



BRACED Programme

Monitoring & Evaluation (M&E) Guidance Notes

Version 1.1

BRACED Knowledge Manager, March 2015 (copy-edited December 2015)



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Note to the reader, December 2015

The BRACED programme aims to build the resilience of more than five million vulnerable people against climate extremes and disasters. The programme has four components:

- Components A and B see 108 organisations, organised in 15 consortia, implementing 15 projects across 13 countries in the Sahel (Component A), and East Africa and Asia (Component B). Each project has its own theory of change, logframe and monitoring and evaluation (M&E) plan of activities. Progress is reported to a Fund Manager, who manage the grant on behalf of DFID.
- Component C involves a separate Knowledge Manager, a consortium of seven organisations which works to: build knowledge and evidence on what works to strengthen resilience; to get that knowledge and evidence into use within BRACED countries; and to amplify it for uptake by stakeholders beyond those countries. The Knowledge Manager leads monitoring and evaluation (as well as other functions) at the programme level.
- Component D builds the capability and capacity of non-BRACED countries and regional organisations to prepare and plan for the expected increases in the frequency and severity of climate extremes and disasters. It is currently being scoped.

This guidance document was originally developed by the BRACED Knowledge Manager M&E team in March 2015 as an internal version for BRACED Implementing Partners (version 1.0). Its aim was to enhance the quality of Component A and B project-level monitoring and evaluation (M&E) during set-up, and align this to programme-level M&E. It also set out the expected immediate engagement with the BRACED Knowledge Manager. The BRACED Knowledge Manager has since provided a programme of 1-2-1 support to Implementing Partners to interpret the guidance and apply it to the finalisation of project-level M&E frameworks and plans.

Development of the BRACED programme M&E framework and related guidance has been an ongoing and iterative process based on further definition of project-level M&E plans and the programme M&E system. The M&E Guidance Notes have been copy-edited in December 2015 to reflect these developments and to bring together the latest BRACED M&E guidance in one place. Some of the original guidance related to the BRACED set-up phase, though now implemented or replaced, remains part of the document as a record of the approaches and processes followed.

This version (1.1) will be made available externally on the BRACED programme website. Specifically, as well as being proofread, the document has been updated and now:

- Responds to editorial feedback received from all BRACED programme stakeholders, including Implementing Partners.
- Includes guidance on the revised BRACED programme logframe ([Note 2B](#))
- Includes a complete version of [Note 7](#) on project mid-term reviews and final evaluations, which, in March 2015, was pending key decisions by DFID, the Fund Manager and

Knowledge Manager. Related annexes include key questions and answers from a Knowledge Manager webinar with Implementing Partners ([Annex 6](#)).

- Includes guidance on the M&E milestone document review process ([Annex 7](#)).
- Includes a summary of the key questions and comments raised by Implementing Partners in response to the original M&E Guidance Notes ([Annex 8](#)) and the Knowledge Manager's answers in a live discussion.

Key changes are highlighted to the reader in the document. There have been no substantive changes made to the BRACED M&E framework itself. As BRACED Implementing Partners have already received and responded to all new guidance included, no further action is required.

The guidance will be fully updated during 2016 in collaboration with BRACED project Implementing Partners, based on experience and learning from the practical application of the BRACED M&E framework, and in light of the evolving context of the BRACED programme. This future version (2.0) is anticipated to be a more practical resource for both BRACED stakeholders and other stakeholders designing, monitoring and measuring the results of resilience-building programmes.

Acknowledgements

These M&E Guidance Notes have been written by Paula Silva Villanueva (Resilience Monitor and Itad Associate), Catherine Gould (Itad Associate) and Robbie Gregorowski (Itad), with inputs from Aditya Bahadur (Overseas Development Institute – ODI) and Lisa Howes (Itad Associate), representing the BRACED Knowledge Manager. Feedback on the make-up and content of the Guidance Notes has been gratefully received from all Implementing Partners of the 15 BRACED Components A and B projects; the BRACED Fund Manager, the BRACED programme donor, DFID, and other partners from within the Knowledge Manager. Any further feedback and questions should be addressed to: monitoringandevaluation@resilienceexchange.net.

Acronyms and terms

AoC	Areas of Change
ASP	Adaptive Social Protection programme
BRACED	Building resilience and adaptation to climate extremes and disasters
Component A	Support to scale up actions on the ground to build the resilience of people to cope with climate extremes in the Sahel
Component B	Support to scale up actions on the ground to build the resilience of people to cope with climate extremes in DFID focal countries at high risk of climate extremes
Component C	Support to build knowledge and evidence on what works to strengthen resilience; to get that knowledge and evidence into use within BRACED countries; and to amplify it for uptake by stakeholders beyond those countries
Component D	Support to build the capability and capacity of developing countries and regional organisations to prepare and plan for the expected increases in the frequency and severity of climate extremes and disasters
DFID	Department for International Development (UK)
FAQs	Frequently Asked Questions
FM	Fund Manager
GDP	Gross Domestic Product
HDI	Human Development Index
ICF	International Climate Fund
IKM	Interim Knowledge Manager (until October 2014)
IPs	Implementing Partners
KM	Knowledge Manager (from October 2014)
KPIs	Key Performance Indicators
M&E	Monitoring and Evaluation
OECD/DAC	Organisation for Economic Cooperation and Development/Development Assistance Committee
ToC	Theory of Change
ToRs	Terms of Reference
VfM	Value for Money

Introduction to the M&E Guidance

Notes

Intended audience, background and purpose

This M&E guidance has been developed for the Implementing Partners (IPs) of BRACED Component A (Sahel countries) and Component B (selected East Africa and Asia countries) projects. All 15 Implementing Partners are made up of a lead agency and a number of partner organisations. The Guidance Notes are being issued to the lead agencies for onward sharing and orientation. The basic principles of the guidance could also potentially be applied to other similar programmes and understood by multiple other users.

During the proposal development stage, Implementing Partners have already responded to the Interim Knowledge Manager's (IKM) guidance, which helped ensure project logframes and M&E plans will provide comparable programme-wide results reporting on:

- 'the number of people supported to cope with the effects of climate change', and
- 'the number of people whose resilience has improved as a result of BRACED support'.

This will form the basis for DFID's contribution to and reporting against the International Climate Fund (ICF) Key Performance Indicators (KPIs) 1 and 4 respectively.

This new set of complementary M&E Guidance Notes has subsequently been developed by the BRACED Knowledge Manager (KM) to enable the generation of robust evidence, learning and knowledge across the BRACED programme. Together the Guidance Notes set out a coherent BRACED programme-level M&E framework which, when applied, will benefit both individual projects and the overall programme.

The framework is designed to situate project-level M&E work within the broader programme context. It includes guidance for the definition and collection of qualitative data to help Implementing Partners to explain and contextualise projects' quantitative data and results against the mandatory KPI 1 and 4 results reporting guidance already developed by the IKM. The guidance is also intended to support coherent programme-level results reporting, evidence generation and lesson learning about how resilience is being improved under the BRACED programme across different scales, between different contexts and over time.

The Guidance Notes acknowledge existing project M&E frameworks, plans and contractual commitments that Implementing Partners already have. They provide practical guidance on how to design, plan and implement project M&E activities within the BRACED M&E framework, building on M&E planning already done by Implementing Partners.

The Notes build on the original guidance from the Interim Knowledge Manager and also reflect development and learning within the BRACED programme since proposal development. Each Note acknowledges the relevant guidance¹ previously provided to Implementing Partners as well as wider Knowledge Manager, Fund Manager and DFID reference materials. The content upon which these Notes are based was presented to and discussed with representatives from all 15 Implementing Partners, DFID and the Fund Manager at the BRACED Inception Workshop in Dakar, February 2015. Feedback was also received from Knowledge Manager partners, the Fund Manager and DFID on the first draft during March 2015. All feedback has been taken into consideration when drafting the M&E Guidance Notes.

The Guidance Notes will be updated and added to during the BRACED programme as needed, to take account of learning from the implementation of project and programme-level M&E. We invite all Implementing Partners to provide feedback on what could be improved based on your experiences of operationalising the guidance. Feedback should be sent to: monitoringandevaluation@resilienceexchange.net. This will help the BRACED Knowledge Manager to continually improve the M&E framework and guidance in light of its practical application.

Structure and content of the guidance

This document assumes some basic knowledge of programme design, monitoring and evaluation and of the BRACED programme. It can be read either from start to finish, or as independent 'Chapters' or 'Notes'.

The Guidance Notes are organised as follows:

- **Chapter 1** introduces the overall approach to BRACED M&E ([Note 1](#)) and the revised BRACED programme theory of change ([Note 2](#)). **Subsequent guidance has been added on the revised BRACED programme logframe ([Note 2B](#)).**
- **Chapter 2** focuses on a complementary set of qualitative and explanatory indicators. It provides methods and tools for qualitative data collection and reporting against Areas of Change ([Note 3](#)), resilience outcomes ([Note 4](#)), and Evaluative Monitoring ([Note 5](#)). It also sets out guidance on project baselines in the context of climatic risks ([Note 6](#)). **Further developed definitions have been added to the Areas of Change Note.**
- **Chapter 3** provides a set of M&E protocols on roles and responsibilities, lines of communication and how the Knowledge Manager will engage with Implementing Partners ([Note 8](#)). **It also now outlines a key link between BRACED project and programme evidence and learning, through project mid-term reviews and final evaluations ([Note 7](#)).**

¹ All original guidance provided by the Interim Knowledge Manager to prospective applicants for funding under the BRACED programme is available [here](#).

Responding to the Guidance Notes – next steps

M&E and Programme Management staff from all 15 project Implementing Partners would benefit from reading and being familiar with all of the M&E Guidance Notes. By responding to the guidance, in partnership with the Knowledge Manager, you will maximise the contribution your project can make to the evidence, learning and knowledge generated by the BRACED programme.

While the International Climate Fund KPI 1 & 4 guidance is mandatory in terms of results reporting, the M&E framework presented across the Guidance Notes is not. However, we invite and encourage all Implementing Partners (IPs) to engage with the M&E framework, particularly the set of qualitative indicators ([Chapter 2](#)). We hope that the guidance will support and add value to both the Implementing Partners and the Knowledge Manager as part of our joint responsibility for coherent BRACED results reporting and lesson learning.

We propose the following next steps:

1. Following the distribution of the M&E Guidance Notes to all Implementing Partners on 31 March 2015 (and subsequent distribution of the French version), the Knowledge Manager will offer an online Q&A discussion² during April to respond to Implementing Partners' questions of clarification on the content of this guidance and ensure aligned expectations.
2. The Knowledge Manager will then work with all Implementing Partners to meet your contractual M&E milestones. We will support Implementing Partners to apply the M&E guidance to the finalisation of project theories of change, logframes, baseline plans, indicators, M&E plans, budgets and evaluation draft terms of reference (ToRs). We will also provide prioritised technical support as outlined in the M&E protocols ([Note 8](#)).
3. All users of these Guidance Notes are encouraged to provide feedback as well as lessons learned from experience to the KM, thereby helping to continually improve the BRACED monitoring and evaluation framework.
4. If any additional and common key Implementing Partner M&E needs are subsequently identified, the Knowledge Manager will develop further M&E guidance throughout the programme, and update the core Guidance Notes as appropriate.

² The KM will explore different options for facilitating the discussion in French.

Chapter I: BRACED monitoring and evaluation approach

Overview

This chapter provides a comprehensive overview of the M&E process for the BRACED programme. It introduces the reader to the BRACED programme theory of change (ToC), which identifies the main features and components of the programme-level M&E approach. **This chapter now also introduces the revised version of the BRACED programme logframe and its implications for the project level.**

Existing guidance: Previous associated guidance developed by the Interim Knowledge Manager included:

- Guidance on what is needed during the interim and early implementation phase of the BRACED programme to support the development, monitoring and eventual evaluation of the BRACED portfolio of projects. This included: identification of the information collection at the project level during baseline construction and ongoing monitoring. However, it was recommended that the permanent Knowledge Manager (KM) in consultation with the Fund Manager (FM) revise this interim plan.
- The minimum requirements for developing M&E plans at project level. This checklist supported Implementing Partners in the development and evolution of your M&E plans, as you finalised your BRACED proposals.

This chapter is intended to complement the Interim Knowledge Manager's (IKM's) guidance, which is primarily focused at the project level, and situate it within the wider BRACED programme context as a coherent whole. This chapter builds on existing documents and it covers:

Note 1: The BRACED Knowledge Manager M&E framework

What is the Knowledge Manager's role and remit for M&E?

What are the principles of BRACED Knowledge Manager M&E?

What does the BRACED M&E framework consist of and how is it relevant for my project?

Note 2: BRACED programme theory of change

What does the BRACED programme theory of change tell us?

What does it mean for the M&E function of the KM?

What does it mean for BRACED Implementing Partners?

What kind of support will you receive from the KM?

Note 2B **BRACED programme logframe**

Why and how has the logframe been revised?

What interest does each of the BRACED stakeholders have in the logframe?

Which indicators have changed, why and what are the implications for you?

What are the next steps and how do these affect Implementing Partners?

Note 1: The BRACED Knowledge Manager's M&E framework

Overview

Existing guidance: The Interim Knowledge Manager (IKM) developed a draft programme-level logframe, accompanying the theory of change (ToC) and the mandatory guidance against Key Performance Indicators (KPIs) 1 and 4. This document was intended to advise DFID, the permanent Knowledge Manager (KM) and the Fund Manager (FM). While the KPI guidance remains current, this Note builds on existing guidance and introduces the overarching M&E approach for the BRACED programme.

About this Note

This Guidance Note introduces the BRACED Knowledge Manager's approach to M&E across the programme and how we have translated this into a programme-level M&E framework through a set of Guidance Notes. It answers the following key questions for BRACED Implementing Partners:

- **What is the BRACED Knowledge Manager's role and remit for M&E?**
- **What are the principles of Knowledge Manager M&E?**
- **What does the BRACED M&E framework consist of and how is it relevant for my project?**

The Knowledge Manager's role and remit for monitoring and evaluation

The BRACED Knowledge Manager is responsible for delivering Component C of the BRACED programme – namely 'Building Evidence on Adaptation and Disaster Risk Reduction (DRR)'. The Knowledge Manager has been tasked by DFID with:

- Supporting the different members of the BRACED programme, including those implementing Component A and B projects, to produce robust evidence and learning from a set of monitoring, evaluation and research activities, and to communicate with each other effectively in order to share experiences and knowledge, and learn together.
- Generating and assimilating knowledge about what works to strengthen resilience (drawing on robust evidence from the BRACED programme and from outside it) and promoting the uptake of this knowledge by policy makers and practitioners to amplify the positive impact on resilience across geographies.

Within this broader remit, the Knowledge Manager is expected to deliver **three core M&E functions/components**:

- **Component 1 – BRACED M&E 'operations'** – ongoing BRACED programme-level M&E coordination, management, and leadership including:

- Revising and testing the BRACED programme logframe and theory of change (in collaboration with the Fund Manager and DFID)
- Synthesising and interpreting data collected against key BRACED programme logframe indicators including KPIs 1, 4, 13 & 15, as well as the three more qualitative and explanatory indicator frameworks – Areas of Change ([Note 3](#)), the 3As Approach ([Note 4](#)), and Evaluative Monitoring ([Note 5](#)). **Note that the Fund Manager is responsible for ultimate reporting to DFID. The Knowledge Manager will contribute the qualitative analysis of Implementing Partners' routine monitoring and results reporting against certain logframe indicators**
- Producing relevant components of the BRACED Annual M&E Report against the programme logframe and supporting the DFID BRACED annual review process by summarising results, evidence and learning generated across the Knowledge Manager, Fund Manager and Implementing Partners (IPs). **Note that annual reporting by the KM will be against the BRACED theory of change, not the logframe as stated here**
- Feeding into and supporting wider Knowledge Manager's evidence and learning processes
- **Component 2 – Support to Implementing Partners' M&E work** – working in partnership with Implementing Partners and the Fund Manager:
 - Developing BRACED M&E Guidance Notes
 - Delivering a programme of 1-2-1 M&E support to Implementing Partners
 - Providing guidance and quality assurance on IPs' project mid-term reviews and final evaluations
 - Providing prioritised high-level technical support and quality assurance to support and advance the projects' M&E, evidence and learning – e.g. on sampling, surveying, composite indicator design, bespoke evaluation methods
 - Offering ad hoc/ongoing/emergent M&E support, guidance and learning through a series of M&E 'clinics', webinars and knowledge products
 - Working with the FM to develop and ensure seamless project monitoring and routine results reporting for learning and accountability purposes
- **Component 3 – BRACED Evaluation Activities** – designing, commissioning and delivering a set of KM-led BRACED evaluations to maximise learning across the BRACED programme on 'what works' in building resilience to climate extremes and disasters (see [Note 7](#) or the BRACED website for [further details](#)). We aim to generate robust evidence to answer a set of key questions at two levels:
 - Intervention level – primary focus on effectiveness:
 - *Which sets of interventions are proven in which contexts?*

- *What resilience-building results is the BRACED programme delivering in different contexts, scales and over time?*
- Programme level – primary focus on comparison and learning:
 - *Which are cost-effective and offer value for money?*
 - *Which are sustainable?*
 - *What is being learned about measuring resilience?*

KM-led intervention-level evaluations will look at sets of projects through a thematic lens.³ The evidence from these evaluations will complement thematic research and learning generated through wider KM activities. The KM-led programme-level evaluation will cut across the themes to consider BRACED's overall contribution to building resilience.

The BRACED Evaluation Plan was signed off by the DFID's Specialist Evaluation and Quality Assurance Service (SEQAS) in June 2015, and provides a substantially updated and detailed version of the original thinking set out above.

The roles and responsibilities of the different BRACED stakeholders for M&E are outlined in more detail in the M&E protocols ([Note 8](#)). It is worth noting that while the role of the KM is defined by the generation of robust evidence for lesson learning, the main purpose of the FM is to develop robust systems for project-level monitoring and results reporting to support efficient programme management and accountability against your grant agreements.

The principles of Knowledge Manager's M&E

Across these three core components, the main guiding principles of the BRACED KM's M&E activities are as follows:

- To take a holistic systems perspective on resilience – properties, processes and interactions of a complex system across scales, contexts and over time
- To work seamlessly with BRACED partners – IPs, FM, DFID, and others
- To take the BRACED programme's theory of change and logframe as the cornerstone documents
- To overcome the key challenges for BRACED programme M&E:
 - To agree a shared understanding of resilience building
 - To establish a 'common M&E framework language' across very different contexts and scales

³ The KM has identified the following seven inter-related themes of interventions across the BRACED portfolio: Improve access to and the use of climate and weather information; Improve access to and the quality of basic services; Empower women; Promote access to and the use of new technologies; Improve access to and functioning of markets; Strengthen local governance and natural resource management systems; Advance our understanding of resilience concepts (see [Note 2](#) for further introduction of these themes).

- To better understand and measure change over time in the context of unpredictable climatic shocks and stresses / declining climatic baseline

Introducing the BRACED M&E framework

What does the BRACED M&E framework consist of and how is it relevant for my project?

The BRACED M&E framework provides Implementing Partners (and other BRACED stakeholders) with an overarching framework for all M&E work to ensure a common language and minimum alignment of monitoring, results reporting and evaluation across BRACED, while acknowledging and accommodating project-specific M&E approaches and plans in different contexts.

Key elements of the BRACED M&E framework were presented to representatives of your project, along with the Fund Manager and DFID at the BRACED Inception Workshop (Dakar, February 2015) and broad buy-in and overall support was established. The elements are as follows:

The **BRACED programme theory of change** underpins the BRACED M&E framework. This cornerstone document has been revised by the KM to more clearly articulate the BRACED programme vision and the building blocks required to achieve its long-term impact. This included looking at the programme objectives, outputs, outcomes, expected contributions to change as well as identifying key assumptions underpinning the programme. Its revision, and the implications for BRACED Component A and B projects, are presented in [Note 2](#). A final version of the BRACED programme theory of change will be developed by the KM in collaboration with DFID and the FM to reflect and be consistent with the final programme logframe. This will be made available in April/May. **Note that the theory of change has not substantively changed since the March 2015 – rather, the programme logframe has been revised to be aligned with the theory of change.**

The BRACED M&E framework encompasses two **mandatory indicators (KPIs 1 and 4)** for which guidance has already been provided and all BRACED projects have already responded. In addition, three key components of the BRACED M&E framework building on and exploring the BRACED theory of change are:

- **Areas of Change** (assessing the processes linking outputs to outcomes) ([Note 3](#));
- **Measuring resilience outcomes – the 3As⁴ approach** ([Note 4](#)); and
- **Evaluative Monitoring** (monitoring results in a dynamic context) ([Note 5](#)).

Together, these three components provide an overarching approach to complement the more quantitative International Climate Fund KPIs 1 and 4 guidance. They do this by providing a more qualitative and explanatory framework for presenting and understanding the processes of change across projects and the programme as a whole.

The **BRACED programme logframe** also forms part of the BRACED M&E framework and will be revised by the KM in collaboration with DFID and the FM. The programme-level logframe revision will reflect the Areas of Change and 3As guidance so that your reporting against this guidance

⁴ The 3As are: **A**nticipatory capacity, **A**daptive capacity and **A**bsorptive Capacity.

directly feeds into programme-level results reporting. A revised programme logframe will be made available in April/May pending approval of the revisions across DFID, the FM and KM.

The BRACED programme logframe has now been finalised by the Knowledge Manager and Fund Manager and signed off by DFID. This final version is available [here](#). Accompanying guidance was developed by the Knowledge Manager and shared with all Implementing Partners in December 2015. See [Note 2B](#) for this guidance.

As your projects seek to build resilience and adaptation to climate extremes and events, you will also need to undertake some assessment of climate-related shocks and stresses, and how these are changing, to provide context for the interpretation of change. [Note 6](#) provides a 'simple' set of **methodologies on how to establish project baselines that account for climate vulnerability and change**.

Evidence and learning from all BRACED Component A and B projects will feed into and contribute to the wider BRACED evidence base. This comprises:

- Project-level monitoring/routine results reporting to the FM and KM according to the FM Grant Management Guidelines which will incorporate the BRACED M&E framework described throughout these Guidance Notes;
- Wider Implementing Partner data and evidence generated through project-level evaluation, research and learning activities including mid-term reviews and final evaluations; and
- Project participation and engagement in KM-led evaluation and research activities as set out in the KM evaluation and research plans that utilises both project-level data as a basis as well as primary data generated by the KM.

[Note 7](#) outlines how project-level M&E contributes to BRACED programme-level evidence and learning. **Specifically it provides Implementing Partners with guidance for how to scope, plan and undertake project-level mid-term reviews and final evaluations.**

While Guidance Notes 2–7 present the various components of the BRACED M&E approach, [Note 8](#) provides the **BRACED M&E protocols** for all stakeholders to work to when operationalising and responding to the M&E recommendations as set out in the framework. The M&E protocols outline the roles and responsibilities and lines of communication for M&E specifically across the BRACED programme, particularly clarifying the distinctions between the KM and the FM. They also set out how, when and with what level of scope and resources the KM will engage with you on M&E throughout the programme.

Note 2: BRACED programme theory of change

Overview

Existing guidance: The Interim Knowledge Manager (IKM) developed an interim programme-level M&E plan.⁵ This document was intended to advise DFID, the permanent Knowledge Manager (KM) and the Fund Manager (FM). A draft BRACED programme theory of change was introduced as part of the interim BRACED M&E plan. In line with the IKM's recommendation, the BRACED theory of change has been updated as the scope and content of the programme itself has been clarified.

About this Note

In this Note we build on the BRACED programme theory of change developed by the IKM to further expand the narrative behind the programme. This includes looking at the programme objectives, outputs, outcomes, expected contributions to change as well as identifying key assumptions underpinning the programme. As a result, this document introduces a more refined version of the BRACED programme theory of change, laying down the foundations for the overall BRACED M&E approach (outlined in [Note 1](#)).

The BRACED programme presented here has gone through several iterations and includes feedback from DFID, the Fund Manager and the wider Knowledge Manager. The theory of change was also presented and tested with Implementing Partners representing BRACED projects (Components A and B) during the BRACED Inception Workshop in Dakar, February 2015. The theory of change presented here is therefore the near-final version. Some small changes are anticipated in the finalisation process between the KM, DFID and FM.

Note that the theory of change has not substantively changed since the March 2015. It will be revised during 2016 based on the results, evidence and learning from Year 1 of the programme.

Key take away messages from BRACED theory of change

The BRACED programme theory of change:

- Provides a vision of where the BRACED programme expects to contribute to change, directly and indirectly. It therefore provides the basis for the development of the BRACED M&E framework and approach; the identification of multiple change pathways; and the elaboration of research and evaluation plans;
- Maps out the different components of the BRACED programme (A, B, C & D) and identifies a conceptual and logical progression of the changes the BRACED programme aims to influence if it is to be successful;
- Will evolve as all BRACED stakeholders collectively test, debate and use it. It should therefore be considered as one hypothesis, which best fits with our current knowledge,

⁵ BRACED Interim M&E Plan, 27 June 2014

expertise and assumptions, and pragmatically allows us to monitor, investigate and evaluate how lessons learned from the BRACED programme can contribute to wider development and resilience-building processes.

