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**EVALUATION OF THE SWEDISH CLIMATE  
CHANGE INITIATIVE, 2009–2012**

**John Colvin, Mutizwa Mukute, Mehjabeen Abidi Habib,  
Jane Burt, Miriam Kugele, Jessica Wilson**



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*John Colvin, Mutizwa Mukute, Mehjabeen  
Abidi Habib, Jane Burt, Miriam Kugele  
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*Rapport 2020:02*

*till*

*Expertgruppen för biståndsanalys (EBA)*

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The evaluation reference group, chaired by Johan Schaar, vice chair of the Expert Group and former director of the Secretariat for the Commission on Climate Change and Development, and joined by Ulrika Åkesson, Sida, Elisabeth Folkunger, Sida, Kim Forss, evaluation specialist and member of the EBA, Mats Hårsmar, EBA secretariat, Stefan Isaksson, MFA, Nicolina Lamhauge, evaluation specialist, OECD, Eva Mineur, EBA secretariat, Joakim Molander, evaluation specialist, IDEA, Lars Roth, MFA and Lisa Schipper, climate change adaptation specialist, University of Oxford, provided a valuable contribution to the co-design of this evaluation for which we are most grateful.

John Colvin, Mehjabeen Abidi Habib, Jane Burt, Miriam Kugele, Mutizwa Mukute and Jessica Wilson

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# Abbreviations

ADB	Asian Development Bank
AF	Adaptation Fund
ASAP	Adaptation for Smallholder Agriculture Program
AU	African Union
BCPR	Bureau for Crisis Prevention and Delivery
BCCRF	Bangladesh Climate Change Resilience Fund
BRACED	Building Resilience and Adaptation to Climate Extremes and Disasters
CCA	Climate Change Adaptation
CCAC	Climate and Clean Air Coalition
CCAFS	Climate Change, Agriculture and Food Security
CCCD	Commission on Climate Change and Development
CCCA TF	Cambodia Climate Change Alliance Trust Fund
CCI	Climate Change Initiative
CGIAR	Consultative Group for International Agricultural Research
CIF	Climate Investment Funds
CIWA	Cooperation in International Waters in Africa
CTF	Clean Technology Fund
COP	Conference of the Parties
DFID	Department for International Development (UK)
DRR	Disaster Risk Reduction
EAC CC MP	East Africa Community Climate Change Masterplan
EAPP	East Africa Power Pool
EBA	Expert Group of Aid Studies
EBRD	European Bank of Reconstruction and Development
FIP	Forest Investment Program
GCF	Green Climate Fund
GEDEFOR	Decentralised Forest Management Programme (Mali)
GEF	Global Environment Facility
GFDRR	Global Facility for Disaster Reduction and Recovery
IDA	International Development Association
IEU	Independent Evaluation Unit
IFAD	International Fund for Agricultural Development
IIE	International Implementing Agency
ISDR	International Strategy for Disaster Reduction
LDC	Least Developed Country

LDCF	Least Developed Countries Fund
LVRLAC	Lake Victoria Region Local Authorities Cooperation
M&E	Monitoring and Evaluation
MDB	Multilateral Development Banks
MEL	Monitoring, Evaluation & Learning
MFA	Ministry for Foreign Affairs (Sweden)
NAP	National Adaptation Plan
NAPA	National Adaptation Plan of Action
NCF	National Climate Fund
NDC	Nationally Determined Contribution
NELSAP	Nile Equatorial Lakes Subsidiary Action Program
NIE	National Implementing Agency
ODA	Overseas Development Assistance
OECD	Organisation for Economic Co-operation and Development
PMR	Program for Market Readiness
PPCR	Pilot Program on Climate Resilience
PREMI	Poverty Reduction and Environmental Management Initiative
RBM	Results Based Management
REC	Regional Economic Communities
REDDIN	Degraded Ecosystems Rehabilitation Project of the Inner Niger Delta
SCF	Strategic Climate Fund
SE4All	Sustainable Energy for All
SEIE	Sustained, Emerging Impact Evaluation
SEK	Swedish Krona
Sida	Swedish International Development Cooperation Agency
SREP	Scaling Up Renewable Energy in Low Income Countries
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNEP-NILE	Adapting to Climate Change Induced Water Stress in the Nile - UNEP
UNFCCC	United Nations Framework Convention on Climate Change
US	United States
WB	World Bank
WFP	World Food Program

## Foreword by the EBA

In 2009, the Swedish government decided to start using ODA to deal with climate change and its negative effects. With a primary focus on the poorest countries, and mainly on their adaptation to climate change, Sweden set aside 4 billion SEK to be used over a four-year period. Furthermore, this constituted a major part of Sweden's 7 billion SEK contribution to the internationally agreed 'fast-start' of climate finance.

Ten years later, this surge of climate finance, including the bilateral, regional and multilateral activities to which it was put to use, has been evaluated. This report contains a synthesis of the evaluation, together with the learning and the recommendations emanating out of it. The ten case study reports that underpin the evaluation are all published on-line and may be found at <https://eba.se/en/ebarapport/>. A separate summary of the evaluation is also available on-line and in print.

It is our hope that this evaluation may provide guidance for the future use of ODA in the efforts to curbe climate change. The intended users of the evaluation are primarily staff at the MFA and Sida who engage in this challenge on a daily basis.

The evaluation has been accompanied by a reference group. This group has taken active part in a particular learning process the evaluation has facilitated. The reference group has been chaired by Johan Schaar, vice chair of the EBA. The responsibility of the analysis and the recommendations rests entirely with the evaluators.



Helena Lindholm, chair

# Introduction

Over the past decade there has been a rapid escalation in the gravity of the climate change challenge. The issue has become existential, with some national and many local governments declaring a climate emergency. Responses reflect the very serious warnings from the scientific community,<sup>1</sup> as well as the rapid emergence of social movements, such as the school strikes and Extinction Rebellion. The World Economic Forum's (WEF) annual risks report for 2020 finds that, for the first time in its 15-year history, climate and biodiversity fill three of the top five places in the list of concerns likely to have a major impact over the next decade.<sup>2</sup> Interwoven with the climate crisis is a biodiversity crisis, with e.g. plummeting insect numbers, widespread biodiversity loss and increasing ecosystem collapse with potentially irreversible consequences.<sup>3</sup> These crises require both domestic and international responses.

This report focuses on how Sweden's international response has evolved. It is an evaluation of international climate investments by the Swedish government over the period 2009-2012, known as the Swedish Climate Change Initiative (CCI), and their long term impacts. As part of a broader government initiative on climate and energy, totalling about SEK 7 billion, the CCI amounted to SEK 4 billion of ODA. Around two thirds were allocated through multilateral organisations (via the Swedish Ministry for Foreign Affairs, MFA) and one third was allocated to bilateral and regional efforts (via Sida).

The goal of the CCI was to “effectively contribute to long term adaptation efforts, especially in the poorest countries, and to developing countries’ efforts to reduce greenhouse gas levels.”<sup>4</sup>

Given the ambition, length and size of the initiative as well as the Government's continued focus on international climate aid, the EBA commissioned Emerald Network Ltd to undertake an evaluation of the CCI with the aim of gaining an in-depth

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<sup>1</sup> IPCC (2018).

<sup>2</sup> World Economic Forum (2020).

<sup>3</sup> IPBES (2019).

<sup>4</sup> Swedish Ministry of the Environment (2013).

understanding of the long-term effects and sustainability of the CCI and to generate lessons to inform Swedish climate aid ahead.

This is the main report of the evaluation, presenting the main findings, followed by discussion, learning and recommendations. Eleven (online) case studies underpinning the main report provide more elaborated treatment of, and in-depth answers to, the evaluation questions.

## **Rationale of the CCI**

In the early years of climate financing (the 1980s and 1990s) the main focus was on funding climate mitigation. The 2000s saw an acceleration of financing for climate mitigation but also new funding mechanisms to support climate change adaption (CCA) – the main focus of this evaluation. However, the pace of operationalizing the new CCA funds was slow, and these funds had relatively low impact for much of the decade.

In 2009, significant shifts in the levels and patterns of CCA investment took place. Despite the high-profile failings of the climate change summit COP 15 in Copenhagen in December 2009, developed countries did agree a financial pledge of USD 30 billion, known as “fast-start” climate change finance, in support of immediate climate change actions in the developing countries over the period 2010-2012.<sup>5</sup> This was part of a larger commitment made at COP 15, that by 2020, USD 100 billion should be mobilised for additional climate finance.

Sweden was able to make an early commitment to the fast-start climate finance initiative, because its own CCI had already been developed, informed by the work of the international Commission on Climate Change and Development (CCCCD), launched by the Swedish Government in 2007.<sup>6</sup> As the evaluation highlights,

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<sup>5</sup> During COP15 developed countries pledged to provide new and additional resources, including forestry and investments, approaching USD 30 billion for the period 2010 - 2012 and with balanced allocation between mitigation and adaptation. This collective commitment has come to be known as fast-start finance.

<sup>6</sup> The main task of the CCCCD was to make proposals on how integration of disaster risk reduction and CCA into the development and poverty reduction plans of poor countries might be achieved.

Sweden's presidency of the EU during the second half of 2009, combined with this early financial commitment, put Sweden in a leadership position vis a vis the wider fast-track climate finance initiative and led to Sweden making significant contributions in both the medium and longer term.

*“There was a huge effort in the build-up to Copenhagen. The climate issue had risen rapidly up the agenda, with pressure from civil society, leading to expectations from the political leadership that we were seen in the EU as leaders on climate.”* (Former official, Swedish Ministry for Foreign Affairs)

## **Set-up and implementation of the initiative**

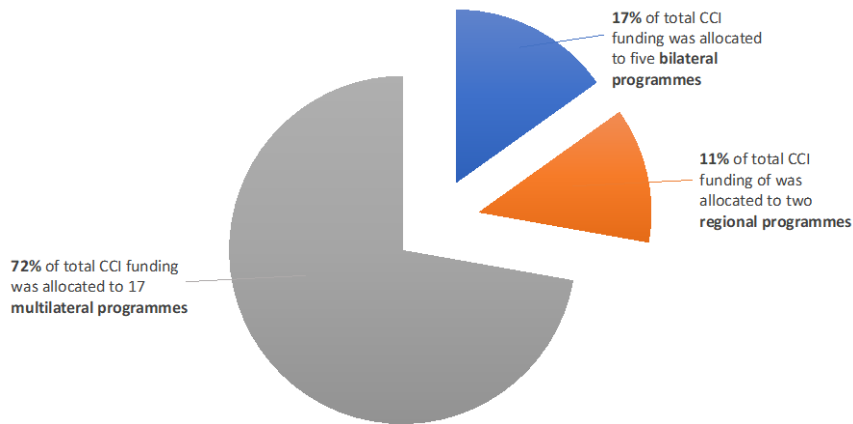
The CCI had a number of distinguishing features:

1. It was a spread across a portfolio of investments, implemented through 17 multilateral funds/ programmes, managed by the Swedish Ministry of Foreign Affairs (MFA), in two regions (African and Asian) and five countries, (Bangladesh, Bolivia, Burkina Faso, Cambodia and Mali) managed by Sida (Figure 1; Annex 1).
2. It represented a ‘surge’ of new investments, placing new demands on the MFA and Sida.
3. The objective was to “effectively contribute to long term adaptation efforts, especially in the poorest countries, and to developing countries’ efforts to reduce greenhouse gas levels.”<sup>7</sup>

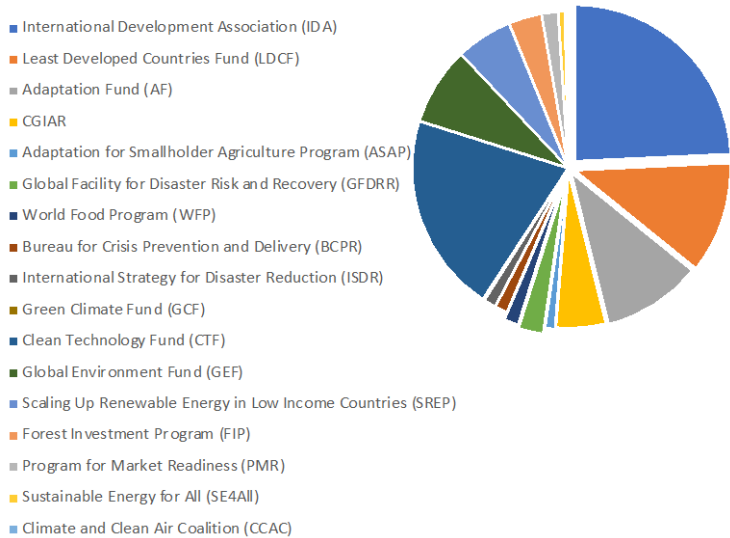
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<sup>7</sup> Swedish Ministry of the Environment (2013).

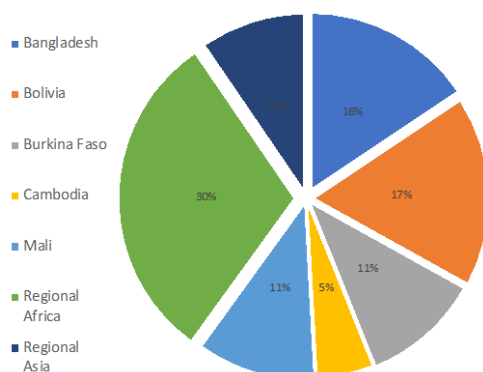
**Figure 1: The CCI portfolio (2009 – 2012)**



**Figure 2: Multilateral allocations within the CCI portfolio, 2009-2012**



**Figure 3. Regional and bilateral allocations within the CCI portfolio, 2009-2012**



- CCI was guided by a set of seven principles, which constituted a principles-based approach to programme planning (Box 1).<sup>8</sup>

*“The principles represented a set of political signals – internally and externally – that were important for the government to send: P1-P3 represented general government policy; P4 was a recognition of the role of the Ministry of the Environment that was in charge of negotiations and led by a minister from another party; and P5-P7 signalled a recognition of the importance of the CCCD initiative, chaired by minister Carlsson, and its recommendations.”*  
(Former official, Swedish Ministry of Foreign Affairs)

#### **Box 1: Principles guiding the CCI allocations and design**

<b>P1</b>	The funds reserved for adaptation interventions should go primarily to the poorest countries.
<b>P2</b>	The Swedish contributions should have a tangible added value.
<b>P3</b>	Contributions should work towards the implementation of the Paris agenda principles on aid effectiveness.
<b>P4</b>	Consideration should be taken to the ongoing international climate negotiations regarding timing and choice of channels.

