financial responsibility, and that while “this is a collaboration,” “they take the risk, and the consequence is that they make the final decision.” Taken together, this evidence suggests that institutional choices have been made that have served well in some ways, but have also led to a lack of distinction between various entities and programmes in the IIED network.

IIED and ICCCAD have actively positioned the CBA conference as one of three conferences – the others being Gobeshona and the Climate and Development Days – that are intended to be used as a “forum for gaining

One of the major developments in promoting an adaptation agenda aligned to the needs and priorities of the global south has been **LIFE-AR: the Least Developed Countries (LDC) Initiative for Effective Adaptation and Resilience**. A programme of the LDC Ministerial Group at the UNFCCC, its “2050 vision” was launched in 2019 at the UN Climate Action Summit in New York. LIFE-AR then developed its strategy and a compact, which was endorsed at COP 25 in Madrid later that year.

The significance of this development was that previously, community based adaptation was seen as a small-scale effort primarily for NGOs. Development of LIFE-AR provided a plan for LDC governments to attract the finance needed to fund locally led work on a national scale.

Development of the initiative started at a side event at COP 22 in Morocco in 2016, put on by IIED and long-term ally in CBA and Development and Climate Days, the Red Cross/Red Crescent Climate Centre. Informal discussions on the margins with five current and former LDC chairs generated enthusiasm.

Further design meetings took place at two CBA conferences (11 and 12), a National Adaptation Plan Expo, four regional meetings, and an LDC Experts meeting to write it up. The LDC Ministerial Group, LDC Advisory Group, LDC Chair and LIFE-AR technical lead all provided guidance for hundreds of experts across Anglophone and Francophone Africa and Asia Pacific, alongside more than 400 experts brought together at COP, CBA, and the NAP expo.

The governments of Uganda, Malawi, and Ethiopia agreed to be the first three of the six “front runner countries” for implementation of the LIFE-AR strategy, following CBA conferences being held in those countries (CBAs 11, 12, 13). Government staff and other domestic stakeholders were able to host and participate in these CBA discussions, which generated interest and commitment.

feedback and deeper discussion on their activities from practitioners who are directly engaged in local adaptation activities.”<sup>14</sup> IIED has also used the CBA conferences as a platform for catalysing other important efforts in the adaptation stream, such as the LLA Principles. This is tactical and practical, especially because the CBA conference is both long-running and effectively builds bridges between stakeholders (see below). Yet, various informants have expressed that they are unclear as to the relationship and relative value-added the CBA conference has, as compared to other adaptation promotion efforts such as Gobeshona, the GRP, ARA, and others, in spite of a sense from core staff and participants that one sees many of the same key players over and over again across all of these platforms and events. This is not to say that there is no actual difference between CBA conferences and other activities, only that informants expressed a lack of clarity. This is discussed in greater detail below, “CBA conference message is well understood.”

## **b. CBA conference organisers effectively implement adaptive management**

Time and again, CBA conference participants have praised the organisers for their responsiveness to stakeholder needs as well as CBA’s contribution to the evolution of the climate adaptation sector. The CBA conference was originally positioned as an academic conference, in response to the prevailing lack of recognition of the importance of climate adaptation efforts in the climate change space, especially at the IPCC, which originally only drew on peer-reviewed literature. As adaptation work has gained a toehold in the sector, the conference has also shifted toward a more practitioner-driven event. In addition, several informants described early conferences as “death by PowerPoint”; they noted that with time, the conference shifted to being more interactive. Organisers have also always been open to attendee-driven presentations, and have a process for soliciting topics and presentations from attendees. For instance, Bettina Koelle recalls approaching Saleem after CBA 9, commenting about the need to talk about failures. She was immediately given a 90-minute plenary session on the topic.

Organisers have also sought to better understand what makes a good conference, from the perspective of their attendees. To this end, the conference began systematically collecting feedback from participants starting CBA 7. Not only are survey questions regularly revised to ensure that they collect useful information about the conference, staff also regularly act on feedback and experiment with different approaches. A good example of this is the conference’s decision at CBA14 to go virtual, due to the COVID-19 pandemic. The organisers used survey data from CBAs 12 and 13 to inform their decision making around digitalising the conference. Indeed, these surveys form a key part of the programme’s MEL plan, and were intended to support understanding of outcome 10, “A good quality conference is delivered,” as well as outcome 4, “People from citizen’s local organisations have the capacity to engage with and influence CBA practitioners and decision-makers”; and outcome 5, “CBA conference participant actors at subnational, national and international levels, including those from civil society and public sectors, have a greater understanding and recognize the value of lived experience and local knowledge and good practice in local climate adaptation.” To this end we note that while these surveys ably provide information about outcome 10, the surveys provide limited support for the remaining outcomes.

While the shift to online format can be considered a success in a variety of ways, including that its lowered cost structure increased the accessibility of the conference for local attendees, informants indicated that the online format reduced the networking value of the conference. In particular, informants lamented the loss of “convening on the margins”, or random connections sparking further collaboration.

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14 IIED, CBA: *Terms of Reference for Monitoring, Evaluation and Learning*, 2022.



### c. CBA is highly participatory

The participatory aspects of the conference are well-woven into its design, as content and implementation are done in a participatory way. The overall programme is governed by a steering group made up of NGO and donor participants. Getting sustained membership from the global south has been difficult, since participation requires a commitment of time and resources that is often beyond the means of southern organizations. A programming group drives and curates the content. Potential participants are asked if they are interested in organizing a session or facilitating other short interactions such as the Marketplace or Skill Share. All such expressions of interest eventually make their way into the programme, albeit perhaps not in their originally intended forms; in this way, participants are encouraged to speak and share their experience. Sessions themselves are dialogue oriented; indeed, almost all sessions at CBA 16 utilised breakout rooms on Zoom for facilitated small group discussions, and hosting teams were made up of both local and international NGO, donor, and local government voices. As Sushila Pandit describes,

“ When joining CBA it feels like it’s a forum where everybody can talk, we don’t only listen to experts and seniors but even the frontline workers, even people who just started their career or volunteers. Everyone has a voice here and can express their experience and questions freely.

The result is a platform for local voices where people feel safe to share.

However, the participatory nature of the conference does come with costs. Interviewees representing global south organisers of the conference described the organisational process for the conference as time consuming. Interviewees report that it takes half a year or more to finalise the proceedings, with time resources required outside of committee meetings, and for some local actors there is a question of whether the benefits of participating in the organizational process outweigh the costs. IIED staff note that it is far easier to simply compile workshop proposals into an agenda, as many other conferences do. Curating, matchmaking, and ensuring the quality of all sessions requires considerable time and trust building.

In addition, there are concerns about the accessibility of the in-person conference itself, which limits participation, especially from local actors. In particular, affordability is a barrier to attendance by local actors; one interviewee – representing a local community – noted that they were “actually surprised at the low number of community leaders who were part of something called a community based adaptation conference”. The CBA conference is dominated by NGO participants, though donors and southern governments sometimes attend. There are differing views on increasing the number of local community leaders in attendance. CBA organisers see the conference as appropriate for those who work with communities, not communities themselves, while some community leaders told us they would like to see more community members in the sessions. At the same time, affordability has been enhanced through the increase of sponsorships, as well as the shift to digital format. However, one informant pointed out that dependence on donors to fund southern participant attendance may influence freedom to speak. One concern is that this style of



Environmental message from Sustainable Environment Management Action in Tanzania done with support of a Catalytic Grant



sponsorship may lead to conference presentations being more skewed in the direction of the projects of donors that provided sponsorships. In addition, another concern is that with community attendees being funded by project donors to attend the CBA conference, there is potentially less space to report on what went wrong in a project and correspondingly more pressure to speak about only the things that went well, thereby also limiting potential opportunities to share lessons learned – as well as realistic community based adaptation implementation.

There are other gaps in accessibility. A key one is in language inclusion. For a global conference intending to highlight local voices, sessions are surprisingly only in English without translation. Organisers have been open to the presence of other languages, and one organisation successfully supported their own team members with language translation facilities. Yet the language of practice for community leaders is almost certainly not English, and in this sense there is opportunity to bring an additional level of coherence in terms of inclusion to the conference, especially in its digital form. Another challenge with the digital form is that internet connectivity disproportionately affects the ability of local and remote communities to get online and be heard. In the words of one interviewee, “one presenter was from India, and her voice was breaking up throughout the session, and we couldn’t hear a single word what she was explaining.” In addition, the time zone has been challenging for Pacific Island and Western Hemisphere participants. As these examples suggest, there remains room for the conference to be even more accessible for local communities and global participants.

#### **d. CBA acts as a bridge between communities and the world**

The CBA conference connects people at all levels. Donors and communities alike talk about being exposed to new stakeholders as well as ideas. For example, Vincent Gainey of the FCDO talks about how he learned about the LoCAL programme through the conference; as a result, he has been able to coordinate with this programme and avoid overlap. In another example, Agnes Leina of Kenya was on a panel at the conference and learned from a Brazilian co-panellist of additional uses for a particular plant that people from her home country, Kenya, typically do not use. She returned home and explored the practicality of this particular possibility for her community.

The conference supports local community members in contextualising and framing what they do for a larger audience. In part it is due to the support that IIED provides community participants: one workshop participant described being coached by IIED in how to make his presentation more interesting for an audience. This support was echoed by other informants as well. Some community leaders take the conference as an opportunity to prepare their communities for the international stage. As one participant describes, it was “the prelude to getting involved in the LLA dialogues, it was in a sense prepping us, whether that prep is for grassroots women presenting online in a larger global dialogue, or giving us an opportunity to articulate or reflect our own framing of certain issues, [to] helping us build a stronger relationship with IIED.” Another describes that the conference provided the impetus to record what was going on in their community coalition, even while it “capacitated us to effectively communicate grassroots-led adaptation work to a global audience.” The conference also contextualises the work of communities at an international scale. A local NGO leader describes one aspect of this as validation:

“ CBA platform helps us validate our issues and to share our thoughts the way we are working, to get the confidence, inspiration. For example, mangrove plantation, learned in CBA 14 or 15, there were many ways of mangrove plantation in place. Each year we involve local government. We didn’t know before [the conference] that this is unique and meaningful.