What does the BRACED theory of change tell us?

The BRACED programme theory of change (ToC) presents a conceptual and logical progression of the changes that the BRACED programme must influence if it is to successfully contribute to enhance the *well-being* of poor people in the context of climate extremes and disasters. It shows how BRACED helps to influence policy, capacity and outcomes among its targeted populations, so that long-term improvements can be brought about in how climate extremes and disasters are managed sustainably for improving the well-being of vulnerable and poor populations. This pathway is represented in the BRACED theory of change (Figure 1: BRACED programme theory of change).

DFID's vision

BRACED is expected to directly benefit up to 5 million vulnerable people, especially women and children, in developing countries by helping them become more resilient to climate extremes. In addition, through helping improve national policies and institutions to better integrate disaster risk reduction, climate adaptation and development approaches, we expect the programme to indirectly help many millions more.

DFID believes that in order to enhance the *well-being* of poor people, BRACED needs to contribute to improving resilience to shocks and stresses associated with climate extremes and disasters.

What is climate resilience?

Resilience is the ability of a system to bounce back from stresses and shocks. Climate resilience can be defined as 'the long-term *capacity* of a system or process to deal with extreme weather events and changes in climate and continue to develop'.

The concept of resilience, including climate resilience, adds an additional dimension to development thinking. It builds on other approaches such as disaster risk reduction and livelihoods. It emphasises uncertainty and estimating the level of future risks in complex processes beset by uncertainty.

Climate resilience can be viewed as a set of principles; and a developmental outcome. There is no template for building resilience. So it is essential to define who or what needs to be made resilient and against what kind of future change or shock. The indicators of climate resilience are, therefore, specific to the situation, rather than being generic.

Source: DFID BRACED ToR

The theory of change narrative – a hypothesis of how the BRACED programme will contribute to change

The central hypothesis of the BRACED programme is that:

- if investments are made
 - to directly support poor people to become more resilient to climate extremes and disasters, and
 - to improve capacity of developing countries and regional organisations to plan for (un)expected frequency and severity of climate extremes and disasters, and
 - to generate learning and evidence from this support
- then, not only targeted communities will be more resilient
- but there will also be a better understanding of what works and what does not work in building climate resilience
- which will result in improved policies and institutions at the national, sub-national and local level and a better integration of disaster risk reduction, climate adaptation and development programmes, leading, in the long term to improving the well-being of millions of people despite exposure to climate extremes and disasters.

The contribution that the BRACED programme can make to change

Based on an analysis of the range of interventions included in Components A & B conducted by the Knowledge Manager, seven inter-related themes have been identified. Support across these thematic areas is expected to contribute to changes in the short, medium and long term in the developing countries that receive BRACED support:

1. **Improve access to and the use of climate and weather information** for strengthening resilience to climate extremes and disasters
2. **Improve access to and the quality of basic services**, including social protection, health, education and water/sanitation
3. **Empower women** and socially marginalised groups
4. **Promote access** to and the use of **new technologies** and innovations
5. **Improve access to and functioning of markets** and other factors supporting enterprise/local economic development
6. **Strengthen local governance and natural resource management** systems
7. **Advance our understanding of resilience concepts** and how these can be operationalised

How will the BRACED programme support changes in these themes? BRACED Areas of Change

Success for BRACED programme is defined by the ability to make positive changes in the level of resilience to shocks and stresses associated with climate extremes and disasters *at different levels*. Underpinning the BRACED programme is the objective of contributing to four Areas of Change across seven thematic areas in order to achieve expected outputs. In the long term, such changes will contribute to transformational impact on the resilience of poor people in vulnerable communities over time (sustained) and across regions (geographic).

In essence we believe that for BRACED projects to deliver outcomes they must contribute to changes in one or more of the four Areas of Change:

- **Changes in knowledge and attitude** in relation to resilience building, in order to further strengthen policies and practices.
- **Changes in the capacities and skills** of national and local government, civil society and private sector to manage the risks of climate extremes and disasters.
- **Changes in the quality of partnerships** to deliver interventions.
- **Changes in decision-making processes** through inclusive participation, as one key aspect of a resilient system.

These Areas of Change outline a core set of processes or causal pathways that link project outputs to resilience outcomes and ultimately to impacts on human well-being (see [Note 3](#)).

The BRACED programme supports changes in these areas by investing in:

- **Component A + B:** Grants to consortia, alliances or partnerships of non-government organisations (NGOs), local government, private sector and research organisations to scale up actions on the ground to build the resilience of people to cope with climate extremes in the Sahel and in DFID focal countries at risk of climate extremes and disasters. Based on our analysis and consultation with all Implementing Partners, all projects are expected to contribute to at least one if not more of the Areas of Change.
- **Component C:** Support to build and share evidence on adaptation and disaster risk reduction and identifying what policy and institutional changes are needed to build the resilience of people in developing countries to climate extremes. In particular, Component C, led by the Knowledge Manager, aims to:
 - build knowledge and evidence on what works best in strengthening resilience to climate extremes and disasters
 - get this knowledge and evidence into use at different scales
 - support BRACED Implementing Partners to maximise your impact
 - foster knowledge partnerships to help amplify the lessons and impact of BRACED.

- **Component D:** Support to build the capability and capacity of developing countries and regional organisations to prepare and plan for the expected increases in the frequency and severity of climate extremes and disasters.

BRACED will work across the disaster risk reduction, social protection and climate adaptation disciplines, and across 'top-down' institutional and 'bottom-up' community approaches, while building evidence on what works and why. The BRACED programme theory of change acknowledges that the programme is not the only initiative working on strengthening resilience to climate and disaster shocks and stressors. BRACED is also located within a wider set of international and national development actions on disaster risk management, climate change, economic growth, livelihoods, poverty reduction, governance and many other issues.

Visual representation

Figure 1 presents a visual representation of the theory of change narrative, with the direct (orange triangle) and indirect results and potential amplifier effects (dotted triangle) expected from the BRACED programme. The diagram presents a conceptual progression of the changes that the BRACED programme aims to influence if it is to successfully contribute to building peoples' resilience to climate extremes and disasters.

The problem the BRACED programme attempts to address is that climate extremes and disasters are damaging well-being/development progress in a set of highly vulnerable developing countries. One key reason for this is because levels, scales and the quality of resilience in these countries differ. The BRACED programme seeks to address this by investing in projects that directly target beneficiaries at household and community level (Components A&B), national and local government capacity (Component D) and knowledge and evidence (Component C). Underpinning all the interventions is the objective of contributing to change and strengthening knowledge/skills, capacity as well as partnerships and decision making among institutions across seven thematic areas in order to achieve expected outputs (red triangle).

In the medium term, the combination of outputs (support to vulnerable communities, improved capacity and policies and better understanding on what works and what does not) will contribute to the BRACED programme outcome of 'poor people in developing countries have improved their levels of resilience to climate-related shocks and stresses'. The programme will measure whether or not it has been successful in strengthening resilience by measuring outcomes in three dimensions of resilience: anticipatory, adaptive and absorptive capacity (see [Note 4](#)).

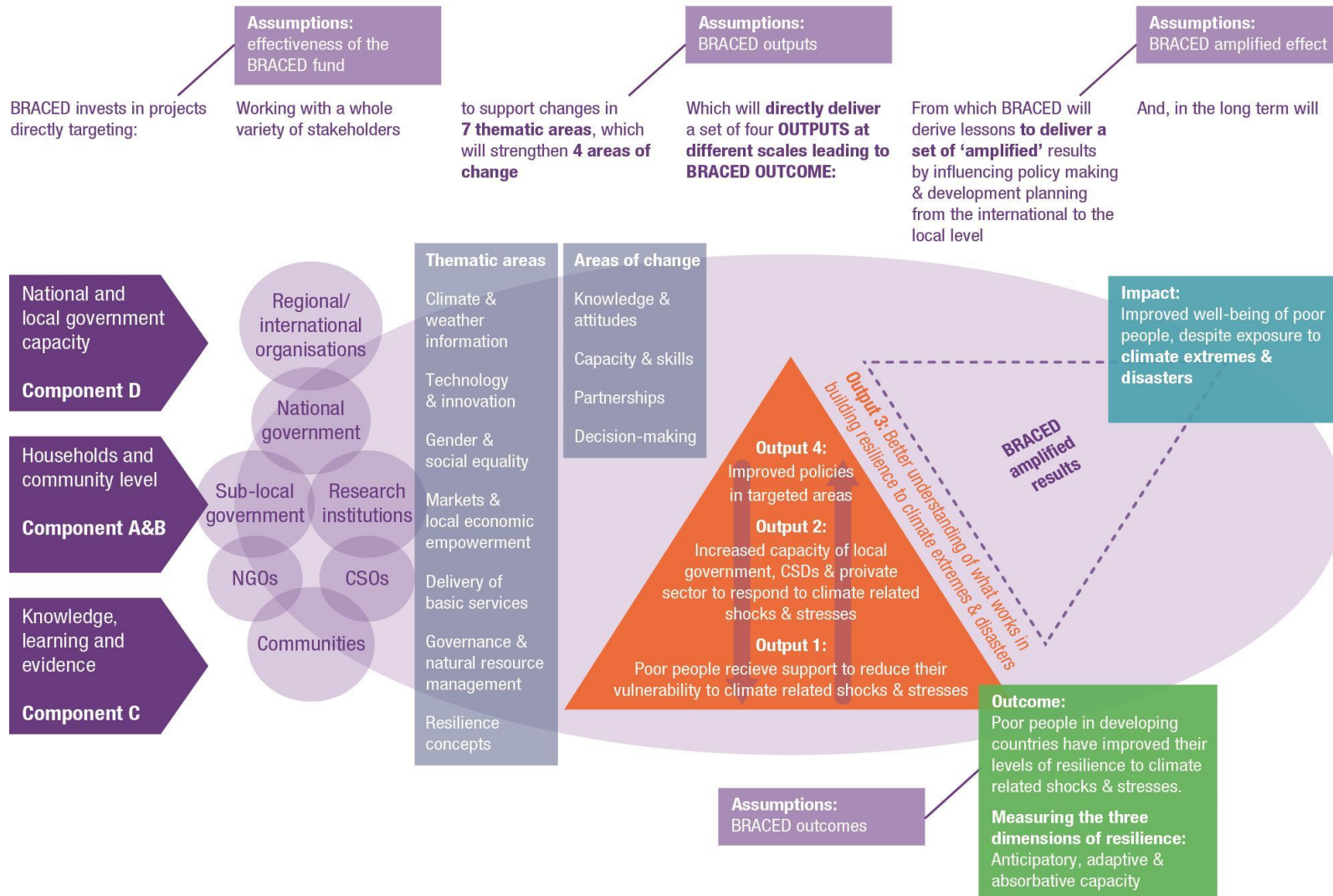
In addition, through research, communications, evaluation and learning efforts the BRACED programme also expects to generate strong and robust evidence of effective approaches to build people's resilience to climate extremes and disasters. By having in place a knowledge management function, it is expected that the BRACED programme will catalyse understanding across the identified Areas of Change – understanding better what works for strengthening capacities, improving evidence base, nurturing quality partnerships, improving decision-making processes and

informing/influencing a broad range of stakeholders. In turn, it is expected that the BRACED programme will influence policymaking and programmatic approaches for climate resilience across scales (green triangle).

Over the longer term, if successful, the impact of the BRACED programme will be improved well-being and reduced losses as climate extremes and disasters occur.

Figure 1: BRACED programme theory of change

BRACED Theory of Change (March 2015)



BRACED theory of change assumptions

While Figure 1 offers a visual sketch of the BRACED pathways to achieving outcomes, this work is embedded in a context. The BRACED programme theory of change is however, influenced by a series of assumptions.

Assumptions are normally defined as 'the necessary and positive conditions that allow for a successful cause-and-effect relationship between different levels of results.'⁶ This means that when we think about the positive changes we would like to see emerging from BRACED we are assuming that once those things are in place the results will be achieved.

Assumptions: BRACED outputs

We assume that:

- **Sufficient political will exists.** Countries are willing and have the incentives to incorporate climate change adaptation and disaster risk reduction into their decision making.
- **The operating environment is supportive** enough to allow interventions to impact on local capacity. The BRACED programme recognises that policies and institutions are always part of a larger policy landscape. They are subject to numerous external drivers and influences. It is imperative that projects consider the drivers, local political context, private sector reactions, the complexities of international political processes, the ability to secure funding for implementation and the impacts of trade and financial flows.
- **Improved knowledge and capacity leads to changes in practice and action.**
- **Learning takes place *within* the BRACED programme.** It is assumed that learning will be a driver of the BRACED programme and that BRACED Implementing Partners will apply the learning gained to improve your respective projects and maximise impact.

The BRACED programme theory of change continues to be refined. It is assumed that the precise formulation of BRACED's theory of change will remain a focus for dialogue and reflection for stakeholders as the programme matures. For example, how the outputs relate to one another is a key learning question: is capacity (Output 2) a precursor for the other outputs? The theory of change provides a framework to guide these discussions and help to build understanding.

Assumptions: BRACED programme outcomes

We assume that:

- Improvements in climate and disaster risk management lead to better developmental outcomes.

⁶ UNDP (2014) Handbook on Planning, Monitoring and Evaluating for Development results. See: <http://web.undp.org/evaluation/guidance.shtml#handbook>

- Improving access to climate and weather information, including early warning systems, strengthens resilience.
- Improving basic services delivery in different sectors strengthens household resilience.
- Only by strengthening *institutions* will it be possible to achieve the strategic, coordinated and long-term perspective that an effective response to climate change and increasing disaster risk requires.
- Improving access to markets (physical/regulatory systems/pricing information etc.) for smallholders and other producers strengthens resilience to climate extremes and disasters.
- The lessons from projects of what approaches work, and in what contexts, can *influence policymaking* and development planning in national and local governments, regional and international initiatives.

Assumptions: BRACED programme's amplified effect

The BRACED programme theory of change identifies a boundary between the outcome level change and the longer-term impact that the BRACED programme seeks to help bring about. Having contributed to improving the levels of targeted populations' resilience coupled with the establishment of an evidence base of what works in building resilience to climate extremes and disasters as a major development intervention, the BRACED programme 'hands over' to a wide range of development actors to then apply and implement interventions at scale to bring about long-term change.

We assume that:

BRACED research and evidence will be *used* in many different ways. The importance of this stage is supported by research on practice and a better understanding of resilience-building programmes. However, this stage is not straightforward, as this is an inherently political process, with multiple initiatives competing over profile, relevance and funding. The theory of change recognises that the BRACED programme's direct influence to achieve this 'amplified effect' change might be limited, given these dynamics. Nevertheless, to maintain progress towards the higher-level goal, the theory of change requires the BRACED programme to engage actively at this level to influence debates, form alliances and shape processes to create a favourable view of BRACED as a relevant and feasible approach.

Assumptions: BRACED programme's impact

The theory of change identifies that BRACED programme's long-term impact is to improve the well-being of poor people despite exposure to climate extremes and disasters.

This long-term impact depends on a wide range of stakeholders being able to successfully implement evidence-informed approaches to building resilience and adaptation to climate extremes and disasters at scale in policy, planning and practice.

We assume that:

- The BRACED programme's evidence encourages and influences learning and reflection among the international community.
- Policy processes beyond the sphere of influence of the BRACED programme will, informed by the BRACED knowledge base, contribute to the longer-term impacts.
- To support longer-term impact, new practices or policies will be disseminated and adopted at scale.

Assumptions: BRACED 'Fund' (DFID investments in Components A–D)

We assume that:

- The political favour of the UK government towards resilience programming and BRACED countries continues.
- A structure such as the BRACED programme increases the visibility of the issue we work on, thereby attracting more public and private investments to the issue areas.
- The BRACED programme represents a cost-effective means of obtaining results around resilience building/adaptation.
- The BRACED portfolio of projects and activities is such that results will be greater than the sum of constituent parts. That is, there is value in terms of production and exchange of evidence and learning across a wide-ranging portfolio of interventions, versus separate and discrete funding of individual projects.
- The BRACED programme is actively engaged in building and developing this new research, policy and practice field.
- There is value in having an independent Knowledge Manager to build knowledge and evidence, disseminate lessons and amplify the impact of investments.
 - The BRACED Fund through its Knowledge Manager offers its partners (from different sectors and using different approaches) an opportunity to learn from each other and to engage in collective learning.
 - Investments informed by sound research, community need, and best practices will be more strategic and inclusive.

What does the theory of change mean for the M&E function of the Knowledge Manager?

The BRACED programme's theory of change is only a conceptual model and as such is imperfect, partial and just one way of looking at a complex world. That said, it still gives us a starting point from which to build the BRACED M&E approach introduced in the following Notes. This includes an M&E approach that:

- Tracks progress

- Identifies evidence need and tests assumptions
- Assesses the change pathways
- Contextualises results in a given context
- Infuses learning at all levels from it.

Learning and building an evidence base about what works to build resilience involves a robust programme and project-level M&E approach as well as systems that enable critical data collection and critical reflection about the different impact pathways that BRACED projects may follow. Therefore, the BRACED programme theory of change will evolve as all BRACED stakeholders collectively test, debate and use it. It should therefore be considered as one hypothesis, which best fits with our current knowledge, expertise and assumptions, and pragmatically allows us to monitor, investigate and evaluate how lessons learned from the BRACED programme can contribute to wider development and resilience-building processes.

In the complex, shifting arena in which we work we are clear that the changes the BRACED programme seeks to influence and achieve cannot be described or illustrated in a linear fashion. Equally, we understand that between what we do and the changes we want to see there are multiple actors and factors, which might influence the outcomes (positively or negatively). Our principal vehicle for critical reflection and learning in relation the BRACED theory of change is our Areas of Change and Evaluative Monitoring approaches, which attempt to unpack the level of changes that we expect to see as a result of BRACED programme-wide efforts in a given context.

What does the revised BRACED theory of change mean for BRACED Implementing Partners?

The Knowledge Manager undertook an initial mapping of each of the 15 BRACED Components A and B projects to locate them in (and to inform) the revised programme theory of change. An exercise during the BRACED Inception Workshop undertaken by representatives from all Implementing Partners confirmed that overall the revised programme theory of change resonates with and reflects all projects (subject to some small changes which have now been incorporated).

Your project theory of change and logframe have already been signed off by the Fund Manager as a basis for your contract and for your subsequent progress reporting. Major changes are therefore not expected but we request that each Implementing Partner checks both documents to ensure alignment to the programme level.

Each project has as part of its contract a condition/milestone that you will review both your project's theory of change and logframe in light of the Knowledge Manager's review of the programme-level theory of change and logframe. This condition was originally expected to be met by the end of the first quarter (31 March 2015) but the Fund Manager has acknowledged the interdependency with this Guidance Note and also the finalisation of the BRACED programme-level ToC and logframe (which is pending agreement).

Your review of your project-level ToC and logframe is now expected following this guidance and the KM finalisation of the BRACED programme ToC and logframe. Any changes to your project logframe and ToC should be reported to the Fund Manager in accordance with the FM Grant Management Guidelines.

You can use the BRACED programme theory of change to map out your own impact pathway and identify the outcomes to which your project contributes. This helps in terms of conceptualising and reporting on your project impact. The series of Notes that follow from this chapter build on the BRACED programme ToC in order to support Implementing Partners to:

- Unpack the different change pathways your project aims to follow (see [Note 3](#)).
- Build an understanding of what resilience to climate extremes and disasters means in your particular project context (see [Note 4](#)).
- Identify and continuously test critical assumptions underpinning the success of your programme (see [Note 5](#)).
- Build 'good enough' baselines that tell the resilience story of your projects (see [Note 6](#)).

What kind of support will you receive from the Knowledge Manager?

The M&E function of the Knowledge Manager will support you in the process of improving your project's theory of change from a programme-wide perspective. We encourage you to think through your existing project theory of change and to take into considerations the programme-wide theory of change as presented in this Note. Such revisions will be project specific and it should be reflected in your project M&E plans. During the April online discussion for project M&E focal points, we will answer any questions of clarification you may have on the guidance presented in this Note (alongside questions on all other aspects of the M&E Guidance Notes). The KM will then offer all Implementing Partners 1-2-1 support to finalise project M&E plans (and thereby meet your contractual M&E milestones). This may include helping you resolve any specific issues you may be facing in the application of the BRACED programme ToC to your M&E processes. See the M&E protocols ([Note 8](#)) for more detail on how the Knowledge Manager plans to engage with Implementing Partners.

This support has now been provided by the Knowledge Manager to BRACED Implementing Partners in the finalisation of project theories of change, logframes, and baseline and M&E plans. The KM will continue to support IPs to collectively reflect on and learn from project-level theories of change as they relate to the programme level.

Note 2B: Revision of the BRACED programme logframe

Overview

This is a new Note in the M&E Guidance Notes, based on guidance drafted by the BRACED Knowledge Manager in November 2015.

The BRACED programme logframe provides the logic and reporting framework for programme Components A and B (led by BRACED Implementing Partners), Component C (led by the BRACED Knowledge Manager) and Component D (currently being scoped). It sits alongside the BRACED programme theory of change. A revised version of the [logframe](#), developed by the Knowledge Manager (KM) and Fund Manager (FM), has now been signed off by DFID.

This Guidance Note accompanies that revised version (November 2015). It is aimed at the 13 Implementing Partners (IPs) delivering the 15 BRACED projects in the Sahel, East Africa and Asia. It provides a **summary** of the revisions made to the BRACED programme logframe, the **rationale** for these changes and the **implications**, if any, for project-level monitoring and results reporting.

Some of these changes were first introduced by the KM to all Implementing Partners at the BRACED Inception Workshop (Dakar, February 2015) and in subsequent 1-2-1 calls (May–June 2015). If Implementing Partners have responded to KM recommendations on project-level logframes (June–October 2015), these implications should not be new.

Logframe revision process

The BRACED programme logframe has undergone a process of revision between the BRACED Fund Manager, Knowledge Manager and DFID during 2015. The previous version of the logframe (June 2014, Interim Knowledge Manager) required updating to:

- fill the gaps in the logframe present at the start of the programme, e.g. indicator methodologies; baseline and milestone values;
- improve the relevance, appropriateness and feasibility of indicators now the programme is established;
- ensure that the causal links between outputs, outcomes and impact are consistent and in line with the BRACED programme theory of change;
- incorporate more qualitative aspects in a previously quantitative logframe;
- ensure robust and consistent results reporting across the programme.

An interim updated version of the logframe was shared with all Implementing Partners in June 2015 to enable alignment of project-level logframes with the programme level as part of the project M&E milestone finalisation process.

The Knowledge Manager subsequently provided written feedback and recommendations to each Implementing Partner based on the draft project logframe to ensure alignment of indicators and

data collection where relevant. Implementing Partners should have responded to this feedback in the final version of the project logframe signed off by the FM. The FM may have provided further feedback to ensure logframe alignment (e.g. timing) for programme-level reporting. Feedback to Implementing Partners remains valid with this revised version of the programme-level logframe.

Logframe stakeholders

Implementing Partners, the Knowledge Manager, Fund Manager and DFID all have a stake in the BRACED programme logframe:

- **Implementing Partners** are responsible collectively for achieving results against Outputs 1 & 2 of the logframe through Component A & B projects, and contributing to the outcome and impact statements. Many projects also contribute to Outputs 3 & 4.
- **The Fund Manager** is responsible for results reporting against the overall programme logframe to DFID (including aggregation of data at output, outcome and impact levels) and monitoring the performance of Component A and B projects. The FM manages the programme logframe as the main accountability mechanism for the programme.
- **The Knowledge Manager** is responsible for analysing and aggregating qualitative data against the programme logframe (and theory of change). The KM ensures the coherence of the programme logframe and provides technical advice to Implementing Partners, the Fund Manager and DFID. The KM is also responsible for achieving results against Output 3 of the logframe (through Component C) and contributing to the outcome and impact statements.
- **DFID** is the audience for results reporting against all parts of the programme logframe. They have a particular interest in the International Climate Fund Key Performance Indicators (KPIs): 1, 4, 13 and 15.
- Roles and responsibilities for the management and implementation of Component D are still to be determined as part of the scoping phase.

Summary of logframe revisions

This section provides a summary of the revisions made by the Knowledge Manager and Fund Manager to the BRACED programme logframe. It outlines: what has changed, specifically in relation to the indicators; the reasons for this; and what the implications are, if any, for Implementing Partners. The logframe itself provides more details on the changes made.