<sup>8</sup> A principles-based approach integrates a set of agreed principles into all aspects of decision-making, planning, implementation and follow-up. The seven principles guiding the CCI are shown in Box 1.

P5	The allocation should reflect the ongoing work of the Commission on Climate Change and Development (CCCCD).
P6	Sustainable adaptation to climate change requires that the climate perspective is integrated into the countries' own development strategies. Central areas are water-and land-use in urban as well as rural areas.
P7	A proportion of the Swedish contributions should focus on disaster risk reduction as an integral part of climate adaptation.

The fast-track period 2010-2012 represented a flowering of CCA investments and actions. This was a period of intense experimentation and learning, as a vast variety of actors sought to work out how CCA might best be operationalized.

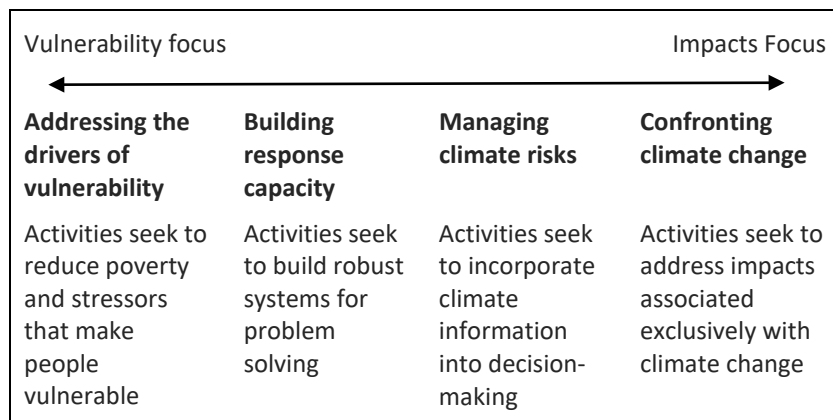
There were many challenges in implementing CCA. Should CCA (and mitigation) be understood as something separate to development, or integral to mainstream development pathways? Part of the challenge was to demonstrate that additional funding for CCA – for example the USD 30 billion committed to fast-start finance in 2009 – was indeed additional, as opposed to traditional ODA that had simply been rebranded.

To address this challenge, reference was often made to a continuum of adaptation activities, concerned at the one end with activities seeking to address impacts associated exclusively with climate change (*'confronting climate change'*) and at the other end with activities seeking to reduce poverty and other non-climatic stressors that make people vulnerable (*'addressing the drivers of vulnerability'*), with a continuum of activities between (Figure 4).<sup>9</sup>

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<sup>9</sup> McGray et al. (2007).

**Figure 4: Continuum of adaptation activities**



Addressing some of these challenges head on, the CCI was committed to addressing the full continuum of adaptation activities, building on the recommendations of the CCCD.<sup>10</sup>

The CCCD argued that a ‘new development path’ was needed which sought integration between mainstream development pathways, disaster risk reduction and climate change adaptation, as well as recognizing that there were many synergies between CCA and mitigation activities, which should also be integrated into mainstream development.<sup>11</sup> This new development pathway also recognized the urgency of climate change – happening faster than the science had predicted – and that there was no time to waste in developing effective mitigation and adaptation responses. Focus should be on managing risks, building the resilience of the poorest and enhancing the ecosystem functions on which they depend. There was a need to address solutions at scale. Given the growing numbers of people in danger, development must decrease the vulnerability of all of the planet’s poorest, and especially the “bottom billion”.

All these ideas were adopted by the CCI, which as one of its guiding principles stated that “the allocation should reflect the ongoing work of the Commission on Climate and Development”.<sup>12</sup>

<sup>10</sup> Sida (2009).

<sup>11</sup> CCCD (2009).

<sup>12</sup> See footnote 7.

This was significant, showing that CCI sought something of a paradigm shift away from business as usual. Instead, the CCI set the bar high in terms of facilitating new development pathways – challenging the established international development cooperation system to adjust and indeed to transform. The challenge was especially significant, given the active debate at the time regarding the need to ensure additionality in climate finance.

## **The context and purpose of the evaluation**

This evaluation was commissioned ten years after the start of the CCI. Given only limited previous reporting and follow up on the CCI (Box 1) and the ambition, length and size of the initiative as well as the Government's continued focus on international climate aid, Sweden's Expert Group of Aid Studies (EBA) decided in 2017 that it was timely, relevant and highly justified to evaluate the CCI in a long-term perspective.

### **Box 2: Previous reporting and follow up on the CCI**

For the bilateral and regional parts of the CCI, Sida reported annually to the MFA on the implementation, volume and results per project or programme. A final report was submitted to the MFA in April 2013.<sup>13</sup> For the multilateral part of the CCI no additional reporting requirements in addition to the customary procedures for the MFA's activities were made. No specific results framework was established for the initiative, neither for Sida and the MFA separately, nor for the CCI.

However, in November 2013, the MFA submitted an internal analysis of the entire four-year period, including the multilateral contributions.<sup>14</sup> The report outlined the activities, results, conclusions and lessons learned from the CCI, covering both Sida's and the MFA's management of the initiative. Also, in 2013, Sida's helpdesk was commissioned to prepare for a large and broad evaluation of the CCI which resulted in two preparatory reports.<sup>15</sup> However, no regular ex-post evaluation of the CCI was ever done.

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<sup>13</sup> Sida (2013).

<sup>14</sup> Nilsson L (2013).

<sup>15</sup> Wingqvist et al. (2013) César et al. (2013).

In its ToR the EBA specified the aim and main questions of the evaluation as follows:

**“The aim of the evaluation is (i) to gain in-depth understanding of the long-term effects and sustainability of the CCI and (ii) generate lessons to inform Swedish climate aid ahead.** The EBA expects the evaluation to deepen the knowledge and understanding of how to manage, develop and secure effective climate change adaptation and mitigation measures in poor countries and to highlight lessons learned that may inform current Swedish climate aid.

Two main evaluation questions shall guide the evaluation:

- Has the CCI contributed to sustainable climate change adaptation and mitigation in poor countries? If so, why, in what way, and to what extent?
- What lessons from the CCI can inform Swedish climate aid today?”

Guided by these two main evaluation questions and in discussion with the evaluation reference group (ERG), these questions were broadened over the course of the evaluation to cover the following:

- How and to what extent did the initial investments of the CCI translate into sustainable impacts over the longer term?
- What did the CCI contribute to the bigger picture of adaptation and mitigation work over this period?
- What was the value of the ‘surge’ of fast track funding represented by the CCI?
- What was the value of taking a principles-based approach to guide this CCI investment & its implementation?
- What can be learned that can inform climate and other aid today?

Inevitably, there are limits to what such an evaluation can tell us. The climate policy landscape has developed considerably since the Copenhagen CoP, with the adoption of the Sendai Framework for

Disaster Risk Reduction<sup>16</sup>, the Addis Ababa Action Agenda<sup>17</sup>, the United Nations Sustainable Development Goals<sup>18</sup> and the Paris Climate Change Agreement<sup>19</sup>, all in 2015, significant landmarks in this journey. Yet despite these agreements, the world is currently on course for global heating of between 2.6 and 4.8°C by the end of this century<sup>20</sup>, with the chances of keeping within a maximum of 1.5°C warming rapidly receding.

This means that the evaluation has had to consider carefully how the insights from looking back over 10 years can be applied to planning for the future and particularly to the next 10 years, a unique period in human history.

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<sup>16</sup> The Sendai Framework for Disaster Risk Reduction 2015–2030 was adopted at the Third UN World Conference in Sendai, Japan, on 18 March 2015.

<sup>17</sup> The Addis Ababa Action Agenda on financing for development was agreed on 16 July 2015. See: [www.un.org/esa/ffd/ffd3/press-release/countries-reach-historic-agreement.html](http://www.un.org/esa/ffd/ffd3/press-release/countries-reach-historic-agreement.html)

<sup>18</sup> The UN Sustainable Development Goals were adopted on 25 September 2015. See: [www.un.org/sustainabledevelopment/sustainable-development-goals/](http://www.un.org/sustainabledevelopment/sustainable-development-goals/)

<sup>19</sup> The Paris Climate Change Agreement was adopted by consensus on 12 December 2015. The agreement went into effect on 4 November 2016.

<sup>20</sup> IPCC (2018).

# Methodology

A significant challenge of undertaking the evaluation lay in the complexity of what we were seeking to assess. Beneath the overarching evaluation questions – to gain in-depth understanding of the long-term effects and sustainability of the CCI and to generate lessons to inform Swedish climate aid ahead – lay many relevant questions concerning these long-term effects, as well as a variety of methodological challenges in assessing these.

In many ways, the complexities faced in undertaking the evaluation mirrored the complexities faced by the CCI and other actors in shaping new development pathways that could address the challenges of climate change adaptation. For this reason, assessing governance and coordination issues lay at the heart of our evaluation. A further key theme was the need for learning. This theme was underlined in part since it is so essential for adaptation and resilience, with many scholars arguing that ‘adaptation’, as the name implies, is very limited in the absence of learning taking place. We were also interested in the process of learning through and from the evaluation itself. Thus, we sought to go beyond “generating lessons to inform Swedish climate aid ahead”, to engaging key stakeholders in a process of learning that sat behind – and informed – the process of evaluation.

To bring these various aspects of the evaluation – complexity, governance and learning – together it has been necessary for us to draw on a set of systemic design principles. Regarding complexity and governance, these design principles enabled us to link elements from case studies and portfolio analysis at various levels, including country, regional and global levels. Findings are built on several case studies and the synthesizing of them. Regarding complexity and learning, we worked throughout the evaluation with a carefully selected evaluation reference group (ERG), starting a collaborative process of co-design and co-learning early in the assignment and meeting and/or engaging remotely at regular intervals throughout. In this way, insights and learning build on findings and joint processing where several perspectives from the ERG have contributed. Alongside these insights, to maintain independence,

the recommendations are from the consultant team only. It is these different elements of the evaluation, underpinned by design principles, that makes this evaluation story different from the mainstream of development cooperation evaluations.

## **A utilisation focus**

Aligned with the learning focus of the evaluation – what lessons from the CCI can inform climate aid today? – an early decision in the design of the evaluation was to work closely with an evaluation reference group (ERG) to help shape the evaluation design and to ensure effective and comprehensive learning on the part of different stakeholders through an extended process of engagement with the evaluation process over several months.

While it has been accepted practice for EBA-commissioned evaluations to work with an ERG, ERG meetings are normally quite brief (2 hours) and provide a mechanism for creative input and review rather than for participatory design and learning. The approach taken in this evaluation was innovative for the EBA in several respects:

- The role of ERG members was extended to that of primary and secondary users, responsible for the co-design of the evaluation and co-creation of learning (with clear agreement of the relative contributions of the evaluation team and ERG members);
- The ERG meetings extended to two half days rather than 2 hours. This allowed time for in-depth reflection, sense-making, discussion and agreement of design decisions;
- The ERG met at three key moments in the evaluation, selected to maximise opportunities for the evaluation to benefit from ERG inputs and reflections on design, and for ERG members to benefit from an iterative and deepening learning process.<sup>21</sup>

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<sup>21</sup> The ERG comprised the following participants: Ulrika Åkesson, Sida, Elisabeth Folkunger, Sida, Kim Forss, Evaluation specialist, Member, EBA, Mats Härsmar, EBA secretariat, Stefan Isaksson, MFA, Nicolina Lamhauge, Evaluation specialist,

The potential value of this learning opportunity was highlighted in some of the statements made by ERG members during the first meeting of the reference group:

*“Sweden’s budget for ODA is the same as our defence budget. Globally, this is unique. We don’t need more spending – what we need is better knowledge. For example, how should we best work with multilaterals? Why should we and how should we?”; “Most of our knowledge resides in Sida not in MFA. To what extent is it possible to create a systemic knowledge base to ensure effectiveness and impact in our resource allocation?”; “How might we evolve broader learning and use to inform practices in Europe and beyond?”*

To aid the design of the evaluation and learning process, the ERG agreed the following categories of evaluation ‘users’:

Primary intended users of the evaluation: Policy makers from the MFA and Sida. Secondary intended users of the evaluation: (i) The EBA and other climate and evaluation specialists in the evaluation reference group, who are in a position both to support use by the primary intended users and to influence wider networks of policy makers, both in Europe and internationally; (ii) targeted policy makers in CCI-recipient countries and/or regions.

In addition to the ERG meetings, the evaluation used a number of other mechanisms to engage primary and secondary intended users in the evaluation and learning process:

- Workshops for MFA and Sida staff immediately following the second meeting of the ERG and again at the end of the evaluation;
- Circulation of early versions of the Mali and Cambodia bilateral case studies for comment to Swedish Embassy staff in Bamako and Phnom Penh.
- A public seminar was also held in Stockholm at the end of the evaluation.

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OECD, Eva Mineur, EBA secretariat, Joakim Molander, Evaluation specialist, IDEA, Lars Roth, MFA, Johan Schaar, Vice chair, EBA and chair of the ERG  
Lisa Schipper, Climate change adaptation specialist, University of Oxford.

## Evaluation focus and evaluation questions

Two main evaluation questions were specified in the evaluation ToR (see above). A key purpose of the first ERG meeting was to discuss and agree the focus and design of the evaluation and associated evaluation sub-questions. Several different themes were discussed (Annex 2), leading to the addition of evaluation sub-questions and helping to shape the evaluation protocols.