Another aspect is terminology and tools, such as the LLA principles, which give a globally understood terminology for communities to use to describe their work. As one long-time champion of communities describes, communities have always been doing this work, but without calling it community based adaptation. Yet, this person notes, “we were the first signatory of the LLA Principles... we had the opportunity to... possibly align with global sentiment, global spirit.”

This increased ability to participate in global conversations is a success. Not only has the CBA conference exposed many grassroots people to the wider world of adaptation, built their capacity to do their own work, and increased their confidence to approach funders and attempt other methodologies, it has given donors access to hearing and getting to know local adapters. Key funders here include FCDO, CJRF, and Irish Aid. This bridging gives people at all levels a sense that they are not alone, and that there are others that are fighting the same fight. Indeed, the visibility of community members is a key aspect of this bridging. Okoth Opondo from Kenya observed:

“ *This conference was uniquely different, because the people on the panel, were not people with very well polished English and the politically correct people who would like to be very diplomatic with their talks. They were speaking as farmers on the ground as people working around agriculture, people in the mines, who were just saying the truth, as things are supposed to be... even from their clothing, you could tell these were people who were really from the community, who had been brought there to share their experiences, and that to me, was really inspirational.*”

## **e. CBA effectively builds social capital**

In the words of Saleem Huq, “social capital is just a fancy word for friendships.” The CBA conference both depends on and builds social capital. Time and again, interviewees recalled connections made that changed their careers. In one example, an interviewee spoke about making a connection during a meet and greet session which transformed into a project partnership. A key aspect of the conference highlighted by interviewees is that it brings people together, allowing for unscripted interactions “in the margins.” Indeed, attendees bemoaned the loss of these opportunities as a result of the shift to a digital programme. A key example of the impact of unscripted spaces comes from earlier instances of the CBA conference, when all attendees were required to attend field trips into communities, occurring before the start of the conference. As described by Saleem Huq,

“ *20 people who didn't know each other would arrive in country, be loaded up in busses, taken up in villages somewhere, two nights three days, traveling back to conference. By the time they came back, they were a bunch of friends.*”

Bettina Koelle expands on this point:

“ *To tell a donor unless you sweat in a bus and in a community planting mangroves for two days without running water and without Wi-Fi... you can't attend the conference... That possibly had the most amazing impact on people making these connections, donors understanding what it is about to do community-based adaptation.*”

At the same time, the personal nature of the CBA conference comes with mixed results. On the one hand, the IIED method of having certain key champion individuals and organisations can be considered a success. A salient example has been the involvement of Sushila Pandit, who originally became involved with the CBA conferences through a connection with Saleem Huq and the Bangladesh Centre for Advanced Studies. Since her first attendance at CBA 7 as a climate activist, she has worked with key champion organisations Practical Action and CARE before moving on to Mercy Corps. When she realized Mercy Corps had not yet been introduced to the CBA conference, she initiated the process of preparing a team of 22 to attend CBA 15, including communications training to ensure the team could use Twitter to share Insights in real time. In another example, Vincent Gainey of FCDO – a funder of LIFE-AR since 2020 – began attending in CBA 14 in an effort “to learn about the groundswell from CBA, learn from CBOs.” While the UK government already had an interest in the LLA Principles prior to Vincent’s attendance at the conference, Vincent highlights that the conference supported his work in formulating the argument to bring to the minister he was working for, resulting in the UK becoming the first government to endorse the LLA Principles. Then at CBA 15 the UK’s COP26 Adaptation and Resilience Champion Anne-Marie Trevelyan spoke during the closing plenary, saying that “enabling more locally-led adaptation, informed by inclusive plans, is a critical part of what we as a presidency are seeking to catalyse, to continue through to the African presidency at COP27.”<sup>15</sup> The UK government went on to highlight CBA and LLA during its COP 26 presidency in Glasgow. In these examples, both individuals and organisations played a role in bringing the message into other global mechanisms.

Yet, this is also a weakness. While the personal touch arguably supports IIED’s strength in leveraging its programmes and events, one result is that many who attend the CBA conference are all already within the IIED network, which limits exposure. It gives key informants a sense that all the same people attend all the same events, which can lead to a feeling of “preaching to the converted.”

## **f. CBA conference message is well understood by participants and organisers alike**

The message – local voices and local participation are crucial in climate adaptation – is both embodied in the conference itself, such as through themes related to LLA, as well as in its implementation, with local voices visible as presenters and attendees. Organisers have made an active effort to highlight local voices, such as through video shorts highlighting local community leaders speaking in their local languages, and through prioritising “people who are solid but don’t have as much opportunity to speak” at a global level as presenters. This has resulted in attendees perceiving that the conference is indeed for them.

Similarly, core staff and organisers have a very strong sense of what the CBA conference is, what value it adds, and how it stands out from other similar events and programmes. Staff have an encyclopaedic knowledge of individual and institutional attendees, and during interviews were able to clearly trace the history of the conference, as well as other related activities, programmes, and events within the IIED network. This contributes to the success of the communication of the conference message, as well as other successes noted in this section.

However, even while the message on the “value-add” is clear to those in the core circle, including staff, steering group, and programming group, there is less coherence the further outward from the core one goes. For example, some interviewees talked about the conference as being primarily for capacity building, while others saw it as a networking tool or a space for visibility. Some come seeking connections for funding, and still others had trouble distinguishing it from other adaptation events like Gobeshona. This is not necessarily an issue; after all, it is the participant’s prerogative to attend an event for whatever reason they see fit.

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15 <https://www.youtube.com/watch?v=6i5v1KsnFGc>

Another gap in clarity is in regard to the audience for the message, which is less clear than the message itself. Only those in the know attend. Interviewees representing communities expressed a desire to see more community leaders represented at the conference, while interviewees representing international NGOs expressed the need for more donors and funders present. Private sector is similarly absent. The conference appears to act more as a space for building consensus than as a catalytic space, without the presence of either donors or private sector to provide the necessary injection of funding or communities to advocate for their needs.

These gaps suggest that there is opportunity for stronger communication of the potential of the CBA conference. In addition, there is room for more explicit clarity on the distinction between CBA and LLA, particularly if they are indeed horizontal (i.e., south-south) versus vertical (i.e., building connections between local practitioners and international processes), respectively, as a steering committee member describes it. As part of these clarifications, there is also opportunity to consider whether, as CBA has become more mainstream, there is a need to reconsider the ultimate goal of the conference. At present, the 2018 theory of change focuses on mainstreaming through policy and practice, but many people attend the conference to learn, innovate, and validate. To this end, one question to consider is whether the CBA is a space for innovation, a tool for mainstreaming, a process for building capabilities, a place to seek connections, or any combination of these for various participants. At the same time, it would help to clarify the intended audience for the focus. The answer to this and other questions can form the basis of a more explicit communication strategy to the intended audience.

# IV. APPLICABILITY OF THE MEL PLAN FOR FUTURE USE

The MEL plan is a thoughtfully constructed tool that shows a vision of how CBA might influence the field. It builds logically, while recognizing the complexity of the field and the interactions of actors in it. It provides a series of indicators based on the theory of change that could reasonably be expected to lead to the goal. In practice, it asks too much of CBA programme staff to track the indicators, and overcomplicates indicators, making them harder to track than necessary.

## a. What the plan does well

The theory of change and the MEL plan provide a reasonable vision of the role of the conference in influencing policy and practice on adaptation. The theory of change was developed with the hope that the conference would become more than just a meeting, and grow to be a programme that fosters a community of practice. Thus, while producing a theory of change for a conference is unusual, this theory provides a set of paths by which participation in the conference and associated community of practice could lead toward the goal of “equitable climate change adaptation outcomes for all citizens.” It provides intermediate steps such as shifting narratives, sharing of evidence, and basing discussions in lived experience and local knowledge.

It provides indicators to look for, such as “extent to which citizen’s local organisation staff and key informants (CBA conference participants and those from case study sites) are reporting evidence of improved engagement by citizen’s local organisations with other actors to influence their behaviour more,” or “extent to which key informants (CBA conference participants and those from case study sites) are reporting creation of new, or improvement of existing, spaces and mechanisms for citizens, communities and CSOs to engage and participate in local, district and national policy development planning and budgeting.” It lays out guidance on data sources, data collection methods, frequency of collection, and responsibilities for doing it.

## b. Where the plan needs improvement

Despite its thoughtful design, the MEL plan did not serve as a useful tool for assessing progress toward the goal. The main issue is that the methods envisioned to capture data for monitoring the plan were not feasible for the complement of staff and funding available. The plan called for annual semi-structured interviews, document review, CBA conference participant evaluation forms, and observation, nearly all to be performed by CBA programme staff. Staff were able to do surveys after every CBA, yet with one exception the surveys posed no questions that allowed staff to track the indicators in the MEL plan and thus the steps envisioned in the theory of change. They do, however, provide considerable information of great use in designing future CBA conferences. Beyond the surveys, we found that staff put considerable thought into understanding how to move forward, but had little time to do the interviews and document reviews that the plan called for to support this thinking.