Impact level: *Well-being of poor people, especially women and children, improves despite exposure to climate-related shocks and stresses.*

What has changed?	Why?	So what?
Two new indicators replace the original indicators for measuring	'Number of deaths' and 'Number of children under 5 suffering	The implications for IPs are:

What has changed?	Why?	So what?
<p>improvement in well-being of BRACED beneficiaries:</p> <p><i>'Proportion of BRACED countries showing improved HDI in reporting year, compared to the previous year'.</i></p> <p><i>'Percentage of districts/sub-regions in which BRACED Component A and B projects are active that show improvement in well-being data'.</i></p>	<p>from global/severe acute malnutrition' were removed because they are not an appropriate indicator of impact, especially for annual data tracking. Disaster events do not occur every year and vary in severity, and short historical samples do not provide an adequate statistic sample on which to create a baseline.</p> <p>The new indicators were added to establish the contribution BRACED has made to some HDI values, and to clarify who are the direct beneficiaries of BRACED.</p>	<p>Project logframes include a measurement of well-being (relevant to their context and their intervention) and IPs are expected to report against these indicators on an annual basis (as part of the annual reporting template to the FM).</p> <p>There is no implication for IPs of the HDI indicator.</p>

Outcome level: Poor people in developing countries have improved resilience to climate-related shocks and stresses.

What has changed?	Why?	So what?
<p>KPIs 4, 13 and 15 remain key indicators. Methodologies for data collection and aggregation have been further developed.</p> <p><i>'Assets protected' has been removed.</i></p> <p>A new indicator has been added: <i>'Number of impact case studies illustrating where national and international organisations have drawn on BRACED evidence and learning to support improvements in resilience programming.'</i></p>	<p>KPI 4 has been complemented by the 3As approach developed by the Knowledge Manager and a reporting template has been developed.</p> <p>KPIs 13 and 15 remain unchanged. The Knowledge Manager has developed scorecards for reporting against these indicators.</p> <p>In line with BRACED programme theory of change, a measurement of the KM's contribution to evidence and uptake has been added. It reflects the contribution of Component C to the outcome, which would otherwise be absent.</p>	<p>The implications for IPs are:</p> <p>At programme level, the achievement of KPI 4 level will be measured by assessing the extent to which projects contribute to improving anticipatory, adaptive and absorptive capacity (3As). Where possible, IPs will report progress against the 3As on an annual basis (as part of the annual reporting template to the FM).</p> <p>KPIs 13 and 15 are not relevant for all projects. Those IPs that have included these indicators in their logframes will report against them on an annual basis (as part of the annual reporting template to the FM).</p>

Output level:

Output	What has changed?	Why?	So what?
1. <i>Poor people receive support to reduce their vulnerability to climate-related shocks and stresses.</i>	<p>KPI 1 remains, with updated disaggregation. Two indicators have been added: <i>'Number of countries where people have improved access to climate and disaster risk-related information'</i> and <i>'Number of effective partnerships...'</i></p> <p>Two previous indicators on decision making have been consolidated and aligned to the associated AoC. There has also been a change in wording from <i>'Women'</i> to <i>'vulnerable/at risk groups'</i>.</p>	<p>The indicators added better reflect the portfolio of BRACED projects and the pathways of change. They also capture qualitative assessments. Data will be disaggregated, so <i>number of women</i> involved in decision-making processes will still be monitored and reported. However, this indicator will also now provide a measurement of other vulnerable groups.</p>	<p>The implications for IPs are:</p> <p>Quantitative measurement of partnerships will be reported against the project logframe (as part of the quarterly and annual reporting templates to the FM).</p> <p>Qualitative assessments related to partnerships and decision making will be reported on an annual basis (as part of the annual reporting template to the FM).</p>
2. <i>Increased capacity of local government, civil society and private sector to respond to climate-related shocks and stresses.</i>	<p>Two of the original indicators have been removed (on early warning systems and Tracking Adaptation and Measuring Development framework – TAMMD). They have been replaced with indicators aligned to the two other Areas of Change: capacities & skills and knowledge & attitudes. The other indicator remains the same.</p>	<p>Previous indicators did not provide a measurement of capacity and were not the most appropriate indicators for the portfolio. The new indicators provide a clear causal link to outcome indicator 1 (KPI 4) capacity.</p>	<p>The implications for IPs are:</p> <p>The numbers of individuals trained will be reported against the project logframe. Qualitative assessments related to capacity will be reported on an annual basis (as part of the annual reporting template to the FM).</p>
3. <i>Better understanding of what works in building resilience to climate-related shocks and stresses and integration into disaster risk reduction approaches</i>	<p>A quality dimension has been added to each indicator. Indicators now clearly differentiate between KM-led evaluations and IP-led evaluations with KM support.</p>	<p>This better reflects the broader scope and ambition of the KM – to not only generate new evidence and learning but also to get that evidence into use and have an amplified effect.</p>	<p>There are no direct implications for IPs of these changes.</p>

Output	What has changed?	Why?	So what?
4. <i>Improved policies integrating disaster risk reduction and climate change adaptation are in place at local, national, regional and international levels.</i>	Original indicator wording has been updated and the source updated to IP reporting data: <i>'Number of local government policies/strategies incorporating climate change adaptation and risk reduction, supported by the BRACED programme'</i> . All other indicators are pending further development of Component D.	Components A and B may also contribute to this indicator primarily at the local level. This indicator now better reflects the broader scope and ambition Components A and B.	The implications for IPs are: IPs working in issues related to this indicator have integrated a relevant indicator in their logframe. They will report on quarterly and annual basis (as part of the reporting templates to the FM).

Next steps

All Implementing Partners are advised to familiarise themselves with the revised BRACED programme logframe. If you have any questions for clarification on the content of the logframe or its implications for project reporting, please send these to the FM: go-fmbraced@kpmg.com. If you have any questions on the implications for your project M&E, please send these to the Knowledge Manager M&E team: monitoringandevaluation@resilienceexchange.net.

The annual reporting template that all Implementing Partners will first report against in May 2016 is currently being finalised by the FM and KM, including the scorecards for KPIs 13 and 15. This will be a key input to both project- and programme-level learning and evidence generation (led by the Knowledge Manager), as well as a key data source for programme-level results reporting against the programme logframe (led by the FM).

It is anticipated that the programme logframe will be updated again once all project-level logframes are finalised. The FM will be reviewing and aggregating all project-level milestones and baseline results to inform the programme-level. The logframe will also need to be revised once Component D is fully defined. The Knowledge Manager will continue to ensure that the logframe is well aligned with the programme ToC, as this is tested and updated throughout the programme.

Chapter II: Indicators, methods and tools

Overview

Chapter 1 of the M&E Guidance Notes illustrates the Knowledge Manager (KM) approach to BRACED M&E and introduces the BRACED programme vision through its theory of change. This chapter focuses practically on the different components that will enable you to qualitatively monitor the different pathways of change identified in the BRACED programme's theory of change (ToC) and to contextualise project results. It provides step-by-step guidance of the different process and outcome level indicators, methods and monitoring tools that Implementing Partners may use at different stages of the monitoring process. The steps and approaches recommended apply generally to BRACED projects. This chapter is not intended to provide detailed instructions but rather to present the core approaches and steps generally involved in each of the components presented.

Existing guidance: Previous guidance provided by the Interim Knowledge Manager included a project checklist with the mandatory requirements for:

- Integration of KPI 1 in project output level logframe and accompanying methodology. This guidance includes a brief methodology for data collection and reporting against KPI 1: *Number of people supported by DFID programmes to cope with the effects of climate change*
- Integration of KPI 4 in project outcome level logframe and accompanying methodology. This guidance describes how to estimate the numbers of people with improved resilience to climate shocks and stresses as a result of resilience building and adaptation projects. The guidance describes how to identify and develop resilience indicators at the project outcome level, and how to use these to calculate numbers of people with improved resilience

The guidance developed by the Interim Knowledge Manager primarily focused on the methodologies for integrating and reporting against International Climate Fund KPI 1 and KPI 4 mandatory indicators. While the KPI 1 & 4 guidance is mandatory in terms of results reporting, the Notes presented in this chapter are not. However, we invite and hope that all IPs will engage in developing indicators in line with the guidance and templates provided in this chapter. We hope that this will support and add value to both the Implementing Partners and the KM as part of our joint responsibility for coherent BRACED results reporting and lesson learning.

This chapter also builds on and refers to the Grant Management Guidelines developed by Fund Manager, shared with all IPs and part of your grant agreement. These guidelines set directives for operational routine monitoring and requirements for project delivery and accountability.

This chapter provides further guidance for:

Note 3: Areas of Change

What are the Areas of Change and how were they identified?

Defining the four Areas of Change

How to establish and track the Areas of Change process?

Reporting the change pathways

When/how should data be reported and what will be done with the data provided?

What kind of support will you receive from the Knowledge Manager?

Note 4: Measuring BRACED outcomes: The 3As approach

Why the 3As approach?

Defining the 3As

Key issues to bear in mind from an M&E perspective

What do the 3As mean for BRACED Implementing Partners and the Knowledge Manager?

When/how should data be reported and what will be done with the data provided?

What kind of support will you receive from the Knowledge Manager?

Note 5: Evaluative Monitoring

What is Evaluative Monitoring? And why is it important?

Practical considerations: How and when?

When/how should data be reported and what will be done with the data provided?

What kind of support will you receive from the Knowledge Manager?

Note 6: Project baselines

Establishing your project baseline in the context of climate variability and change

Recommended approaches to baseline development

The monitoring process

What kind of support will you receive from the Knowledge Manager?

Table 1: Summary of BRACED M&E components and its implications for IPs' M&E plans

	Purpose	Implications for M&E plans
Areas of Change	To monitor and evaluate the casual pathways and set of processes by which resilience is built	Define your progress markers (expect to see, like to see, love to see) against your identified Areas of Change

3As	To better understand project-level outcomes in relation to building resilience to climate extremes and disasters	Add/tweak project outcomes in a way that captures the 3As (not mandatory but recommended)
Evaluative Monitoring	To better monitor and evaluate the contextual factors that enable or constrain change	Identify the contextual factors that may enable or constrain change and methods/tools to analyse and reflect potential trends and impacts

Note that the reporting templates referred to and included in this chapter are the original March 2015 draft versions. These have since been simplified and integrated into the annual reporting template in response to feedback received from Implementing Partners.

Note 3: Areas of Change

Overview

Existing guidance: The Interim Knowledge Manager (IKM) developed a methodology for reporting against the International Climate Fund Key Performance Indicator (KPI) 4 for Implementing Partners to estimate the numbers of people with improved resilience to climate shocks and stresses as a result of BRACED project activities. The KPI 4 methodology sets out nine steps to report the numbers of people with improved resilience as a result of project support. All Implementing Partners are expected to adopt the KPI 4 methodology and report the number of people whose resilience has been improved through your M&E plans and results reporting processes.

This Note has been developed to complement the KPI 4 guidance. The guidance is explicitly designed to generate data that is qualitative and explanatory in nature in order to validate, explore and explain the 'numbers' generated through the KPI 4 guidance. The Note and the framework it sets out are also designed to respond to a number of key gaps in the original BRACED programme logframe (**the gaps have now been filled in the revised version of the programme logframe, November 2015**). Project-level reporting against the Areas of Change will therefore support and enable more systematic and coherent programme-level reporting and lesson learning.

About this Note

This Note responds to a set of perceived gaps in the previous BRACED M&E guidance:

- KPI 4 is primarily a quantitative indicator, hence a need for a simple framework to consistently validate, explore and explain the 'numbers' generated through the KPI 4 guidance.
- The problem of the 'missing middle' in terms of clearly understanding the causal pathways that link project outputs to resilience outcomes and ultimately to impacts on human well-being is also evident in the BRACED programme.
- Results reporting against the BRACED programme logframe and wider lesson learning requires a relatively simple yet consistent framework and reporting structure in order to simplify and streamline data from project to programme level.

This Note outlines a simple framework based around four 'Areas of Change' (partnerships, knowledge, inclusive decision making, and capacity) for addressing these gaps in a way that adds value and is useful to both Implementing Partners and the Knowledge Manager.

Added value to your ongoing M&E: the framework has been designed as a simple and flexible one that supports all Implementing Partners to understand and report on the processes by which resilience is improved in a qualitative and explanatory way, contextualising and potentially validating the more quantitative and mandatory KPI 1 & 4 guidance.

Acknowledging the subjective interpretation of the framework and the reflective / anecdotal nature of the data generated: We recognise that the practical application of the framework by

Implementing Partners relies on a degree of subjective interpretation of the framework and on the specific project within which it is applied. The data generated through the framework will be qualitative and explanatory and hence reflective, responding to your and other key stakeholders' experiences and interpretations. These challenges are inherent in any framework that seeks to explore the nature of a set of resilience-building processes over such a diverse set of contexts and scales such as the BRACED programme.

Key take away points from Areas of Change

The Areas of Change framework:

- Illustrates and explores the causal pathways that link project outputs to resilience outcomes and ultimately to impacts on human well-being.
- Complements KPI 4 guidance – the framework broadly follows the first three steps of the KPI 4 guidance allowing you to use and apply the knowledge you have already generated when working the KPI 4 guidance into your M&E plans.
- Attempts to be simple, flexible and useful to develop and apply – the framework allows you to generate data which is qualitative and explanatory in nature in order to validate, explore and explain the context-specific 'numbers' generated through the KPI 4 guidance.
- Supports a degree of standardisation and coherence to enable aggregation, synthesis, and results reporting between projects and across the programme according to the BRACED programme logframe.
- Will also support project and programme-level lesson learning about the key processes by which resilience is built across contexts, at different scales and over time.

What are the Areas of Change and how were they identified?

The Areas of Change (AoC) explain *how* BRACED projects and the programme as a whole improve resilience. They outline a core set of processes or causal pathways that link project outputs to resilience outcomes and ultimately to impacts on human well-being. We believe that for BRACED projects to deliver outcomes they must contribute to changes in one or more of the four Areas of Change. They represent what is often referred to as the 'missing middle' in project and programme logframes and theories of change by illustrating the processes by which outputs contribute to more meaningful outcomes.

The four Areas of Change are defined as:

- **Changes in knowledge and attitude** in relation to resilience building, in order to further strengthen policies and practices.
- **Changes in the capacities and skills** of national and local government, civil society and private sector to manage the risks of climate extremes and disasters.
- **Changes in the quality of partnerships to deliver interventions.**

- **Changes in decision-making processes** through inclusive participation, as one key aspect of a resilient system.

The four Areas of Change are derived from an assessment of the 15 project theories of change together with a broader assessment of the literature on: resilience frameworks; the processes or causal pathways that link project outputs to outcomes; and other process indicator frameworks used in different contexts. The Areas of Change were validated with all Implementing Partners during an exercise at the BRACED Inception Workshop (Dakar, February 2015)

Framing all four within a 'behaviour change indicator framework' was initially explored. However, we decided that this concept added an unnecessary layer of complexity. Rather, the four BRACED Areas of Change have intentionally not been narrowly defined as indicators in order to allow you to adapt and interpret each Area to your particular project context. In the future and as part of the BRACED thematic learning on 'measuring resilience', we welcome your feedback and discussion both on the utility of framing the Areas of Change within a behaviour change framework as well as any feedback on the nature and suitability of the four Areas of Change.

Defining the Areas of Change

Critical to the success of the Areas of Change framework is establishing clear and shared definitions for each of the areas so that they can be clearly interpreted by each Implementing Partner across a broad range of BRACED project contexts. If the definitions are too specific they may not be relevant across the range of projects.

The table below presents working definitions for each AoC along with some headline guidance/determinants on how they could be interpreted:

Table 2: BRACED Areas of Change

Area of change	Working definition	Determinants
Knowledge	<i>Changes in the level of knowledge in relation to resilience building in order to further strengthen practice, planning and/or policy</i>	One way of thinking about knowledge is in terms of (1) instrumental use, (2) conceptual use, and (3) symbolic use. (1) Instrumental use involves applying knowledge in specific and direct ways – e.g. a new technology is adopted by a community. (2) Conceptual use involves using knowledge for general enlightenment – e.g. the project generates new knowledge on how a particular technology can contribute to resilience building (3) Symbolic use involves using knowledge to legitimatise and sustain predetermined positions – e.g.

Area of change	Working definition	Determinants
		a project provides the evidence base upon which policy makers and planners can justify their decisions
Capacity	<i>Changes in the skills and capabilities of key project stakeholders to manage the risks of climate extremes and disasters more effectively in relation to project objectives</i>	Capacity can be viewed narrowly as supporting the building of key skills through to the more ambitious shaping of new attitudes and behaviours, shifting institutional relationships, and ultimately supporting new, locally-driven policies and practices. Additionally, how resources are distributed is key to capacity to do anything
Partnerships	<i>Changes brought about by the project in the nature and quality of partnerships between key stakeholders which are central to the achievement of project outcomes</i>	<p>Determinants of quality partnerships may include: shared vision and values; culture of collaboration, trust and respect; clarity and transparency of goals; a durable and sustainable structure; high-quality leadership; partnership is reflective and responsive to change.</p> <p>The following detailed definition was developed to provide further clarity:</p> <p>Partnerships are defined as “voluntary and collaborative relationships between various parties in which all participants agree to work together to achieve a common purpose or undertake a specific task, bringing results that could not be achieved by a single partner operating alone.”</p> <p>Establishing partnerships to deliver interventions can be simply defined as having three incremental aspects which may be mapped to the expect to see/like to see/love to see continuum as follows:</p> <ul style="list-style-type: none"> • Partners agree on a set of principles and objectives for working together – <i>expect to see</i> • Partners engage and are involved in joint planning and implementation of activities – <i>like to see</i> • Consolidated partnership delivers improved results – <i>love to see</i>
Inclusive decision making	<i>Changes in the people who are involved in decision making by assessing who is participating, in which activities, and what their concern and contributions are and should be.</i>	<ul style="list-style-type: none"> • Decision-making processes – can be characterised by changes in the nature of participation on a continuum from passive – consultative – collaborative – empowered. • Participation – can be characterised by who participates (individuals, households, communities)

Area of change	Working definition	Determinants
		<p>disaggregated by gender, age, disability, and decision-making power, etc.</p> <p>The following detailed definition was developed to provide further clarity:</p> <p>More inclusive decision making for vulnerable/at risk groups can be simply defined as having three incremental facets or components (responsiveness, participation, and legitimacy) which may be mapped to the 'expect to see/like to see/love to see' continuum as follows:</p> <ul style="list-style-type: none"> • Expect to see – responsiveness: vulnerable/at risk groups are engaged and involved in defining the challenges and problems they face • Like to see – participation: vulnerable/at risk groups are engaged and involved in defining the challenges and problems they face, PLUS they are engaged and involved in shaping the decision-making process for addressing and solving the problems they face • Love to see – legitimacy: vulnerable/at risk groups are engaged and involved in defining the challenges and problems they face, and are engaged and involved in the decision-making process for addressing and solving the problems they face, PLUS they are engaged and involved in reviewing and refining the outcomes (both positive and negative) of the decision-making process that they shaped

How to establish and track the Areas of Change process?

The Areas of Change framework has been designed to be self-reported by Implementing Partners based on your own experience and reflection. You may choose to, and we encourage you to, include the key stakeholders directly responsible for the Areas of Change processes in your reflection and reporting.

While we are not suggesting you follow a formal 'Outcome Mapping' type approach, there are two key concepts from Outcome Mapping that you may find useful when establishing and tracking the Areas of Change framework.⁷

- *Boundary partners* – those individuals and groups with whom Implementing Partners work and interact under the project in order to bring about change under one or more Areas of Change. Change between the output and outcome level is generally contingent on a number of groups and individuals beyond the direct project beneficiaries who are the focus of the KPI 4 guidance; and
- *Progress markers* – the desired changes inherent in your project design and theory of change that link outputs to outcomes. These, under Outcome Mapping, are defined in terms of '*expect to see*', '*like to see*', and '*love to see*'.

Based on this understanding, we suggest the following steps for you to define and report against the Areas of Change:

1. Start with the problem being addressed, the situation/context, and the nature of the Areas of Change processes the project is enabling / contributing to. This maps to KPI 4 guidance step 1 so should already be in place for the majority of Implementing Partners.
2. Define the key stakeholders (individuals and groups and not necessarily direct beneficiaries) with whom the project works and interacts in order to bring about change under one or more Areas of Change. One way to approach this is to define the major Area of Change processes for different stakeholder groups. The Outcome Mapping definition of Boundary Partners may be useful in this step (see above).
3. Define what you would *expect to see*, *like to see*, and *love to see* across the set of Areas of Change. This should be based on your project theory of change – particularly the processes that link outputs to outcomes. This maps to KPI 4 guidance step 2.

Note – that not all four of the Areas of Change need to be covered and some may not be appropriate depending on your intervention logic, activities and change pathways inherent to your project design. It is also expected that some projects will need to define multiple set of processes under the same Area of Change – e.g. multiple capacity building processes each with your own set of progress markers.

It may be helpful for you to use the following interpretations (a further example of a set of 'progress markers' written for a natural resource management project is provided in [Annex 1](#) at the end of this Guidance Note):

- *Expect to see* – These define and capture the changes that you would really expect to see given the delivery of planned project activities. They often relate to the first changes in

⁷ http://betterevaluation.org/plan/approach/outcome_mapping

the Areas of Change that you would see in your key stakeholders if the project is delivering at or beyond the output level.

- Like to see – These define and capture the kinds of changes you will see if your project is starting to have an effect beyond its direct activities and outputs.
 - Love to see – These define and capture the really transformational change potential of the project and are likely to be more dependent on sets of key stakeholders and partners as well as a broader set of assumptions about the wider enabling environment for project success.
4. Bring together a small set of relevant progress markers across the four areas setting out the key stakeholder group as well as the nature of the changes anticipated defined by *expect to see, like to see, and love to see*. It is not expected that each project will define progress markers for more than 8-10 separate stakeholders/partners across the Areas of Change. Each project may not necessarily cover all four Areas of Change. [Annex 2](#) illustrates the draft-reporting template for one AoC process. This template should guide you in your reporting process against the Areas of Change in the FM grant management guidelines (see reporting section below). **Note that the template included here is the original draft – this has been subsequently revised in line with IP feedback and integrated in the FM annual reporting template.**
 5. Engage with the KM M&E team as part of the Implementing Partner M&E feedback process to further refine and develop your Areas of Change.
 6. Report against Areas of Change progress markers when you witness change – at least annually but more frequently if this is useful to you.

Reporting the change pathways

Contextualising the change process

Change processes need to be considered within the wider context and baseline situation. For example:

- Areas of Change for individuals, households or communities – this depends on the intervention logic presented in your project's theory of change and the actors involved in the processes that link project outputs to project outcomes. The KPI 4 guidance is concerned specifically with the change in resilience of individuals. This complementary guidance situates a project's change processes within a broader context of households, communities and even systems (see [Note 5](#)).
- Defining changes in the Areas of Change relative to the climatic baseline in the face of uncertain shocks and stresses (see [Note 6](#)).

This Note therefore should be read and implemented in conjunction with Notes 5 and 6. We would welcome your feedback and ideas on how feasible it is to measure change in this way and what the challenges are. This learning will form an early contribution to the cross-BRACED evidence and learning on 'measuring resilience'.

Link to Evaluative Monitoring framework presented in Note 5 – focus on the processes internal to a particular project by which resilience is improved. There is an assumption that the four Areas of Change are built and enhanced within an enabling environment at the local, national and international levels. The nature of this enabling environment and the extent to which it supports or constrains your project's Areas of Change should be explored and reported under the Evaluative Monitoring framework (see [Note 5](#)).

Reporting for annual KM M&E reporting and lesson learning – The KM proposes to collate and synthesise Implementing Partner Areas of Change data annually in line with the DFID BRACED annual review process and as part of the BRACED KM Annual M&E Report. The data will be aggregated and synthesised where feasible to produce a set of programme-level Areas of Change results and lessons. Some follow up may be asked of those Implementing Partners with particularly interesting / informative / illustrative Areas of Change results.

Reporting against the BRACED programme logframe – Your Areas of Change reporting will also feed directly into the BRACED programme logframe reporting. This is intended to simplify and streamline both project and programme results reporting against the programme logframe.

Note – the revision of programme logframe is still to be confirmed between the KM, FM and DFID and is expected to be agreed during April/May 2015. **The programme logframe has now been finalised. The Areas of Change have been mapped against the BRACED programme logframe Output Indicators 1.3 (partnerships), 1.4 (inclusive decision making), 2.1 (capacity and skills) and 2.2 (knowledge and attitude).**

When/how should data be reported and what will be done with the data provided?

An Area of Change reporting template has been designed in line with the guidance outlined above. This simple template (see [Annex 2](#)) has been developed to support you to record changes in the Areas of Change in 'real-time' as they become evident. It should also support you in your reporting efforts and to ensure consistency across reporting efforts under BRACED. Our intention is that this template will be incorporated into your routine results reporting to the Fund Manager.

We will endeavour to design the reporting template to be as user-friendly as possible with the aim that it provides an efficient platform for Implementing Partners to record changes in the Areas of Change in 'real-time' as they become evident.

We anticipate that, as a minimum, data should be reported under the BRACED project annual reporting process. More broadly, we hope this adds value to your results reporting and therefore we anticipate that Implementing Partners will report on a biannual basis to record any significant changes that may become relevant against your indicators. We suggest that projects will not see enough change to be able to report on a quarterly basis and reporting on just an annual basis is a missed opportunity for critical reflection and reporting against the Areas of Change.