Following the first meeting of the evaluation reference group, these themes became formalised as the first two sub-questions beneath the first main evaluation question. A third sub-question was added following the second ERG meeting.

**(Q1)** In what ways and to what extent has the CCI contributed to sustainable climate change adaptation the poorest countries, and to developing countries' efforts to reduce greenhouse gas emissions?

a) what was the value of taking a principles-based approach to guide CCI investments & implementation?

b) how and to what extent did this translate into sustainable impacts over the longer term?

c) what was the value of the 'surge' of fast track funding represented by the CCI?

## Design approach

As highlighted in discussions from the first meeting of the ERG, the evaluation opportunity presented the following challenges: (i) how best to evaluate the sustainability of a multi-country, multi-scale, dynamic and complex portfolio and its contribution to impacts over the long-term; (ii) how to evaluate a portfolio that was principles-based rather than embedded in a results framework of theory of change; and (iii) how to design the evaluation in a way that might maximise opportunities for learning?

The response of the evaluation team was to propose a principles-based design approach that allowed for flexibility when it came to methods, and was also open to co-design, with certain elements of the design being specified early on and others emerging in response to interaction with key evaluation stakeholders and early findings from the evaluation process. The evaluation drew on eight design principles (Box 3):

### Box 3: Principles guiding the evaluation methodology

**Utilization focus.** Focus on intended use by EBA's target groups and users from beginning to end, facilitating the process to ensure actual use. Support learning and reflection among intended users as required during the evaluation process.

**Principles focus.** Select principles-focused evaluation methodologies to match the principles-based approach of the CCI, ensuring that these principles are the evaluand (focus of the evaluation).

**Contribution focus.** Utilize and adapt contribution analysis principles and methodologies to ensure rigorous, resonant and utilizable conclusions to the evaluation.

**Co-creation.** Work with key evaluation stakeholders and/or EBA's target groups to agree and adapt elements of the design as it proceeds, enabling responsiveness to new insights and understandings as these emerge.

**Feasibility.** Provide sufficient budget and capability to work with the other seven principles, and/or address key tradeoffs between this and the other principles to ensure that the design is feasible.

**Inclusiveness.** Ensure meaningful engagement of actors including EBA's target groups with diverse rights, stakes and perspectives to enhance credibility of the evaluation through triangulation and cross-validation of evidence, and to support utilization focus.

**Evaluation rigour.** Focus on the quality of thought put into the methodological design and conduct of each step in the evaluation – including sampling, triangulation of methods, facilitation of processes, data collation, cross-validation and causal analysis. This is to ensure consistency and responsiveness to the purposes and constraints of the evaluation.

**Interconnections.** Recognise the potential interconnections between the seven principles above. Agree early on a prioritisation of principles, addressing key tradeoffs between these.

(a) **Utilisation focus.** This design principle recognised Sida's commitment to utilisation-focused evaluations.<sup>22</sup> Framing the evaluation and its purpose, the purpose of this design principle was to ensure that the design and facilitation of the evaluation was directed towards utility and actual use, as articulated in the evaluation question: What lessons from the CCI can inform climate aid today? The design principle was operationalised through working closely with the ERG and through agreement with the ERG of the primary and secondary intended users of the evaluation.

(b) **Principles focus.** This design principle was selected in recognition of the agreement at the first meeting of the ERG that the CCI principles and principles-based approach were an important evaluand. The evaluation approach therefore drew on principles-focused evaluation methods, which treat principles as the evaluand and assess whether they are being followed and/or leading to desired results.<sup>23</sup>

(c) **Contribution focus.** Evaluating long-term sustainability and contribution were both key challenges of the evaluation, suggesting contribution focus as a third design principle<sup>24</sup> Linking contribution analysis and sustainability evaluation remains an underdeveloped field of evaluation inquiry. The purpose of this design principle was to foster innovative design thinking to ensure that an effective combination of contribution and sustainability analysis questions and practices were selected to support rigorous, resonant and utilizable conclusions to the evaluation.

Contribution analysis is a theory-based evaluation approach whose main value lies in making credible causal claims between a particular intervention and observed results, as well as the roles played by that intervention and by other influencing factors

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<sup>22</sup> Sida's commitment to utilisation focused evaluations includes an emphasis on intended users and intended use, process use and how to 'disseminate' lessons to different categories of end users. See: Sida, 2018.

<sup>23</sup> Patton, (2018).

<sup>24</sup> In Swedish an intervention or an investment is often referred to as a 'contribution'. Care was needed throughout the evaluation to distinguish between this everyday use of the term, and the way this term is used in the evaluation literature to make a distinction between 'attribution' and 'contribution' in causal analysis.

including other actor.<sup>25</sup> The evaluation adapted contribution analysis by applying it to the principles-based approach of CCI, drawing on process tracing<sup>26</sup> and outcome harvesting<sup>27</sup> methodologies. To a limited extent the evaluation also drew on Sustained, Emerging Impact Evaluation (SEIE). SEIE underlines the need to look for sustained impact of investments, that is, the continuation of benefits or durability of change of an intervention after its termination.<sup>28</sup>

(d) **Co-creation.** The purpose of this design principle was to maximise customisation of the evaluation design, both at the outset and throughout the evaluation process. Working with the ERG was central to the enactment of this principle and was embedded in the roles agreed for the ERG and the evaluation team and ways of working together. Trust is a key issue underlying this principle. As design complexity increases, co-creativity can be harder, but also increases the overall value of the process. The ERG approach proved key to building up the trust required given the complexity of this evaluation.

(e) **Feasibility.** The purpose of this design principle was to ensure that the proposed and unfolding design was practical and feasible given available budget, time and capabilities. As budget and time were fixed elements within the evaluation, this principle provided an important reality check when considering tradeoffs between other principles.

(f) **Inclusiveness.** The purpose of this design principle was to ensure an appropriate combination of breadth and depth of stakeholder involvement to answer the main evaluation questions. The main criteria determining stakeholder selection included robust sampling, triangulation and cross-validation of evidence, meaningful engagement of multiple level CCI stakeholders with diverse rights, stakes and perspectives, depth and credibility, and the need to support utilisation. A set of criteria for selecting stakeholders was developed with the ERG and the first ERG meeting and

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<sup>25</sup> Mayne, J. (2012).

<sup>26</sup> Befani B and Mayne J (2014); Punton M and Welle K (2015).

<sup>27</sup> Wilson-Grau, et al. (2015).

<sup>28</sup> Zivetz, et al. (2017).

subsequently applied in the development of stakeholder sampling approaches for the bilateral, regional and multilateral case studies and portfolio analyses (section 2.4).

(g) **Evaluation rigour.** The purpose of this design principle was to ensure sufficient quality of thinking to answer the evaluation questions and ensure that the conclusions form the basis for effective use, learning and reflection among target groups. To ensure consistency and responsiveness to the purposes and constraints of the evaluation, the principle of rigour or quality was applied to the design and conduct of each step in the evaluation – including sampling, triangulation of methods, facilitation of processes, data collation, cross- validation and causal analysis. This principle therefore cross-cut the other seven.

“Rigorous thinking [is] more important than reliance on methodological rigour...contribution analysis depends on critical thinking...”<sup>29</sup>

“Rigorous evaluative thinking combines critical thinking, creative thinking, design thinking, inferential thinking, strategic thinking, and practical thinking.”<sup>30</sup>

For Sida, quality in terms of process and methodology (which it refers to as ‘reliability’) is one of its three pillars of evaluation - the other two are usefulness (i.e. utilisation focus) and the integrity (or impartiality) of the evaluator. These three pillars are seen as interdependent.<sup>31</sup>

In this evaluation there was a key role for the ERG in supporting and challenging the consultant team to ensure sufficient quality of thinking. Taking a reflexive approach, the consultant team sought to make the quality of their thinking and practice transparent throughout the evaluation by documenting it and by reviewing assumptions, approaches and frameworks at ERG meetings.

(h) **Interconnections.** This final design principle enabled consideration of the many interconnections between the seven

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<sup>29</sup> Patton (2012).

<sup>30</sup> Patton, (2016).

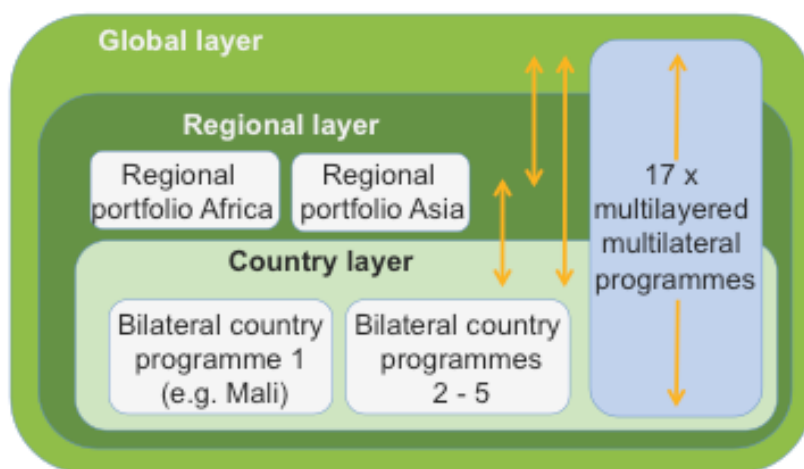
<sup>31</sup> Sida, (2018).

principles above. This principle was used to highlight the systemic nature of the evaluation process, ensuring that it worked effectively with these interconnections, seeking synergies at some moments, addressing tradeoffs at others. This principle also supported a complexity-based approach to evaluation, mirroring the complexity of the multilevel system under evaluation.<sup>32</sup>

## Sampling & Coherence

From a systems perspective the CCI investment portfolio can be considered as a multi-layered case with feedback between the layers (Figure 5).

**Figure 5: The CCI investment portfolio as a multi-layered case with feedback between the layers**



To investigate different dimensions of this multi-layered case we used a purposive stratified sampling approach which drew on a number of considerations (Box 4). Discussions drawing on these considerations at the ERG meetings led to agreement at the first ERG meeting of two portfolio analyses (regional and bilateral) and three case studies (Table 1). Following review of these at the second

<sup>32</sup> Williams et al. (2017).

meeting of the ERG, a further portfolio analysis (multilateral) and four case studies were agreed.

#### **Box 4: Considerations in selection of case studies**

**Type of development cooperation:** judgments about the relative importance of the multilateral, regional and bilateral portfolios in the context of the whole CCI portfolio;

**Geo-political scales:** ensuring engagement at both global, regional and country levels including an interest to explore vertical governance dynamics, reflecting CCI principle 5.3;<sup>33</sup>

**Geo-political regions and social-ecological zones:** seeking a balance across regions and zones as well as comparison of countries within regions, reflecting CCI principle 5.7;<sup>34</sup>

**Thematic areas:** ensuring coverage of CCI's priority areas of change: (i) adaptation; (ii) climate-related DRR, (iii) water and land-use investments, (iv) mitigation

**Prior history of development cooperation in the environment and climate sector:** recognising Sweden's prior history and policy of long-term engagements in particular countries.

**The value of combining both broad and deep analysis:** to investigate different evaluation questions, including different CCI principles.

**Resource constraints:** in terms of time, availability and budget.

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<sup>33</sup> Coordination of institutions through effective governance

<sup>34</sup> Context matters when considering climate risks; political economies; and appropriate solutions

**Table 1: Selection of CCI portfolio analyses and case studies**

<b>CCI multilateral portfolio</b>	<b>CCI regional portfolio</b>	<b>CCI bilateral portfolio</b>
<i>Studies agreed at the first ERG meeting</i>		
- GFDRR case study (including GFDRR Ethiopia case study) FIP case study	- Regional Africa portfolio analysis (including Regional Africa case study of river basin investments)	- Bilateral portfolio analysis - Mali case study
<i>Studies agreed at the second ERG meeting</i>		
- Multilateral portfolio analysis - AF case study - AF Cambodia case study - CTF case study		- Cambodia bilateral case study

The full reports of each of these studies can be found online at <https://eba.se>.

## Methods

While there was variation in the mix of methods employed for each portfolio analysis or case study, the following data generation methods were applied across the evaluation as a whole:

**Inception and review meetings:** The evaluation team and the EBA held a series of inception meetings near the beginning of the assignment to agree on the focus, scope and process of the evaluation. Regular review meetings were held throughout the evaluation.

**Document analysis:** Depending on the study, we analysed a wide range of documents. For the regional and bilateral studies, a large number of documents internal to Sida was available to review, including investment documents, as well as published reports. For the multilateral studies access to decision and reporting documents internal to the MFA was much more restricted, so the data generation relied mainly on fund-specific meeting, operational and

results reports. Fund-specific evaluation and learning reports were also reviewed. Studies also drew on a wide range of independent reviews and reports on climate finance, adaptation and mitigation, as well as country and fund-specific strategies and studies. The full range of documents analysed for each study is set out in Annex 5.

**Evaluation meetings:** For the Mali bilateral case study, the Cambodia bilateral case study and the AF Cambodia case study, a small number of focus group meetings were held. For the two bilateral case studies, focus group discussion meeting were held with community members who had taken part in CCI. These discussions focused on processes and outcomes, and the relevance of these to climate change adaptation. For the AF Cambodia case study, separate focus group discussions were held with national and provincial government officials connected with the AF project, with forest dwelling communities inside the project area and with forest dwelling communities outside the project area.

**In-depth interviews:** Across all the studies, and guided by sets of questions, which we adjusted and refined in the field, we interviewed a carefully selected set of key informants to generate relevant information, experiences and perspectives. These interviews were used to supplement and triangulate data from document reviews. In some cases we also solicited material through email exchanges, primarily with MFA and Sida staff. The full range of organisations interviewed for each study is set out in Annex 4.