The one tool that did allow us to assess progress toward the goal was the “CBA Conference Session Moderator Debrief Tool.” It was only used for CBA 13 – the first conference after development of the MEL plan – and in an efficient way provided useful insights beyond the activities that went on at the conference. Data from this tool is presented above in Section III, “Extent of achievement of intermediate outcomes in the theory of change.” All the other indicators that called on detailed knowledge of each session – such as many which ask for reporting by CBA conference participants about changes observed from back home – can only be gathered while sessions

are in process, or shortly afterward by session moderators, participants, or staff assigned to address the MEL plan indicators.

We also found it difficult to work with the theory of change outcomes themselves. While on the surface they seem to cover many important steps toward the goal, they are oddly specific, and often only roughly fit the evidence we gathered. An indicator like “Extent to which people from citizen’s local organisations that can describe specific changes they have made to their practice as a result of the support they received from the CBA programme” is both straightforward and general enough that it is easily understood and covers a range of possible outcomes. On the other hand, an indicator like “# and % of decision-makers and practitioners attending CBA (for the first time) reporting increased knowledge of what works in ensuring that climate change responses work for marginalised people” is not only hard to collect – do staff have to ask everyone to get a percentage? is it only useful the first time, or on an ongoing basis? – it is also hard to know which outcomes it covers since it has so many parts and modifiers.<sup>16</sup>

While much of the theory of change covers changes observable at the conference itself, the theory of change seems to be looking for a lot of social change to come out of a conference in isolation of wider influences on the field. Given the desire to influence the field, the theory of change should explicitly recognize that the CBA programme is an advocacy programme, and can call on the tools and methods of other advocacy programmes to understand its progress. IIED describes itself as a policy and action research organisation, and CBA definitely mobilises research in support of advocacy. In recognition of the wider world in which CBA operates, tools that track social network development or trace ideas and trends, such as a timeline or systems maps, might serve better than the tightly defined outcomes and indicators currently in the MEL plan.<sup>17</sup> In a related way, many other IIED projects funded by other donors also make great progress, and are hard to separate from CBA as a force or catalyst for change. Rather than trying to isolate them, perhaps a MEL plan that embeds them in the work of the IIED community of practice might be more enlightening. Close partners like ICCCAD, WRI, SDI, GCA and others might contribute to a fuller picture of trends and influence.

Without trying to tie CBA into this wider community of organisations, as a first step we suggest a more practical MEL plan that would:

- Reduce the number and specificity of intended outcomes;
- Make the indicators more general, and less confined to narrow groups in specific activities; and
- Rely on data collection and analysis methods that staff can reasonably add into their work plans.

All outcomes can apply to any level – local, national, regional, international – so there is no need to specify that in the outcome. The MEL plan can specify which reported outcomes are at which levels, and even what significance they have if so desired. In this way, moving the IPCC would have more weight than a community of local NGOs, although both are important to the theory of change.

The following table is an example of a MEL plan that would meet these recommendations. Based on our observations of actual outcomes, the recommendations of Monzani’s case study of CBA, and our own experience in managing global programmes, we recommend the following outcomes for the theory of change

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16 One sign that indicators need to be simpler and more general is that in the process of coding the outcomes against the theory of change, we had to refer back to the original text of the theory of change for nearly every outcome harvested to interpret which theory of change outcome it fit into. Simpler and more general indicators are more easily understood and kept in mind, and thus are easier for staff and MEL teams to use.

17 Space does not allow us to delve into the many methods of tracking complex change with multiple players, but resources to start with include Bob Williams and Sjon van ‘t Hof. (2016). *Wicked Solutions: A Systems Approach to Complex Problems*. For tracking change over time, many practical manuals provide step by step guidance derived from the original Participatory Rural Appraisal techniques, such as the International Federation of the Red Cross and Red Crescent Vulnerability and Capacity Analysis toolbox or CARE Climate Vulnerability and Capacity Analysis Handbook.

and MEL plan. Once the main outcomes are agreed on, staff can define each one more precisely, and create indicators if desired.

**TABLE 3.**

Proposed revisions to the MEL plan

Outcomes	Data Source	Data collection methods	Frequency	Responsibilities
<b>Goal: Decision makers and practitioners adopt policy and practice consistent with LLA Principles</b>				
<p><b>Capacity of CBA participants of civil society and LDC governments strengthened</b></p> <ul style="list-style-type: none"> <li>• Skills</li> <li>• Confidence</li> <li>• Organisational development</li> </ul>	<ul style="list-style-type: none"> <li>• CBA Conference Session Moderator Debrief</li> <li>• CBA conference participant follow-up survey tool</li> </ul>	Survey	<ul style="list-style-type: none"> <li>• Annually at CBA</li> <li>• Annually at least six months post attendance at the CBA</li> </ul>	<p>CBA programme staff</p> <p>CBA programme staff</p>
<p><b>Community of Practice active on Locally Led Adaptation Principles</b></p> <ul style="list-style-type: none"> <li>• Networks, partnerships, collaborations</li> <li>• Joint learning</li> </ul>	<ul style="list-style-type: none"> <li>• CBA conference participant follow-up survey tool</li> </ul>	Survey	<ul style="list-style-type: none"> <li>• Annually at least six months post attendance at the CBA</li> </ul>	<p>CBA programme staff</p>
<p><b>Evidence shared of effective Locally Led Adaptation policies and practices</b></p>	<ul style="list-style-type: none"> <li>• CBA Conference Session Moderator Debrief</li> <li>• CBA conference participant follow-up survey tool</li> </ul>	Survey	<ul style="list-style-type: none"> <li>• Annually at CBA</li> <li>• Annually at least six months post attendance at the CBA</li> </ul>	<p>CBA programme staff</p> <p>CBA programme staff</p>



Outcomes	Data Source	Data collection methods	Frequency	Responsibilities
<p><b>Improved narrative of the importance of LLA policies and practices</b></p>	<ul style="list-style-type: none"> <li>• CBA Conference Session Moderator Debrief</li> <li>• CBA conference participant follow-up survey tool</li> </ul>	<p>Survey</p>	<ul style="list-style-type: none"> <li>• Annually at CBA</li> <li>• Annually at least six months post attendance at the CBA</li> </ul>	<p>CBA programme staff</p> <p>CBA programme staff</p>
<p><b>Policies and practices adopted consistent with LLA policies and practices</b></p> <ul style="list-style-type: none"> <li>• Advocacy strategy beyond the conference</li> <li>• Building strategic networks for influence</li> </ul>	<ul style="list-style-type: none"> <li>• CBA Conference Session Moderator Debrief</li> <li>• CBA conference participant follow-up survey tool</li> </ul>	<p>Survey</p>	<ul style="list-style-type: none"> <li>• Annually at CBA</li> <li>• Annually at least six months post attendance at the CBA</li> </ul>	<p>CBA programme staff</p> <p>CBA programme staff</p>

# V. RECOMMENDATIONS FOR HOW CONFERENCE ORGANISERS CAN BEST DELIVER THE THEORY OF CHANGE IN FUTURE

## a. Changes to the MEL plan and theory of change

1. Make data gathering more cost effective and easier to do. Staff can still do surveys and a limited number of interviews, but this work must fit realistically into someone's work plan. Adapt surveys to include questions like the CBA Conference Session Moderator Debrief Tool where a limited number of key people respond to a few questions that directly address the MEL plan outcomes.
2. Simplify the theory of change outcomes by making them more general and easier to apply to the work done. Make the indicators more general, and less confined to narrow groups in specific activities. Rely on data collection and analysis methods that staff can reasonably add into their work plans. Outcomes could be rated by level – international, regional, national, local – and by significance to the theory of change – high, medium, or low – if further detail is desired.

## b. Changes to the CBA programme itself

3. Return to in-person conferences to restore the ability to do informal side meetings and social capital building on the margins of formal events. CBA may also consider hybrid conferences to increase affordability for small organisations, if the increased complications and costs can be managed.
4. Consider shifting to regional CBAs led by regional organisers and technical support from IIED, with global face to face meetings every two to three years.
5. Establish an online hub and list serve, or adapt existing ones for discussion and information about events and developments throughout the year.
6. Continue to support the strongest elements of the conference:
  - a. Fund participation of southern civil society organisations;
  - b. Encourage donors and government officials to attend, especially as panellists;
  - c. Make sessions participatory; and
  - d. Experiment with learning and networking approaches, and feature creative sessions like Dragon's Den and Open Space sessions.
7. Return to in-person conferences to restore the ability to do informal side meetings and social capital building on the margins of formal events. CBA may also consider hybrid conferences to increase affordability for small organisations, if the increased complications and costs can be managed.

8. Consider shifting to regional CBAs led by regional organisers and technical support from IIED, with global face to face meetings every two to three years.
9. Establish an online hub and list serve, or adapt existing ones for discussion and information about events and developments throughout the year.
10. Continue to support the strongest elements of the conference:

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# ANNEX 1.