The Knowledge Manager M&E function will quality assure, analyse and synthesise Implementing Partners' data on the Areas of Change on an annual basis to identify evidence and learning at the programme level of how change happens.

Areas of Change reporting will also feed directly into the BRACED programme logframe reporting.

Note that the Areas of Change template has been subsequently revised in lined with Implementing Partner feedback and integrated in the Fund Manager annual reporting template. Areas of Change have also been included in the updated quarterly reporting template to support Implementing Partners' ongoing data collection and reflection.

What kind of support will you receive from the KM?

The M&E function of the Knowledge Manager will support you in the process of improving your monitoring activities and reporting in relation to your project Areas of Change. We encourage you to think through your existing pathways of change and to take into consideration how the BRACED Areas of Change defined in this Note could be embedded in your M&E plan. Such revision will be project specific, which should be reflected in your project M&E plans. During the April online discussion for project M&E focal points, we will answer any questions of clarification you may have on the Areas of Change approach (alongside questions on all other aspects of the M&E Guidance Notes). The KM will then offer all Implementing Partners 1-2-1 support to finalise project M&E plans (and thereby meet your contractual M&E milestones). This may include helping you resolve any specific issues you may be facing in the application of the Areas of Change to your M&E processes. See the M&E protocols ([Note 8](#)) for more detail on how the Knowledge Manager plans to engage with Implementing Partners.

This support has now been provided by the Knowledge Manager to BRACED Implementing Partners in the finalisation of project theories of change, logframes, M&E and baseline plans. The KM will continue to support IPs to collectively reflect on and learn from the application of the Areas of Change to project-level M&E.

Note 4: Measuring outcomes from BRACED – the 3As approach

Overview

Previous guidance: KPI 4 aims to track the ‘number of people whose levels of resilience has been improved as a result of project support’. More specifically, according to earlier guidance issued by the BRACED Interim Knowledge Manager, this aims to measure the ability of communities to ‘anticipate, avoid, plan for, cope with, recover from and adapt to (climate-related) shocks and stresses’. The approach presented in this Note takes this conceptualisation forward and provides more detail on understanding the outcomes of resilience-building processes.

About this Note

This Note introduces the 3As approach to help you to understand the outcomes of projects aiming to improve resilience – through ‘Anticipatory’, ‘Adaptive’ and ‘Absorptive’ capacities – and as such complements the guidance already available for tracking KPI 4.

This is not a prescriptive and mandatory framework as we understand that the preparation of the M&E processes for BRACED projects are well under way. That said, based on initial feedback, it is fairly clear that the 3As approach resonates with the processes adopted by a number of projects and with the approaches that the KM will be adopting for its own research and evaluation work.

Added value to your on-going M&E: the 3As provide you with an analytical lens to better understand the outcomes of ‘resilience building projects’.

The BRACED Knowledge Manager has continued to develop its thinking on how to analyse the resilience outcomes and the potentially transformative impact of BRACED interventions. The associated [paper](#) should be read alongside this original Note on 3As.

Key take away points from the 3As approach

- The 3As approach is not mandatory but provides a useful framework to understand the manner in which interventions are allowing individuals to deal with shocks and stresses.
- It enables the consolidation of programme-wide learning on the manner in which BRACED has helped enhance resilience in the target areas.
- It is a simple, universally recognisable explanatory framework that facilitates a sharp understanding of outcomes of resilience-building interventions.

Why the 3As approach?

Resilience is understood to be the capacity of a system to change and adapt in the context of multiple and interacting shocks and stresses. As such, measuring project ‘outputs’ is not enough to

gauge whether a system (household, community, village etc.) has become resilient. It is vitally important to measure the 'outcomes' of resilience-building processes as a set of interlinked capacities to absorb, anticipate and adapt to shocks and stresses (the 3As). These capacities in turn, help ensure that well-being and human development of communities carries on in spite of shocks and stresses. For example, it is vital to understand the manner in which the capacity building of communities on understanding disaster risk (input) that may lead to the preparation of household preparedness plans (output) results in the household's capacity to absorb, anticipate and adapt to shocks/stresses (outcome) which in turn helps in the community's well-being and development processes continue undisturbed (impact).

This 3As approach is informed by a foundational analysis of close to 50 resilience frameworks undertaken by the Knowledge Manager in the inception phase. Looking at these three capacities not only provides an effective way of understanding the outcomes of processes to build resilience, it also provides a standard lens through which to analyse the achievements of the Component A and B projects collectively.

Defining the 3As

Table 3: Summary – the 3As defined

	Anticipatory capacity	Adaptive capacity	Absorptive capacity
Definition	Ability to undertake proactive actions to avoid upheaval from shocks and stresses	Ability to react to evolving/dynamic risk of disturbance to reduce the likelihood of harmful outcomes	Ability of systems to buffer the impacts of shocks in the short term to avoid collapse
Hazards	Specific shocks and stresses	Multiple and evolving shocks and stresses	Multiple shocks
When is this activated/exercised?	Before disturbances	During and after disturbances	After disturbances
Time horizon	Short to medium term	Medium to long term	Short term
Example actions to build this capacity	<ul style="list-style-type: none"> • Heeding early warnings • Building houses on stilts • Issuance of codes for buildings and infrastructure and necessary compliance 	<ul style="list-style-type: none"> • Changes in crops grown to better engage with changing climatic conditions • Mainstreaming climate change into sectoral development policies 	<ul style="list-style-type: none"> • Community access to savings and streams of finance • Disaster preparedness activities • Building in redundancy in the provision of basic services
Illustrative indicators	<ul style="list-style-type: none"> • % of houses on stilts in a community • % of buildings and/or other assets 	<ul style="list-style-type: none"> • % of agricultural land devoted to the 	<ul style="list-style-type: none"> • % of households covered by social

	Anticipatory capacity	Adaptive capacity	Absorptive capacity
	complying to building regulation codes <ul style="list-style-type: none"> • The number of people targeted by the emergency radio announcements 	production of drought resistant crops <ul style="list-style-type: none"> • % of the agricultural production irrigated. • Share of the added value of national production directly exposed to a specific disaster (such as drought) 	security/ safety net programs. <ul style="list-style-type: none"> • Emergency accommodations (i.e. cyclone shelters) in % of the population identified as exposed to a specific risk, • % of population with access to banking services • Level of national emergency funds in share of the GDP or per inhabitant

Anticipatory capacity

Anticipatory capacity pertains to the ability of individuals in a system to undertake proactive actions to avoid upheaval from disturbances.⁸ This can result from strategies that aim to avoid exposure and/or reduce vulnerability. As such, it is in sharp contrast to 'reactive' actions that necessarily take place after a disturbance has been felt, assuming that the community in question has not been overwhelmed to the point of collapse. It is exercised well before a disaster event and should become evident in advance of disturbances. Anticipatory capacity is usually exercised in the context of specific shocks.

There are a number of actions that would demonstrate the presence of this capacity in a particular system. At the local level, these could include the heeding of early warnings and relocation out of the path of an incoming hurricane to avoid exposure; diversification from only farming to also growing poultry in anticipation of flood events; and the building of houses on stilts to hedge against the risk of inundation from high intensity rainfall events and flooding. At higher levels of governance, illustrative actions could include the installation of early warning systems and the issuance of codes for buildings and infrastructure.

Even though indicators need to be highly tailored for individual contexts, these could resemble the following:

- Local level: percentage of houses on stilts in a community; change in the geographical distribution of an economic activity (variation of the share of industry in risk flood areas),

⁸ https://ieg.worldbankgroup.org/Data/reports/chapters/cc3_chap4.pdf

changes in the location of population in risk prone areas (i.e. share of informal settlements in flooding areas), share of households with a climate index (or flood) insurance.

- Sub-national: percentage of buildings and/or other assets complying with building regulation codes (with safety standards and regulations for disasters).
- National level: number of people covered by an early warning system, the number of people targeted by emergency radio announcements, budget of a national disaster risk agency (as a percentage of the GDP or per capita).

Adaptive capacity

This is the ability to take deliberate and planned decisions that are based on an awareness that conditions have changed or are about to change and that action is required to achieve a desired state. This includes the ability to 'react to evolving hazards and stresses in order to reduce the likelihood of the occurrence and/or the magnitude of harmful outcomes resulting from climate-related hazards'.⁹ Importantly, adaptive capacity also includes the ability to take advantage of opportunities that changing circumstances present. Adaptive capacity is also different to anticipatory capacity as it does not emphasise the avoidance of exposure to the same extent and is more about adapting to and living with shocks and stresses.

There are a number of illustrative actions that are demonstrative of adaptive capacity in a particular system. At the local level this may mean a change in crops grown to better engage with changing climatic conditions (potentially for a higher return) or altering the architecture of houses to make them cooler by including ventilators. At higher levels adaptive capacity can be evidenced by mainstreaming climate change into sectoral development policies so that, for instance, national agricultural strategies demonstrate sensitivity to changing climatic conditions.

Just as with indicators of anticipatory capacity, indicators for adaptive capacity need to be highly tailored but could include:

- Local level: percentage of agricultural land devoted to drought resistant crops.
- Sub-national level: percentage of population adopting resilient technologies (irrigation, drought resistant crops) in agricultural production; percentage of construction done using resilient design principles.
- National level: the sensitivity of the national economy to a climate event could also be evidenced by the share of the added value of national production directly exposed to a specific disaster (such as drought).

Absorptive capacity

Absorptive capacity is similar to 'coping capacity' and as such pertains to 'the ability of people,

⁹ http://www.climate-decisions.org/2_Adaptive%20Capacity.htm

organisations and systems, using available skills and resources, to face and manage adverse conditions, emergencies or disasters.¹⁰ By definition absorptive capacity is the ability of systems to buffer the impacts of natural hazards in the short term to avoid collapse. More specifically, this refers to the degree to which people's livelihoods and basic needs suffer as a result of specific disturbances. As such, absorptive capacity is centrally concerned with the 'persistence' of communities, it is vital to the survival of communities and is the foundation of longer-term adaptation and resilience.

At the local level, absorptive capacity is evidenced from actions such as community access to savings and streams of finance to help tide over periods of turmoil. Also, various activities and actions that are traditionally part of 'disaster preparedness' activities, including the advance placement of stocks and medicines, allow communities to absorb shocks and avoid catastrophe. At the national level actions such as effective emergency management policies; building in redundancy in the provision of basic services (e.g. water and electric supply) so that shocks don't overwhelm these life support systems – are all indicative of absorptive capacity; and the provision of safety nets for vulnerable communities.

Illustrative indicators of absorptive capacity could be:

- Local level:
 - percentage of households covered by social security/ safety net programmes of the population with access to health services
 - percentage of the population with access to banking services
- Sub-national: level and national level:
 - percentage of the population with access to cyclone shelters
 - percentage of national budget devoted to social protection
 - amount of financial resources immediately available to government in response to a shock (such as the level of national emergency funds in share of the GDP or per inhabitants)
 - level of the national private safety net.

Key issues to bear in mind from an M&E perspective

- After having examined definitions of absorptive, adaptive and anticipatory capacity, it is vital to understand that this is not a directive and graduated scale. Your project may choose to focus on building one or more of these capacities to enhance the resilience of communities, and it is impossible to stipulate priorities as these would differ from context to context. After all, it would be imprudent to start building the long-term adaptive capacity in a community that is in the path of a cat. 5 hurricane about to make landfall

¹⁰ <http://www.preventionweb.net/english/professional/terminology/v.php?id=472>

in a day or two. Conversely, for a farming community experiencing creeping soil salination it would be fairly important to understand the nature of changes and adapt to new conditions rather than prioritise focus on short-term coping strategies. Therefore, you should not feel compelled to focus on one capacity over another based on this guidance but should retain the priorities that guide your work based on a careful analysis of the context. It is also vital to remember that the KM is not suggesting that Implementing Partners deploy the 3As to guide project interventions. We are only proposing that this be used as a tool to analyse the outcomes that the projects may be having.

- Additionally, these capacities share synergies and building one capacity can often support the building of another. For instance, without the capacity to absorb shock, a community hit by an extreme event may collapse and therefore the question of developing adaptive capacity may never arise. Similarly, in a community affected by shocks (e.g. hurricanes) and stresses (e.g. salination) one may need to simultaneously deploy anticipatory capacity to deal with the former and adaptive capacity for the latter. In this case, a combination of these capacities would jointly deliver resilience. Similarly, there would be a number of other permutations and combinations of these capacities for resilience. Therefore, you should not worry about analysing indicators that align with these categories discretely/individually but should look at the manner in which they might help track one or more of these categories (see next point too).
- While we have provided indicators separately (see Table 3) against each of the 3As one should be mindful of the fact that these are only illustrations. In reality, it may well be that the same indicator is relevant to track the generation of all three capacities. Complementarity of the 3As could be represented in the aggregation of the various indicators in a composite index illustrating the overlaps and the inter-relation between the three components (see existing KPI 4 guidance for more on composite indices).
- Notably, projects may have a slightly different conceptualisation of what is meant by the 3As. For example, the way in which some projects define adaptive capacity may already have elements of anticipatory capacity as described above. This is fine and as long as the broad elements of the 3As are reflected in the outcomes, the isolated exploration of these capacities is not particularly important.

What about transformation?

We are aware of the manner in which ‘transformation’ has been fast gaining traction as an approach to understanding resilient outcomes. After undertaking a few foundational pieces of analysis on the concept of transformation as it applies to climate change and disasters¹¹ the Knowledge Manager

¹¹ <http://www.ids.ac.uk/download.cfm?objectid=3EB07280-1DEA-11E2-B584005056AA0D87>

¹¹ <http://eau.sagepub.com/content/early/2014/03/03/0956247814522154>

does not find it to be a type of capacity that contributes to the resilience in the same way as the 3As. That is not to say that transformation as a concept does not add to our understanding of resilience. Instead, it presents an approach to understanding the structural/fundamental ways in which people's capacity to absorb, adapt and anticipate shocks can be built. Let's illustrate this with an example:

Transformation is often understood as actions that aim to enhance social equity and reduce exclusion¹² such as conditional cash transfers to women to boost their bargaining position within the family so that they can determine pathways of adaptation and risk reduction. This may well be a 'transformational approach' but ultimately it directly results in women's ability to absorb, anticipate or adapt to shocks and stresses.

The BRACED programme logframe now includes International Climate Fund KPI 15 (Outcome Indicator 4) in order to measure the extent to which the programme as a whole contributes to transformational change. The Knowledge Manager has developed a scorecard and related guidance to support data collection by Implementing Partners and aggregation by the Fund Manager.

What do the 3As mean for BRACED Implementing Partners and the Knowledge Manager?

Implications and operationalisation

How will the data be used? Links to project and programme research activities

It will primarily be M&E processes that will help develop an understanding of the manner in which projects are helping enhance adaptive, absorptive or anticipatory capacity. However, M&E and research in the BRACED programme are mutually supporting activities. Almost all of the 15 BRACED projects are planning some kind of research and learning activities on resilience. An easy way to gauge the manner in which particular interventions are building resilience could be to ensure that these activities deploy the 3As for collecting data, analysing findings or, ideally, both. For instance, if you are doing a research study focused on analysing the manner in which access to health services impacts household resilience, you could choose to understand the manner in which access to health services supports the enhancement of absorptive, adaptive and anticipatory capacity. The Knowledge Manager will be adopting this approach to guide our own M&E and research activities.

¹¹ http://www.sv.uio.no/iss/english/research/news-and-events/events/conferences-and-seminars/transformations/proceedings-transformation-in-a-changing-climate_interactive.pdf

¹² http://www.reachingresilience.org/IMG/pdf/resilience_new_utopia_or_new_tyrrany.pdf

There are a number of ways in which the 3As can be tracked as part of the BRACED programme. All of these will require you to process the information above and then review your existing M&E and research processes.

Project M&E processes

You could work to integrate the 3As in M&E processes in the following manner:

Logframe review:

Note – any changes that you make to your logframe will need to be justified to and signed off by the Fund Manager. As your logframe forms a key basis of your contract, we do not anticipate major changes to it.

1. We suggest that you could review the outcomes currently listed in your logframe to analyse the manner in which they correspond to the 3As described above. If you feel that they adequately capture the manner in which target communities may be developing absorptive, anticipatory and adaptive capacity (as described above) then your logframe probably needs little or no change.
2. If, however, you feel that the outcomes that currently listed in the logframe do not correspond to the conceptualisation presented in this Note then you could take any of these three actions:
 - a. add an outcome that relates to these three capacities based on your understanding of them;
 - b. tweak and amend an existing outcome so that it captures one or more of these three capacities more directly;
 - c. as this guidance is not mandatory you could also choose to not take any action but this of course would be the least preferred option for the reasons already explained.

If you decide to take option A (add an additional outcome)...

then you would need to refer to the table that characterises the 3As included above (Table 3) and develop an outcome that subscribes to the essential characteristics of whichever of the three capacities that you are choosing to focus on. For example, if you choose to develop an outcome that is focused on absorptive capacity then it must capture the manner in which communities bounce back after different kinds of shocks and how their ability to recover after experiencing a shock in the short term is enhanced.

Needless to mention, amending the logframe outcomes in this way may also require some additions or amendments to associated outcome indicators, outputs and inputs (see below).

If you decide to take option B (tweaking an existing outcome)...

then you first need to decide which of the 3As that particular outcome pertains to (it could be one or more), examine the manner in which the current conceptualisation of the outcome is deficient in reference to the explanation of the 3As above and then amend the outcome to fill the gap

identified. For example, you may have an outcome that includes only facets of absorptive and adaptive capacity but does not take anticipatory capacity into account at all. If you wish to add more on anticipatory capacity, you should amend this so that it is able to track the community's capacity to undertake proactive actions to prepare for and avoid specific shocks in advance.

Again, amending the logframe outcomes in this way may also require some additions or amendments to associated outcome indicators, outputs and inputs (see below).

Theory of change review:

1. While examining your logframe for the manner in which it reflects the 3As, we recommend that you also look at your project theory of change from which your logframe originates. This is because making changes/tweaks to outcomes might need to be supported by some adjustment of other components too.
2. As outcomes are supported by outputs, changes made to the former may need to be reflected in the latter as well. For example, if you are adding more about anticipatory capacity at the outcome level you should review the outputs to check whether they are supporting outcomes adequately in this regard. It is possible that outputs do not need to be changed as it may well be that current outputs are supporting anticipatory capacity at the outcome level but that the outcome indicators were not capturing this adequately.
3. A similar exercise should be carried out for the input level too. Again, it is likely that these may not need substantial change. This is primarily because inputs will be very closely aligned with project interventions and we are certainly not suggesting that the 3As should lead to a rethinking of the project design – they are simply a lens through which to understand the influence of the project.

Baselining

A review of your project logframe and theory of change will provide a good idea of the changes that you would need to make in the baseline because, presumably, all three of these are highly interconnected. Ideally most changes made to outcomes and outputs in the project logframe and in the theory of change must also be reflected in the kind of information that the baseline is aiming to capture.

We recognise that baselining processes for some projects may already be under way and there may not be an opportunity to add to or amend these. However, for other projects there may still be an opportunity to ensure that these capture information that will then permit you to gauge the manner in which your project is contributing to a community's adaptive, absorptive and anticipatory capacity. This is simply because baselines would aim to capture information on indicators that the project's M&E plan and logframe includes. Therefore, tweaks made to outcomes, outcome indicators as well as outputs and output indicators should be reflected in the baseline as well. Presumably survey instruments that are part of baselining processes will have questions that stem from these key components of M&E and therefore questions in these will need to be adjusted to reflect any changes made in your logframe and theory of change.

When/how should data be reported and what will be done with the data provided?

A simple reporting template ([Annex 3](#)) has been developed to support you in your reporting efforts and to ensure consistency across reporting efforts under the BRACED programme. Our intention is that this template will be incorporated into your routine results reporting to the Fund Manager.

Note that the template included here is the original draft – this has been subsequently revised in line with IP feedback and integrated in the FM annual reporting template.

The 3As reporting template has been designed in line with the guidance outlined above. We anticipate that, as a minimum, data should be reported under the BRACED project annual reporting process. More broadly, we hope this adds value to your results reporting and therefore we anticipate that Implementing Partners will report on a biannual basis to record any significant changes that may become relevant against your indicators.

The Knowledge Manager M&E function will quality assure, analyse and synthesise Implementing Partners' data on the 3As on an annual basis in order to identify evidence and learning at the programme level of the extent to which change is happening as defined by the 3As framework.

Note that the 3As template has been subsequently revised in line with Implementing Partners' feedback and integrated in the Fund Manager's annual reporting template. The 3As have also been included in the updated quarterly reporting template to support Implementing Partners' ongoing data collection and reflection.

What kind of support will you receive from the Knowledge Manager?

While the Knowledge Manager's primary role is to generate programme-wide knowledge and learning, we will support you in the process of adding a better resolution on the 3As in your M&E processes. During the April online discussion for project M&E focal points, we will answer any questions of clarification you may have on the 3As (alongside questions on all other aspects of the M&E Guidance Notes). The KM will then offer all Implementing Partners 1-2-1 support to finalise project M&E plans (and thereby meet your contractual M&E milestones). This may include helping you resolve any specific issues you may be facing in the application of the 3As to your M&E processes. See the M&E protocols ([Note 8](#)) for more detail on how the Knowledge Manager plans to engage with Implementing Partners.

If Implementing Partners demonstrate sufficient demand, the Knowledge Manager will hold a dedicated 'M&E clinic' to help talk through the process outlined in this Note using a more detailed example before responding to questions. More specifically, the Knowledge Manager will take a 'sample logframe' that does not capture the 3As adequately to begin with and explain the changes needed so that it can start to do this better. This would then allow projects with similar gaps to replicate the process.

This support has now been provided by the Knowledge Manager to BRACED Implementing Partners in the finalisation of project theories of change, logframes, M&E and baseline plans.

The Knowledge Manager will continue to support Implementing Partners to collectively reflect on and learn from the application of the 3As to project-level M&E.

Note 5: Evaluative Monitoring

Overview

Existing guidance: Previous guidance developed by the Interim Knowledge Manager (KM) included: monitoring data collection process (when and by whom) for logframe indicators, and minimum requirements during monitoring process to ensure the quality of the data collected.

Available guidance in relation to KPI 4 also noted that 'the context in which the individual lives is very much part of the resilience story we are trying to understand and measure. It is important to list any factors affecting resilience that the project is unlikely to influence. Changes in these factors might act to increase or reduce resilience, and as such need to be understood to provide context for the interpretation of project results. *How to interpret project results is outside the scope of this guidance*'.

This Note builds on previous guidance to ensure a more in depth M&E approach that allows for the interpretation and contextualisation of results for a given project.

About this Note

BRACED projects will take place in complex environments and systems. Data collection against indicators provides an indication that something has happened but cannot tell us why our programme or project has made a difference; why and how change is occurring. This note introduces the concept of *Evaluative Monitoring* and its implications for project-level monitoring activities. It presents the role of the monitoring function and its links to evaluation and learning.

The conceptual underpinning of Evaluative Monitoring was presented to Implementing Partners at the KM Inception Workshop in Dakar (February 2015) and all feedback has been considered in the guidance that follows. Many Implementing Partners are already planning to undertake a form of Evaluative Monitoring even if you are not explicitly calling it this.

Added value to your ongoing M&E: Evaluative Monitoring will support you to maximise learning, particularly with regard to the identification of the factors that influence *resilience* (how and why these change over time). This Note, therefore, should help you to pinpoint areas in which critical attention and analysis should be paid when contextualising, understanding and reporting results.

This Note aims to offer a flexible menu of options that can be adopted and adapted by BRACED Implementing Partners according to your project needs. It also presents useful tools and

Key take away points from Evaluative Monitoring

- Evaluative Monitoring is about understanding and learning the change process in a particular context.
- It brings an evaluation lens to monitoring efforts and therefore it contributes to your evaluation efforts.
- It is explicit about the fact that change occurs as a result of many actors and factors.

What is Evaluative Monitoring? And why is it important?

Once indicators and targets are identified, projects will collect actual data for each indicator at regular periods (monitoring):

- *Project implementation monitoring* requires constant documentation of data on *project activities and operations* such as tracking funds and other inputs, as well as processes. It includes keeping high-quality financial accounts and field records of interventions, as well as recurrent checking of workplans and budgets.
- *Results monitoring* involves the periodic collection of data on the project's *actual accomplishment of results* (outputs, outcomes, and impacts). It measures whether a project is completing its objectives and responds to the question: what results have been accomplished relative to what was planned (targeted)?

(You will be reporting to the Fund Manager on project implementation and results monitoring as set out in the FM Grant Management Guidelines.)

- **Evaluative Monitoring** aims to situate the data collected through your M&E efforts within an understanding of the prevailing context (specifically, the governance structure, decision-making processes, the incentives, relationships, etc. between different groups and individuals) and to understand the extent to which all of these enable or limit change. In other words, Evaluative Monitoring will shed light on risks and assumptions at the different hierarchy levels of your project theory of change and logframe.