**Feedback and reflection spaces:** As a team of evaluators, we conducted regular e-based joint reflection meetings and field-based reflection meetings to share insights and challenges, critique our data generation tools and our individual draft case study and portfolio reports and to improve data generation and analysis. In terms of working reflexively with the EBA and ERG, we used the inception and review meetings, the three ERG meetings and the circulation of draft reports as methods for joint sense-making, adaptive management and learning. These interactions enabled us to share, discuss and refine our evaluation process and products and increase the utility of the overall evaluation and learning process.

**Data analysis.** Inductive and abductive analysis were used to make sense of the data generated. In building up analyses close attention was given to the narrative structure of the reports, including the use of narrative methods drawn from learning history praxis.

## Limitations

The evaluation team is confident that the findings presented in this and the case study and portfolio analysis reports are valid and evidence based. Different studies faced different limitations. The main types of limitation encountered across the evaluation were as follows:

**Bilateral case studies and portfolio analysis.** The main limitation of the bilateral portfolio analysis was the low level of primary data input, especially from Bolivia and Bangladesh. In the case of the bilateral case studies, community level contributions were relatively thin and did not represent the different projects funded and the communities who participated. These limitations were addressed through extensive document analysis and literature review.

**Regional Africa portfolio analysis and case study.** The main limitation lay in the time and resources available for in-depth sustainability and contribution analysis. Given this and the use of mainly emic data from documents held in Sida's regional Africa archives, only a light touch perspective on the change pathways and the sustainability and contributions of Sida's and others' efforts was possible. A number of data limitations were faced in the course of the regional analysis, including difficulty in tracing institutional memory over time and personnel movements, and lack of access to counterpart documentation. Limitations of time and resources restricted analysis of whether and how CCI-supported practices were spread, diffused or replicated, as well as into any unintended effects or interlinkages between bilateral and multilateral investments.

**AF Cambodia case study.** Given that the Adaptation Fund project in Cambodia<sup>35</sup> which was the subject of this case study is ongoing due to delays in the start date, this analysis offered more of a contextual analysis than over a longer time-frame, yet we were able to offer insights into sustainability today and into the future. In the highly policed state of Cambodia, it was challenging to find people who would willingly speak of challenges and the locations of decision making. Many insights were thus gained via observation and speaking to people on the fringes of the project itself. Rather than providing an extensive or comprehensive story, and because project evaluations have recently been conducted, this case study was able to focus on revealing surprises, contradictions, and layers of narratives.

**AF case study.** The case study was scheduled to take place during the Western European summer holiday when many key informants were not available thus delaying access to key interviewees. The most noticeable effect of this delay was the imbalance between developed and developing country board members interviewed for the study, with most interviews being conducted with Swedish board members. Another limitation was that we did not have the time to investigate, even if only briefly, at least one example of a Regional Implementing Entity (RIE) project. Most interviewees felt that their memory of the CCI was limited. Some country interviewees were concerned about speaking freely about their concerns as they did not want to jeopardise the accreditation of the NIE by expressing some challenges relating to meeting certain expectations.

**GFDRR and GFDRR Ethiopia case studies.** These studies were limited by the number and timing of interviews we were able to conduct, as well as the fact that the CCI was “some time ago” and some interviewees didn’t remember the details well.

**FIP and CTF case studies.** Given that FIP and CTF were ‘shallow dive’ assessments at a global level only, there was an intrinsic bias towards aggregated, generalised information. What appears visible at this global scale might manifest very differently at

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<sup>35</sup> Enhancing Climate Resilience of Rural Communities Living in Protected Areas of Cambodia Project (AFCPA)

an operational level. These studies were also limited by the number and timing of interviews we were able to conduct, as well as the fact that the CCI was “some time ago” and many interviewees didn’t remember the details well. The *source* of the global-level information used may also have been a limiting factor. These case studies relied heavily on studies commissioned by the CIF, and on informants who were ‘insiders’ and actively supporting the CIF. Although the evaluation and transformational learning reports were researched and written by independent consultants, the scope of these studies was approved by the CIF AU. For CTF in particular, most people interviewed had a vested interest in CTF succeeding. While we were aware of a wide range of studies, some of which were critical of the CTF, we were not able to investigate these within the limits of a shallow-dive case study. This meant that the perspectives of people who were critical of the CTF were largely absent.

**Multilateral portfolio analysis.** The main limitation was that key documentation internal to MFA/ Sida was difficult to access, given the long lag times between initiating requests to the archives in Stockholm and receiving responses. Several internal documents were received only after completion of the portfolio analysis and thus couldn’t be reviewed.

# Main findings

## F.1. Relevance

The evaluation measured relevance in two ways:

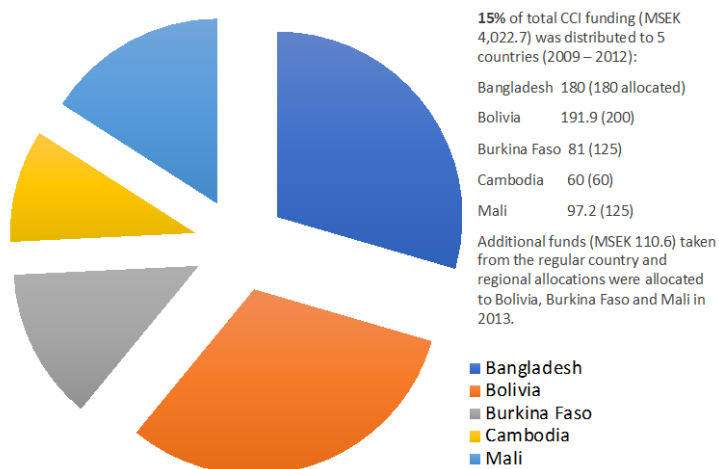
- *Internal relevance* - CCI principles were reflected in the *timing and selection* of channels and countries, and *areas of intervention and activities* for CCI funds.
- *External relevance* - This included *alignment* to international (P4), regional and/or national policies and strategies (P3).

Based on these measures, the evaluation found a high degree of relevance across the CCI investments:

The bilateral portfolio reflected Sweden's focus since 2007 on long-term development cooperation with 12 countries in Africa, Asia and Latin America, where it might best strengthen the fight against poverty (P1). Five of these countries were selected for CCI, all of which had been visited by the CCCD (P5) – two of the nine long-term partner countries in Africa, and the remaining three in Asia and Latin America (Figure 6). All five countries had low adaptive capacities but were highly vulnerable to climate change, with four of the five being LDCs.

In alignment with P6, water and land-use (forestry and agriculture) were the main areas of sectoral focus in all five countries, with additional investment in Bangladesh in DRR as an integral part of CCA (P7). In each country, we found evidence that context was taken into account in selecting areas of intervention (P5), for example through consideration of climate risks, political economy and appropriate solutions. Investment through CCI in multi-donor trust funds in Bangladesh, Cambodia and Mali was also consistent with the importance of appropriate and effective climate financing solutions, aligned with P5.

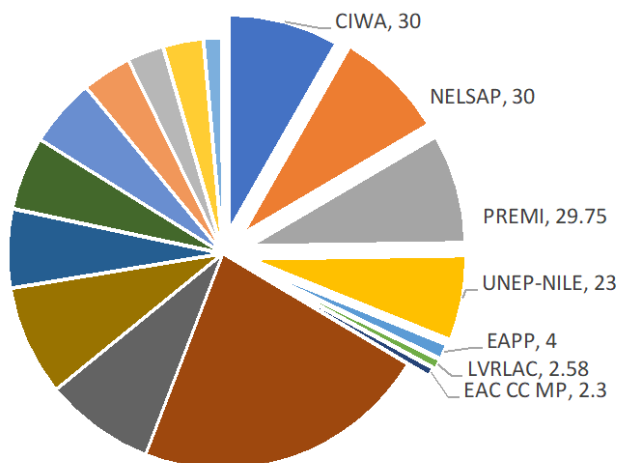
**Figure 6: Distribution, bilateral CCI investments, five countries**



In terms of external relevance, investments were aligned to national development policies, national climate policies and strategies, sector policies (e.g. water, forestry), decentralisation policies and strategies, and green growth policies in some of the countries (P3). This alignment was achieved through in-country CCI processes that included direct consultations between the Swedish Embassy and the national government.

Given the strong focus on water and land use, the internal relevance of the regional Africa portfolio was aligned with P6 (Figure 7); also with P5. The external relevance of the regional portfolio was aligned primarily with P3/ P6a, reflecting the focus of the portfolio on engaging with regional institutions (for example the African Union (AU), its Regional Economic Communities (RECs) and river basin authorities) which in turn leverage and provide the baseline, either directly or indirectly, for national policies and strategies.

**Figure 7: CCI investments in African river basins<sup>36</sup>**



*The graph covers seven investments (35 percent of the total) that are focused on transboundary river basins (MSEK, disbursements).*

The evaluation found that the selection of the multilateral portfolio was both strategic and coherent, and clearly guided by the CCI principles. Reflecting P4, 56.2% of multilateral CCI funding was allocated to funds and programmes with an adaptation/ DRR focus; 43.5% to funds and programmes with a mitigation focus; and 0.3% to the Green Climate Fund, with a joint adaptation and mitigation focus (Annex 1, Table A2).<sup>37</sup> Within the adaptation portfolio – which was the primary focus of the multilateral portfolio analysis – Sweden invested half its CCI funding in five established funds (IDA, WFP, CGIAR, ISDR, BCPR), where it supported mainstreaming of climate adaptation tools, thinking and practice (P5). The other half of the multilateral adaptation portfolio was invested in five new funds, specifically created to develop new adaptation policy,

<sup>36</sup> Source: Habib MA, Kugele M (2020) *Evaluation of the Swedish Climate Change Initiative (2009 – 2012): Regional Africa Report and Case Study*. Stroud: Emerald Network Ltd. Abbreviations as follows: CIWA: Cooperation in International Waters in Africa; NELSAP: Nile Equatorial Lakes Subsidiary Action Program; PREMI: Poverty Reduction and Environmental Management Initiative; UNEP-NILE: Adapting to Climate Change Induced Water Stress in the Nile - UNEP ; EAPP: East Africa Power Pool; LVRLAC: Lake Victoria Region Local Authorities Cooperation; EAC CC MP: East Africa Community Climate Change Masterplan.

<sup>37</sup> These figures include the top-up CCI funding allocated in 2013.

planning and practice. Of these, three were climate funds set up under the UNFCCC (e.g. LDCF, AF, GCF), reflecting P4; the other two were non-convention-related climate funds (GFDRR, Adaptation for Smallholder Agriculture Program (ASAP)).

In terms of internal relevance (and strategic contribution), there was one surprising choice within this portfolio, the decision not to invest in the PPCR. Given the size and potential of the PPCR in the adaptation landscape, and the fact that Sweden chose to invest in the other three CIF funds – Scaling Up Renewable Energy in Low Income Countries (SREP), the Forest Investment Program (FIP) and the Clean Technology Fund (CTF) – this was at first glance puzzling. However, the rationale was given that for adaptation, investment by CCI in new climate funds set up under the UNFCCC (e.g. LDCF, AF) was preferred to investment in PPCR, a non convention-related fund.

Activities under all multilateral CCI investments were aligned with P3/ P6a – with Sweden advocating for a stronger emphasis on country ownership in the governance and management of funds.

## **F.2. Effectiveness**

The ability of the evaluation to establish effectiveness varied across the different CCI investments. For the CCI bilateral and regional Africa investments, effectiveness was relatively easy to establish, given good availability of evidence both on intermediate outcomes and on the relationship between CCI investments and these outcomes. For the CCI multilateral adaptation investments – and for the two multilateral mitigation case studies - effectiveness was harder to establish. This was due in part to the limited availability of evidence on intermediate outcomes, in part to the short timeline of some multilateral funds supported by the CCI<sup>38</sup> and in part to the greater challenges of establishing contribution to intermediate outcomes by the CCI.

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<sup>38</sup> For example, the first year of operation for both the ASAP and the GCF was 2012, the final year of CCI, excluding the extension year.

The CCI bilateral and Regional Africa investments were found to be effective against the goal of CCI, CCI results-oriented principles and project-specific intentions.

Within the **bilateral portfolio**, CCI funds were primarily invested within the five partner countries in downstream activities of enhancing resilience and in upstream activities of policy making, translation and administration, as well as associated technical capacity development. These different strategies of adaptation investment resulted in CCI contributing to the following (intermediate) outcomes:

- Development of community adaptive capacities, which in turn contributed to community, ecosystem and built environment resilience.
- Development of national policies and strategies, which helped guide climate investments and actions to be aligned to the national agenda.
- Strengthening of governance for multi-actor, collaborative planning, learning and action in responding to climate change related challenges.
- Strengthening of national ownership and readiness to access international adaptation funds, through operationalisation of national climate funds in Bangladesh, Cambodia and Mali.

Within the regional Africa portfolio, there was a strong focus on interventions at different levels of governance, linking international, macro, meso and micro levels. What counted as ‘macro’, ‘meso’ or ‘micro’ varied across the projects being supported; broadly speaking:

- At the international governance level, the focus was on supporting the influence of regional Africa in international conventions and global fora.
- At the macro governance level, the focus was on supporting ministerial level approval of climate change plans and strategies, development of legal instruments, policy ratification, multi-country MoUs, leveraging of regional financial investments, and the consolidation of regional institutions.

- At the meso governance level the focus was on supporting management plans at river and sub-basin level, institutional support to regional authorities, regional dialogues, increased pipeline of investments on basin level, formulation of national policies, and improved regional technical capacity.
- At the micro governance level, the focus was on supporting local development planning for climate change, local pilot testing, increased inclusion, improved tools, and greater awareness of climate change.

In relation to the above, CCI contributed to the following (intermediate) outcomes:

- active sharing of climate change related data, knowledge and tools across national boundaries.
- improving dialogue on, participation in and prominence of the climate change agenda.
- capacity and readiness for integrating climate change aspects into development decisions and planning.
- readiness of institutions to mobilise and manage funds for climate related projects.