## List of interviews and workshop participants

Name	Country	Institution	Role	Stakeholder type
Aditya Bahadur	India	IIED	Staff	NGO
Agnes Leina	Kenya	Il'laramatak Community Concerns	Participant	CBO
Anwasha Tewary	Singapore	Huairou Commission	Participant	NGO
Bettina Koelle	South Africa	Red Cross Red Crescent Climate Center	Participant	NGO
Chris Henderson	UK	Practical Action	Participant	NGO
Clare Shakya	UK	IIED	Programme Staff	NGO
Euster Kibona	Tanzania	Forum CC	Participant	NGO
Fiona Percy	UK	Independent. Formerly Care international	Participant	NGO
Hannah Reid	UK	Independent consultant, formerly IIED	Programme Staff	Research
Heather McGray and Hilary Heath	USA	Climate Justice Resilience Fund	Participant	Donor
Jerry Danny	Tanzania	Sustainable Environment Management Action (SEMA)	Participant	NGO
Kazi Amdadul Hoque	Bangladesh	Friendship NGO	Participant	NGO
Mamun Ur Rashid	Bangladesh	Badabon Sangho	Participant	NGO
Okoth Opondo	Kenya	Campde Voices	Participant	NGO
Rashid Mwinyi	Tanzania	Pamoja Youth Initiative (PYI)	Participant	NGO
Rosemary Atieno	Kenya	Women's Climate Centers International and Community Mobilization for Positive Empowerment (COMPE)	Outside Informant	CBO
Saleem Huq	Bangladesh	International Centre for Climate Change and Development (ICCCAD)	Programme Staff	NGO

Name	Country	Institution	Role	Stakeholder type
Sam Greene		IIED	Staff	NGO
Sayeb Ahamed Emon	Bangladesh	Think Tank Bengali	Participant	NGO
Stéphane Van Haute		Friendship NGO	Participant	NGO
Sulaiman Sowe	Sierra Leone	Embassy of Ireland, Freetown	Participant	Government
Suranjana Gupta	India	Huirou Commission	Participant	NGO
Susan Nanduddu	Uganda	African Centre for Trade and Development	Participant	NGO
Sushila Pandit	UK / Nepal	Independent, Formerly Mercy Corps	Participant	NGO
Victor Orindi	Kenya	Adaptation Consortium (ADA)	Participant	NGO
Vincent Gainey	UK	FCDO	Participant	Government



## ANNEX 2.

### Documents reviewed

## a. External reports

Bernardo Monzani (2020). *The use of dialogue within IIED's work: What works and why*. <http://pubs.iied.org/17747IIED>

CBA 8 (2014). *Kathmandu declaration: Financing local adaptation to climate change*. <https://www.iied.org/g03787>

Florence Crick et al. (July 2019). *Delivering climate finance at the local level to support adaptation: experiences of County Climate Change Funds in Kenya*. ADA Consortium Working Paper.

Global Commission on Adaptation (2019). *Adapt now: A global call for leadership on climate resilience*.

Global Commission on Adaptation (n.d.). *Principles for Locally Led Adaptation Action: Statement for Endorsement*

Least Developed Countries Group on Climate Change (2019). *LDC 2050 Vision: towards a climate-resilient future*.

Least Developed Countries Group on Climate Change (2019). *LDC Initiative for Effective Adaptation and Resilience (LIFE-AR) Strategy Document*.

Marek Soanes, et al. (2021). *Principles for locally led adaptation: A call to action*. <http://pubs.iied.org/10211IIED>

Marek Soanes et al. (July 2021). *Tracking Least Developed Countries' adaptation finance to the local level*. IIED. <https://www.iied.org/20326iied>

Mousumi Pervin et al. (2013). *A framework for mainstreaming climate resilience into development planning*. <http://pubs.iied.org/10050IIED>

OECD (2022). *Climate Finance Provided and Mobilised by Developed Countries in 2016-2020: Insights from Disaggregated Analysis*. OECD Publishing, Paris. <https://doi.org/10.1787/286dae5d-en>.

Simone Gundel, Simon Anderson, Nanki Kaur, and Corinne Schoch (April 2013). *Assessing the CBA community of practice*. IIED Briefing. <http://pubs.iied.org/17152IIED>

UNFCCC (2011). *Report of the Conference of the Parties on its sixteenth session, held in Cancun from 29 November to 10 December 2010*.

## b. Conference briefings, abstracts, agendas, programmes, proceedings, and other conference communications

CBA 2: Briefing.	CBA 7: Conference proceedings	CBA 12: Conference programme
CBA 3: Abstract	CBA 8: Conference proceedings	CBA 12: Key messages
CBA 4: Agenda	CBA 9: Agenda	CBA 12: Q&A: What's new about this year's CBA event?
CBA 4: Conference abstracts	CBA 9: Conference proceedings	CBA 13: Key messages
CBA 4: Conference outcomes	CBA 10: Conference proceedings	CBA 13: Programme
CBA 5: Flyer	CBA 10: Learning impact note	CBA 14: Talking points
CBA 5: Programme	CBA 10: Programme	CBA 15: Talking points
CBA 6: Conference brochure	CBA 11: Conference proceedings	CBA 16: Key messages
CBA 6: Conference proceedings	CBA 11: Programme	

## c. IIED internal documents

IIED (n.d.). CBA+ partnerships.

IIED (n.d.). CBA+ Theory of Change presentation.

IIED (2019). CBA programme MEL framework.

IIED (2022 draft). The Locally Led Adaptation learning journey.

IIED (2022). CBA+ concept mote.

## d. Survey results

CBA 7 – Participants

CBA 7 – VIPs

CBA 8 – Attendee report

CBA 9 – Attendee report

CBA 9 – Survey results – analysis

CBA 9 – Survey results – raw

CBA 10 – Attendee report

CBA 10 – Survey results

CBA 11 – Attendee report

CBA 11 – Feedback analysis

CBA 11 – Survey

CBA 12 – Attendee report

CBA 12 – Representation comparison

CBA 12 – Skills Share signup sheets

CBA 12 – Survey results

CBA 12 – Survey results summary

CBA 13 – Attendee report

CBA 13 – Hosting a CBA 13 session

CBA 13 – Marketplace application

CBA 13 – MEL pivot tables

CBA 13 – Moderator debrief

CBA 13 – Skills-share application

CBA 13 – Survey results

CBA 14 – Attendee report

CBA 14 – Decision to go virtual

CBA 14 – Skill-share application

CBA 14 – Survey results

CBA 14 – Survey summary

CBA 14 – Virtual market place application

CBA 14 – Virtual programme EOI

CBA 14 – Virtual workshop session form

CBA 15 – All thematic workshop submissions

CBA 15 – Attendee report

CBA 15 – CBA 15 summary data pivots

CBA 15 – Feedback survey analysis report

CBA 15 – Submit a marketplace stall

CBA 15 – Submit a peer-to-peer training session

CBA 15 – Survey responses

## ANNEX 3.

# Evaluation matrix

Outcome	Indicator	Data collection methods for evaluation
0. Equitable climate change adaptation outcomes for all citizens.		
1. Decision makers and practitioners adopt policy and practice that reflects the value experiences and priorities of those living in poverty and exclusion and draw on evidence of what works, from design through to monitoring, evaluation and learning, in local responses climate change	a. Level of evidence of adoption of policy/ practice that draws on good practice and ensures responses to climate change reflects the priorities and lived experiences of marginalised people	Key informant interviews for those attending the CBA
		Key informant interviews from the case study site/s and the Life-AR CCG programme
		Outcome harvest of interviews and any recommended documents
2. Actors at subnational, national and international levels, including those from civil society and public sectors, have a greater understanding and recognise the value of, and demonstrate commitment to incorporating lived experience and local knowledge and good practice in local climate adaptation	a. Extent to which key informants (CBA conference participants and those from case study sites) are reporting creation of new, or improvement of existing, spaces and mechanisms for citizens, communities and CSOs to engage and participate in local, district and national policy development planning and budgeting	Key informant interviews for those attending the CBA and any contacts that participants work with that they refer consultants to
		Key informant interviews from the case study site/s and the Life-AR CCG programme
		Outcome harvest of interviews and any recommended documents

Outcome	Indicator	Data collection methods for evaluation
	b. The extent to which key informants (CBA conference participants and those from case study sites) are reporting that practitioners' and decision-makers' rhetoric, has shifted to being more supportive of marginalised people's perspectives in CBA and reflects good practice.	Key informant interviews for those attending the CBA
		Outcome harvest of interviews and any recommended documents
3. Local climate action actors (CBOs, NGOs, local govt) are taking action to engage with and influence other actors to apply new knowledge and concepts to adaptation work	a. Extent to which key informants (CBA conference participants and those from case study sites) are reporting evidence of improved engagement by local climate action actors with other actors to influence their behaviour	Key informant interviews for those attending the CBA
		Key informant interviews from the case study site/s and the Life-AR CCG programme
		Outcome harvest of interviews and any recommended documents
4. People from citizen's local organisations have the capacity to engage with and influence CBA practitioners and decision-makers (network. Practice, Stronger capacity to deliver/act)	a. Extent to which people from citizen's local organisations that can describe specific changes they have made to their practice as a result of the support they received from the CBA programme.	Key informant interviews with CBA participants representing citizen's local organisations
		Outcome harvest of interviews and any recommended documents
	b. Extent to which citizen's local organisation staff and key informants (CBA conference participants and those from case study sites) are reporting evidence of improved engagement by citizen's local organisations with other actors to influence their behaviour more	Key informant interviews with CBA participants representing citizen's local organisations

Outcome	Indicator	Data collection methods for evaluation
		Key informant interviews with staff in citizen's local organisations in case study sites
		Key informant interviews from the case study site/s and the Life-AR CCG programme
		Outcome harvest of interviews and any recommended documents
	c. Evidence from supported citizen's local organisations of how support from the CBA programme contributed to improvements in the organisation's influence over other CBA actors	Key informant interviews with CBA participants representing citizen's local organisations
		Key informant interviews with staff in citizen's local organisations in case study sites
		Outcome harvest of interviews and any recommended documents
5. CBA conference participant actors at subnational, national and international levels, including those from civil society and public sectors, have a greater understanding and recognise the value of lived experience and local knowledge and good practice in local climate adaptation	a. # and % of participants attending CBA (for the first time) indicating increased understanding of the importance of marginalised people's perspectives and voices in shaping climate change responses.	CBA conference participant evaluation form
	b. # and % of decision-makers and practitioners attending CBA (for the first time) reporting increased knowledge of what works in ensuring that climate change responses work for marginalised people	CBA conference participant evaluation form