Political processes, informal institutions, and power relations all play vital roles in the success or failure of development interventions. Perhaps one of the most common critiques of programme design, M&E processes and tools is their linear nature, which some view as incompatible with non-linear social change. The perception of incompatibility is reinforced by the emergent and dynamic nature of resilience, where systems, dynamics, actors and relations are near-constantly shifting. One approach to understanding the role and extent to which the context and operational environment influence change is Evaluative Monitoring.

Collecting, reflecting and analysing this information is at the core of testing your theory of change. As you test it, you will be producing evidence about your project outputs, areas and pathways of change and outcome level results. Therefore, Evaluative Monitoring also plays a critical role in answering the following question: is my theory of change, or parts of it, still valid? What needs to be modified or updated? Addressing this question allows us to better understand progress, change processes and most importantly contextualise the results achieved by your project.

Evaluative Monitoring is, therefore, central in the monitoring process, and it is explicit about the fact that change occurs as a result of many actors and factors. For example, understanding how different actors in society – bureaucrats, farmers, industrialists, incumbents, opposition parties, religious authorities, groups of men or women, and more – have differing incentives to enable or

block development interventions is key to successful implementation. The Knowledge Manager encourages and recommends that BRACED projects engage in Evaluative Monitoring in order to provide robust evidence and understanding of the different processes that contribute (or not) to resilience building to climate extremes and disasters.

Principles for Evaluative Monitoring

Table 4: Principles for Evaluative Monitoring

Understanding and learning	<ul style="list-style-type: none"> Beyond tracking progress. Evaluative Monitoring is about understanding and learning the change process in a particular context
Big picture thinking – bringing and evaluation lens to the monitoring process	<ul style="list-style-type: none"> Monitoring has traditionally been conceived of as an ongoing data collection and analysis process to inform and adjust programming, while evaluation has been conceived of as a sporadic review, mid-way or at completion of an intervention, to determine relevance, efficiency, effectiveness, impact and/or answer some other evaluation question. However, the key concerns and inquiries associated with evaluation are increasingly being picked up within monitoring mechanisms such as the Evaluative Monitoring approach, conducted on an ongoing basis during the course of an intervention
Focus on the processes and dynamics of change at different scales	<ul style="list-style-type: none"> It includes the field as well as the larger political, institutional, funding, and policy context that affect the project/programme. Assesses the dynamics and interactions in the setting within which the project/programme operates, especially as it affects identified risks and assumptions, but also any unexpected considerations that may arise

In short, Evaluative Monitoring, therefore, is a monitoring approach with an evaluation lens that enables you to provide critical information that monitoring and reporting against project indicators alone does not give us.

Practical considerations: How and when?

Conducting Evaluative Monitoring raises a number of practical questions. Who will conduct the analysis? How long will it take? What will it cost? Should the analysis be treated as an internal document or should it be shared with partners? The answers to these questions will vary according to resources, context and the type of analysis in question.

Step 1: Defining the scope of Evaluative Monitoring

You should determine the scope of the factors/issues to be examined through your Evaluative Monitoring activities. Your team can identify a broad range of monitoring information, possibly

more than they can feasibly use. Consequently, you may have to make choices, selecting only the information that they can afford to collect.

Be strategic and realistic

Being realistic about what information to collect and use is important when it comes to the Evaluative Monitoring process. Therefore, the scope of the Evaluative Monitoring should be based on the operating environment your project is situated within and the available resources. Rather than trying to evaluate all aspects of your project, the team can decide to be strategic, focusing on a particular issue or relationship in some depth.

Start with your key assumptions related to your context

The major assumptions and risk of your theory of change could be your starting point. Key issues could be identified for specific themes, for example: issues related to the political economy; gender and power dynamics; or the extent to which governance structures enable or constrain change. A key question to help you in this process could be: what are the key contextual dimensions that may interact with the project over its lifetime?

Step 2: Evaluative Monitoring matrix

Prepare an Evaluative Monitoring matrix, summarising the key areas you have identified in the previous step to be watched over time. It is important that the analysis takes into consideration issues of scale, that is, the dynamics and factors that can happen at a different scale but that could have a direct impact in your process of change.

Table 5: Example of Evaluative Monitoring matrix*

Contextual factors	Local level	Sub-national	National	Potential impact/influence in project outputs/outcomes
Governance issues / political				
Economic				
Social				
Cultural				
Others				

* This table is an example; it can be modified or adapted to your project needs as required.

Step 3: Establishing a baseline – what is good enough Evaluative Monitoring?

Alongside the baseline for your project-level indicators, you need to identify a baseline for the context and to monitor both contextual and project indicators. The main objective of this exercise is to ensure, as far as possible, that during your monitoring process, you can differentiate between factors that are influencing the processes of change.

Build on your context /situational analysis.

Most BRACED project interventions have carried out institutional and context analysis to inform the programme design. From this work, you can derive questions that can be monitored when undertaking Evaluative Monitoring. Put differently, it is not sufficient to conduct a one-off contextual analysis as part of the baseline situation, it is also necessary to reflect and analyse potential trends in an iterative fashion.

Table 6, presents the recommended contextual baseline questions that BRACED interventions should closely monitor and report against.

Table 6: Key lines of enquiry for establishing contextual baselines

What is the operating environment around the project or programme?
How might factors such as history, geography, politics, social and economic conditions, religion, or competing organisations affect implementation of your project’s strategy, its outputs or outcomes?
What is the surrounding policy and political environment in which the project or programme operates? How might current and emerging policies influence your project outputs and outcomes?
How does the project or programme collaborate and coordinate with other initiatives and those of other organisations?

Step 4: Analysis – methods for data gathering and analysis

You’ll need to select an appropriate method for the analysis and apply it rigorously. Evaluative Monitoring relies on a combination of qualitative and quantitative data, which can be collected from different sources and using different techniques.

Ensure triangulation of data

Try to differentiate your sources and techniques as much as possible, allowing for triangulation of information. This is particularly important in crisis-affected and fragile contexts, where discourses and narratives are typically polarised.

Use different tools

Depending on the country, different factors of varying magnitudes (political, economic, social) may directly influence your project's success. Depending on the factors that you may choose to focus on, you could use different tools. For example, projects that focus on reducing conflicts may use systematic conflict analysis to identify contextual factors that will interact with project implementation.

Table 7 illustrates some tools and methodologies for context-specific analysis. These should help make the analysis exercise more relevant than a broad contextual analysis you might do during your monitoring/reporting.

These tools should help your team reflect on the data you have collected and how it can be used to improve performance and contextualise results. Table 7 presents the reader with some examples, but BRACED Implementing Partners are encouraged to use the tools with which they are more familiar/comfortable.

Table 7: Summary of tools to support Evaluative Monitoring

	Focus	Tools
Political economy analysis	To situate development interventions within an understanding of the prevailing political and economic processes in society	UNDP (2012) Institutional and context analysis Guidance Note http://www.undp.org/content/undp/en/home/librarypage/democratic-governance/oslo_governance_centre/Institutional_and_Context_Analysis_Guidance_Note/
Conflict analysis	To identify contextual factors that interact with programme implementation in a conflict setting	Sida (2006), Manual for peace and conflict analysis: Methods document http://www.conflictsensitivity.org/sites/default/files/Manual_for_Conflict_Analysis.pdf DFID (2013) Monitoring and evaluating conflict sensitivity. Methodological challenges and practical solutions. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/304611/Mon-eval-conflict-sensitivity-challenges-practical-solutions.pdf
Gender analysis	To identify key issues contributing to gender inequalities	CARE (2012) Good Practices Framework, Gender Analysis. http://pqdl.care.org/gendertoolkit/Resources/Good%20Practices%20Brief.pdf

Take into consideration available time and resources

It is also important to note that the use of some of these tools may require different levels of time and resources. There are options for more rapid processes that may produce 'good enough'

analyses for purposes of Evaluative Monitoring. These include facilitated workshops among multiple stakeholders, rapid interview processes or a desk study, drawing on multiple analyses that have been conducted by other agencies. The lines of enquiry presented above can be followed if a more rapid process is being pursued.

Step 5: The monitoring process – stakeholder engagement and reflection

For Evaluative Monitoring to be meaningful, it is vital to engage stakeholders, promote learning, buy-in and commitment, and motivate action.

The key variables and tools identified above provide a framework for monitoring the context, the actors and their influence in the change process. Ideally BRACED projects should set aside adequate time (for example, one- day 'reflection' team meetings every 3 to 6 months, or annually with a range of stakeholders) for this type of monitoring.

Encourage critical thinking and reflection – learning spaces

Critical reflection in a project means interpreting experiences and data to create new insights and agreement on actions. Without critical reflection, your M&E data will not help you to contribute to new learning and manage for impact. Active discussions during team meetings and in meetings with primary stakeholders are vital if your Evaluative Monitoring is to be shared, analysed and acted upon. Making analysis 'critical' means moving beyond collecting, processing and reviewing data. After asking, 'what is happening', also discuss:

- 'Why is it happening?'
- 'So what are the implications for the project?'
- 'Now what do we do next?'

Learning does not happen in one sitting. It evolves, starting with individuals raising important issues and questioning assumptions through group-based analyses that bring out different perspectives and information inputs. So, it is recommended that you plan 'learning' as a series of events. Knowing how to structure the sequence is important and it will be project context specific.

How to encourage critical reflection and learning?

Learning needs to be systematised. Accidental learning happens all the time but is not the most efficient way to learn nor does it necessarily lead to improved actions. Increasing successes and avoiding pitfalls is best when conscious efforts are made to learn lessons.

Start with individual reflection. Learning starts with the individual. One critically reflective and innovative staff member can make a considerable difference in a project. If individuals do not reflect during their work on their own, then they will probably find it difficult during group events, such as annual project reviews or monthly meetings with implementing partners. While not everyone is equally capable or interested in developing a reflective working style, everyone can start somewhere.

Making project team meetings reflective. The critical contribution of the project team to overall success makes it worthwhile to invest in team meetings as an important opportunity for reflection. Project team members may include project staff, implementing partners and primary stakeholder representatives – this depends on how the project is structured. Team members are actively engaged in implementation, and reflecting on their experiences can contribute to refining implementation

Step 6: Reporting and contextualising results

The Evaluative Monitoring reporting process requires a qualitative explanation and description of the contextual factors and the extent to which they enable or constrain change. This is a critical part of project learning and reporting. Your reflection meetings discussed in the section above provide you with a great opportunity to ensure that in your report stakeholders' voices and reflections are also heard. This will be a critical piece of information to understand the reasons why changes in the predicted elements of resilience did or did not actually take place. Such information from project-level will enable the BRACED programme to build a solid and context-specific evidence base.

When/how should data be reported and what will be done with the data provided?

An Evaluative Monitoring reporting template has been designed in line with the guidance outlined above. This simple template (see [Annex 4](#)) has been developed to support you in your reporting efforts and to ensure consistency across reporting efforts under BRACED. Our intention is that this template will be incorporated into your routine results reporting to the FM. **Note that the template included here is the original draft – this has been subsequently revised in line with IP feedback and integrated in the FM annual reporting template.**

We anticipate that, as a minimum, data should be reported under the BRACED project annual reporting process. More broadly, we hope this adds value to your results reporting and therefore we anticipate that IPs will report on a biannual basis to record any significant changes that may become relevant against the Evaluative Monitoring questions. We suggest that projects will not see enough change to be able to report on a quarterly basis and reporting on an annual basis is a missed opportunity for critical reflection.

The Knowledge Manager M&E function will quality assure, analyse and synthesise Implementing Partners' data on Evaluative Monitoring on an annual basis to identify evidence and learning at the programme level of the extent to which dynamics in the context and across scales are enabling or constraining change.

The Evaluative Monitoring template has been subsequently revised in line with Implementing Partners' feedback and integrated in the Fund Manager annual reporting template.

What kind of support will you receive from the Knowledge Manager?

The M&E function of the Knowledge Manager will support you in the process of improving your monitoring activities and reporting from an Evaluative Monitoring perspective. We encourage you to think through your existing monitoring approaches and to take into consideration how Evaluative Monitoring could be embedded in your M&E plan. Such revision will be project specific and it should be reflected in your project M&E plans.

During the April online discussion for project M&E focal points, we will answer any questions of clarification you may have on the Evaluative Monitoring approach (alongside questions on all other aspects of the M&E Guidance Notes). The Knowledge Manager will then offer all Implementing Partners 1-2-1 support to finalise project M&E plans (and thereby meet your contractual M&E milestones). This may include helping you resolve any specific issues you may be facing in the application of the Evaluative Monitoring to your M&E processes. See the M&E protocols ([Note 8](#)) for more detail on how the Knowledge Manager plans to engage with Implementing Partners.

This support has now been provided by the Knowledge Manager to BRACED Implementing Partners in the finalisation of project theories of change, logframes, M&E and baseline plans. The Knowledge Manager will continue to support Implementing Partners to collectively reflect on and learn from the application of Evaluative Monitoring to project-level M&E.

Note 6: Project baselines

Overview

Carefully designed baselines are necessary to measure performance of BRACED projects. Similarly, targets are required to evaluate whether the intended results have been achieved within the planned time frame. However, establishing baselines and targets for 'climate resilience building' can be challenging. This can in part be attributed to the uncertain nature of climate change, making it difficult for programme designers to plan long-term outcomes. Gaps in climate change information systems pose an additional challenge.

Existing guidance: Among others (see preceding Notes) the Interim Knowledge Manager specifically provided guidance on how to estimate the number of people with improved resilience to climate shocks and stresses (KPI 4); and how to estimate the number of people that received support to cope with climate extremes and disasters (KPI 1). Detailed guidance was also provided about how to establish a baseline for KPI 4. This Note, builds on the existing guidance by looking beyond KPI 4 and providing guidance on how to establish baselines in the context of climate extremes and disasters for your remaining project indicators.

About this Note:

While KPI 1 and KPI 4 are the two mandatory indicators that all projects must report, BRACED projects will also report against a different set of indicators and processes. As BRACED projects seek to build resilience to climate shocks and stresses, it is expected that projects undertake some assessment of climate related shocks and stresses, and how these are changing, to provide context for the interpretation of change.

Added value to your on-going M&E: Contextualisation of indicators with respect to evolving climate shocks and stresses may be achieved in a variety of ways, as outlined in this note.

Key take away points for project baselines

- BRACED projects need to ensure that baseline data is complemented by data on climate trends and the incidence of climate extremes and disasters, so that results can be interpreted in a climate risk context.
- If a BRACED project intervention is not contextualised within changes in baseline climatic conditions and events, M&E assessments could misinterpret the effectiveness of these interventions.
- The methods used can be simple or complicated depending on the resources available. A combination of qualitative and semi-quantitative approaches to baselining can provide a 'good enough' picture to understand the extent to which project results have been (or not) achieved against a backdrop of worsening or constant climate-related shocks and/or stressors.

Step 1: Establishing your project baseline in the context of climate variability and change

Baselines against project indicators

As already planned, each BRACED project will prepare a baseline against project-level outputs, outcome and impact indicators. These will be constructed as appropriate, on a case-by-case basis. Project-level baselines will draw, for example, on the information and data captured through your vulnerability and capacity assessments. Independently of the tools used, baseline information will be strictly aligned with each selected indicator that the project is responsible for tracking.

Project baseline in relation to current climate risk context

The challenge of shifting baselines

Shifting baselines present a major challenge for evaluating resilience building adaptation interventions. BRACED projects will take place within a shifting climatic and environmental context that will expose vulnerable communities to greater climate-related hazards and risks. This shifting poses a challenge for evaluation as it has the potential to act as a confounding factor in the assessment of BRACED interventions. For instance, an project aiming to improve the productivity of smallholder farmers (thereby improving their asset base and contributing to resilience) may yield no overall increases in crop yields, which would appear to show that adaptation efforts are not succeeding. However, if the project were implemented during a period that coincided with an increase in intensity of droughts, then the fact that productivity has not declined would actually indicate success in building resilient food systems. This example shows that if a BRACED project intervention is not contextualised within changes in baseline environmental conditions and events, M&E assessments could misinterpret the effectiveness of these interventions.

It is important to note that BRACED projects are unlikely to face a moving baseline during a short implementation period (<5 years). Some researchers are beginning to explore options for dealing with a moving baseline for longer-term programmes in the context of building resilience and adaptation. However, most implementing organizations do not provide extensive guidance or methodologies to do so, because it is infrequently a concern during relatively short implementation periods. The BRACED programme as a whole, however, will undoubtedly have to contend with moving baselines to assess the impacts of several related interventions over the long term.

Ultimately, BRACED projects should seek to measure changes in the way people are affected by climate stresses and shocks as a result of project interventions. You should therefore ensure that baseline data relating to the intervention are complemented by data on climate trends and the incidence of climate extremes and disasters, so that results can be interpreted in a climate risk context. This should include, for example, stakeholder's vulnerability and capacity to cope with past

and current climate extremes and disasters. Project baselines should explicitly present the climate change scenarios they are working with. In addition, it is recommended that climate variability should be monitored during the project and intervention measures tested if scenario-like conditions occur during project implementation.

The project baseline should describe the climatic context at the start of a project. The project baseline should answer the following questions: where is the project starting? Who is vulnerable? What is vulnerable? And what is currently being done to reduce that vulnerability in the absence of the project? Since reducing vulnerability is the foundation of building resilience and adaptation, it calls for a detailed understanding of who is vulnerable and why. This involves both analysis of current exposure to climate shocks and stresses, and (where possible) model-based analysis of future climate impacts.

To this end, projects will need to identify the climatic and meteorological parameters that are most relevant/important to beneficiaries. These are likely to be parameters other than those most commonly encountered – e.g. total annual or seasonal rainfall (the timing or intensity of rainfall may be at least as important as the amount) and mean or maximum temperature (the frequency or duration of periods of anomalously high or low temperatures may be more important than these parameters).

What is a ‘good enough baseline’? Key questions to consider in forming and using climatological baseline include:

- Does the baseline provide a clear picture of the risks and/or vulnerabilities that the intervention intends to address?
- Does the baseline enable differentiation of monitoring for possible changes due to climate change, changes caused by non-climate dynamics, and changes induced by the intervention? (See [Note 5](#))
- Is it clear which baseline values relate to which activities and how?

Recommended approaches for baseline development

The methods used to develop project baselines can be simple or complicated depending on the resources available and the models used.

It is important to remember that collecting this information will be critical in order to understand if for example:

- project results have been achieved against a backdrop of worsening or constant climate-related stresses, or
- changes are not yet visible because of worsening climate-related stresses or shocks that otherwise would be expected to lead to a deterioration of outcome and impact level indicators, or

- beneficiaries' situations may have deteriorated, but they may have been even worse off without the project.

1 Qualitative narrative approach

Where quantitative data is not available, stakeholders and beneficiaries may be able to provide descriptions of shocks and stresses. Project beneficiaries and other stakeholders (e.g. national agencies and research organisations, local government departments, etc.) will be able to provide feedback on the nature and frequency of climate-related shocks and stresses.

Qualitative approaches to the contextualisation of climatic risk will not require the construction of any formal, quantitative baselines beyond the establishment of a baseline for the risk context itself. Assessment of changes in climate stresses and shocks can be based on qualitative comparisons between stresses and shocks experienced since the start of your project and those experienced in the past ('benchmark' stresses and shocks), or between stresses and shocks in different years when or after which impact indicators are measured. Nonetheless, it will be useful to develop at least a qualitative description of past stresses and shocks to describe the general climate risk context at the start of your project.

Qualitative narratives can also be used to construct 'counterfactual' scenarios describing what would have been expected without the project, for example based on past experience of similar shocks and stresses.

Such data can be collected through focus group discussions, household surveys and key informant interviews

2 Semi-quantitative

The qualitative approach described above may be made more robust where characterisations of stresses and shocks are based on quantitative data describing climate variability, extremes, and long-term trends. These data will take the form of climatic or meteorological indicators or indices that capture aspects of climate change, variability and extremes that are relevant to the lives and livelihoods of beneficiaries, and to the stated goals of your project as represented by the project's impact indicators. They may include indices of climate extremes such as storms, droughts, floods, intense rainfall events and extreme high temperatures; measures of long-term changes such as trends towards increased aridity; and measures of variability such as the deviation of the onset of the rainy season from the long-term mean onset date.

Such data may be available from national meteorological services, or from regional or international research organisations.

Step 2: Monitoring

Focusing on the relevant climatic variables identified in the project baseline (see previous section), this would describe average conditions, the frequency and average duration of extremes, and the

maximum and minimum values of key parameters. Where such a baseline cannot be established (e.g. due to lack of data), it is still worth monitoring key climate-related parameters, so that variations and directions and magnitudes of changes in these parameters can be tracked to provide context for the interpretation of your project impact indicators. When and how often this exercise should be conducted is context and resource specific.

Once qualitative or quantitative, data-driven descriptions of changes in climate-related variables and in the behaviour of stresses and shocks have been developed, these can be used to evaluate the extent to which a project can be linked with improvements in the levels of resilience (mid-term reviews and final evaluations).

What kind of support will you receive from the Knowledge Manager?

The M&E function of the Knowledge Manager will support you in the process of improving your project baseline. We encourage you to think through your existing approaches and methodologies for your baseline data collection. Such revision will be project specific and it should be reflected in your project M&E plans.

During the April online discussion for project M&E focal points, we will answer any questions of clarification you may have on establishing baselines in the context of climate extremes and disasters (alongside questions on all other aspects of the M&E Guidance Notes). The KM will then offer all Implementing Partners 1-2-1 support to finalise project M&E plans (and thereby meet your contractual M&E milestones). This may include helping you resolve any specific questions on project methods – these may be related to your project baseline design, and sampling strategies. See the M&E protocols ([Note 8](#)) for more detail on how the Knowledge Manager plans to engage with Implementing Partners.

This support has now been provided by the Knowledge Manager to BRACED Implementing Partners in the finalisation of project baseline plans.

CHAPTER III: Links to evaluation and M&E protocols in the context of the BRACED programme

This chapter outlines the links from project-level to programme level evaluation, evidence and learning – primarily through project mid-term reviews and final evaluations. As the closing chapter of this document, it also provides an overview of the M&E protocols on roles and responsibilities, lines of communication and how the KM will engage with Implementing Partners.

This chapter covers:

Note 7: Supporting project to programme-level evidence and learning: further details on project mid-term reviews and final evaluations

What is the scope and nature of project mid-term reviews and final evaluations?

What support can you expect from the Knowledge Manager with respect to designing and commissioning project mid-term reviews and final evaluations?

How will project evidence and learning complement and support wider programme-level evidence and learning?

Note 8: M&E Protocols

What are M&E protocols in the context of BRACED? And why are they important?

Roles and responsibilities for BRACED M&E

Lines of communication for BRACED M&E

KM engagement with Implementing Partners for BRACED M&E

Note 7: Supporting project to programme evidence and learning: further details on project mid-term reviews and final evaluations

In March 2015, several sections of this Note were pending key decisions by and approval from DFID, the BRACED Fund Manager (FM) and the BRACED Knowledge Manager (KM). A complete version of Note 7 was finalised and shared with all Implementing Partners in June 2015. This Note is set out below. Subsequently, the KM M&E team held a webinar with all Implementing Partners (IPs) to answer questions and provide further guidance. The main questions and answers from this webinar are available in [Annex 6](#).

Overview

Existing guidance: The Interim Knowledge Manager (IKM) developed minimum requirements for developing M&E plans at project level. This checklist supported Implementing Partners in the development and evolution of your M&E plans, as you finalised your BRACED proposals.

About this Note

This Guidance Note outlines how evidence and learning generated at the project level (BRACED Components A and B) will feed into and support evidence and learning at the BRACED programme level and beyond. It answers the following key questions for BRACED Implementing Partners:

- **What is the scope and nature of project mid-term reviews and final evaluations?**
- **What support can you expect from the Knowledge Manager with respect to designing and commissioning project mid-term reviews and final evaluations?**
- **How will project evidence and learning complement and support wider programme-level evidence and learning?**

Where 'evaluation' is used in this Note, it can explicitly refer to the final evaluations of projects, commissioned by Implementing Partners or to the additional programme-level evaluations led by the Knowledge Manager. In each case, the reference to evaluation is clarified to avoid confusion.

Key take away messages

- Mid-term reviews (MTR) and final evaluations (FE) are important to assess progress and support learning within your project and across the programme as a whole.
- The BRACED Fund Manager will use the results of your mid-term review and final evaluation as part of its wider assessment of project progress.