Regarding the multilateral adaptation funds/ programmes in which the CCI invested, there was mixed evidence for the effectiveness of these funds and programmes over the period 2009 – 2012 against the goal of CCI, CCI results-oriented principles and fund/programme-specific intentions:<sup>39</sup>

- There was significant investment by the LDCF over this period in the development of National Adaptation Plans of Action (NAPAs), which also enabled the allocation of USD 538 million to 46 of the 50 LDCs for project support aligned with the NAPAs. Many of these projects reached the most vulnerable sectors in the recipient countries, i.e. agriculture, food safety and water, as well as supporting urgent

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<sup>39</sup> Some of these results are closer to outputs than intermediate outcomes. The strongest evidence on effectiveness is for the GFDRR, drawn from its 2016 external evaluation.

adaptation measures such as disaster management, health and coastal areas.

- By contrast, the AF experienced shortfalls in funding during this period, as a result of the collapse in carbon markets between 2008 and 2012. This resulted in some components of national adaptation strategies remaining unfunded, leading to concerns over the potential for maladaptive development.
- In comparison to the restrictive governance arrangements of the LDCF, which mitigated against country ownership, the AF succeeded over this period in developing a stronger voice for developing countries on its Board, based on a one country-one vote voting procedure. This in turn led to its pioneering direct access funding through National Implementing Agencies (NIEs). While 15 NIEs had been accredited by the end of 2012, alongside 10 International Implementing Agencies (IIEs), of the 28 projects (USD 184m) approved for funding through to July 2013, only four were implemented by NIEs, with the other 24 implemented by IIEs. Nonetheless, the NIE accreditation process opened up opportunities for better governance of climate financing and for the development of institutional capacity to support this.
- For the GFDRR, the 2016 evaluation of progress across 9 countries over a 7-year period (2008-14) found evidence that GFDRR was making valuable contributions to achieving intermediate outcomes in a number of key areas, including: raising disaster risk awareness; building capacity of national and local governments, as well as civil society, for disaster risk preparedness, reduction, and response; developing and demonstrating innovative tools and approaches for DRM; supporting policy development and implementation, including around disaster risk financing and insurance; and influencing and leveraging significant resources for DRM.
- Within the IDA there was a strong emphasis during the CCI period on climate-related internal capacity development, which in turn led to the expansion of analytical and advisory capacities and activities in order to support the development

of national platforms with ministries and other actors to exchange information on ‘climate and disaster crises’. However, some questioned the effectiveness of the IDA to undertake development work – and therefore climate adaptive development work – in fragile states; others questioned how ‘climate adaptation’ was understood by the IDA.

- The CGIAR developed a series of cross-cutting programmes that enabled rapid scaling of considerations of climate adaptation in its research.<sup>40</sup>
- ASAP, although only established in 2012, developed rapidly within IFAD and by 2013 was working in 17 countries, with 13 project proposals worth USD 180m in the pipeline.

These measures of the effectiveness of the funds/programmes provide only an approximate measure of the effectiveness of CCI, as one among several investors (with Sweden’s investments either wholly or partially through CCI). However, for several funds/programmes during the CCI period, Sweden made a significant contribution at the board level, indicating in turn the significance of Sweden – and CCI’s – contribution to fund/ programme effectiveness (see also section F.9. and the discussion of long-term contribution). These included:

- Using Sweden’s early investments to leverage other donors’ investments (several funds/ programmes).
- Using Sweden’s reputation and diplomatic skills to bridge the interests and concerns of developing and developed countries (AF, GCF) – leading to the introduction of new mechanisms, e.g. direct access funding through NIEs (AF, GCF).
- Bringing valuable expertise – e.g. to integrating DRR & adaptation (GFDRR); on gender (most funds).
- Championing unearmarked funding (GFDRR).

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<sup>40</sup> Results documented in the CGIAR annual report for 2013 include: training women in climate-smart agriculture, weather forecasts and delivery, studies of NAPAs in 12 developing countries, advocacy for science to underpin climate policy, and prototyping climate-smart villages.

- Bringing impetus – sometimes significant impetus – to climate mainstreaming (WFP, CGIAR, ISDR).

### F.3. Enablers and constraints

A wide range of enablers and constraints in the delivery of effective outcomes was identified across the CCI portfolio.

For the **bilateral portfolio**, the evaluation concluded that the main enabler of CCI achievements was Sweden's preparedness to invest climate funding, try new ways of climate financing and programming, and provide the necessary technical support. In countries such as Mali, Burkina Faso and Cambodia, this was augmented by high level political will in the Swedish Embassies and in partner countries. This level of commitment made integration from the highest level possible. This was accompanied by technical and financial support in coordination, governance and management systems. Sida not only recognised but also tapped into the comparative advantages of different organisations towards the realisation of the CCI goal, including working synergistically with other bilateral donors in the partner countries. Finally, CCI cultivated a strong culture of learning by doing, drawing out lessons and using them to improve climate financing, programming and practice. This country level reflexivity and praxis appears to have underpinned the other enablers, making it generative.

The main challenges encountered in bilateral climate financing and programming were: (i) that CCI was experienced as too fast-paced and its duration too short, (ii) limited capacities in some partner country governments (in terms of expertise and high staff turnover) against high expectations, (iii) lack of a performance monitoring framework, making it difficult for Sida and others to measure the contribution of the initiative and to undertake performance reporting at the portfolio level; and (iv) the absence of any deliberate synergy-building mechanism between countries and across investment portfolios.

In the **regional Africa portfolio**, enablers included Sweden's early leadership position as a donor in regional Africa, starting in

2004; Sweden's comparative advantage in capacity building for regional institutions (capacity building for management planning, policy formulation, training, linking science, and civil society participation); Sweden's expertise at Embassy level in assessment, negotiation and decision-making; and Sweden's reputation for being a fair and impartial partner.

A number of constraints were also identified:

- At the time of CCI, the discussion around long-term impacts was not made visible in relevant Sida documentation of CCI regional investments.
- The sustainability goal for regional institutions to be independent from donor assistance in the long term was not articulated clearly.<sup>41</sup>
- Three of the regional Africa investments needed to be curtailed owing to concerns about corruption and unethical practice in partner institutions.
- An increasingly messy donor landscape at regional level was acknowledged by Sida as a constraint in orchestrating others' contributions towards efficiency.
- Many national actors did not want to 'dilute or pool sovereignty' for transboundary development issues.

For the **multilateral portfolio**, a significant enabler was Sweden's prime mover role in leveraging fast start funding, encouraging commitments by other donors across several multilateral funds. Sweden's ability to mobilise its fast start funding so rapidly was in turn facilitated by the CCCD, which was closely linked to the development of the CCI, with its analysis and findings on effective CCA becoming pivotal to principles 5, 6 and 7 of the CCI. Aligned with this, the broader principles-based approach of CCI was also key to its effectiveness, enabling it to move nimbly in the agreement of its architecture and subsequent programming (section F.6).

Sweden's respected and proactive role on the boards of the multilateral funds supported by the CCI was also a significant

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<sup>41</sup> Although this was palpable in Sida internal discussions, it was not surfaced as a clear and desirable outcome.

enabler (section F.10), with the pivotal role of key individual such as Jan Cedergren as chair of the AF board and subsequently of the GCF board being particularly notable. In both the AF and the GCF boards, Sweden was able to use its reputation and diplomatic skills to considerable effect to bridge the interests and concerns of developed and developing nations, thereby developing these boards as more collaborative spaces. This in turn led to the agreement of policies, such as mechanisms of direct access funding, that were more strongly geared toward the interests and adaptive capacities of poor country partners.

In terms of constraints on Sweden's effectiveness within the CCI multilateral portfolio, the main constraint was demand on resources, leading to the criticism that Sweden may have 'spread itself too thinly' across CCI. In this respect, the choice of investment in some multilateral funds that focused on mitigation was questioned – specifically, CTF, in the light of CCI's large investment in this fund (this was the second largest investment within the CCI portfolio) and given its focus on middle-income countries and not on LDCs; and FIP, given MFA's lack of expertise in this area.

## **F.4. Sustaining intermediate outcomes**

One of the key aims of the evaluation was to gain in-depth understanding of the long-term effects and sustainability of the CCI. In this respect, the evaluation found that many of intermediate outcomes to which CCI contributed were sustained over the longer term.<sup>42</sup>

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<sup>42</sup> The evaluation uses the OECD/DAC definition of sustainability - *the continuation of benefits from a development intervention after major development assistance has been completed*. According to some definitions of 'sustainability', intermediate outcomes that are sustained through sustained external funding mechanisms should not themselves be counted as sustainable. From this perspective, our findings from the bilateral portfolio analysis indicate a mix, (i) of intermediate outcomes that were sustained over the longer term through local efforts, which can be counted as 'sustained', and (ii) others that were sustained by sustained external funding, in which case it is too early to comment on whether these longer-term outcomes will be further sustained once donor funding finishes.

Across the **bilateral portfolio**, several intermediate outcomes to which CCI-supported projects and programmes had contributed were sustained over the longer term. Examples include climate and related policies and strategies at the national level; action plans at the local level; and national structures such as the Steering Committees of National Trust Funds as well as water committees at local levels. Various mechanisms contributed to sustaining impact. In some cases, intermediate outcomes, such as steering committees and water committees, were self-sustaining over the longer-term through local efforts. On the other hand, in several cases there were additional mechanisms that contributed to sustaining intermediate outcomes. Specifically, several of the major projects supported by CCI continued beyond the CCI period, often with the substantial continued input of Swedish funding (Box 5).

#### **Box 5. Sustaining intermediate outcomes in Mali.**

In Mali, the intermediate outcomes of the Decentralised Forest Management Programme (GEDEFOR), which included community and municipality involvement in forestry management encouraging responsible access and use of forestry resources, were sustained through further phases of the programme, leading to the publication of the forestry management decentralisation decree in January 2018, providing the legal foundation on which forest management can be decentralised.

Another example is provided by the Degraded Ecosystems Rehabilitation Project of the Inner Niger Delta (REDDIN), whose intermediate outcomes included improved community livelihoods, food security, incomes and adaptive capacities, and increased institutional capacity to plan for and implement climate change adaptation. Subsequent phases of REDDIN funding have sustained, embedded and expanded these outcomes, further improving the livelihoods of participating communities through income-generating activities in agriculture and contributing to forest development through tree planting.

In the **regional Africa portfolio**, the transboundary river basin case study enabled a light touch tracing of the sustainability of short-term CCI outputs and contributions in relation to regional institutions over the longer term. The CCI outputs in 7 transboundary river initiatives were associated with 11 regional

institutions. These interventions today are supported by multiple donors compared to a decade ago suggesting that activities in the transboundary river realm have grown in multifarious and non-linear ways at the regional level.

Across the **multilateral adaptation portfolio**, intermediate outcomes to which Sweden had significantly or partially contributed were sustained through a range of different mechanisms. What follows is based on observations both of sustained outcomes and on the existence of supporting mechanisms for such outcomes.

All funds survived, apart from BCPR, which was closed in 2014. For three funds (CTF, SREP and FIP within the CIF portfolio), continuity relied on follow-through on donor commitments made during the CCI period. For most funds, continuity relied on continuing donor support, which was forthcoming in all cases, although to differing degrees. For the most part Sweden continued to provide stable financing across the CCI portfolio, although in one significant case (GFDRR) there was a 3-year break in funding in from Sweden immediately after the CCI period.

More broadly, leveraging of additional funds from beyond the core pool of donors also contributed to sustainability of funds that were supported by the CCI. Since 2006, GFDRR has helped leverage over USD 20 billion of investments from the World Bank and over USD 2 billion from other development partners, while ASAP has helped IFAD to leverage USD 2.5 billion of co-financing against its combined adaptation investments of USD 505 million.

The period 2014-2019 saw continued growth across two key adaptation funds supported by the CCI, the LDCF and AF. In the former case this has enabled the LDCF to provide a dedicated and steady stream of CCA financing to LDCs for over a decade, enabling the full preparation as well as implementation of National Adaptation Plans of Action (NAPAs) and National Adaptation Plans (NAPs), albeit falling well short of the scale required. While attracting approximately half the level of funding deposited in the LDCF, the AF has continued to make its mark by situating the needs of the most vulnerable at its centre. Progress towards all seven outcomes in the AF's strategic results framework, including concrete adaptation projects as well as improved capacity, was

highlighted in the 2018 independent evaluation of the AF. It is also notable that Sweden has recently renewed its funding commitments to both the LDCF and AF for a further 4-year period.<sup>43</sup>

Building on Sweden's small but significant early investment through CCI, the GCF has also seen rapid growth over the period 2014-2019 and is now the largest dedicated fund for climate action in terms of funds held. Again, it is notable that in its most recent renewal in September 2019, Sweden doubled its funding to GCF to SEK 8 billion (USD 936m) for the 4-year period 2020 – 2023<sup>44</sup>.

NIEs as key mechanisms within AF and GCF have both been sustained, although perhaps with less prominence than IIEs, given strong competition from the latter. For the AF, 26 of the 63 approved projects by March 2017 were given to NIEs, which came to 36% of the approved budget (Figure 8 a). However, in the GCF, less than 20% of adaptation or cross-cutting projects submitted (covering less than 10% of funding) have been from NIEs (Figure 8 b). By contrast, four non-national entities, United Nations Development Programme (UNDP), World Bank (WB), Asian Development Bank (ADB) and European Bank of Reconstruction and Development (EBRD), accounted for over 50% (28 of 55) approved projects.

The evaluation also highlighted sustained progress in climate mainstreaming within ASAP and CGIAR since 2014, in the case of ASAP resulting in claims for the increased resilience of 1.5m poor smallholder household members and of 19,000 hectares of land managed under climate-resilient practice by 2018.