Outcome	Indicator	Data collection methods for evaluation
	c. # and % of decision-makers and practitioners attending CBA reporting learning something (at least one thing) new and useful about what works in ensuring that climate change responses work for marginalised people.	CBA conference participant evaluation form
	d. Evidence of CBA conference participant practitioners and decision-makers demonstrating improved attitudes towards marginalised people's perspectives on CBA	Outcome harvest of interviews and any recommended documents
<b>6. Improved climate change adaptation discourse/narratives, by actors and key institutions at local, national and global levels, reflecting the importance of experiences and priorities of those living in poverty and exclusion and drawing on evidence of what works</b>	a. The extent to which CBA conference participant practitioners' and decision-makers' rhetoric, is supportive of marginalised people's perspectives and role of lived experience in planning and delivering CBA	Key messages from CBA 13-15 summarize what works or needs to happen
		Key informant interviews for those attending the CBA
		Outcome harvest of interviews and any recommended documents
<b>7. New and innovative ideas are ground-truthed, with perceived wisdom challenged</b>	a. # and % of people and members of citizen's local organisations attending the conference indicating that 'new and innovative ideas being ground-truthed, and perceived wisdom being challenged	tbd
	b. # and % of sessions where moderators report that 'new and innovative ideas being ground-truthed, and perceived wisdom being challenged during the sessions.	tbd
	c. Evidence of new and innovative ideas were ground-truthed, and perceived wisdom was challenged during their sessions.	moderator forms focused on this indicator



Outcome	Indicator	Data collection methods for evaluation
8. Sharing of evidence of works based on perspectives and research agendas of those from the global south informed by the experiences and priorities of those living in poverty and exclusion and drawing on evidence of what works	a. #/% of poster/abstract expressions of interest and session plans whose content was based on perspectives and research agendas of those from the global south informed by the experiences and priorities of those living in poverty and exclusion and drawing on evidence of what works	Key informant interviews for those attending the CBA, review of expressions of interest
9. A consolidated and active community of practice on local climate action with international legitimacy facilitating knowledge sharing, partnerships, finance and expertise across scales	a. # individuals working on CBA that are members of the CoP	Key informant interviews for those attending the CBA
	b. # of reported and observed instances of joint working between CoP members on CBA	Key informant interviews for those attending the CBA
	c. Extent to which CoP members are reporting evidence of the CoP and its members being recognised as experts in CBA	Key informant interviews for members of Community of Practice
10. A good quality conference is delivered.	a. # of people attending the conference	Document review of conference surveys
	b. # of sessions/EOLs contributed by participants in advance of the conference	Document review of conference planning documents
	c. % people rating the overall quality of the conference as 'good' or better	Document review of conference surveys

## ANNEX 4.

# Outcomes harvested

No.	Outcome Description	Significance	Contribution Description
1	<p>In 2021, the Climate Justice Resilience Fund (CJRF) and Global Resilience Partnership (GRP) launched the Catalytic grants programme awarding targeted grants to up to five winning teams to implement their ideas towards enhancing locally led climate change adaptation and resilience. The creation of the catalytic grant program created a platform to connect CBA participants across the annual cycle of touchpoints.</p>	<p>This catalytic Grant was one option for creating a flow of ideas, relationships, and collaboration from one conference to the next and creating a sense of community that that expands beyond the conference itself. In June 2021 at CBA 15, the first three winners were announced: Climate justice from a French speaking perspective, Rwanda, focused on Loss and Damage; Innovation for adaptation in a refugee settlement: climate smart food production and cooking, Uganda, offering training in climate smart agriculture and clean cooking for refugees in Uganda; and Grassroots Women-led Resilient Livelihood Practices and Climate information learning Centers in Kenya, Uganda and Tanzania, to create one stop farms set up by grassroots women where they will disseminate climate- and nature-based solutions on community adaptation and resilience practices.</p>	<p>In addition to gathering at CBA, participants can also gather as a community at UNFCCC COPs, particularly at the Development and Climate days, and the Gobeshena Global Conference sponsored by ICCCAD as a third touch point. D&amp;C Days has been organised by a range of different partners over the years, starting in 2002 at COP 8 by Saleemul Haq when he was at IIED. The 2021 event was hosted by a partnership of the Red Cross Red Crescent Climate Centre (RCCC), International Institute for Environment and Development (IIED), Food and Agriculture Organization of the United Nations (FAO), Global Resilience Partnership (GRP), the World Bank and Zurich Flood Resilience Alliance.</p>
2	<p>On April 30, 2014, Delegates at the 8th International Conference on Community Based Adaptation to Climate Change (CBA8) in Nepal, released the Kathmandu Declaration on Financing Local Adaptation to Climate Change that calls for a radical shift in flows of finance to ensure the most vulnerable communities can adapt to climate change.</p>	<p>Organisations active in community based adaptation expressed publicly the lack of finance reaching the local level, and called on funders to find ways to make it do so.</p>	<p>Christiana Figueres, the executive secretary of the UN Framework Convention on Climate Change, spoke on the final day of the conference. She welcomed the Kathmandu Declaration and said current funding for adaptation was "pathetically insufficient". She urged countries to include community-based adaptation in their National Adaptation Plans.</p> <p>Figueres connected activities at the international level and under the auspices of Parties to the UNFCCC to the needs and actions of local communities. She pointed to finance that is being mobilized for multilateral efforts like the Adaptation Fund to support the work local communities are undertaking. However, she warned that much remains to be done, including a meaningful 2015 climate change agreement and scaling finance to the necessary levels. (IISD report, Climate Change News)</p>

No.	Outcome Description	Significance	Contribution Description
3	In June 2022 the Climate Justice Resilience Fund started a “Solution Series” as a platform for organizations to learn from and connect with one another. While targeted at CJRF partners, 50 of them have been CBA participants.	Under the umbrella of the CJRF Learning Program, this new Solution Series enables partners to share lessons, challenges, and impactful outcomes of their work with our community, funders, and other climate practitioners. Demand currently outstrips the number of available slots.	those are all CJRF partners, but when they present if they want to invite other people they can.
4	In 2022, CJRF has a new relationship with Friendship NGO, after IIED staff put them in touch, suggesting they combine their proposed workshop sessions at CBA 16, which they did. The two organisations have maintained contact, and CJRF will attend Friendship’s sessions at COP 27.	One product of CBA is the development or deepening of relationships, which builds learning and collaboration in the field.	Staff from IIED introduced staff from Friendship and CJRF to each other by email, who then followed up.
5	WRI staff member Heather McGray made two key contacts at CBA meetings: she met Clare Shakya, who was then with DFID who went on to make the first grant for adaptation work that Heather received; and Heather hired someone at WRI who she had met through CBA.	CBA is a space for development of new relationships that can shift the direction of an organisation or career.	The CBA conference was the location/ platform through which these individuals met.
5	WRI staff member Heather McGray made two key contacts at CBA meetings: she met Clare Shakya, who was then with DFID who went on to make the first grant for adaptation work that Heather received; and Heather hired someone at WRI who she had met through CBA.	CBA created a space for locally led approaches in what could have been a very tech heavy and very wonky top down Commission process.	The Global Resilience Partnership co-located its main annual meeting with CBA that year. ICCCAD, WRI, IIED, Slum and Shack Dwellers, and others met with staff from the Commission.
7	At COP 27 in November 2022, the governments of Luxembourg, Belgium, and France agreed to include events in their official pavilions in the blue zone by Friendship NGO, a CBA participant. The events presented the work of Friendship and other partners in climate adaptation work in communities in Bangladesh.	Friendship staff describe CBA 16 as a kind of rehearsal to what it presented at COP 27, on the question of climate justice from both Northern and Southern perspectives; nature based solutions, and the question of financing and linking with loss and damage; and local knowledge and how we empower the local communities and how we are able to blend local knowledge with external scientific knowledge to make climate adaptation projects work effectively	The CBA conference was the platform for speakers representing Friendship NGO to present to a global audience.

No.	Outcome Description	Significance	Contribution Description
8	At COP 26 in Glasgow in December 2021, Friendship NGO connected directly from Glasgow to the field in Bangladesh. People in rural Bangladesh who Friendship works with showed first-hand how they live, houses that were flooded and now are protected thanks to the mangroves reforestation that Friendship has been doing there.	This presentation was an example of “Sharing of evidence of works based on perspectives and research agendas of those from the global south informed by the experiences and priorities of those living in poverty and exclusion and drawing on evidence of what works.”	The CBA Conference is a space that, from the start, has been very supportive of highlighting local voices and also for supporting participant-led sessions. Staff and organisers of the CBA conference actively support the effort to do so in the conference.
9	Through participation at CBA, Friendship NGO has improved the way it talks about climate change adaptation for different audiences, clarifying the aspects of adaptation that can be emphasized in traditional development activities	Through interaction with others and presentations at CBA conferences, staff have “Improved climate change adaptation discourse/narratives, by actors and key institutions at local, national and global levels, reflecting the importance of experiences and priorities of those living in poverty and exclusion and drawing on evidence of what works”	The CBA Conference is seen and used both a space to practice for future presentations as well as a place to learn about the ways in which adaptation is being done around the world, including through the promotion of the LLA principles.
10	In April 2019 at CBA13 in Ethiopia, women from Il'laramatak Community Concerns in Kenya learned about the benefits of producing and selling honey from Ethiopian women. After returning from the conference, the organisation bought 40 hives, 20 for women, 20 for men, in Inkinyi in Kajiado County.	In the face of greater uncertainty of weather, pastoralist women in Kenya are seeking to diversify their income sources to provide support when cattle are not producing milk due to lack of water. Honey production provides a simple technology and revenue stream that is less climate dependent.	Agnes Leina and a colleague from Kenya learned about beekeeping from Ethiopian women at CBA13, and deepened their technical understanding after their return to Kenya by visiting other pastoralists who were already doing it, as well as The Laikipia Permaculture Centre in Nanyuki.
11	Following an initial exposure to climate change issues at CBA 13 in 2019 in Ethiopia, Campde Voices in Kenya started organizing virtual debates among Kenyan youth before every climate COP. Attendance at CBA changed the focus of the organisation to emphasize climate change in the discussions it sponsors. The organisation started the “Changamkia” campaign (“rise up and do something”) as a result.	The film and the student debates and discussions have raised awareness about both climate mitigation and adaptation among youth across Kenya. CBA13 inspired Okoth Opondo of Campde Voices to focus on climate change for the first time, convincing him that “this is now my path”.	Campde Voices organize debates, mentorship sessions, art sessions to create debates among students across Kenya. Since 2019, Campde Voices has also screened the film Thank You for the Rain, a film about farmers’ struggles with climate change, produced in Kitui in Eastern Kenya, and held in person discussions about climate change in over 60 schools.