- The BRACED Knowledge Manager is looking to your mid-term review and final evaluation to generate robust evidence and learning on if and how 'packages' of interventions build resilience to climate extremes and disasters in different contexts.
- A set of questions, aligned to standard evaluation questions, have been devised which can be used as the basis for planning your mid-term reviews and final evaluations. Not all questions need to be included, but these can be tailored to individual project circumstances.
- Your routine quarterly and annual results reporting to the Fund Manager in line with the KM-developed M&E framework (including the 3As, Areas of Change, and Evaluative Monitoring) will also form a key data source to support project MTRs and FEs.
- The KM M&E team will work with each Implementing Partner to develop an Evaluation Matrix as the guiding document for your mid-term review, which will include evaluation questions that reflect your theory of change and the specific intervention packages of your project.
- The KM M&E team will work with each Implementing Partner to review, quality assure and agree the terms of reference for the mid-term review, the report itself, the terms of reference for the final evaluation, the final evaluation inception report and the final evaluation report itself. In addition, the Knowledge Manager M&E team will provide two 90-minute 1-2-1 planning sessions, for both the mid-term review and final evaluation.
- The mid-term review can be conducted by the project team itself and does not need to be commissioned to an independent group as long as it follows a robust methodology.
- The final evaluation should be commissioned to an independent organisation, unless there is a specific and compelling reason not to do so. Such an exception would need to be discussed and agreed with the Fund Manager and Knowledge Manager. Members of the KM consortium are excluded from taking on this role as external evaluator.
- Taking the mid-term review and final evaluation budgets as a whole, the balance between the budget allocated to the MTR and FE should align with the scope and nature of these activities. Approximately 25% of your project budget for the mid-term review and 75% for the final evaluation is a general guide, while remaining within allocated budgets and resources.
- The Knowledge Manager will undertake its own evaluation activities, including synthesising the results of mid-term reviews and final evaluations to generate evidence and learning about what works to strengthen resilience across the BRACED portfolio of Component A and B projects.

Project mid-term reviews and final evaluations

This section outlines the nature and scope of project MTR and FEs. A headline summary of the anticipated scope of these project reviews and evaluations is provided in Table 8.

Set out below are two dimensions, which should guide the delivery of the project mid-term reviews and final evaluations.

1. Reviews and evaluations need to consider the relevance, effectiveness, efficiency, impact and sustainability of projects, but not necessarily in equal measure or covering all five aspects. These are standard evaluation categories and shape many of the questions included in Table 8. They will help all stakeholders involved in the BRACED programme to assess project progress and gather insights.
2. Specific aspects tailored to the BRACED theory of change and the conceptual focus on resilience should be major components of each review and evaluation. These should help to define and explain the key mechanisms that cause a particular intervention or package of interventions to lead to a change in resilience – desired or undesired/positive and negative. These packages of interventions are generally clearly outlined to a good level of detail in the set of 15 project theories of change, although the ‘mechanism’ by which change happens may not yet be clearly understood or tested. *What is it about the nature or design of the intervention that enables it to be effective in strengthening resilience? What is it about the intervention or the context that made change happen?*

Coherence to support synthesis through a set of standard evaluation questions: through a process of synthesis, the KM-led evaluation activities will review and analyse the evidence generated across the set of MTRs and FEs to draw out a set of lessons to answer: *How, where, when and why do BRACED interventions work, and what can be learned / how can good practice be replicated?*

Table 8: Scope and purpose of project evaluations

	Mid-term review	Final evaluation
Indicative project evaluation resource split (of total MTR and FE evaluation budget)	25%	75%
Responsibility	IP-led	Commissioned to an independent organisation (unless strong rationale for why another option is preferable)
Timing	Focus period – January 2015 to June 2016 Planning & design (with guidance from KM M&E Team) – July and August 2015 Data collection and analysis – July and August 2016 Reporting – end of August 2016	Focus period – January 2015 to November 2017 Planning & design (with guidance from KM M&E Team) – initial design with MTR in July and August 2015 with detailed ToRs for FE development in July 2017 and Final Evaluation Inception Report in October 2017

	Mid-term review	Final evaluation
		Data collection and analysis – November and December 2017 Reporting – end of December 2017
Guiding principles	Robust learning orientation – to support frank and transparent reflection on success and failure / enablers and constraints. To explore, test and revise assumptions	
Purpose	To assess progress and to contribute to evidence and learning on if and how packages of interventions deliver resilience in different contexts	
Focus	Progress and lesson learning to up to the mid-term to reflect any course correction and enhanced intervention delivery	Results delivered in terms of resilience strengthening in a particular context and against the project's logframe and theory of change
Scope	Scope defined by three factors: <ul style="list-style-type: none"> • Evaluation planned and delivered against a standard set of headline Evaluation Questions with sub-questions tailored to project theory of change • Process-orientated and explanatory in nature • Focus on 'mechanisms' 	
Headline evaluation questions	<i>To what extent have particular interventions led to anticipated changes and results? Specifically focusing on understanding 'mechanisms' (the causal forces or powers that explain why a change happens), how and why have particular intervention packages led to observed results and changes? What have you had to change or adapt in terms of your intervention package design and why?</i>	<i>To what extent have particular interventions led to anticipated changes and results? Specifically focusing on understanding 'mechanisms' (the causal forces or powers that explain why a change happens), how and why have particular intervention packages led to observed results and changes? Based on your accumulated knowledge and understanding, what key resilience strengthening lessons can be learned and replicated from your project?</i>
Standard evaluation questions (selecting those most appropriate)	See Annex 5	See Annex 5
KM role	To use the set of project evaluations as a coherent and robust evidence base to support KM-led evaluation activities as well as wider programme-level evidence and learning.	

Project mid-term review outline

Project mid-term reviews are expected to be led by project Implementing Partners.

Your mid-term review should focus on project progress and lesson learning up to the project mid-term and include any required project course correction. The MTR should enable you to undertake some robust and reflective lesson learning on project success and failure/enablers and constraints, and in order to explore, test and revise assumptions. Specifically, and as introduced above, the MTR requires IPs to define and explore the key 'mechanisms' that cause a particular intervention or package of interventions to lead to a change – desired or undesired/positive and negative. In advance of the MTRs, the KM M&E team will work with you to develop a detailed and project-specific evaluation matrix as the guiding document for the mid-term review including project-specific sub-evaluation questions that reflect your project's theory of change and the specific intervention packages being delivered.

The following set of evaluation questions should be used as the basis for planning your mid-term review, supplemented by those included in [Annex 5](#):

- **What are your project's key intervention packages and how are they defined within your project's theory of change?** This is a non-evaluation context-setting question which provides an opportunity for Implementing Partners to consistently define the resilience strengthening interventions your project is delivering, the changes you anticipate these will deliver, and the mechanisms by which change takes place.
- **Evaluation question 1 – To what extent have particular interventions led to anticipated changes and results?** This opening question, consistent across MTR and FE, requires Implementing Partners to reflect on the evidence of results delivered against the results / changes anticipated in your theory of change.
- **Evaluation question 2 – Specifically focusing on understanding 'mechanisms' (the causal forces or powers that explain why a change happens), how and why have particular intervention packages led to observed results and changes?** Projects should focus on defining 'mechanisms' in order to understand what it is about the nature and design of an intervention that has enabled it to be effective or not. Sub-questions under this question should explore:
 - What has your project learned about delivering these packages of interventions?
 - What evidence is there that the interventions and the mechanisms that support them have the potential to deliver 'amplified results' and/or 'transformational impact'?¹³

¹³ Further guidance of the International Climate Fund (ICF) definition of transformational impact will be discussed by the KM with Implementing Partners during the MTR and FE planning and design phases.

- **Evaluation question 3 – What have you had to change or adapt in terms of your intervention package design and why?** Sub-questions under this question should explore:
 - What unanticipated, positive or negative, enablers or constraints have you encountered?

Note that in all cases, the mid-term review should be placed in the context of the wider BRACED programme theory of change and logframe.

Project final evaluation outline

Project final evaluations should conceptually ‘pick-up’ and build on key questions, evidence and learning generated through the MTRs. Project FEs should be implemented by independent partners, unless there is a strong reason for why these should be led from within the project. All exceptions to independence should be discussed and agreed with the Fund Manager and Knowledge Manager.

The final evaluations are intended to deliver relatively detailed, methodologically robust and ‘stand-alone’ final evaluation reports from each project. Prior to beginning data collection, each IP will be required to set out how you propose to deliver the FE to answer evaluation questions in a way that is evidence-based, balanced and representative of project results. To ensure a minimum level of compliance, methodological rigour and coherence across the set of final evaluations, the KM M&E team will work with each IP to review, quality assure and sign off three key project FE deliverables as follows:

- Detailed final evaluation terms of reference
- Draft final evaluation inception report including an evaluation approach and methodology, workplan, and evaluation matrix, and
- Draft final evaluation report.

The following set of evaluation questions should be used as the basis for planning your final evaluation, supplemented with those included in [Annex 5](#):

- **Evaluation question 1 – To what extent have particular packages of interventions delivered in terms of strengthened resilience?** As with the MTR, this opening question requires IPs to reflect on the evidence for results delivered against the results / changes anticipated in the project theory of change. For the final evaluation, Implementing Partners should reflect on the evidence of results delivered by project interventions throughout the full life of the project.
- **Evaluation question 2 – Specifically focusing on understanding ‘mechanisms’, how and why have particular intervention packages led to observed results and changes?** Implementing Partners should aim to generate and elaborate a detailed understanding and explanation of intervention mechanisms through this question by exploring how and why an intervention led to a particular change. To understand the mechanisms at work within an intervention (and the contextual factors that affect the working of that

mechanism), you will need to ask a range of project stakeholders why things happen in a certain way. Sub-questions under this question should explore:

- How do IPs, project stakeholders and beneficiaries think an intervention results in change?
 - What is it about the nature or design of the intervention that enables it to be effective or not?
 - What evidence is there that the interventions and the mechanisms that support them have delivered 'amplified results' and/or 'transformational impact'?¹⁴
- **Evaluation question 3 – Based on your accumulated knowledge and understanding, what key resilience strengthening lessons can be learned and replicated from your project?** This final evaluation question requires Implementing Partners to reflect on the intervention-level learning you have accumulated over the life of the project and to distil this learning into a set of evidence-based lessons, defining which of these can potentially be replicated elsewhere.

Note that in all cases, the mid-term review should be placed in the context of the wider BRACED programme theory of change and logframe.

Project evaluation data collection and data analysis methods

The KM does not propose to be prescriptive in terms of the specific data collection methods and tools that are used for project reviews and evaluations. We anticipate that:

- The project evaluations will be participatory in nature and generate data through a range of qualitative and quantitative methods.
- You are likely to combine the review of existing project routine results reporting data (including the 3As, Areas of Change, and Evaluative Monitoring) with specific primary data collection activities under each review and evaluation.
- Primary data collection is likely to be quantitative (through web and email surveys) and qualitative (through interviews and focus groups).
- The reviews and evaluations will engage a broad range of project stakeholders from project team members to project beneficiaries/recipients as well as wider key informants, champions, and observers.
- Implementing Partners should aim to engage not just 'direct' project stakeholders but also those stakeholders who have an 'external' perspective on the project – for example, the teams of other resilience strengthening projects operating within the same context.

¹⁴ Further guidance of the International Climate Fund (ICF) definition of transformational impact will be discussed by the KM with Implementing Partners during the MTR and FE planning and design phases.

Similarly, the Knowledge Manager does not propose to be prescriptive in terms of specific data analysis methods as you should select these to suit the methods by which the data is collected. IPs should be explicit, however, about the process by which you plan to arrive at a set of robust and evidence-based findings and conclusions. Evidence should be consistently cross-referenced throughout the review and evaluation reports and claims made should be substantiated/validated through reference to the evidence to support these claims.

What kind of support will you receive from the KM?

Mid-term review

- The KM M&E team will be available to provide two 90-minute 1-2-1 mid-term review planning sessions via Skype. Key MTR design documents can be submitted for comment in advance of these sessions.
- The KM M&E team will work with you to develop a detailed and project-specific Evaluation Matrix as the guiding document for the mid-term review including project-specific sub-evaluation questions that reflect your project's theory of change and the specific intervention packages being delivered.
- The KM M&E team will work with each Implementing Partner to review, quality assure and sign off two key project MTR deliverables as follows:
 - Draft mid-term review terms of reference; and
 - Draft mid-term review report

Final evaluation

- The KM M&E team will be available to provide two 90-minute 1-2-1 FE planning sessions. Key FE design documents can be submitted for comment in advance of these sessions.
- The KM M&E team will work with each Implementing Partner to review, quality assure and sign off three key project final evaluation deliverables as follows:
 - detailed final evaluation ToRs
 - draft final evaluation inception report including an evaluation approach and methodology, workplan, and evaluation matrix; and,
 - draft final evaluation report.

This 1-2-1 support to Implementing Partners is now under way.

Knowledge Manager-led evaluation activities

This section provides a summary of how the KM-led evaluation activities will harness the findings from the set of project mid-term reviews and final evaluations to synthesise a set of lessons about how 'packages' of interventions deliver resilience in different contexts. The purpose of the KM-led evaluation activities is *'to help determine what works to build resilience to climate extremes'*. The requirement is to provide robust evidence of *'what works, where, and why?'* We have interpreted this as asking two slightly different questions:

- *Do BRACED interventions work, and to what extent?* This focuses primarily on robust causal chains.
- *How, where, when and why do BRACED interventions work, and what can be learned/ how can good practice be replicated?* This focuses primarily on explanation.

There are five KM-led evaluation activities (all presently subject to DFID review and sign off), of which four are focused on the BRACED programme:

- Evaluation Activity 1 – Testing the BRACED programme theory of change
- Evaluation Activity 2 – Synthesising evidence and learning from across the set of BRACED resilience strengthening interventions
- Evaluation Activity 3 – Defining attribution in BRACED project-level results in three projects
- Evaluation Activity 4 – World Bank adaptive social protection programme evaluation
- Evaluation Activity 5 – Flexible KM evaluation resources to respond to emerging learning and course correction

These evaluation activities and the broader BRACED [Evaluation Plan](#) were signed off by the DFID's Specialist Evaluation and Quality Assurance Service (SEQAS) in June 2015.

Evaluation Activity 2 is of relevance to all Implementing Partners as your project evaluation activities and routine results reporting will directly contribute to this. The evidence generated across all 15 Component A and B projects and subsequently synthesised by the KM will:

- illustrate the results delivered by a range of resilience strengthening interventions across the programme;
- inform new knowledge on effective resilience strengthening as a global public good; and
- feed into and support project design and future DFID investment decisions on resilience programming including any phase II of the BRACED programme.

With this in mind, we have shaped the scope and purpose of project evaluations (described in this Note and through subsequent KM support) to support programme-level learning while outlining a process and a product which will add value to individual projects. Implementing Partners will be able to contribute to and review Evaluation Activity 2 through KM learning events, and hopefully use the emerging evidence in designing and delivering your own projects.

Note 8: BRACED M&E protocols

Overview

Existing guidance:

- Roles and responsibilities for baselines and monitoring data collection against the programme logframe were recommended by the Interim Knowledge Manager (IKM) in the 'BRACED Draft M&E Plan, July 2014'. This document remains current until the BRACED programme logframe has been finalised by the Knowledge Manager (KM). The M&E protocols provided in this Note outline headline roles and responsibilities for M&E. **Note December 2015: the BRACED logframe has now been finalised by the KM, Fund Manager (FM) and DFID.**
- A checklist for project M&E plans was also included in the Interim Knowledge Manager's 'BRACED Draft M&E Plan, July 2014', which set out a number of requirements and additional considerations to support prospective Implementing Partners to develop their M&E plans during the proposal phase. It is assumed that all projects' M&E plans already meet these requirements as this was checked during the project selection process. The KM will include these criteria when reviewing drafts of final project M&E plans.
- BRACED Grant Management Guidelines (issued by the Fund Manager):
 - Section 1.5 sets out contractually the broad roles and responsibilities for the KM, Fund Manager and Implementing Partners, and how the latter are expected to engage with the Knowledge Manager as a whole. These M&E protocols provide the guidance referred to by the FM on Implementing Partner engagement with the KM on M&E specifically.
 - Section 5.1 sets out the project reporting cycle, including for quarterly and annual reporting. The M&E protocols outline how this formal reporting fits within broader information flows and exchanges between Implementing Partners, the Fund Manager and the Knowledge Manager on M&E.
 - Section 5.1 and Annex A outline expectations for monthly exception reporting to the Fund Manager on any significant changes to your project. The M&E protocols set out how the Knowledge Manager will engage with you on finalising your M&E milestones. This work may have implications you need to notify the FM about according to the Grant Management Guidelines.

About this Note

This is the final Guidance Note in the set being produced by the Knowledge Manager and underpins and links to all other Guidance Notes. It answers the following key questions for BRACED Implementing Partners:

- **How does your project M&E work relate to M&E work by the Knowledge Manager, the Fund Manager and DFID?**
- **Who should you contact about project M&E, why, when and how?**
- **How will the Knowledge Manager and Fund Manager work together on M&E?**
- **What engagement can you expect from the Knowledge Manager on M&E?**

What are M&E protocols in the context of BRACED? And why are they important?

BRACED is a complex programme with a significant number of stakeholders who have been brought together in a new model that is, as yet, untested. In Components A and B, 15 projects are each being implemented in parallel by a number of partners per project located at local, national, regional and international levels. These partners in turn interact with a Fund Manager consortium and Knowledge Manager consortium, both of which are acting on behalf of the donor, DFID. All stakeholders have a role to play in the M&E of both individual projects and the overall programme. It is therefore important to have a set of programme-wide M&E protocols which outline clearly:

- roles and responsibilities for BRACED M&E
- lines of communication for BRACED M&E, in particular for project monitoring and results reporting
- the support that Implementing Partners can expect from the Knowledge Manager on project M&E.

The respective roles and responsibilities between the BRACED Fund Manager and Knowledge Manager have been further clarified in the Fund Manager and Knowledge Manager Interface document (internal, August 2015) and BRACED programme logframe (November 2015). Some of this content has been superseded by those decisions based on the evolving programme.

Roles and responsibilities for BRACED M&E

Table 9: Roles and responsibilities for BRACED M&E

Stakeholder	Primary interest in M&E	M&E this stakeholder is responsible for
Implementing Partners	Project-level monitoring and evaluation that meets BRACED M&E and reporting requirements and enables project-level learning to inform project-level design and implementation	<ul style="list-style-type: none"> Project-level monitoring activities as set out in project M&E plans Project-level monitoring and results reporting to FM and KM as set out in the FM Grant Management Guidelines and M&E Guidance Notes 3, 4 & 5. Periodic review of project ToC (see Note 2) Mid-term reviews and final project evaluations (see Note 7) Wider and ongoing IP-led evaluation, research and learning activities which you may choose to feed into the KM through thematic communities of practice
Knowledge Manager	<p>The quality and alignment of BRACED project M&E frameworks, methods, data and reporting for contribution to data, analysis and learning against:</p> <ul style="list-style-type: none"> the overall programme BRACED theory of change and logframe, and specific evaluation and learning questions at intervention, thematic & programme levels. <p>Generation and synthesis of evaluative evidence and learning on resilience building from across the programme</p>	<p>Component 1 – BRACED M&E ‘operations’ – ongoing BRACED programme-level M&E coordination, management, and leadership including:</p> <ul style="list-style-type: none"> Revising and testing the BRACED programme logframe and theory of change (in collaboration with the FM and DFID) Synthesising and interpreting data collected against key BRACED programme logframe indicators including KPIs 1, 4, 13 & 15, as well as the three more qualitative and explanatory indicator frameworks – Areas of Change (Note 3), the 3As Approach (Note 4), and Evaluative Monitoring (Note 5). Note that the Fund Manager is responsible for ultimate reporting to DFID. The Knowledge Manager will contribute the qualitative analysis of routine monitoring and results reporting. Producing relevant components of the BRACED annual M&E report against the programme logframe and supporting the DFID BRACED annual review process by summarising results, evidence and learning generated across the KM, FM and IPs. Note that annual reporting by the KM will be against the BRACED theory of change, not the logframe as stated here.

Stakeholder	Primary interest in M&E	M&E this stakeholder is responsible for
		<ul style="list-style-type: none"> • Feeding into and supporting wider KM evidence and learning processes <p>Component 2 – Support to Implementing Partners’ M&E work – working in partnership with Implementing Partners and the Fund Manager</p> <ul style="list-style-type: none"> • Developing BRACED M&E Guidance Notes • Delivering a programme of 1-2-1 M&E support to Implementing Partners • Providing guidance and quality assurance on IPs’ project mid-term reviews and final evaluations • Providing prioritised high-level technical support and quality assurance to support and advance projects’ M&E, evidence and learning – e.g. on sampling, surveying, composite indicator design, bespoke evaluation methods • Offering ‘ad hoc’/ongoing/emergent M&E support, guidance & learning through a series of M&E ‘clinics’, webinars, and knowledge products • Working with the Fund Manager to develop and ensure seamless project monitoring and routine results reporting for learning and accountability purposes <p>Component 3 – BRACED evaluation (and research) activities</p> <ul style="list-style-type: none"> • Designing, commissioning and delivering a set of KM-led BRACED evaluations and research projects to maximise learning across the BRACED programme on ‘what works’ in building resilience to climate extremes and disasters. (See the KM Evaluation Plan for further details once available). We aim to generate robust evidence to answer a set of key questions at two levels: intervention and programme. The BRACED Evaluation Plan was signed off by the DFID’s Specialist Evaluation and Quality Assurance Service (SEQAS) in June 2015, and provides a substantially updated and detailed version of the original thinking set out above. See Note 7 for a summary of the evaluation activities.

Stakeholder	Primary interest in M&E	M&E this stakeholder is responsible for
Fund Manager	<p>The quality of project M&E data for robust results reporting and to inform FM monitoring activities of BRACED projects for programme accountability purposes on behalf of DFID</p>	<ul style="list-style-type: none"> • Ensure compliance with grant agreement and Grant Management Guidelines • Ensure monitoring of projects against your logframe (activities, outputs and outcomes) and financial reporting, budgeting and forecasting • Quality assurance of Q1, Q2 and Q3 M&E milestones prior to fund disbursement • Assist with operational-level M&E issues during project mid-term review and final evaluation • Ensure implementation of project work plans and maintenance of the risk register • Reporting of project results and financial accounting to DFID including aggregation of data and report against BRACED programme logframe where appropriate • Provision of relevant project information to the Knowledge Manager • Financial monitoring and auditing of individual projects
DFID	<ul style="list-style-type: none"> • Robust Programme-wide data generation against the ICF KPIs, particularly 1 and 4 – towards learning and accountability • Robust evaluative evidence and learning generated by IPs, the KM and DFID regarding what works and what doesn't work in resilience building and adaptation (particularly for future programme design and policy formulation) • Assessments of VFM/cost-effectiveness of BRACED investment/s • Connectivity to key external stakeholders, audiences and organisations on M&E 	<ul style="list-style-type: none"> • Quality assurance of Knowledge Manager activity planning, design and implementation • Audience for both Fund Manager accountability and Knowledge Manager learning reporting • Commissioning of independent mid-term reviews and final evaluations of the performance of the BRACED programme as a whole

Lines of communication for BRACED M&E

Purposes of communication on M&E

While each stakeholder has a clear and distinct role and responsibility as set out above, the BRACED Knowledge Manager and Fund Manager both have direct lines of communication with Implementing Partners on M&E for different purposes:

The Knowledge Manager will primarily interact with you on M&E to:

- Ensure the quality of your project M&E frameworks, methods, data and reporting and their alignment with the BRACED M&E framework to enable your project to contribute to programme-wide data, analysis and learning.
- The KM will provide support to Implementing Partners to deliver a number of contractual M&E milestones during project set-up, ensuring that project theories of change, logframes, and M&E plans are consistent with these guidelines and (where relevant) KM-led evaluations.
- We will also interact with IPs to gain project participation in, and contribution to, KM-led evaluations to answer specific evaluation questions across the BRACED portfolio and generate learning beyond the BRACED projects. This Note outlines this engagement in more detail.

The Fund Manager will primarily interact with IPs on M&E to:

- Ensure the accountability of project delivery based on both project and programme theories of change and logframes and using the data and results generated by project M&E systems.
- This includes overseeing the Implementing Partner's workplans and the completion of a number of contractual M&E milestones during project set-up and laid down in the grant agreement (Q1, Q2 and Q3 milestones).
- The Fund Manager will do this through a programme of individual project monitoring: monthly exception reports and phone calls; quarterly and annual narrative reporting; and annual project monitoring visits and auditing, which will align with project-level monitoring plans where possible.
- The Fund Manager will also be a key audience for project mid-term reviews and final evaluations for accountability purposes.

Project monitoring and results reporting

The Knowledge Manager and the Fund Manager will seek to collaborate and be as streamlined as possible to avoid any duplication of communication or effort on M&E by Implementing Partners. There will be a single line of formal ongoing project reporting to the Fund Manager. This is set out

in the FM Grant Management Guidelines document. The KM will work with the FM to, where possible, update the relevant parts of the reporting templates in line with the BRACED M&E framework and guidance (as outlined in Notes 3–5).

As set out in previous Notes, we anticipate that, as a minimum, data should be reported under the annual project reporting process to the FM. More broadly, we hope this adds value to your results reporting and therefore we expect that IPs will report on a biannual basis to record any significant changes that may become relevant against your indicators (see Notes 3–5). We suggest that projects will not see enough change to be able to report on a quarterly basis and reporting on an annual basis is a missed opportunity for critical reflection and reporting.