By contrast, it is less clear whether the benefits of IDA's initial investment in internal capacity building on CCA during 2009-2012 have been sustained. From a positive perspective, all IDA projects are now screened for climate-related risks and IDA has a commitment to support countries' NDCs. Staff within the WB also argue that there is growing awareness within the IDA of the links between climate adaptation, poverty alleviation and shared prosperity. Yet climate change continues to be framed as additional

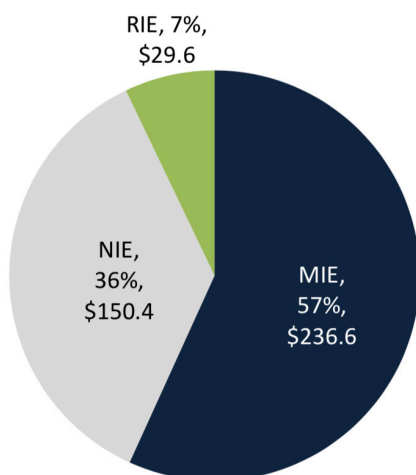
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<sup>43</sup> <https://donortracker.org/Sweden-support-climate-projects>

<sup>44</sup> <https://donortracker.org/Sweden-support-climate-projects>

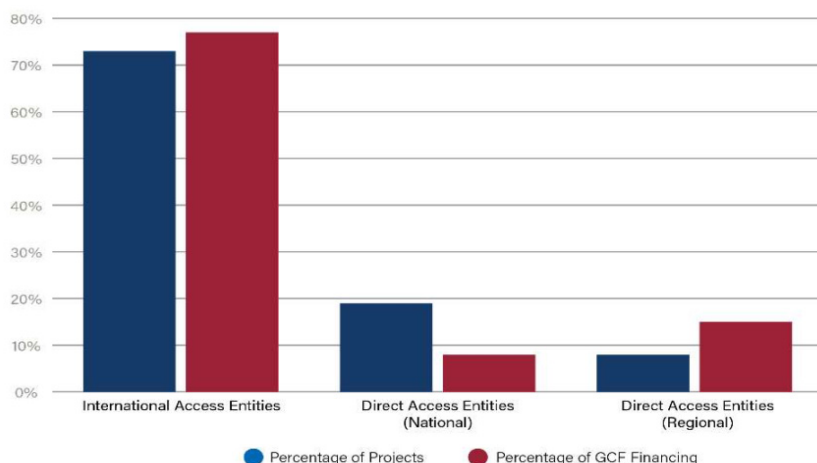
to ‘traditional’ development projects and some question how substantive the mainstreaming of climate change really is – with evidence that many project task team leaders within IDA continue to treat climate risk screening as an exercise in compliance rather than one which offers potential to add value to a project.

**Figure 8: Allocation of AF funding across implementor types**



Multilateral (MIE), regional (RIE) and national (NIE) implementing entities as of April 2017. Source: Tango International (2018).

**Figure 9: Allocation of GCF funding across implementor type**



GCF allocation by proposal submissions (adaptation and cross-cutting), GCF (2018).

Among the four DRR funds supported by CCI, the strongest evidence for sustained intermediate outcomes is from the GFDRR. Here, an evaluation undertaken in 2016 indicated that GFDRR's long-term investment in 31 priority and non-earmarked countries, a substantial proportion of which were LDCs, allowed for the sustaining of intermediate outcomes in the areas of building capacity of national and local governments for disaster risk preparedness, reduction, and response; and policy development and implementation around disaster risk financing and insurance.

At a portfolio level, however, the strong focus within GFDRR's priority countries on LDCs, championed by Sweden on the GFDRR board under CCI, has weakened since 2014, leading to a shift of emphasis on priority countries, with some donors arguing for a continued targeting of low-to-middle income countries and areas particularly vulnerable to climate change and disasters, while others have recommended that GFDRR remain demand-driven to avoid excluding vulnerable groups in middle income countries. It is possible that this shift of emphasis is partially associated with Sweden's withdrawal from funding GFDRR – and therefore from representation on the GFDRR board – over the 3-year period 2013-2015.

## F.5. CCI contribution to long-term outcomes and impact

While the long-term effects of the CCI result in part from its intermediate outcomes being sustained over the longer term, as considered in the previous section, it is necessarily also to look beyond these for a more comprehensive picture of contribution. For example, many lateral pathways of influence arising from activities and short-term outputs from the outset, throughout and beyond CCI can combine with those of others (or of other initiatives under CCI) to create longer-term contributions, although such pathways may be difficult to trace. Nonetheless, some contributions of the CCI to longer-term impact can be clearly discerned across all three portfolios, bilateral, regional and multilateral. Some of these contributions are significant and go beyond what Sweden expected.

The evaluation established that Sweden contributed to the following long-term outcomes in Bangladesh, Bolivia, Burkina Faso, Cambodia and/or Mali through its CCI **bilateral portfolio**:

- The development and/or implementation of national climate change policies and strategies, and integration of CCA, DRR and development at policy and programme levels (box 3),
- Increasing national ownership of the climate change agenda, and enhanced country readiness for the Green Climate Fund and other large adaptation funds in three of the five partner countries, and
- Improving community livelihoods, food security, incomes and adaptive capacities, especially those of marginalised, climate vulnerable groups and communities, who also had low adaptive capacities, while at the same time contributing to the rehabilitation and conservation of the ecological resources on which they depended.

## Box 6: CCI contributions to long-term outcomes in Cambodia.

In Cambodia, CCI significantly contributed (bilateral funding) to two long-term outcomes: (i) the development, mainstreaming and implementation of a nationally owned climate change agenda, and (ii) Cambodia's climate finance readiness.

For the former, several factors appear to contribute, including Sweden's moral credibility as a champion of CCA; Sweden's role as a leading EU donor on decentralisation support; and the significant leverage Sweden was able to obtain through its CCI investments in policy, research and capacity building, even though its bilateral financial contribution was among the lowest compared to other bilateral donors in Cambodia.

Through its CCI bilateral investments Sweden has also contributed over the long-term to Cambodia's climate finance readiness. The combined support that Sweden, with three other donors, provided to Cambodia during CCCA TF phases 1 and 2 (with Sweden as the leading donor financially) is likely to have resulted in Cambodia taking on the role of CCCA TF fund management from UNDP in 2019. It also likely led to the approval of Cambodia's concept note to the Green Climate Fund (GCF). Accessing GCF funds will further strengthen Cambodia's ownership of its climate agenda as it will have wider latitude to decide on what to do with the funds.

Not only was Sweden a leading investor in CCCA TF, it was also an active partner in building Cambodia's fiduciary management capacity and in strengthening Cambodia's integration of gender in climate change programming. Both are required for accessing AF and GCF resources. These roles in combination are likely to have strengthened Sweden's long-term contribution.

Regarding the **regional Africa portfolio**, the methodology employed in the portfolio analysis (with a primary focus on document reviews) was unable to establish long-term impact across the portfolio and CCI's contribution to this. Nonetheless, the analysis did highlight the diverse and extensive change pathways developed within the portfolio, with the linkages between the seven transboundary river basin investments of CCI of particular interest. In the latter case emerging change pathways included enhancing linkages across different governance levels around Lake Victoria, paving the way for enhanced knowledge sharing in the Nile Basin

and linking and anchoring learning at the regional level through the East African Community Climate Change Master Plan.

In the **multilateral adaptation portfolio**, Sweden's longer-term contribution through CCI funding had multiple dimensions (several of the main findings below build on those in the previous finding (F.4.):

By taking early action on fast start finance, Sweden contributed to early momentum and encouraged investment by other donors. Further supported by Sweden's consistency of financial and policy commitment across most funds, this then contributed to long-term impact as measured by the survival of most funds, the thriving of many and their combined impact across multiple measures of CCA capacity, policy and practice. Sweden's early CCI contribution to mitigation funds led to similar longer-term contributions to impact.

Across the adaptation landscape, the longer-term impact of CCI contributions can be further analysed in terms of the mainstreaming of CCA across multiple development sectors, using multiple change pathways. By supporting established sectoral funds to mainstream CCA thinking and practices, CCI contributed to the long-term integration of CCA into the DRR (ISDR, BCPR), agriculture (CGIAR, IFAD) and food security (WFP) sectors in particular (box 4). Investment in new climate funds (AF, GCF, GFDRR, LDCF) also impacted these sectors, but spread the impacts to additional sectors such as coastal zone management, forestry, transport, water management, and rural and urban development. A number of these sectors had been prioritised under the CCI (principles P6 and P7).

#### **Box 7: CCI long-term contributions in the World Food Program**

For the WFP, where there has been marked progress in understanding of how climate change and food insecurity are linked in multiple ways and need to be addressed in multifaceted ways, and where Sweden continues to have significant influence on the board, CCI can be seen as an important early step in this path, probably as one among several early donor-supported contributions. For example, the CCI-supported contribution enabled acceleration of the WFP's understanding of and work on climate change adaptation as well as systematising and scaling its approaches. Previous understanding of climate within the WFP was

limited to seeing climate change in disaster-related terms, whereas after the CCI-supported work, adaptation and resilience were better conceptualised and integrated. CCI support may also have helped shape WFP's Climate Change Policy in 2017.

One of the most significant long-term contributions of the CCI investments in multilateral adaptation funds resulted from Sweden's championing of the interests of the poorest countries on the boards of these funds. In some cases this resulted in direct investment in funds with an exclusive or strong focus on LDCs (LDCF), countries most vulnerable to climate change (BCPR, CGIAR, WFP) and on smallholder farmers (ASAP). In other cases this was the long-term result of skilful board-level chairing and influencing, as evidenced in the development of policies in the AF and GCF on direct access through NIEs, and in GFDRR on allocation of a significant proportion of funds to long-term, priority investment in the poorest countries. Across all of these cases the long-term impact was, on balance, a strengthening of adaptive capacity in LDCs, although exceptions were also highlighted, for example in Cambodia under the AF.

A key interest of the evaluation was to review the contribution of CCI to effective or 'successful' adaptation. The CCCD publication *Closing the Gaps* set out a framework for effective adaptation comprising multiple dimensions and, given its guiding role in CCI through principle 5, provided the potential for CCI to help shape effective adaptation policies, practices and capacities. Some of the ways in which CCI was able to contribute to long term impact at this more fine-grained level are discussed in section F.5. below.

However, the extent to which it was possible to evaluate these impacts was limited by the nature of the MEL frameworks developed for several of the funds which, while in principle enabling better tracking and evaluation of disaster and climate resilient development pathways, in practice were limited in their capacity to do so. This is because the approaches adopted – and championed by many donors on the boards of these funds, Sweden included – often fell short of the rapid advances taking place during this period in the development of good MEL practices for CCA, which require

more adaptive, learning-by-doing based approaches. Recognition of the need for more robust and better-tuned RBM and MEL systems for CCA, including transformational dimensions, is now emerging from some of the funds concerned, for example the AF and the GCF<sup>45</sup>.

A final area of long-term impact to which CCI contributed through its balanced, mixed adaptation portfolio concerns emerging synergies between smaller (AF, LDCF) and larger (PPCR, GCF) climate adaptation funds, and between these funds and sector-based funds (WFP, CGIAR, ASAP), themselves changing as a result of climate adaptation mainstreaming. These synergies, still poorly understood, have the potential, through linking e.g. small-scale piloting through some of the smaller funds with scaling through some of the larger funds, to bring greater coherence and transformational potential to the adaptation landscape.

While the evaluation did not undertake a full analysis of the multilateral *mitigation* portfolio, it did undertake two case studies within this portfolio. The **CTF case study** provides insights into the long-term impact of Sweden's CCI contribution. Sweden's input on the CTF Trust Fund was seen to be constructive and principled throughout the period that the CTF TF has been in existence, seeking to build consensus whilst keeping an eye on the deeper objective of the fund to mitigate climate change. In this they were allied with others in the fund and so their contribution was part of a collective effort. In this sense, the impact of the CTF to date – which include contributions to the transformation of energy markets away from fossil fuels towards renewables and to the uptake of energy efficiency projects; leveraging of financial markets, which are one of the most powerful drivers of economies; and strong evidence of signals of transformational change – can be understood to reflect a collective contribution of which Sweden was an equal part, in spite of the smaller percentage of its contribution compared to others.

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<sup>45</sup> GCF (2018b).

Regarding the status of gender issues within the CTF, Sweden were leaders and it is likely that gender issues would not have received the profile that they did if Sweden had been absent from the fund.

## F.6. The role and value of the CCI principles

Development of a set of principles was central to the development of the CCI; their value was seen as both internal (ensuring consistency and coherence in CCI's architecture and programming) as well as providing external signals. Key was to:

- Build on principles in the 2007 strategy on multilateral development cooperation (which include P1, P2). For Sida, many of the principles were already aligned with its own development and humanitarian 'good practice';
- Ensure support for the principles of aid effectiveness (P3);
- Support the aid architecture under the UNFCCC (P4) – a principle requested by the Ministry of Environment (led by another party than the MFA in the then coalition government) in order to ensure support for the LDCF, AF and GCF (and this meant also for mitigation); and
- Recognise the importance of the CCCD and its recommendations (P5 – P7).

Overall, the **architecture** of CCI reflected the value of a principles-based approach in several ways, enabling Sweden to:

- Champion its traditional support for the poorest and most vulnerable countries (P1) in a new development context, seeking integration between CCA and mainstream development, and also between humanitarian work (a traditional strength of Sweden), disaster risk reduction (DRR) and CCA, drawing on insights from the CCCD;
- Develop a mixed portfolio, spreading investments across breadth and scale (multilateral, regional) and depth (bilateral), creating opportunities – only partially realised – for synergies between levels (section F.8);

- Invest, at a multilateral level, in a mix of smaller and larger funds, a mix of convention (P4) and non-Convention based climate funds, and a mix of newer, dedicated climate funds and more established development funds targeted for climate mainstreaming – again, with opportunities to exploit synergies between these.

Within this overall architecture, the CCI principles were applied primarily in the allocation of multilateral funds, allowing for both consistency and coherence over the 4 year period, as well as flexibility:

- Coherence and consistency in the allocation of adaptation funds to 5 mainstream funds as well as 3 adaptation focused funds (also to 3 mitigation focused funds)
- Added flexibility in 2012 to support 2 new adaptation funds and 4 new/additional mitigation funds.