No.	Outcome Description	Significance	Contribution Description
12	Attendance at CBA 13 in 2019 broadened the contacts of Campde Voices staff to include participants from Ethiopia and Kenya as speakers in the virtual discussions for Kenyan students held online and posted on YouTube.	Okoth: "It was very important for them to be part of those shows because so that students get to know that the little action they're doing here in Kenya is actually affecting so many people we and the actions on the other side, affecting so many people here. And if we together take action at our small spaces, then it is good. So the moment they are on the panel and young people get to understand okay, you know, when young people in Kenya discussing, and then they hear that another group of people so in Ethiopia concerned and they know, okay, it's not just our own problem, it's a problem affecting so many people. And together, we have to do something. I think that's what really came out strong."	CBA conferences act as a platform for people to develop and deepen relationships.
13	Inspired by attendance at CBA 13, Campde Voices encourages students at every school programme to do an impact activity. The programme has persuaded local authorities to buy materials for 60 schools to plant at least 100 trees at every school, give each tree its scientific name, and have students adopt the trees. Students protect the tree until graduation, then nominate a following student to carry on. Students at ten schools have created "green corners", which is land managed by environmental or debate clubs at schools, with small gardens with trees and flowers.	Students turn increased awareness and knowledge into practical action and engagement in adaptation.	Local government, schools, students

No.	Outcome Description	Significance	Contribution Description
14	Receiving a Catalytic Grant in 2021 improved the capacity of Sustainable Environment Management Action (SEMA) in Singida Region, Tanzania to a) connect with other climate activists in other countries (specifically Bangladesh and Zambia), b) set up hubs of teen youth climate champions who were trained on climate change and resilience, and c) develop the ability to submit proposals to other bigger donors. SEMA also produced cartoons in local languages, and teamed up with traditional performance groups, who worked with SEMA to spread climate messages during monthly community meetings with local government officials and community members.	The small grant gave SEMA the resources to train youth as community based trainers in climate change adaptation. However, because the \$5000 was split three ways (with Youthnet for Climate and People's Process on Housing and Poverty in Zambia) and was a one time grant, reach was limited, and activities slowed down after funds were exhausted.	The Catalytic Grant fund is a collaboration of ICAAD/GRP/CJRF.
15	After attending CBA 15, staff from Pamoja Youth Initiative (PYI) in Zanzibar, Tanzania changed its strategic plan to include Climate Change, Resilience, and Adaptation as a thematic area. This area is in addition to their other work on Livelihoods, Democracy and Governance, and Sexual and Reproductive Health and Rights.	This shift added another organization working with a key constituency – youth – to efforts to adapt in Tanzania.	Workshops at CBA 15 convinced Rashid Mwinyi of the importance of climate change to youth and the need to address it directly.
16	After CBA15, Rashid Mwinyi realised that the adaptation needs collaboration of everyone working in the area. Therefore, Pamoja Youth Initiative (PYI) in Zanzibar, Tanzania joined various adaptation networks and coalitions, starting with the Climate Action Network in September 2022.	The growth of civil society networks promotes local voices in action and discussion on adaptation issues.	Workshops at CBA 15 convinced Rashid Mwinyi of the need for collaboration with wide networks of organisations.
17	At CBA 13, Euster Kibona from Tanzania Forum CC learned from a participant in Zimbabwe how to work with men in communities to open space for women to participate in adaptation activities.	Adaptation efforts in Tanzania (and elsewhere) had at times been stymied by the cultural role of men in making decisions and undertaking formal project work. This approach of working directly with this cultural barrier allowed greater women's participation and decision making.	Forum CC worked with municipal staff in a project to produce energy pellets from market waste. Working with the municipality mitigated the cultural issues and staff were able to work with both men and women.

No.	Outcome Description	Significance	Contribution Description
18	The Least Developed Countries (LDC) group at UNFCCC launched the Initiative for Effective Adaptation and Resilience (LIFE-AR) 2050 vision in 2019 at the UN Climate Action Summit in New York. LIFE-AR then developed its strategy and a compact, which was endorsed at COP 25 in Madrid in 2019. Development of the initiative took place at discussions at two CBA conferences (11 and 12), a National Adaptation Plan Expo, four regional meetings, and an LDC Experts meeting to write it up.	Community Based Adaptation was seen as a small scale effort primarily for NGOs. Development of LIFE-AR provided an opportunity and plan for LDC governments to get action within LDCs and to attract the finance needed to the work on a national scale.	The LDC Ministerial Group and LDC Chair officially welcomed and launched LIFE-AR at COP24. It has been a deliberative process across LDCs, guiding the development of this 2050 Vision, offer and ask. Under the direction, guidance and expertise of the LDC Ministerial Group, LDC Advisory Group, LDC Chair and LIFE-AR technical lead, six technical workshops with almost 200 experts across Anglophone and Francophone Africa and Asia Pacific — alongside more than 400 experts brought together at COP, CBA and the NAP expo, a public call for evidence eliciting 100 submissions and 80 interviews
19	The governments of Uganda, Malawi, and Ethiopia agreed to be the first three of the six “front runner countries” for implementation of the LIFE-AR strategy, following CBA conferences being held in those countries (CBA 11, 12, 13).	Commitment of government and civil society is important for the success of the LIFE-AR programme.	Government staff and other domestic stakeholders were able to host and participate in these CBA discussions which generated interest and commitment. The governments of the United States, United Kingdom, and Ireland are all funding the programme. Use of Talanoa dialogue format allowed expertise and new ideas to come from all participants at some of the meetings.
20	IUCN and FAO ranked Friendship projects at the local level in mangroves in the top 20 out of 150 forest projects in Asia and the Pacific in 2022.	Recognition of locally led adaptation and community-based adaptation at the international level	Becoming one of the first signatories of the LLA principles – particularly how it is articulated and structured - helped Friendship NGO figure out how to describe its work, especially its focus on local-level practices, and find common ground with other actors at the international level
21	Friendship NGO, as requested by IIED and as part of the CBA design group, supported local organisations including from Nepal, Kenya, Portugal, and representing the Romani people, to develop 1 minute videos in local languages about their projects in their local languages which were then presented at London Climate Week 2022.	IIED’s request amplified local voices at an international forum.	The opportunity arose because of Friendship NGO’s connection with CBA conferences



No.	Outcome Description	Significance	Contribution Description
22	<p>Since the 3rd Intergovernmental Panel on Climate Change (IPCC) Assessment Report in 2001, an increasing number of climate adaptation articles have been published in the Report, many of which have been written by scholars who attended CBA conferences or were published in "Mainstreaming Adaptation to Climate Change in Least Developed Countries" by Atiq Rahman, Saleemul Huq, Mama Konate, Youba Sokona and Hannah Reid.</p>	<p>Intergovernmental Panel on Climate Change (IPCC) represents the global scientific world on climate change, and represents the gold standard of collecting and assessing literature on climate change and adaptation, relying on peer-reviewed literature. The chair of IPCC (Rajendra Pachauri) was invited as a keynote speaker at CBA 5.</p>	<p>The CBA conference was an opportunity for local scholars to present their work to a global stage</p>
25	<p>Local Climate Adaptive Living Facility (LoCAL), IIED and World Resources Institute (WRI) sponsored a platform called "LLA Hub" at COP 27 to raise awareness of the 8 principles of Locally Led Adaptation, which was published by the Global Commission on Adaptation and launched at the 2021 Climate Adaptation Summit.</p>	<p>LLA and local level needs recognized at the global level</p>	<p>on October 16 October 2018 the Global Commission on Adaptation (GCA) was launched, and has been very involved with CBA, including consultations at the CBA 13 in Addis Ababa as well. A report entitled, Adapt Now: A Global Call for Leadership on Climate Resilience was published by GCA in 2019, in which IIED was involved as a researcher. Locally Led Action was an Action Track. The Global Commission on Adaptation has now evolved into the Global Centre on Adaptation, and action tracks have evolved into programmatic areas, including Locally Led Adaptation one area. Partners in this programmatic area include BRAC, International Centre for Climate Change and Development (ICCAD), SPARC, and Slum Dwellers International (SDI), key and long-term attendees at CBA. This programmatic area developed the LLA Principles, which were launched at the 2021 Climate Adaptation Summit.</p>
26	<p>One Bangladeshi woman participant in CBA 15 shared the experience of the Bangladeshi people where she comes from, repeatedly indicating that she wanted to share despite having other senior people in the room.</p>	<p>Local actors do not typically feel like they have the courage to speak up if there are others more senior than them from the same program or country, and not in international forums</p>	<p>CBA provides an environment where local actors can have the opportunity to speak and share</p>
27	<p>22 staff from Mercy Corps Nepal and local partners attended CBA for the first time in 2015, and participated in discussions</p>	<p>Mercy Corps Nepal staff and partners had not previously attended the conference. Despite having 10-15 years' experience in the field, most did not have the courage to speak up during the conference. Thanks to mentoring by Mercy Corps staff member Sushila Pandit, many spoke and gained confidence in their ability to speak outside their organization.</p>	<p>Long time observer Sushila Pandit (previously of CARE and PA) introduced and championed CBA to Mercy Corps when she began working for the organization, and as a result was able to take a group of people to the conference.</p>