The Knowledge Manager will have access to Implementing Partner project narrative reports and related attachments that have been provided to the Fund Manager to enable us to review the data for quality and consistency (e.g. KPI 4 data) as well as to analyse the data for the DFID BRACED Annual M&E Report. In order to further understand project results from a learning perspective we may ask you to:

- Share any further qualitative and explanatory project data and analysis that goes beyond your ongoing project reporting to the Fund Manager, e.g. against process indicators, 3As and Evaluative Monitoring (see Notes 3–5).
- Participate in light-touch interviews, focus groups and surveys conducted by the KM.

Outside of this formal reporting line:

- In line with your M&E milestones, Implementing Partners will share draft versions of formal project M&E outputs directly with the KM for quality assurance and technical advice (particularly during project set-up): project theory of change, logframe, baseline plan, indicators, M&E plan, evaluation terms of reference (ToRs).

Subsequent guidance was provided to Implementing Partners in May 2015 on the process for IPs to share draft versions of project M&E milestone documents and to gain feedback (from the KM) and sign off (from the FM) on these. This process is now complete and is set out in [Annex 7](#).

As a general rule, all queries that have contractual or financial implications or are about formal project results reporting should be directed to the Fund Manager: go-fmbraced@kpmg.com.

All queries about the content of projects' M&E that require M&E technical advice, or that are about programme-level M&E or KM-led evaluation activities, should be directed to the Knowledge Manager: monitoringandevaluation@resilienceexchange.net. This email inbox is monitored by the KM M&E partner, Itad.

Please keep your KM engagement leader and braced@resilienceexchange.net copied into all communications with the KM. Table 10 sets out the expected communication flows for M&E between the Implementing Partners, FM KM:

Table 10: Summary of communication flows for M&E

Communication flow for M&E	What	When	How
IP -> FM	Final and revised versions of key M&E documents (M&E Plans and budgets, logframes, theory of change, baseline reports, draft ToR for evaluations, midline and end line survey outputs, other key M&E reports) Progress against contractual milestones and results reporting against project logframe M&E questions with contractual or financial implications and about formal project results reporting	During project set-up, as completed, and at mid-term review and final evaluation stages Monthly, quarterly and annually Ad hoc	Email to go-fmbraced@kpmg.com Exception reports, phone calls, narrative reporting, project monitoring visits Email to go-fmbraced@kpmg.com
FM -> KM	Project monitoring and reporting data (from exception reports, phone calls, narrative reporting, monitoring visits) All project queries about the content of projects' M&E	Monthly, quarterly and annually Ad hoc	Documents and Emails to/calls between KM M&E Team Forwarded to monitoringandevaluation@resilienceexchange.net
IP -> KM	Draft versions of key M&E documents Supplementary learning data for annual BRACED M&E report Queries about the content of projects' M&E, programme-level M&E and KM-led evaluations that require M&E technical advice	During project set-up and at mid-term review and final evaluation stages As required Ad hoc	Documents and emails to monitoringandevaluation@resilienceexchange.net KM follow up activities Email to monitoringandevaluation@resilienceexchange.net
KM -> IP	Feedback on and technical advice for key M&E documents and processes Further M&E guidance	During project set-up and at mid-term review and final evaluation stages Ad hoc	Written feedback, Skype calls and emails from KM M&E team New/updated M&E Guidance Notes
KM -> FM	All project queries/updates/advice with contractual, financial or results reporting implications	Ad hoc	Forward to go-fmbraced@kpmg.com . Meetings as required

KM engagement with IPs for BRACED M&E

It was confirmed during the BRACED Inception Workshop in February 2015 that Implementing Partners expect and require some level of M&E technical support from M&E technical experts who are well versed in the BRACED programme, its M&E and their project context. It is expected that there will be particular peaks in demand for this support in line with the BRACED programme cycle: during the first six months to support project-level M&E framework and plan finalisation and baselining; at the mid-term review stage; and at final/*ex post* evaluation stages. The Knowledge Manager will engage with Implementing Partners on M&E through:

- written guidance
- written and verbal feedback on project M&E milestones and mid-term reviews/final evaluations, and to collaborate on KM-led evaluation activities
- prioritised technical support, and
- ad hoc/emergent group support.

Principles for engagement on M&E

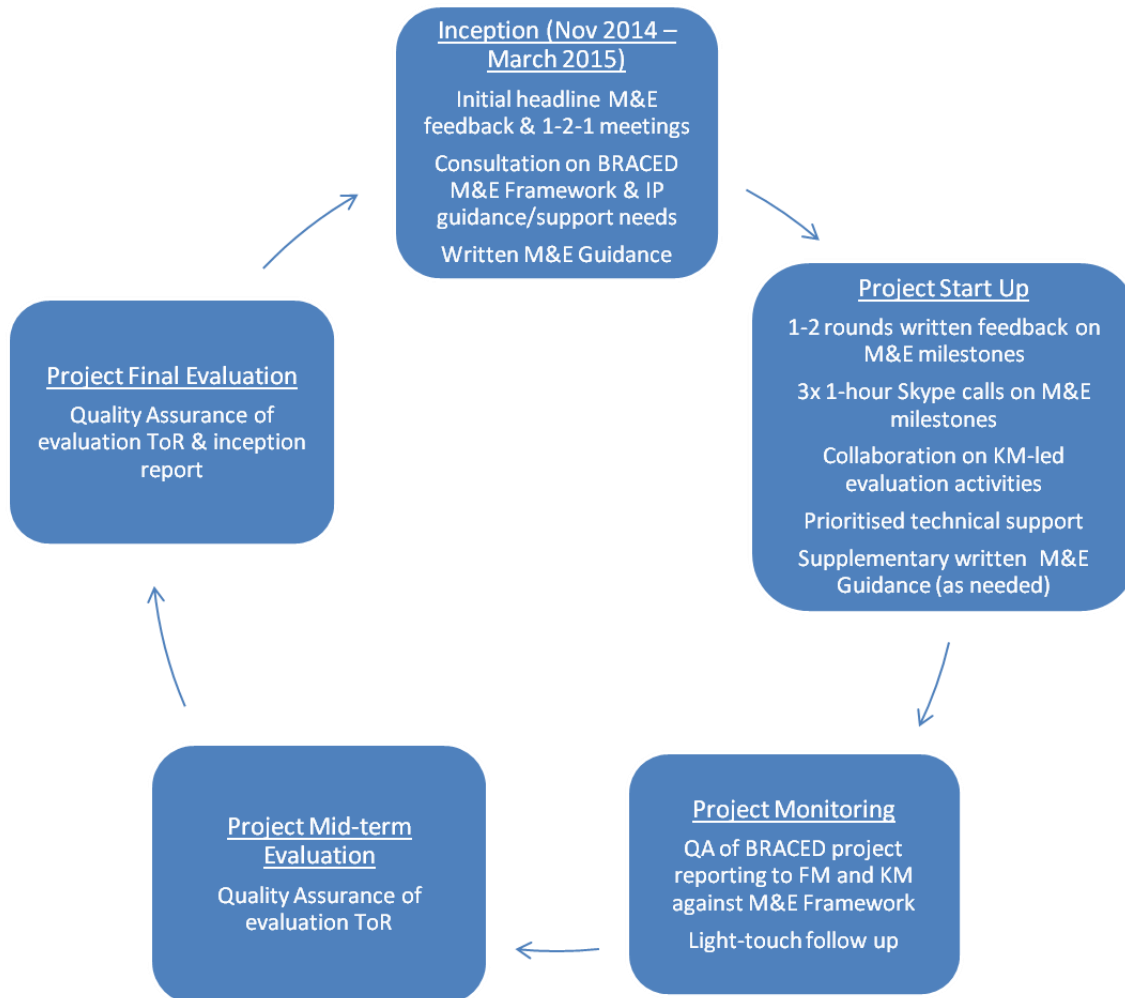
Engagement with you on M&E will be:

- as a 'critical friend' for learning purposes (FM engagement with IPs is for accountability) and on a confidential basis where appropriate
- demand-led and continually responsive to needs as they change during the programme (within the Knowledge Manager remit)
- based on and be within the BRACED M&E framework and approaches to monitoring, results reporting and evaluation outlined in the M&E Guidance Notes
- primarily to ensure the quality and alignment of project M&E frameworks, methods, data and reporting or to gain project participation in, and contribution to, KM-led evaluations
- provided to M&E and programme staff by M&E specialists, who have an overall understanding of the BRACED context
- provided as far as possible by a consistent set of individuals and in the Implementing Partner's preferred language where possible
- through a combination of written guidance, programmed support, and ad hoc support
- provided at a minimum level to all Implementing Partners then prioritised based on projects' direct contribution to a collective better understanding of what works in building resilience to climate shocks and extremes
- provided on a 1-2-1 basis for project-specific issues and a group basis for issues/questions affecting more than one project
- provided on a remote basis (i.e. over Skype, telephone, email, online) unless a specific case can be made for face-to-face interaction

- provided from a technical review/quality assurance perspective in response to specific technical questions arising from IP-developed materials rather than 'open-ended' requests for support.

What support Implementing Partners can expect on M&E?

Figure 2: Summary of M&E support through the project cycle



Written guidance

The M&E Guidance Notes, of which this Note is a part, provide all BRACED Component A and B Implementing Partners with a BRACED M&E framework to situate their M&E work within and practical guidance to do this. If any further common needs are subsequently identified, the Knowledge Manager will develop further M&E guidance throughout the programme, and update the core guidance manual as appropriate.

Development of the BRACED programme M&E framework and related guidance has been an ongoing and iterative process based on further definition of project-level M&E plans and the programme M&E system. The M&E Guidance Notes have been copy-edited in December 2015

to reflect these developments and to bring together the latest BRACED M&E guidance in one place.

Written feedback on project M&E milestones

Each Implementing Partner is expected to respond to the BRACED M&E guidance when revising and finalising your project theory of change, logframe, baseline plan, indicators, M&E plan/budget and evaluation draft ToRs. From April 2015 onwards, the Knowledge Manager will work with each Implementing Partner to help you meet your contractual M&E milestones:

Project M&E milestones
Review project theory of change and logframe in conjunction with review of the BRACED programme theory of change and logframe by the Knowledge Manager
Draft baseline plan submitted for review by the Knowledge Manager
Finalise logframe indicators including the methodology for KPI 4 indicators and composite indicators, and knowledge & dissemination indicators, with the Knowledge Manager
Finalise M&E plan drawing on feedback from the Knowledge Manager
Develop revised M&E budget which adequately resources the finalised M&E Plan
Finalise collection of baseline data relevant to the logframe
Develop outline ToRs, outline workplans and budgets for a light-touch mid-term review and a robust, independent final evaluation

We encourage you to review all documents associated with the milestones above in light of the guidance provided in Notes 1–7. The KM will then provide each Implementing Partner with one round of written feedback and recommendations for improvement on your project’s theory of change, logframe, baseline plan, indicators, M&E plan and budget, and evaluation draft ToRs. This feedback will focus on ensuring alignment with broader BRACED programme M&E and the quality of project M&E data and results reporting. It will be provided in English (the document language). The KM will also offer a second review of these documents, once updated by the Implementing Partners to respond to feedback, where appropriate. The M&E Guidance Notes will provide the basis for this support. The KM will outline the scope of feedback for each document/component in April 2015.

The KM M&E team provided written feedback to all 15 Implementing Partners on project theories of change, logframes, M&E and baseline plans during June–October 2015 once drafts were available. All reviews were conducted against the same template. The process followed is set out in [Annex 7](#). Written reviews of project mid-term review and final evaluation documentation are ongoing as part of KM Evaluation Activity 2 (which will synthesise all project evaluation outputs).

Verbal feedback on project M&E milestones

The Knowledge Manager will offer the opportunity of 1-2-1 support to all 15 Implementing Partners to focus on project-specific questions and issues arising from finalisation of each project's theory of change, logframe, baseline plan, indicators, M&E plan and budget, and evaluation ToRs. This 1-2-1 support will be based on draft documents shared by the Implementing Partner and/or on issues that are blocking progress in project M&E finalisation. You will be offered three 1-hour Skype discussions during April–June in English with core members of the BRACED KM M&E team to respond directly to questions/issues and identify any need for further technical support (see next page).

Update December 2015: 1-2-1 discussions have been held with the overall leads and M&E leads for each project, predominantly during May–June 2015 ahead of the written reviews.

Collaboration on KM-led evaluations

The Knowledge Manager will work closely with those Implementing Partners directly implicated in particular KM-led evaluation activities (see [Note 7](#)) to gain project participation in, and contribution to, KM-led evaluations. Brief terms of reference (ToRs) will be developed for all participating projects to agree expectations and commitments from both the Implementing Partner and the Knowledge Manager. The objective of the KM evaluations is to generate complementary evidence and learning, and not to place additional burdens on projects. The KM will strive to ensure that this objective is adhered to. **The KM is working closely with the three projects identified under KM Evaluation Activity 3 to together define attribution in BRACED project results.**

Engagement will be primarily by email and Skype and particularly high during project start-up. The KM will also be leading and implementing some survey/evaluation work on project sites. Close collaboration will be sought during these times and throughout KM evaluation periods as set out in the ToRs:

- to agree in detail project participation in /contribution to the evaluations
- to provide participating IPs with quality assurance on those project monitoring, reporting and evaluation activities that will contribute to the KM-led evaluations to ensure adequate quality and alignment (see below)
- to work with participating IPs to ensure questions are included in your own baseline activities where appropriate and feasible, to ensure complementarity of KM-led baselines
- to access relevant primary and secondary data collected by the projects and to enable access for KM-led data collection.

Prioritised technical support

Where there is a need, the Knowledge Manager will commission high-level technical assistance and quality assurance in specific areas, for example, reviewing and advising on: sample sizes; sampling techniques; survey design; composite indicator design; and specific evaluation methods. This will be provided to Implementing Partners on a project or group basis depending on the specificity of the guidance needed, by the core KM M&E team in partnership with specific external technical advisors. The KM support will build on and support existing Implementing Partner M&E thinking.

The level of support available and how this is prioritised across Implementing Partners is to be determined but those contributing directly to the BRACED evidence base and learning, for example, through KM-led evaluations, where the KM is reliant on the project baseline being robust and the sample size credible, those with the fewest resources, and those without a dedicated M&E partner within your consortium are expected to be prioritised.

All Component A and B project sampling strategies were reviewed by an external technical partner as part of the KM written review of project M&E milestone documents.

Feedback on mid-term reviews and final evaluations

Later in the programme, the Knowledge Manager will provide 1-2-1 support to each Implementing Partner to quality assure their internally commissioned mid-term review and externally commissioned final evaluation activities. This will focus on ensuring the quality and alignment of BRACED project evaluations to enable the contribution of data and findings to programme-wide data, analysis and learning (including KM-led evaluations). The nature of this support will be defined nearer the time based on both project and programme needs. See [Note 7](#) for preliminary guidance to inform your project evaluation ToRs.

This 1-2-1 support to Implementing Partners is now ongoing.

Ad hoc/emergent support

Beyond the support outlined above, the Knowledge Manager will seek to respond to emerging M&E demands and needs that are common across several/all projects by providing support on a group basis:

- *Early in implementation* – to collectively answer key M&E questions and issues that have emerged from across the group of Implementing Partners. We expect to do this in a webinar format with an accompanying guidance document. Topics will emerge from the dedicated 1-2-1 support and ongoing interaction with Implementing Partners. The group discussions will be delivered by subject experts, some of whom will be external to the BRACED Knowledge Manager. They will be fully briefed in the BRACED M&E framework and programme context.

- *Later in implementation* – for the Knowledge Manager and various Implementing Partners to share learning and experience on aspects of M&E including measuring resilience and explore how we can build on different stakeholders' experience. As the programme progresses, the focus and nature of the KM support to IPs will shift from 1-2-1 project support during start-up, to supporting all projects to continually learn from and improve both M&E practice and results and to make a broader contribution to BRACED evidence and learning. The Knowledge Manager's annual aggregation and analysis of project results for BRACED learning (BRACED M&E report), including against the BRACED theory of change, and the annual review of BRACED-wide theory of change and logframe, may be one basis for these conversations.

This support on a group basis has begun and, with the completion of project and programme set-up, we will move towards peer support and learning for project and programme M&E, facilitated by the Knowledge Manager. The focus and modality of KM support going forward builds on and responds to feedback received through a survey to all IPs in October 2015.

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Annex 1: Progress markers – example

The following example is taken from the Accountability in Tanzania (ACT) Programme document 'Influencing Change in Policy, Power and Practice' – <http://www.accountability.or.tz/>

The programme EXPECTS TO SEE communities:

Having access to more information concerning: their rights and obligations; the role of citizens and their institutions in natural resources governance; natural resources policies, laws and practices; the relevant authorities for addressing grievances or demands; and options for community participation in natural resources management

Receiving more information concerning communication gaps and challenges including: the value of inclusive participation (e.g. of women, youth, minority groups, the poorest and the vulnerable), and identification of relevant ways and means of communication

Engaging in developing information about the value of natural resources as a resource for rural development

The programme would LIKE TO SEE communities:

Making use of new and existing communications channels (within, up, down and laterally) and targeting specific grievances and demands

Using customary and other local level institutions to effectively advance pro-poor natural resources management solutions

Increasingly well organised, collaborating and contributing human resources to setting up and managing natural resources groups and networks

Calling on external expertise (for training, accessing legal advice, etc.) when developing natural resources management arrangements

Increasingly holding local level institutions, village governments and other local government authorities (LGA) to account in natural resources management matters and demanding justice in natural resources governance

Demanding to participate in natural resources governance processes (policymaking, LGA decision making, etc.)

The programme would LOVE TO SEE communities:

Successfully influencing national policy formulation and dialogue through full and inclusive citizen participation, with due attention paid to inclusion of women, youth, minority groups, vulnerable groups and the poorest

Being accountable to citizens for local level decisions regarding natural resources governance (e.g. village land administration, forest, fisheries, land and wildlife management)

Collaborating to successfully protect citizens rights to control their natural resources and to visibly and equitably benefit from these resources

Annex 2: Areas of Change IP reporting template – draft

This version of the template was shared with Implementing Partners as an initial draft example. It has now been updated based on feedback received from IPs and integrated into the annual reporting template to the Fund Manager.

<p>Relevant Area of Change: <i>Partnerships / Knowledge / Inclusive decision making / capacity</i></p> <p>AoC tailored to IP project:</p> <p>Key stakeholders involved in AoC:</p>
<p>Nature of change anticipated at project baseline:</p> <p>Expect to see: <i>Set of anticipated changes</i></p> <p>Like to see: <i>Set of anticipated changes</i></p> <p>Love to see: <i>Set of anticipated changes</i></p>
<p>Nature of change reported: Year 1</p> <p>Expect to see: <i>Details of changes reported</i></p> <p>Like to see: <i>Details of changes reported</i></p> <p>Love to see: <i>Details of changes reported</i></p> <p>Critical reflection by IP: Year 1</p> <p>What has really changed in relation to this AoC?</p> <p>Is the change sustainable?</p> <p>What did you contribute to the change relative to others?</p>

Nature of change reported: Year 2

Expect to see: *Details of changes reported*

Like to see: *Details of changes reported*

Love to see: *Details of changes reported*

Critical reflection by IP: Year 2

What has really changed in relation to this AoC?

Is the change sustainable?

What did you contribute to the change relative to others?

Nature of change reported: Year 3

Expect to see: *Details of changes reported*

Like to see: *Details of changes reported*

Love to see: *Details of changes reported*

Critical reflection by IP: Year 3

What has really changed in relation to this AoC?

Is the change sustainable?

What did you contribute to the change relative to others?

Annex 3: 3As reporting template – draft

This version of the template was shared with Implementing Partners as an initial draft example. It has now been updated based on feedback received from IPs and integrated into the annual reporting template to the Fund Manager.

Using the guidance provided on the 3A approach to tracking outcomes at different levels (from community to national), briefly describe:

How are actions taken as part of your project contributing to anticipatory capacity?
How are actions taken as part of your project contributing to adaptive capacity?
How are actions taken as part of your project contributing to absorptive capacity?
Please describe if there have been any shocks/stresses where these capacities have been put into action and if so how did this contribute to mitigating or moderating impact?
Do you find the 3A approach to be a valuable framework for analysing the outcomes of your interventions?

Annex 4: Evaluative Monitoring reporting template – draft

This version of the template was shared with Implementing Partners as an initial draft example. It has now been updated based on feedback received from IPs and integrated into the annual reporting template to the Fund Manager.

Using the guidance provided on the Evaluative Monitoring approach to analyse and reflect about the context your project is working...

<p>State the key identified contextual factors that may enable or constrain change in your project</p> <p>At the local level</p> <p>At the sub-national level</p> <p>At the national level</p>
<p>Briefly describe the baseline situation at the beginning of the project</p> <p>(include Evaluative Monitoring Matrix)</p>
<p>Update on context (i.e. year 1)</p> <p>At the local level</p> <p>At the sub-national level</p> <p>At the national level</p>
<p>What change did you seek to influence? And to what extent is the operating environment enabling or constraining change? Why?</p> <p>At the local level</p> <p>At the sub-national level</p> <p>At the national level</p>
<p>Did any unexpected change take place because of the dynamics in the context? Do these changes challenge project assumptions?</p>
<p>Based on your analysis, does your theory of change or parts of it still remain valid?</p>

Annex 5: OECD/DAC principles for the evaluation of development assistance

When evaluating programmes and projects it is useful to consider the following criteria. The criteria were first laid out in the [DAC Principles for Evaluation of Development Assistance](#) and later defined in the [Glossary of Key Terms in Evaluation and Results Based Management](#). The following further explains the criteria and provides some sample questions to illustrate how they may be used in practice:

Relevance

The extent to which the activity is suited to the priorities and policies of the target group, recipient and donor.

In evaluating the relevance of a programme or a project, it is useful to consider the following questions:

- To what extent are the objectives of the programme still valid?
- Are the activities and outputs of the programme consistent with the overall goal and the attainment of its objectives?
- Are the activities and outputs of the programme consistent with the intended impacts and effects?

Effectiveness

A measure of the extent to which an activity attains its objectives. In evaluating the effectiveness of a programme or a project, it is useful to consider the following questions:

- To what extent were the objectives achieved or likely to be achieved?
- What were the major factors influencing the achievement or non-achievement of the objectives?

Efficiency

Efficiency measures the outputs – qualitative and quantitative – in relation to the inputs. It is an economic term which signifies that the aid uses the least costly resources possible to achieve the desired results. This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted.

When evaluating the efficiency of a programme or a project, it is useful to consider the following questions:

- Were activities cost-efficient?
- Were objectives achieved on time?

- Was the programme or project implemented in the most efficient way compared to alternatives?

Impact

The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended. This involves the main impacts and effects resulting from the activity on the local social, economic, environmental and other development indicators. The examination should be concerned with both intended and unintended results and must also include the positive and negative impact of external factors, such as changes in terms of trade and financial conditions.

When evaluating the impact of a programme or a project, it is useful to consider the following questions:

- What has happened as a result of the programme or project?
- What real difference has the activity made to the beneficiaries?
- How many people have been affected?

Sustainability

Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable.

- When evaluating the sustainability of a programme or a project, it is useful to consider the following questions:
- To what extent did the benefits of a programme or project continue after donor funding ceased?
- What were the major factors which influenced the achievement or non-achievement of sustainability of the programme or project?

Sources

The DAC Principles for the Evaluation of Development Assistance, OECD (1991), Glossary of Terms Used in Evaluation, in 'Methods and Procedures in Aid Evaluation', OECD (1986), and the Glossary of Evaluation and Results Based Management Terms, OECD (2000).

Annex 6: Note 7 frequently asked questions

Introduction

This annex provides a list of the questions asked by Implementing Partners (IPs) during the BRACED M&E clinic on 22 September 2015 on the content and implications of M&E Guidance Note 7. It is meant both as a summary of the key questions raised and answers provided as well as a useful document for those who were unable to participate. The questions and answers have been organised into topical areas for ease of reference and the identity of those asking the questions has not been included here.

Frequently asked questions (FAQs)

Timing and sign off process

Q. What are the deadlines for the Implementing Partners to deliver the project mid-term review (MTR) and final evaluation (FE)?

Mid-term review:

- Focus on activities during the period January 2015 to June 2016
- Planning & design (with guidance from KM M&E Team) – October – November 2015
- IP data collection and analysis – July and August 2016
- IP reporting deadline – end of August 2016

Final evaluation:

- Focus period (full project) – January 2015 to November 2017
- Planning and design (with guidance from KM M&E Team) detailed terms of reference (ToRs) for final evaluation development in July 2017
- Final Evaluation Inception Report in October 2017.
- Implementing Partner data collection and analysis – November and December 2017
- Implementing Partner reporting deadline – end of December 2017

Q. After approval of the MTR and FE plans by the Knowledge Manager M&E team, do we need to submit them to the Fund Manager (FM) too?

A. It is not a requirement that the plans be sent to the Fund Manager but it might be useful to circulate for information.