In terms of the **programming and implementation** of the CCI, the principles-based approach again had a significant role to play. Specifically, it enabled Sweden to:

- Adopt a light-touch, objective and not overly bureaucratic approach to programming at regional and bilateral levels, compared with many logframe-driven approaches;
- Capitalise on an approach with which it was already familiar, as demonstrated in its strategic leadership at regional and bilateral levels,<sup>46</sup> in its multilateral board-level leadership, for example in the AF and GCF (section F.10), in its championing of country ownership (P4) within several multilateral as well as bilateral investments - providing important support for effective, long-term adaptation

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<sup>46</sup> While the CCI principles were not overtly used in the planning and decisions underpinning the CCI bilateral and Regional Africa portfolios, each of the principles was implemented to a different extent in all the partner countries of the bilateral portfolio and to varying degrees across the Regional Africa portfolio. As a result, financing and programming of the CCI bilateral and Regional Africa portfolios was, in most cases, strongly aligned with the CCI principles. The one exception, demonstrating direct use of the CCI principles, was in Mali, where the CCCD Report was widely circulated in Mali (1,000 copies), reinforcing principle 5.

pathways - and in its championing of gender across all investments.

- Champion aspects of principles P5 – P7 derived from the work of the CCD across several multilateral funds, as evidenced by:
- The importance of a local focus for both DRR and CCA, supported by multiple layers of governance above this (GFDRR, AF, bilateral investments);
- Development of country ownership of adaptation strategies and practices, for example through the CCI bilateral investments, and at the multilateral level, through direct access entities (AF, GCF) as well as specific plans (LDCF);
- DRR strategies that focus on underlying risk rather than on response (GFDRR);
- Targeted capacity development as a key ingredient of adaptive capacity (GFDRR, AF and several other funds; regional and bilateral investments);
- Social transfer and safety net mechanisms as an important component of adaptive capacity (GFDRR Ethiopia).

## F.7. Contribution to ‘successful adaptation’

Across the full CCI portfolio, we found that there was no consensus on what ‘successful adaptation’ meant: it varied from place to place, and from programme to programme, and depended on the actors and sectors involved.

Across the **bilateral portfolio**, successful adaptation covered both outcomes and processes, human and natural systems. Examples of outcomes include increased ecosystem resilience, improved community livelihoods and adaptive capacities, especially among women and women farmers, and enhanced community solidarity and agency. Processes supporting adaptation included programming structures, assessment tools and enabling financial mechanisms.

The main adaptation focus of the CCI **regional Africa** investments was to contribute to successful adaptation through

shifts in governance arrangements at the continental level. In 2009, Sida was an early leader at the regional Africa level that brought climate additionality into the governance capacities of the continent. They were meant *inter alia* to prepare and enable regional institutions towards climate related information flows, planning, strategy, law and international influencing. These capacities were in turn designed to lead to results pathways that might contribute to successful adaptation at household, sub-national, national, river basin, and regional levels.

As such, Sida's regional Africa contribution was both pioneering and significant. However, the evaluation was not able to assess the contributions at potential impact stage (i.e. in 2019) so it is not possible to comment on what 'successful adaptation' at the regional level currently looks like.

GFDRR provides an example of a **multilateral adaptation** fund where the evaluation analysed framings of adaptation. A range of narratives regarding 'successful adaptation' was identified, with 'resilience' increasingly adopted as an overarching narrative. Many alignments between the subthemes/ sub-principles of the CCCD and GFDRR's emerging strategies were also noted. One promising development was the emergence of a narrative around 'robust, iterative adaptive planning processes'.

As well as noting the different ways in which different funds and programmes framed CCA, the evaluation drew abductively on two sources to assess evidence of successful adaptation, the first embodied in CCCD's 'Closing the Gaps' report and the second, a framework developed by Sida in 2013, drawing on earlier work by the Organisation for Economic Co-operation and Development (OECD), for the purposes of evaluating the bilateral and regional work of CCI – an evaluation that didn't materialise. While the current evaluation drew on both frameworks to assess evidence of successful adaptation at intermediate or longer-term outcome stages, it should be noted that neither framework was incorporated into the multilateral, regional or bilateral investments that CCI supported. Nonetheless, the current evaluation was able to highlight the value of both frameworks in identifying and describing change pathways and their interactions, as well as in evaluating adaptation outcomes.

The issue of governance, a key element of both frameworks, and embodied in the relationship between local, national, regional and global capacities and decision-making, as well as in cross-sector integration, emerged as a key issue (section F.8).

In considering the contribution of CCI to successful adaptation there is also a need to consider the risks of **maladaptation**, defined as: *“action taken ostensibly to avoid or reduce vulnerability to climate change that impacts adversely on, or increases the vulnerability of other systems, sectors or social groups.”*<sup>47</sup>

Avoiding maladaptation requires careful design as well as ongoing adaptation. For example, weak framing of adaptation, as indicated in the focus by IDA on short-term shocks rather than longer-term stressors, or in treating adaptation as an exercise in compliance rather than as a value-adding process, runs the risks of fostering maladaptation, as does a lack of appropriate MEL systems, as identified for many of the multilateral adaptation funds (section F.5).

The clearest example of maladaptation was identified in the Adaptation Fund case study in Cambodia, undertaken for this evaluation (Box 5). This case study shows that unintended outcomes towards maladaptation are plausible in a context of socio-ecological contradictions and conflict such as in Cambodia. Climate change adaptation efforts like those discussed in this case study may be leading to maladaptation in the long term even while techno-managerial project evaluations show satisfactory delivery. The case study shows that there are systemic attributes to recognizing maladaptive pathways and that these can be missed out if too narrow a view of adaptation is taken through a focus on technical solutions. Long term adaptation futures are constrained by reinforcing dominant political-economic structures and processes that are inherently unjust and non-participatory.

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<sup>47</sup> Barnett and O'Neill. (2010).

### **Box 8: Maladaptation, Adaptation Fund Cambodia case<sup>48</sup>**

Although a priority country in terms of climate vulnerability, the socio-political context of Cambodia has a history of limits on democracy, human rights and shrinking civil society space. Natural resource management regimes, such as concessions to harvest tropical hardwood trees, are state-controlled and have had periods of exploitation at the expense of long term social ecological resilience.

In such a context, maladaptation can occur despite intentions to reduce vulnerability and gender inequality. The history of Kulen National Park, the site of the case study field visit, is shaped by hierarchical and oppressive relationships within the communities, as well as between community level and state political power. Neglecting to address this context has reinforced path dependency, thereby making the poor ever more dependent on the powerful service delivery of the government. In this setting, this is an example of maladaptation.

The objective of the AF project was to enhance the climate change resilience of communities living around five Community Protected Area intervention sites, as well as downstream communities, to the climate change-induced hazard of erratic rainfall. The project was led and implemented by the Cambodian Ministry of Environment and worked through the local government system to interface with forest dwelling communities. The Multilateral Implementing Entity for the project was the United Nations Environment Programme (UNEP), based in Nairobi, Kenya.

Increases in socio-ecological vulnerability and unintended pathways surfaced through this evaluation include gender oppression, displacements of communities from forest areas with diminishing natural resources to sustain livelihoods, land tenure disputes and ecosystem diminishment.

It is important to qualify that plausible unintended outcomes in this case study are most likely to be systemic problems within Cambodia's socio-political context, many of which were already set in motion when the AF project was implemented. Thus, the project may not have been the cause of the unintended outcomes, instead it may have exacerbated and entrenched the maladaptive phenomena offered in our analysis.

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<sup>48</sup> Mukute and Ba (2020).

## F.8. Coordinated, multi-level governance

In the framing of successful adaptation which was articulated in the *Closing the Gaps* report, there was a strong emphasis on the need for effective, multi-level governance. This included several interlinked components:

- A primary focus on the poor, given that the poor are overwhelmingly the present and future victims of climate change.
- Building the adaptive capacities of the poor, and the agency and innovation that lie behind this, in contextually appropriate ways, requires a strong local focus supported and enabled by multiple layers of governance above this.
- Governance roles at national, regional and global levels all have key roles to play. For example, national policy coordination for CCA, DRR, poverty alleviation and development led from the highest political and organisational level for coherence.
- Governance of climate finance is key. Here there is a need to connect global, regional, national and local climate finance mechanisms.
- Developing capacity for adaptation at wider scales can only be achieved by addressing 'governance gaps', which requires the reform of governance approaches and institutions

We found good evidence that CCI's **bilateral investments** addressed some of these governance issues, on the one hand investing in adaptive capacity at the local community and ecosystem level, while also attending to strengthening national policy coordination and leadership, and governance gaps in between. The example of Mali's decentralisation policy for forest governance provides one example of the latter. Furthermore, in terms of bridging national to global governance arrangements, the Mali Climate Fund, a mechanism supported financially and technically by Sweden's CCI together with other bilateral donors, enhanced donor-partner country collaboration and built the latter's capacity to access the GCF. The same applied to BCCRF in Bangladesh.

The **regional Africa** case study on transboundary river basins also detailed evidence of coordinated multi-level governance at international, macro, meso and micro levels (section F.5).

The **multilateral adaptation** portfolio analysis and case studies provided evidence of both good and less effective coordination between different governance levels. On the one hand, both the AF and the GCF developed NIEs (and in the case of the AF, enhanced direct access) as a mechanism for more effective multilevel governance, while on the other hand there is continued criticism of the restrictive governance arrangements of the LDCF, which lack such direct access mechanisms. We also found evidence in the GFDRR Ethiopia case study of governance contradictions between large WB-funded initiatives (which included GFDRR funding) and government-led DRR initiatives (also part-funded by GFDRR), while in the AF Cambodia case study, as noted in section F.7 above, the evidence suggested that, in the absence of effective meso-level organisations, central government acted as a constraint rather than an enabler of effective adaptive capacity building at the local community and ecosystem level.

Given the central theme of governance gaps within the *Closing the Gaps* report and the potential under CCI for Sweden to play a role in fostering effective coordination between multilateral, regional and bilateral investments, the evaluation looked carefully for evidence of coordinated, multi-level governance across CCI-supported funds.

Our findings revealed only limited interaction between CCI bilateral and regional climate investments, with no evidence of deliberate and strategic CCI-led collaboration between the two.

In Cambodia, the CCI-supported CCCA created synergies with the regional Climate Change Alliance supported by Sweden through the CCI regional programme managed from Bangkok in areas such as climate financing and gender integration;

In Africa, the bilateral CCI programmes in Burkina Faso and Mali engaged actively with the West African sub-region of the CCI regional Africa programme as well as some multilateral programmes supported by CCI, such as GFDRR and FIP. These

synergy-building practices offer potentially interesting insights upon which Sweden might build in pursuit of producing coordinated efforts and results from its three kinds of investments.

We found no evidence of coordination by Sweden between CCI bilateral and multilateral adaptation investments (AF, LDCF) in Cambodia or in Mali. This finding aligns with a recent EBA study on who makes Sweden's development cooperation investment decisions, which concluded that there was insufficient strategic coordination between Sida and MFA and that this has an anti-synergistic effect between bilateral and regional investments on one hand and multilateral investments and lobbying on the other.<sup>49</sup> This is ironic and potentially contradictory given CCI's explicit interest in generating synergies with other donors and across sectors.

## **F.9. Summary: The tangible added value of CCI**

The second principle underpinning the CCI was that “the Swedish contributions should have a tangible added value.” Although the evaluation was unable to establish the exact meaning of this in the context of the CCI, following the concept of ‘EU-added value’<sup>50</sup> it was taken to mean that ‘added value’ indicated changes that could reasonably be argued were due to the CCI intervention, over and above what could reasonably have been expected as a result of actions by others in the system-of-interest – in this sense we understand ‘added value’ as closely aligned with ‘contribution analysis’ (section F.5.).

Given that the analyses of CCI medium and long-term contributions are already presented above, Table 2 summarises the nature of Sweden's CCI contributions, based on an informed judgement as to whether Sweden's CCI investments had contributed to CCA over the long term as (a) one among several contributions but with no clear differentiating role; (b) one among

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<sup>49</sup> EBA. (2018b). A similar recommendation to further enhance the connections between Sweden's country, regional and thematic co-operation strategies is made in the recent *OECD Development Co-operation Peer Review: Sweden 2019*.

<sup>50</sup> [https://ec.europa.eu/info/sites/info/files/file\\_import/better-regulation-toolbox-47\\_en\\_0.pdf](https://ec.europa.eu/info/sites/info/files/file_import/better-regulation-toolbox-47_en_0.pdf)

several contributions and with a significant role; or (c) one among several contributions and/or with a unique leadership role.

**Table 2: Summary of Sweden’s long-term contributions to CCA**

B = bilateral; R = regional; M = multilateral	(a) Contribution as one among several	(b) Significant contribution	(c) Unique leadership role
<b>1. Prioritising CCA investments in the poorest countries, sectors and communities</b>		M: Prioritising investments in adaptation funds and mainstream funds – and/or in policies within those funds – that benefit LDCs and the most vulnerable communities (AF, ASAP, BCPR, CGIAR, GFDRR, LDCF, WFP)	Prioritising CCA in CCI’s fast start portfolio as demonstration of solidarity with the LDCs
<b>2. Finance/ climate change funds</b>	M: Financial support to funds that themselves have been able to leverage significant additional funding (ASAP, GCF, GFDRR)	B: Enhanced country readiness for the GCF & other large adaptation funds (B-desh, Cambodia, Mali) B: Significant role as a leading investor in Cambodia’s CCCA TF and in building C’s fiduciary management capacity M: Sweden’s early investment in the GCF was key to its build-up phase, when few donors were willing to contribute.	M: Leading role in early leveraging of fast start climate finance

<b>Finance/ climate change funds (continued)</b>	M: Significant contribution to leveraging finance from other donors (ASAP, GFDRR) M: Significant and consistent funding contributions (among top 5 donors) (BCPR GCF, LDCF)	M: Leading role in pushing for the challenge program on climate change within the CGIAR
<b>3. Policy</b>	B: Integration of CCA, DRR and development at policy and programme levels M: Contributing to significant mainstreaming of CCA (ASAP, BCPR, CGIAR, ISDR, WFP) M: Consistent funding support for NAPAs and NAPs through the LDCF (and to the WFP which provides support to NAPAs)	B: Development &/ or implementation of national climate change policies and strategies M: Sweden's technical expertise & experience made a significant contribution in championing CCA/ DRR integration (GFDRR)
<b>4. Awareness and capacity</b>	B: Contribution to the development of capacities to address climate change and multiple-level ownership of the climate agenda across all the five countries.	R: Sweden applied a unique set of strategies across its Regional Africa portfolio, including strategies of midwifing, pooling and linking, to contribute to capacity development for CCA, DRR and climate mitigation.