No.	Outcome Description	Significance	Contribution Description
28	Mercy Corps field staff provided training to a local partner NGO, United Mission to Nepal, on their request, using the confidence and skills gained by participation in CBA.	Local actors do not typically feel like they have the expertise and skill to train others	These partners had received training in preparation for attendance at the CBA; the fact of already having participated in an international forum like CBA was enough motivation for these partners to have the courage to provide training to others. The NGO UMN had originally asked the programme manager and the director of the organization to provide the training, but instead Mercy Corps had Mercy Corps field Staff do the training
29	Sushila Pandit facilitated the opening and closing plenaries at CBA 16, speaking with head of DFID, head of Netherlands Development Cooperation, large International NGOs like SouthSouthNorth or GRA, as well as a discussion panel. Despite having over a decade of experience in the climate sector, this was the first time she had the opportunity to engage with these stakeholders in an international forum.	In addition, the typical hierarchies in the development and climate sectors, as well as within Nepalese culture, meant that the facilitator's thinking shifted from when she started in the field (from not having the courage) to being able to engage with these stakeholders. She would not have had the opportunity to facilitate the panel if she had not been invited to be part of the programming committee.	CBA offered a space for local voices to be heard at the local level
30	Susan Nanduddu developed a partnership with Plan International, through her organization African Centre for Trade and Development, called My Body My Future, which is a 6-country project currently in its second phase. As part of this she is supporting the Ugandan team to do work across six local governments to build understanding of climate change with regard to sexual and reproductive rights and health.	Susan's career direction has changed as a result of attending the CBA.	This partnership developed out of a relationship Susan developed during the CBA 14 meet and greet.
31	Susan Nanduddu and her organization, ACTAD, was invited by IIED to support the LIFE-AR project, which has allowed the project to roll out in Uganda.	This local organization was able to act as a fund manager in the interim, allowing the project to occur.	Susan was invited to participate due to her long-term relationship with IIED, which was developed through CLACC and then through the CBAs.
32	Susan Nanduddu has been involved with the climate change department at the national level in Uganda since its inception in year, and is now frequently invited to be part of the policy-making process, including the Climate Change Policy, Climate Change Act, and a number of programmes such as the Pilot Program on Climate Resilience	Involvement in CBA and a number of other IIED programmes has allowed a Ugandan climate expert to increase her ability to advise the government	As a fellow of CLACC she was invited to participate in CBA, and as a CLACC participant of CBA she was required to engage with governments.

No.	Outcome Description	Significance	Contribution Description
33	After presenting the two sessions at CBA 14 in 2020, the Huairou Commission was invited to present at the Understanding Risk Forum, organized by the World Bank Global Facility for Disaster Risk Reduction Global Facility for Disaster Reduction and Recovery (GFDRR) under the development and climate days	This is a different global forum and local voices and stories are being heard at it	The invitation occurred as a result of Huairou's presentations at CBA
34	In 2021, Pauline from Rural Women's Network Kenya and another person from Shibuye Community Health Network – Violet Shivutse, both Kenya partners of Huairou, together established a grassroots-led demonstration learning centre for agricultural practices	This enabled participants from other villages to come and learn. Also, the two organisations involved had not previously partnered and the relationship developed as a result of the CBA opportunity.	The building of the learning centre and subsequent scale-up of activities was supported by a Catalytic Grant from IIED/ CBA
35	In January 2021 The Global Commission on Adaptation and its partners launched the Principles for Locally Led Adaptation, endorsed by an initial 40 governments and institutions. As of December 2022, over 100 governments and organisations have endorsed the Principles.	This shows acceptance by global actors of the need to take local actors into account in adaptation practice	CBA supported the creation of evidence and messages that supported the development of the LLA principles. Refining the 'Principles for locally led adaptation action' was a highly consultative process. Starting at IIED's 'Money where it matters' workshops in 2017 and 2018, consultations continued at the United Nations Framework Convention on Climate Change (UNFCCC) Conference of the Parties in 2018 and 2019, Africa Climate Week 2019 and throughout the Global Commission of Adaptation's Year of Action at events including: the 13th and 14th annual Community-Based Adaptation (CBA) meetings in April 2019 and September 2020; London Climate Week in July 2019 and November 2020; the UN Secretary General's Climate Summit in September 2019; Development and Climate Days in December 2019 and 2020; Gobeshona-6 Conference in January 2020; a grassroots-donor dialogue in May 2020; and the Climate Red Conference in September 2020. Key civil society organisations (CSOs) — including Women's Climate Change Initiative, Pan-African Climate Justice Alliance, Slum Dwellers International and the Huairou Commission — also undertook internal consultations. Other organisations that provided input included the Adaptation Fund (AF), the United Nations Capital Development Fund, the Climate Justice Resilience Fund, CARE and the ACT Alliance.

No.	Outcome Description	Significance	Contribution Description
36	In 2021 the Huairou Commission co-presented with the World Resources Institute (WRI) and International Research Institute for Climate and Society at CBA 15 in a session called Climate 101. The Huairou Commission presented on the perspectives of communities in Kenya	The session helped Huairou and partners to understand how community interpretations of climate data differs from scientists, and where they can come together	Huairou co-presented with these two organisations at CBA 15 in a session called Climate 101. All three organisations planned together in advance of the session.
37	Asia Development Bank (ADB) launched a Community Resilience Partnership Programme (CRPP) in 2021, which aligns with the LLA principles and the priorities of the Global Commission on Adaptation. Huairou Commission is a partner.	The CRPP aligns with the LLA principles and the priorities of the Global Commission on Adaptation. There is a window for women-led actions but the mechanism is primarily for adaptation programs.	The CRPP was developed in response to a global call for action, launched at the UN Climate Action Summit in September 2019, called “Raising Ambition for Climate Adaptation and Resilience”. Both IIED and Huairou were signatories of this statement. Further, being associated with the CBA and IIED is seen as lending a higher level of credibility in the climate adaptation sector. In addition, participating in the CBA offers the opportunity to deepen relationships, as organizations are invited to include their partners in presentations that they make – and Huairou was invited to do the same, with ADB. Although Huairou and ADB are long-term partners, CBA conferences provided an additional forum for Huairou local partners to present their evidence and have it be heard by partners like ADB.
40	After many years of CBA conferences providing a platform for practitioners to show how development and climate are related, now multistakeholder learning and collaboration is one of the LLA principles	The criticism of early CBA was that what was being presented by local voices was just development projects, because climate science was not being linked in. But now there’s an understanding of the need to understand lived experiences, hear what vulnerabilities people are facing and what they are doing to innovate for adaptation.	CBA provided a learning space where knowledge could be shared between different stakeholders at different levels
41	After meeting each other at a CBA 16, Gloria B, an environmental researcher, engages with LinkedIn posts posted by Sayeb Ahamed Emon of Think Tank Bengali (Bangladesh)	As a representative of a local community organization, Sayeb would not have otherwise met or be engaging with Gloria	The connection was made at CBA 16

No.	Outcome Description	Significance	Contribution Description
42	Project participants of the Integrated Action for Climate Change Adaptation and Mitigation Programme in Sierra Leone, funded by Irish Aid and running from December 2021 for 14 months, have shown improvement in income generation, which is a programmatic success. The programme also reports improved productivity and sustainable land management.	This is an example of a programme designed to meet local development and climate needs.	Sulaiman Sowe, of the Irish Embassy in Sierra Leone, who works on the programme, attended a CBA14 presentation by a panelist on community led approaches to climate adaptation and learned also about tapping into tacit knowledge from communities; he brought these ideas back to his programme design and involved local communities in this programme from start to finish.
43	In 2021, the UK government was the first government to endorse the LLA Principles. Attendance at CBA conferences helped UK government staff to formulate the arguments to convince the minister to sign.	This indicates high-level acceptance/ understanding of the need for local voices in adaptation practice	Vincent Gainey of the FCDO joined the CBA conferences starting from 14 in order to learn from CBOs and to help support Vincent to formulate the argument to bring to the minister.
44	The UK government integrated LLA into its support for the Adaptation Action Coalition, working with World Resources Institute and IIED	This indicates high-level acceptance/ understanding of the need for local voices in adaptation practice	Vincent Gainey of the FCDO joined the CBA conferences starting from 14 in order to learn from community based organisations and to help support Vincent to formulate the argument to bring to the minister.
45	The UK made LLA a key component of the UK COP 26 presidency in 2021	This indicates high-level acceptance/ understanding and advocacy of the need for local voices in adaptation practice	Vincent Gainey of the FCDO joined the CBA conferences starting from 14 in order to learn from community based organisations and to help support Vincent to formulate the argument to bring to the minister.
46	Pamoja Youth Initiative (PYI) from Zanzibar, Tanzania received money from Swarovski Waterschool Global Initiative to pilot (2021), then to scale the same project in the following year. The pilot educated young people on climate change adaptation issues, especially water and tree planting.	Received funding as a very local organization	Rashid met Bruno (Earth Child Institute) through an acquaintance, Dominic, whom Rashid met at CBA15; Bruno shared a non-public call for applications for funding to Rashid
47	Applying lessons learned at CBA 14, the Integrated Action for Climate Change Adaptation and Mitigation Programme in Sierra Leone, and involved project participants in the project from beginning to end. The project started in December 2021 and was funded by Irish Aid.	This is an example of a programme designed to meet local development and climate needs.	Sulaiman Sowe, of the Irish Embassy in Sierra Leone, who works on the programme, attended a CBA14 presentation by a panelist on community led approaches to climate adaptation and learned also about tapping into tacit knowledge from communities; he brought these ideas back to his programme design and involved local communities in this programme from start to finish.