Q. Can we do both the MTR and FE ourselves or do we need to commission external consultants to do this?

A. The mid-term review should be led by the IP or the lead M&E partner as this is a reflective exercise and should be used as both an opportunity for learning and also for course correction. The final evaluation should be conducted by an independent party commissioned by the IP via robust and clear ToRs which the KM M&E team can assist in developing.

Q. What if we are delayed and therefore won't have enough evidence in time for the MTR?

A. As the MTR is designed to be a reflective exercise from January 2015 – June 2016 we do not anticipate that you will necessarily have evidence of achieving outcome level changes. Reflecting on the process, mechanisms and assumptions in your project theory of change ToC up to the mid-point is as important as actual results.

Q. What if the current timeline for data gathering and reporting for the MTR is impractical in our delivery context, can we delay?

A. This is not something the Knowledge Manager can sanction and should be discussed with the Fund Manager who will understandably want to hold you to your grant agreements. We appreciate that Implementing Partners face a range of programming challenges but the MTRs have been designed and timed to produce a common project reflection point in order to support robust evidence at the programme level.

Q. By delivering the final evaluation report in Dec 2017 wouldn't we be missing important learnings and results that will only be available after the completion of the project?

A. Potentially yes. There is a tension between IPs completing the projects and mandate of KM from DFID to deliver evidence and learning by the end of the project. However, the KM has made timing of these as late as possible, to still enable synthesis, analysis and sharing.

Methods and approaches

Q. What is the relationship between the mid-term review and final evaluation?

A. Both need to reflect on progress (results) to date as well as the 'mechanisms' by which interventions have delivered results (learning). Data and learning from the MTR can be used as data sources for the final evaluation. Additionally, ongoing routine quarterly and annual results reporting and any wider ongoing M&E activities can be key data source for the MTR. This would need to be included in the evaluation matrix you are required to produce with our support. This could be complemented by additional data gathering using both qualitative and quantitative methods which should be set out in the mid-term review and final evaluation ToRs.

Q. To what extent do you envisage mid-term evaluation to be representative? Can it be more focused on the process and significant triangulation but without large-scale quantitative study?

A. We will require you to demonstrate a robust approach and we will work with you to ensure that this is in place but we won't necessarily require you to demonstrate a fully representative sample size for the mid-term review. The KM doesn't expect it to be a formally representative sample, but the methods for data collection and data analysis should be explicit in order to allow you to make conclusions that are representative of results overall. With only 25% of the project budget available for the MTR it's unlikely you will be conducting statistically representative surveys as a main data gathering method. You may wish to use focus group discussions or key informant interviews to generate case studies which support any routinely gathered monitoring data for example.

Q. During the process of synthesis, how much engagement is there going to be from Implementing Partners in contributing to it?

A. We will be supporting IPs to understand the role of context and mechanisms in delivering outcomes at both mid-term review and final evaluation stage. As a deliverable, IPs are responsible for delivering a MTR and FE and the KM M&E team is responsible for delivering a synthesis of resilience strengthening interventions. We want to facilitate the process of shared learning across the programme via further clinics, the learning lounge and annual learning event.

Q. Are you setting up systems to ensure information across IPs is comparable and can be aggregated?

A. Shared learning has always been a guiding principle of the KM M&E team. This is something we had in mind from the beginning. Projects are working in different contexts with different interventions which means aggregation is challenging. We have put in place relatively light-touch but consistent reporting frameworks and developed the M&E guidance document without being too prescriptive or placing too much burden on Implementing Partners. We don't just want to extract information from IPs. Through the evaluation plan we have developed activities which try and address this. The evaluation plan will shortly be made a public facing document.

Q. Will you provide minimum standards to ensure data quality?

A. We will do all we can to raise the data quality standards as much as we can as needed. This will be achieved partly by working with each of the projects to develop mid-term review and final evaluation ToRs and evaluation matrices.

Support from KM M&E team and additional information

Q. What sort of support is available from the KM M&E team?

A. Throughout October and November the Knowledge Manager M&E team will work with Implementing Partners to develop and sign off mid-term review ToRs and evaluation matrices:

- *KM M&E team will circulate example templates for ToRs and evaluation matrices – early October*
- *IPs offered first 90 minute 1-2-1 session to support development of tailored ToRs and evaluation matrices (optional) – mid to late October*
- *IPs submit completed ToRs and evaluation matrices to KM M&E team – early to mid-November*
- *KM M&E team reviews and comments on draft documents and offers second 1-2-1 session (optional) – mid to late November*
- *IPs submit final ToRs and evaluation matrices for KM M&E team sign off – deadline 30 November.*

This 1-2-1 support to Implementing Partners is now under way.

Annex 7: Supplementary Note to Implementing Partners: process for KM & FM M&E milestone document review, approval and sign off

1 Purpose of this Note

This Note was jointly prepared by the Knowledge Manager (KM) and Fund Manager (FM) in May 2015. It sets out the process of reviewing, approving and signing-off on the M&E milestones in your contracts. It aims to clarify roles and responsibilities of Implementing Partners (IPs) and the FM & KM with regards to the completion of your M&E deliverables. The support and review of your M&E milestones rests with the KM, while the contractual approval and sign off of these falls within the remit of FM. This information supplements the BRACED M&E protocols (Note 8 of the M&E Guidance Notes).

2 M&E milestone document review by the KM

2.1 Background

Most of you have already had a 90 minute 1-2-1 Skype call with the Knowledge Manager in May following the group discussion forum on the BRACED M&E Guidance Notes in April. During these calls, we have answered your remaining questions on the guidance. We have also provided initial feedback on your revised project theory of change and logframe, including discussing the application of the M&E guidance to these and other key aspects of your project M&E.

For most Implementing Partners, the following documents are due to the FM **by the end of June 2015, having been first reviewed by the Knowledge Manager:**

- project theory of change
- project logframe (including revised indicators)
- draft baseline plan
- M&E plan & budget, and
- draft evaluation ToRs (please refer to your own specific contract).

During June 2015, the Knowledge Manager is expecting to receive near-final draft versions of your M&E outputs before you submit the final versions to the FM. We will provide high-level written feedback on these documents. The KM feedback will come from a BRACED programme perspective, based on project coherence with the M&E framework presented in the M&E Guidance Notes. This step is fundamental to ensuring that your project contributes to robust and holistic evidence and learning generation across the programme. It is not anticipated that the KM will fundamentally question or request wholesale revisions to the M&E plans you have been developing in line with Interim Knowledge Manager and KM guidance to date. However, we may highlight potential inconsistencies and weaknesses.

2.2 What your M&E milestone documents will be reviewed for

We are pleased to learn through your feedback on the M&E Guidance Notes, that the qualitative framework presented fits well with, and adds value to, your project M&E. However, we understand that different IPs will adopt and integrate the 3As, Areas of Change that contribute to climate resilience (KPI 4) and Evaluative Monitoring to differing extents, depending on the level of fit with your project.

When we review the M&E milestone documents, we will look at the level of adoption/ engagement with and application of the M&E guidance – specifically the 3As, Areas of Change that contribute to climate resilience (KPI 4) and Evaluative Monitoring. If necessary, we will also make ‘headline’ suggestions to improve the overall coherence and methodological rigour of your project M&E in line with the programme M&E framework. For this reason it will be helpful to see your M&E milestone documents together in one package so that we can look across them.

The recommendations that we make will be as practical and specific as possible so that you can apply them in the time frame to your final versions. We do not expect there to be significant budgetary implications to our feedback. Rather, any feedback will be to further enhance the quality and coherence of your M&E and project. If there are specific questions/issues on which you would like KM M&E feedback, please do highlight these when sending your documents to us. The following table provides an indication of what the Knowledge Manager will be looking for:

M&E milestone document	Focus of KM review	Reference documents
Project theory of change towards climate resilience	Extent to which this unpacks the processes and pathways from output to outcome and outcome to impact. Clear articulation of how pathways contribute to KPI 4 (resilience) Extent to which theory of change assumptions (not risks) that underpin the pathways are identified Extent to which contextual factors have been considered in ToC assumptions (so that they can then be monitored)	BRACED programme theory of change as presented in Note 2 Note 3: Areas of Change Note 5: Evaluative Monitoring
Project logframe	Alignment with project theory of change towards climate resilience Consistency of indicators Extent to which the Areas of Change are reflected in output level indicators Robustness and sense of KPI 4 and KPI 1	BRACED programme logframe. <i>Note that this is still under revision, including responding to feedback from IPs in your 1-2-1s*</i>
Draft baseline plan	Plans to collect data against logframe indicators Adequacy and appropriateness in terms of clarity and methodological rigour of the baseline data collection plan to support the project's	Note 6: Project Baselines

	Overall delivery of the M&E plan KPI 4 results reporting methodology Wider project evaluation plan	
M&E plan	Extent to which this reflects your ToC and logframe Extent to which project monitoring and routine results reporting design and method is coherent with programme-level M&E framework Extent to which project evaluation plan is coherent with M&E guidance on project evaluations	Note 3: Areas of Change Note 4: 3As Note 5: Evaluative Monitoring Note 7: Guidance on mid-term reviews and final evaluations
Draft evaluation ToRs	Extent to which project evaluation ToRs are coherent with M&E guidance	Note 7: Guidance on mid-term reviews and final evaluations

** You do not need to see the final programme-level logframe to complete the review of your project logframe. The main change that you need to be aware of is to the **programme-level output indicators and sources of verification**. These have been slightly modified to ensure that the quality and processes involved in the delivery of these outputs is captured. This directly relates to the 'Areas of Change' of the BRACED 'theory of change'. For example, in relation to partnerships, beyond counting how many partnerships have been established, the quality of such partnerships and the extent to which these have contributed to more effective delivery should be tracked. We encourage you to take a similar approach.*

2.3 Process for M&E milestone document review

We propose the following process for the KM review of your M&E milestone documents during June:

1. Complete your 1-2-1 with the Knowledge Manager M&E team if you haven't yet done it; this will be helpful.
2. Send your near-final M&E milestone documents as **one package along with a brief statement of how you have responded to the M&E guidance** (including intended level of engagement with the 3As, Areas of Change, Evaluative Monitoring), and **any specific issues you would like further feedback/clarification on** to monitoringandevaluation@resilienceexchange.net.
3. The Knowledge Manager will review and provide written feedback on this package of documents via a Word template.
4. Consider and incorporate KM feedback in final versions of the M&E milestone documents.
5. Submit these documents as per your contractual milestones to the Fund Manager with the Knowledge Manager feedback in attachment.

3 Approval and sign off of M&E milestones by the Fund Manager

The Fund Manager has also been encouraged with progress made on your M&E milestones and our monthly calls have been helpful to understand your achievements and challenges and to provide support in real-time.

With regards to the approval and sign off of your M&E contractual milestones by the Fund Manager, the threefold process below will be followed:

- Each Implementing Partner will submit to the Fund Manager its contractual M&E milestones along with the Knowledge Manager's feedback provided to IPs on your M&E milestones during the review process;
- Within five working days, the Fund Manager will acknowledge receipt of these M&E milestones and KM feedback, and request clarifications or raise questions if needed (e.g. budget or resources implications). The FM anticipates that there will not be any resources or budget implications as a result of the KM M&E review process. However, if that is the case, please raise this with the FM as soon as possible;
- Once any outstanding issues have been clarified, the FM will provide approval and sign off of the M&E milestones and this will serve as an addendum to your IP contract.

4 Next steps

- Please send your package of M&E documents for KM review to monitoringandevaluation@resilienceexchange.net
- All documents received by start **15 June 2015**, will receive written feedback by end **19 June 2015**
- If you have any questions about the Knowledge Manager review, please contact: monitoringandevaluation@resilienceexchange.net
- If you have any questions about your contractual milestones, please contact go-fmbraced@kpmg.com
- Please then send your revised M&E contractual milestones along with the KM's M&E feedback from the review process to the Fund Manager at: go-fmbraced@kpmg.com. The Fund Manager will endeavour to respond as soon as possible.

Annex 8: M&E guidance FAQs

Introduction

This annex provides a list of the questions and concerns raised, and answers addressed during the BRACED M&E clinic led by the BRACED Knowledge Manager M&E team on 28 April 2015 on the content and implications of the M&E Guidance Notes. These questions were a summary of all questions and concerns received in writing from all Implementing Partners ahead of the discussion.

Frequently asked questions and concerns

Headline clarifications

Q. Some of you mentioned the limitation of not yet having the French version of the guidance when developing your questions and feedback.

- *We apologise that the French translation is not yet available. It has taken longer than the translators first estimated due to the technical nature of the document. We received the draft version yesterday and will share this with all partners in the coming days.*

Q. What are the resource implications of engaging with the M&E guidance for Implementing Partners, including the KM-led evaluation activities?

- *The Areas of Change, 3As and Evaluative Monitoring are organising frameworks for your existing data collection and results reporting processes. There should not be budget implications.*
- *We realise that it will take time for you to understand and apply the concepts to your M&E plans and activities. Many of you have confirmed that your M&E already addresses these issues to some extent. You will have our full support to apply the guidance to your project's M&E.*

Q. What does the Knowledge Manager envision in terms of survey/evaluation work on project sites? By when? Who is going to lead them? Is there going to be joint planning for these studies?

- *We are currently agreeing KM-led evaluation plans with DFID. We will be working more closely with a small set of projects. We will be shortly approaching those Implementing Partners to discuss feasibility. The idea is to complement not duplicate your M&E work.*

Q. In order to enable implementation of the guidance by project field staff we need a practical checklist/quick reference to the mandatory and suggested M&E guidance.

- *The qualitative guidance has been designed as frameworks for Implementing Partners to interpret. Tailoring those to each specific project will be part of our 1-2-1 support to help you to operationalise the guidance.*

Q. Are there key entry points at which guidance can be sought on project-level M&E frameworks and plans (prior to formal submission to the Fund Manager)?

- *Yes, as outlined in Note 8 (M&E protocols), we are suggesting a package of written and verbal feedback to all Implementing Partners on your M&E frameworks and plans.*
- *We are keen to provide at least a 'light-touch' review to all projects' theories of change, logframes, M&E plans, indicators and baseline plans before they are finalised and submitted to the Fund Manager to meet your project milestones at the end of Q2.*
- *Our interest is to help ensure that your M&E is aligned to the BRACED programme M&E framework as outlined in the M&E Guidance Notes.*
- *Many of you referred to us providing you with feedback on your key M&E documents. All documents should be sent to us at: monitoringandevaluation@resilienceexchange.net*

Q. It would be useful to receive further details about the areas of synergy and continuity between KM and FM, specifically in relation to M&E and the learning agenda.

- *This is something that we are currently working on with the Fund Manager to ensure that the information that you provide to the FM in your monthly, quarterly and annual reporting is shared with the Knowledge Manager in a systematic way for our M&E and learning agenda.*
- *We are also keen to ensure that there is no duplication in requests and support to you from the Fund Manager and Knowledge Manager on M&E. We each have very distinct roles, as explained in Notes 1 and 8. The FM's role is performance management and accountability whereas the KM role is around evidence and learning.*

Q. Some of you had questions about the nature and timing of the project mid-term review and final evaluation guidance and requirements.

- *We are currently defining this between the KM, FM and DFID in a way that is productive for both Implementing Partners to all stakeholders. As soon as this is resolved there will be a communication to all Implementing Partners on this.*
- *We intend to include the guidance on this in Note 7.*

Q. Many of you responded positively to the BRACED M&E framework presented, and indicated a level of engagement with specific parts/all of it. However, there are some strong concerns about how much work it will be to report against the Areas of Change, 3As and Evaluative Monitoring (Annexes 2–4).

- *We need to report results and learning at the programme level. We are assuming that you will already be monitoring and reporting against the qualitative aspects of your project.*
- *The frameworks and methodologies we are proposing are there to provide you with some structure that also supports programme-level reporting. We are suggesting biannual reporting on these.*

- *The idea is not to have a separate set of reporting to us, the Knowledge Manager, on these elements.*
- *Instead we intend to work with the Fund Manager to update the written reporting templates to incorporate these elements. These FM templates currently include 'placeholders' for this reporting.*
- *Reporting against these elements is not mandatory, and certainly isn't expected in your Q1 reports, which are soon due.*

Q. How will the evidence and learning from project and programme M&E be compiled and shared by the KM?

- *We plan an annual reflection, synthesis and learning process. This feeds into the DFID annual review and wider KM learning activities.*
- *Note 7 along with other KM documents will further answer this question. Note 7 will be shared with you in May 2015.*

Q. Can you clarify if the guidance on KPI1 and KPI4 from the Interim Knowledge Manager is going to be available in French?

- *The M&E guidance provided by the Interim Knowledge Manager was not translated into French.*
- *We understand that the reason some of you are asking for this now is to help you to operationalise the KPI 1 and 4 Guidance. However, these are not currently operational-level documents.*
- *Translation decisions are taken at the overall KM level and we would need to be able to demonstrate a clear, common need.*

Q. You also asked for clarity of the support you can expect from the KM on research, learning and communication (not just M&E), including field visits.

- *We will pass these questions onto the broader Knowledge Manager to answer.*

Q. Gender is not well integrated into the M&E guidelines.

- *The mandatory guidance by the Interim Knowledge Manager already addresses this issue – all projects already have to report on gender disaggregated data for KPIs 1 and 4.*
- *Evaluative Monitoring as one of the contextual factors also talks about gender dynamics. In the other methods and frameworks, we haven't addressed gender directly because it is assumed the Implementing Partners will already be monitoring this.*
- *We'll think this through further when providing you with 1-2-1 support.*

- *The theory of change was broadly received positively as it provides a clear explanation of the programme ToC. A little further explanation is required in how and how often the KM will update the theory of change.*

Q. Has there been any thought on how to best represent the integrated nature of our projects with the programme theory of change format?

- *Yes. We acknowledge that the visual representation of the ToC needs to better reflect the integrated nature of the BRACED projects. The KM is still in the process of finalising the theory of change.*

Q. Can you please confirm if the Note 2 Programme theory of change is (not) the final version?

- *As mentioned in the M&E Guidance Notes, the theory of change 'is a living document'. The KM is still in the process of finalising it with DFID which will be used for year 1. The document presents the final version of the theory of change narrative, main hypothesis and assumptions.*
- *Yet, more work needs to be done in relation to the visual representation and in making sure that the theory of change is well aligned with the BRACED programme logframe.*

Q. Guidance note mentions a 'periodic review' of the theory of change, when do you expect this to happen?

- *The Theory of change presented in Note 2 is still in draft form. We expect that we will review it on an annual basis, in order to reflect the learning and evidence collected through the annual process.*

Technical clarifications

Most of your questions and feedback were on the more technical parts of the M&E guidance: Notes 3, 4, 5 & 6. We will now focus on these in turn.

Areas of Change (Note 3)

The Areas of Change was broadly received positively as a useful and flexible tool for Implementing Partners to understand and report on the processes by which resilience is improved in a qualitative and explanatory way. A little further explanation is required in how you report against it in practice.

Q. How do IPs report against the Areas of Change in practice? How do we use the template?

- *In practice you will report using the template provided in Annex 2. We'll provide a worked example of how the template can be tailored to your project.*
- *In essence, your report will capture what kind of changes you see in your different stakeholder groups.*

- *In practice, you'll need to think about the key processes which link outputs to outcomes in terms of the Areas of Change.*
- *For each Area of Change that you define you will need to complete a template for each stakeholder group involved.*
- *We recommend that you report on the Areas of Change biannually but it may be that change only becomes evident on an annual basis.*

Q. How much additional work do you think reporting against the Areas of Change will generate for Implementing Partners?

- *We hope not much. We anticipate that most IPs are already collecting data in order to better understand and document those processes by which resilience is strengthened.*
- *The Areas of Change simply provides a consistent organising framework for documenting and reporting this, which you can tailor to your project context.*

Q. How do the Areas of Change relate to the programme logframe?

- *The Areas of Change were identified by looking at the 15 project and the overall programme logframes.*
- *At the moment the Areas of Change are located at the output level of the BRACED programme logframe – these are key outputs for projects to deliver.*
- *IP routine results reporting to the Fund Manager will provide the quantitative data for the programme logframe (number of). IP reporting on the Areas of Change will provide qualitative explanation of these numbers.*
- *We are currently revising the programme-level logframe in line with the Areas of Change guidance.*
- *It will be the KM's role to use the templates you provide on Areas of Change to analyse against the programme logframe.*

The 3As (Note 4)

- *Implementing Partners have engaged with the 3As framework thoroughly and we have received extremely thoughtful feedback/questions. Some IPs have found this to be a helpful framework that helps contextualise the outcomes of the interventions taking place. Others have doubts on the manner in which this framework aligns with their existing plans and processes.*
- *We have two important clarifications:*
- *The 3As framework is not meant to replace the plans/processes/protocols that projects have already put in place.*

- *This framework is not part of the 'compliance requirements' from projects but is a voluntary approach that will support the Knowledge Manager to develop programme-wide learning from BRACED. This framework will help us ensure that the outcomes from projects are getting the attention/visibility that they deserve.*

Q. It can be very subjective whether an outcome is anticipatory, adaptive, and absorptive.

- *We understand that it is difficult to categorise the activities precisely in terms of the 3A.*
- *One action may be contributing to more than one A or multiple actions may be contributing to a single A.*
- *It is a matter of contextual (rather than subjective) analysis whether an outcome is anticipatory, adaptive or absorptive.*
- *The categorisation that we have provided aims to simply breakdown these categories in such a way that they can be identified by BRACED project partners.*

Q. We have already adopted a framework (for instance the resilient livelihoods framework) relevant for our approach, what to do with the 3As approach?

- *We absolutely do not want you to abandon the approach that you have so carefully selected!*
- *We would be very keen to find ways through which we can see what the results that you are tracking anyway through your existing M&E systems are telling us about the manner in which your project is allowing vulnerable communities to absorb, adapt to and anticipate change (for instance resilient livelihoods framework is set up to focus on buffer capacity (absorption), adaptation and anticipation already).*
- *This way we can take insights on the impact of your work and insert into programme-wide learning that we will be leading.*
- *We had to devise a framework that is generally applicable across all projects and therefore were unable to tailor it to the nuances of the type that you outline.*

Evaluative Monitoring (Note 5)

Evaluative Monitoring was received positively as an approach that will increase learning provoked by asking critical questions. A little further explanation is required in how Implementing Partners collect data and report against about contextual factors in practice.

Q. Are there prescribed ways to integrate the contextual (qualitative) analysis into our quantitative data monitoring?

- *Yes, this is the objective of the Evaluative Monitoring reporting template presented in the Guidance Notes.*

- *While you will report progress against milestones and indicators, your Evaluative Monitoring report will complement your quantitative progress report.*

There are almost endless possibilities of what could be reported for Evaluative Monitoring.

Q. To what extent are we expected to pursue Evaluative Monitoring activities (given that the context is complex and there are many variables)?

- *We do not expect you to look at the overall system and each and every single variable.*
- *We suggest that you identify three or four key contextual factors that are central to your theory of change and its underlying assumptions, particularly those which are essential for achieving your project's results.*

Q. Will the Knowledge Manager provide an example of a monitoring matrix?

- *Yes, we will provide a worked example, as with the Areas of Change.*

Q. How do Evaluative Monitoring and Areas of Change align/overlap? What this should look like in terms of reporting?

- *Areas of Change are the processes direct to your project which link project outputs to outcomes.*
- *Reporting should directly relate to the change your project has brought about, i.e. what has happened?*
- *Evaluative Monitoring relates to the key set of assumptions that explain the wider external context, i.e. to what extent has the context enabled or constrained that change?*
- *Reporting should be on understanding the context in which change takes place.*

Baselines (Note 6)

- *Note 6 was broadly received positively. A few further technical clarifications are required in relation to practical challenges IPs are facing with the establishment of their project baselines. We received some very specific questions from each of you, which we'll address in the 1-2-1 meeting(s) with you.*

Q. What are the possible mitigation strategies for information gaps in climate change information at the baseline stage?

- *We are aware that this is a key challenge for most projects.*
- *To address this challenge we propose a 'good enough baseline approach'.*
- *That is, the baseline should, as a minimum be able to (a) provide a clear picture of the risks and/or vulnerabilities that the intervention intends to address; (b) enable the differentiation*

of monitoring for possible changes due to climate change, changes caused by non-climate dynamics, and changes induced by the intervention

Q. How do we address the challenge of 'shifting' baselines?

- *Given the implementation timeframe of BRACED projects, shifting baselines should not be an issue (3 years).*
- *However, we need to recognise the baseline as a static starting point within a highly dynamic context that needs to be tracked and considered as the project progresses.*

Q. Are we required to record weather data for the extent of our project? Examine past climate trends? Look at future climate scenarios? Will the KM possibly gather weather data on behalf of the IPs, since all of them will be querying the same secondary data sources?

- *This is something that was discussed at the BRACED Inception Workshop in Dakar. We have asked colleagues in the Knowledge Manager about plans for this with the following response:*
- *The Knowledge Manager is a facilitator and not a provider of climate information. In the short term, we'll provide a digest of climate information for Implementing Partners. In the longer term, we'll seek to set up partnerships to match up supply and demand.*

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