No.	Outcome Description	Significance	Contribution Description
48	Officials from eight governments attended CBA 12, more than ever had before. Organisers achieved this result by scheduling CBA 12 to dovetail with a regional National Adaptation Plan workshop	Participation from governments is difficult, but important for promoting better practices and policies.	CBA 12 was scheduled to dovetail onto a Regional National Adaptation Plan (NAP) Expo, with the result that there were 8 governments in attendance. The NAP Expo is an outreach event organised by the Least Developed Countries Expert Group (LEG) under the UNFCCC. Participants at this CBA attended the NAP Expo as well as the Adaptation Futures conference the following week. There was significant overlap between attendees of the CBA conference and the regional National Adaptation Plan workshop.
	In response to the asks of the 2050 Vision of the Least Developed Countries Group, eight principles for locally led adaptation (the LLA principles) were developed and announced on 25 January 2021. WRI currently acts as a de facto secretariat. Over 100 organizations and governments have signed.	This is an example of a CBA theme growing into a program and eventually a set of global principles.	CBA had a climate finance then, which shaped the "Money Where it Matters" work program at IIED. This programme was co-led by WRI, with IIED in the lead. This work program in turn led to the LLA principles and process. CBA is also a "breeding ground" for ideas around climate finance, which has contributed to what has become LLA. CBA 14 had sessions on LLA principles, which collected practitioner insights.
49	Mamun Ur Rashid of Badabon Sangho of Bangladesh learned how to present himself in the interview while he participated in marketplace. He learned what are key points need to discuss for showcasing their results and experiences.	Local leaders and communities have always done locally led adaptation, but may be limited in language that is accessible to a global audience, and may have limited capacity in communicating their experience to a global audience.	CBA staff supported local leaders in building capacity to communicate their work to a global audience.
50	Dorice Bosibori Moseti of Muungano wa wanaviji (SDI) in Tanzania learned new ways to reduce carbon in the atmosphere using clean energy cooking and solar stoves, using reusable sanitary pads, grocery bags, and diapers, and planting trees.	Local communities do not have easily accessible ways to share their knowledge across a global scale. The knowledge that they hold can be useful for another community.	CBA is a place where people like Dorice can learn about adaptation activities that other communities are doing, helping people feel more connected and also inspiring practitioners.
51	Climate Bridge Fund and BRAC in Bangladesh invited their implementing partners to talk about their projects in a CBA conference session. After that the conversation about adaptation among partners is continuing. Every quarter they meet for coordination meeting and share information in order to learn from each other.	Local communities do not have easily accessible ways to share their knowledge across a global scale. The knowledge that they hold can be useful for another community.	CBA conferences act as a platform for people to develop and deepen relationships, as well as to learn from other communities.

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# ANNEX 5.

## Detailed methodology



In order to evaluate the relevance, effectiveness, and impact of different Community Based Adaptation conference activities in relation to the 2018 Theory of Change from the period of 2018 to present, the evaluators utilized a qualitative approach, triangulated with quantitative data where appropriate. The details of this approach are as indicated below.

## **a. Interviews and outcomes workshop**

Key informant interviews were the principal source of data. Interviewees were chosen to ensure representation from major stakeholder groups, including: community-based organizations, involved in adaptation work; local, national, and international NGOs; local and national government officials; academics knowledgeable of CBA conferences; and relevant CBA programme staff. Interviewees included staff, participants, and external observers, and geography was taken into account. Interviewees were identified by programme staff, and interviewees were asked to recommend potential interviewees as well. Names that were repeatedly mentioned were prioritised. In addition, informants with detailed knowledge of case study subjects, the Least Developed Countries Group on Climate Change LDC Initiative for Effective Adaptation and Resilience (LIFE-AR) and the development of the Principles for Locally Led Adaptation in support of the Global Commission on Adaptation's Locally Led Adaptation Track were prioritised.

20 interviews were conducted virtually and in English over the course of October to early December 2022. Interviewers relied on interview guides tailored to different stakeholder groups; questions were designed to be used more as a flexible guideline than a questionnaire, based on the understanding that the focus is on what interviewees think is important, rather than forcing responses to pre-prepared questions. This allowed for unique and unexpected hypotheses and evidence to arise. Interviews were recorded and the recordings transcribed by an online automatic transcription service. Detailed notes were also taken during interviews. Due to the occurrence of UNFCCC COP 27 during the data collection period, the process encountered some delays. This also limited the availability of some key informants. This meant that fewer government officials were interviewed than desired.

In order to reach more informants and generate more outcomes, the evaluator team also conducted a facilitated workshop on November 23, 2022. Six participants attended. The workshop relied on interactive, small group discussions based on two main questions:

1. Think of a time when something you learned or someone you met at a CBA conference changed the way you do or talk about climate adaptation. What is different now than before this happened?
2. Are you aware of a change or increase in collaboration between actors as a result of attending CBA conferences? For example, these could be small interactions or larger initiatives or programs. It could be training, information sharing, working together, funding, or something else.

Answers were placed on Google Jamboards.

## **b. Document review**

CBA conferences have been well documented from the perspective of understanding how the conference went, and how to improve conferences. Evaluators had access to survey data from CBA7. For the purposes of this evaluation, these surveys were primarily useful for assessing Outcome 10 in the IIED CBA MEL Plan, as well as how the demographics of participants has changed over time. Additional documents reviewed include:

1. "Key Messages" and "Talking Points" documents from CBAs 13, 14, and 14;
2. Conference proceedings and other related documents;
3. Relevant concept notes;
4. LDC 2050 Vision;

5. LIFE AR Strategy;
6. LLA Principles; and
7. Monzani's Review of Dialogues, including a case study of CBA.

Documents have been used to support analysis of interview and workshop data where appropriate.

### c. Analytical approach

The MEL plan and theory of change extend all the way from conference results to ultimate changes in policy and practice by policy makers and practitioners. Traditional monitoring tools are unlikely to capture the contributions of various stakeholders and methods to shifts in the field itself, which include many influences far beyond the conferences. In order to manage this complexity, a modified Outcome Harvesting approach was used, relying primarily on interview and workshop data and document review as sources. We understand outcomes as observable changes in the behaviour, relationships, practices, policies, or actions of an individual, group, or institution.

From the interviews, workshop, and documents, we harvested 48 outcomes. For each one we generated an outcomes statement, a statement of why that outcome was significant to the theory of change, and what other contributions there were to its achievement. We then coded the outcomes by the following categories:

#### Who changed

- NGO, CBO, CSO
- Donor/Foundation
- Media
- Policymaker/Government agency (LOCAL, NATIONAL)
- Private sector, social enterprise
- Research/Think Tank/Academic
- International government organisation, multilateral, bilateral, intergovernmental org
- IIED/ICCCAD
- Not representing an organization
- Other

#### What changed according to the theory of change

- Adopt policy and practice -- Decision makers and practitioners
- Understand, value, and demonstrate commitment -- Actors at all levels
- Local actors engage with and influence other actors
- Capacity improved -- Local organisations
- Understand and value local experience and knowledge -- CBA participants at any level
- Improved discourse/narratives reflecting the importance of local experiences and priorities
- New and innovative ideas are ground-truthed, with perceived wisdom challenged
- Evidence shared of work based on southern agendas informed by the experiences and priorities
- Active community of practice
- A good quality conference is delivered
- Other

<b>When</b>	<b>At what level?</b>	<b>Significance to theory of change</b>
<ul style="list-style-type: none"> <li>• 2022</li> <li>• 2021</li> <li>• 2020</li> <li>• 2019</li> <li>• 2018</li> <li>• Pre-2018</li> </ul>	<ul style="list-style-type: none"> <li>• Local</li> <li>• Regional</li> <li>• National</li> <li>• International</li> </ul>	<ul style="list-style-type: none"> <li>• High</li> <li>• Medium</li> <li>• Low</li> <li>• Negative</li> </ul>

### **What contribution**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>• Alliance building or strengthening collaborations</li> <li>• Citizen organizing</li> <li>• Funding</li> <li>• Learning, sharing of experience</li> <li>• Media engagement</li> <li>• Organizational strengthening</li> </ul> | <ul style="list-style-type: none"> <li>• Private meetings with duty bearers</li> <li>• Protest, marches, petitions, social media campaigns</li> <li>• Public meetings with duty bearers</li> <li>• Research studies</li> <li>• Training</li> </ul> |
|---|--|

Based on these categories, we looked for patterns of outcomes, suggesting where the programme had achieved changes, and where outcomes were lacking. Outcome Harvesting is excellent for identifying patterns in changes across a complex sector, but is less effective in identifying aspects of a programme that do not rise to the level of an achievement or change, but are nonetheless key to understanding the programme, such as strengths and weaknesses. Thus, in addition to using an Outcome Harvest approach, a modified grounded theory approach was taken with the same data to conduct an analysis of strengths and weaknesses, and successes and failures.

### **d. Participatory observation**

The evaluators participated in CBA 16 with the categories of the MEL Plan and evaluation matrix in mind. As this took place early on in the data collection period, the evaluators reached out to participants where appropriate to solicit stories of changes in adaptation practice over the years. Limited data was collected using this method.

### **e. Sensemaking workshop**

In an ideal scenario, community-oriented data collection would be followed by validation of initial findings to the community themselves. However, due to scheduling constraints, an initially planned online sensemaking workshop with conference participants was replaced by an “initial findings” meeting with core CBA programme staff.