<b>5. Climate studies and research</b>	M: Contributing to significant innovation from research (CGIAR; also some regional contributions)		
<b>6. Coordination, intermediation and governance</b>	B: The National Climate Funds (NCFs) provided a dynamic space for multi-level coordination between governments, bilateral donors and multilateral funds	<p>B: In Mali, GEDEFOR supported a shift towards decentralised forest governance</p> <p>B: Sweden's leadership through creating enabling environment &amp; by building synergies between donors and partner country governments was recognised in all 5 countries</p> <p>R: Strengthening of the institutional and governance arrangements supporting transboundary river basins.</p>	M: Policies and mechanisms on NIEs were significantly shaped by Sweden's board-level chairing (AF, GCF)
<b>7. Enhanced resilience</b>	M: Contributing to enhanced resilience of communities and sectors (AF, ASAP, CGIAR, GCF, GFDRR)	B: Funding lead for several local resilience initiatives in each of the bilateral partner countries	

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<b>8. Emerging transformational dynamics of piloting, scaling and system change</b>	M: Sweden's balanced CCI portfolio contributed to emerging synergies between smaller & larger adaptation funds, & with mainstream development funds. Although still poorly understood, these hold transformational potential M: Contribution through CTF to the transformation of energy markets <sup>51</sup>
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## F.10. Sweden's leadership approach

Sweden's distinctive leadership style and reputation emerged as a significant factor enabling the achievements and longer-term contributions of Sweden's CCI in the CCA field. This comprised several facets:

- In many multilateral funds as well as bilateral partnerships, Sweden was seen as a **trusted partner**, with commitment and skills in building dialogue, trust and synergies. Examples include Sweden's leadership of the Donor Harmonization Group in Mali and Sweden's role on the board of the GCF (Box 6).

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<sup>51</sup> Although not a contribution to CCA, this contribution to climate mitigation has been added here given its significance in the context of transformational approaches.

### Box 9: Sweden's role in the Green Climate Fund

Sweden's role in the GCF over the last decade has been committed (with its dedicated and diligent role on the Board), continuous and in some areas transformative (providing start-up funds at a politically critical time). Sweden is recognised not only for its investments into the governance structure and other topical issues, but particularly for its highly important and skilful negotiation and facilitation role. Sweden has one of the six single seats on the GCF board given its financial commitments. The selection of Sweden to co-chair the Board in 2018 showed trust amongst the other constituents. Sweden has a vision for GCF which is complimentary to other funds. It also coordinates with its own constituency at home, displaying its aim for accountability in its own actions.

- In many multilateral funds Sweden was seen as a **reliable partner**, offering long-term, consistent support and a stable political hand. For example, Sweden is the only country that has contributed funding continually since 2012 to the AF, regardless of changes in government. Sweden is viewed by the AF Secretariat as having a stable political hand when it comes to pushing for good governance and direct access.
- Regarding its roles both on the GCF board and in Mali, Sweden's approach was described as '**frank and friendly**' – nuanced, not beating its own drum, but prepared to confront issues that matter. In Mali especially, Sweden is respected for these qualities and listened to.
- Sweden is respected both for its **principles-focused** approach (e.g. as an ally of developing countries, a champion of unearmarked funding and of gender issues) and in some cases also for its **content-focused** leadership in contributing to thinking and practice around the integration of DRR, CCA and mainstream development pathways (e.g. on the board of the GFDRR).
- Finally, Sweden's role as a **social innovator** was highlighted in the regional Africa portfolio analysis. This approach drew on Sweden's enlightened interest in Africa's regionalism agenda, approaching this without a blueprint. Rather, Sweden's approach comprises *umbrella strategies*: strategic, long-term, non-prescriptive (Swedish 5-year strategies); *process strategies*: regular

assessments enabling emergent learning; and *nimble decision making* by Sida managers, identifying and realising opportunities within the diversity of regional investments.

## Reflections and recommendations

In many evaluations, it is conventional practice to draw out ‘lessons learned’ from the evaluation findings. Here the assumption is that the evaluation audiences will absorb and internalise these lessons and then put them into practice as needed and in response to the evaluation’s recommendations.

While ‘lesson learning’ works well in situations that are understood as ‘simple’ or ‘complicated’, they are less relevant to situations understood as ‘complex’.<sup>52</sup> There are several reasons for this. First, learning emerging from complex situations, which are unique in time and space, does not easily transfer to other situations. Second, the learning emerging is not independent of the actors involved, but part and parcel of their involvement in the evaluation and sense-making process – in this case the learning was undertaken as co-learning by the members of the ERG, working together with the Emerald Network team. It is the learning process itself that shapes insights that might be relevant to emerging futures. Third, the learning process is not separate from emerging futures, but instead involves sense-making of findings (in this case from looking back over a 10-year period) in the context of these emerging futures. In summary, it was important that the evaluation considered carefully how the insights from looking back over 10 years might be applied to planning for the future and particularly to the next 10 years, a unique period in human history. The learning presented below is therefore presented more in the form of discussions and reflections, mirroring those of the ERG, than as ‘lessons learned’.

As a result of discussions, reflections and insights developed within the ERG, particularly during the third ERG meeting, five main ‘learning themes’ are set out below. These explore:

- Ensuring the relevance of this evaluation in a rapidly transforming world;

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<sup>52</sup> STAP (2017).

- Effective climate change adaptation in a time of climate and ecological emergency;
- Effective governance, coherence and coordination as key elements of successful adaptation;
- The design, architecture and programming of new investments;
- The key role of learning.

Each learning theme generates a number of recommendations. In order to maintain independence, and moving away from the co-learning with the ERG, these recommendations were developed independently by the Emerald Network team.

## **Theme 1: Ensuring relevance in a rapidly transforming world**

The decisions that surrounded the development of the CCCD and the ways in which this shaped the CCI were specific to the international politics of development cooperation, climate change and humanitarian response in the mid to late 2000s. The long-term contributions of CCI to current impact can only be understood in relation to the ways in which this wider context has evolved over the past decade. And the decisions that now face the Swedish government and others should be shaped by consideration not only of this current moment in history but also of the possible futures (both plausible and implausible) that might unfold over the next decade.

In this part of the report we will set out a series of forward-looking recommendations, informed by the evaluation and the learning from this. This requires that learning from the past decade is factored appropriately into the present, dynamic and rapidly changing context, at a time of profound existentially challenge.

Without undertaking an appropriate future scenarios analysis<sup>53</sup>, which would aid such thinking but is beyond the remit of this evaluation, this section nevertheless seeks to contextualise the learning from this evaluation in a forward-looking manner, for example recognising that climate and ecological emergencies are rapidly unfolding and will profoundly shape the next decade

## **Confronting climate and ecological emergencies**

Although we have treated climate adaptation and mitigation separately in this evaluation – with a primary focus on adaptation – they are of course closely connected. Without effective and timely global mitigation action, the need for adaptation is exacerbated and development pathways increasingly disrupted.

Many also now argue that, beyond seeking to decouple economic growth as measured by GDP (which correlates closely with energy consumption) from energy consumption, and energy consumption from CO<sub>2</sub> emissions, there is a need to develop new economic models and strategies that meet the wellbeing needs of humanity without destroying the ecological systems that support all life. Such models will need to support a joined-up and greatly expanded approach to climate mitigation/ adaptation, nature-based solutions and ecological restoration.

New proposals on the table, include calls by Rachel Kyte for a “new Bretton Woods summit” to realign financial institutions with the Paris Agreement goals,<sup>54</sup> and from the United Nations Conference on Trade and Development (Unctad), to give governments more power to tackle the climate crisis by reorienting the monetary system toward a “global Green New Deal”.<sup>55</sup> Such developments have the potential to profoundly impact the current

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<sup>53</sup> There are many tools for future scenario analysis that have been developed to support strategy development, some specifically in the context of climate adaptation. Examples of relevant tools include: Sharpe et al. (2016); Veeger M et al (2019).

<sup>54</sup> <https://www.climatechangenews.com/2019/09/26/outgoing-un-official-calls-new-bretton-woods-fix-global-system-climate/>, accessed 29 September 2019.

<sup>55</sup> UNCTAD (2019).

financial architectures supporting climate mitigation/ adaptation, nature-based and ecological solutions.

Sweden has already taken important early steps to align itself with such requirements. In its most recent policy framework on development cooperation, published in 2016, it applied five principles, or ‘perspectives’, across all areas of its development cooperation.<sup>56</sup> These perspectives are: (i) the perspective of the poor on development; (ii) rights perspective; (iii) environmental and climate perspective; (iv) gender equality perspective; and (v) conflict perspective.

Yet the realities of the climate and ecological emergencies leave no room for complacency and it is vital that there are efforts in place to ensure stronger alignment in practice as well as in policy between the five perspectives set out above. This can be achieved, for example, by accelerating learning and integration of appropriate, integrative practices, including those evidenced in this evaluation. This leads to our first two recommendations:

***R1: Sweden should ensure alignment of the principles of effective development cooperation and the objectives of the Paris Agreement across all of its international aid, drawing on policy already in place<sup>57</sup> as well as learning from this evaluation to accelerate implementation of appropriate, integrative practices (key audiences: MFA, Sida).***

***R2: Sweden should develop a high-level policy statement recognising the coupled climate and ecological emergencies, and considering their implications for the focus of development cooperation during the critical window of the next decade and beyond (key audiences: MFA, Sida).***

### ***The need for transformation***

Many now argue that integrative policies and practices alone are insufficient to help humanity effectively navigate the climate and ecological emergencies and the critical decade which lies ahead. In addition, transformational approaches are required. For example, recent publications by the OECD highlight the need for systemic

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<sup>56</sup> Government of Sweden (2016).

<sup>57</sup> See previous footnote

transformation if the principles of development cooperation and the objectives of the Paris Agreement are to be effectively aligned (Box 7).

**Box 10: Aligning ODA with the Paris agreement<sup>58</sup>**

- *Development cooperation contributes to transformation.* Activities should not only “do no harm” but contribute positively to the systemic transformation towards low-emission, climate-resilient and ecologically restorative societies.
- *Development cooperation catalyses countries’ transitions to low-emissions, climate resilient and ecologically restorative pathways.* It should use targeted finance, policy support and capacity development to trigger broad change.
- *Development cooperation supports the climate action processes under the Paris Agreement* – especially NDCs and long-term low-emissions strategies, while helping to integrate them with plans for sectors and overall economic development
- *Development cooperation responds to evidence and opportunities.* It should proactively respond to new evidence on climate and ecosystems change and their impacts and support innovative solutions to meet development needs.

Such alignment should be seen as a pre-requisite for going beyond the notion of ‘mainstreaming’ or ‘integrating’ considerations of climate adaptation, climate mitigation and ecological regeneration into development processes, as advocated by the CCCD a decade ago, to a ‘new normal’ of transformational development in a climate and biodiversity emergency world.

These considerations lead to our third recommendation, which offers a strategic framing for the remaining recommendations of this evaluation report.

***R3:*** *In framing its response to the coupled climate and ecological emergencies, Sweden should highlight the need for new and transformational approaches to design, financing and programming, harnessing relevant insights from the CCI and elsewhere, and drawing on these to support accelerated efforts towards climate adaptation, rapid ecological restoration and low carbon development (key audiences: MFA, Sida).*

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<sup>58</sup> OECD (2019b); *See also:* OECD (2019b).

## Theme 2: Effective adaptation in times of climate and ecological emergency

The evaluation findings (section F.7) highlighted the importance of bringing a clear conceptualisation of ‘successful’ climate change adaptation to CCA mainstreaming work. The effective championing of climate adaptive development – in which development cooperation and CCA are fully integrated - requires ensuring that it is properly monitored and evaluated, and that continuous learning is supported as a core component of adaptive development and to help guard against maladaptation. Yet without a clear conceptualisation of successful adaptation, MEL for CCA is hampered.

One of the strengths of the CCI was that the CCCD’s *Closing the Gaps* report set out a clear framework for conceptualising effective CCA, and through its principles-based approach (principle 5) the CCI made explicit reference to this. At the same time, while there was relevant guidance developed by Sida,<sup>59</sup> there was no explicit guidance developed by the MFA, which for some led to a restricted understanding of the framework set out in the *Closing the Gaps* report.

This in turn made it more difficult for CCI to champion a clear understanding of and approach to CCA. This resulted in the CCI supporting different narratives of ‘successful adaptation’, which varied across funds, programmes, sectors and geographies. While there were benefits to such a flexible approach – for example facilitating local ownership at country and community levels – there were also risks of ineffective monitoring and evaluation and even of maladaptation.

The evaluation demonstrated abductively that the CCI contributed to varying degrees to many of the dimensions of CCA set out in the *Closing the Gaps* report (sections F.7 and F.9), with a strong emphasis on mainstreaming (horizontal integration) and on multi-level governance (vertical integration). It also showed, again using abductive analysis, and drawing on a complementary

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<sup>59</sup> Sida (2009).

framework adapted by Sida from one developed by the OECD,<sup>60</sup> that the bilateral and regional work of the CCI made strong contributions in the areas of governance/ coordination, policy, climate finance, capacity building, and developing community and ecosystem resilience (section F.7; see also box 8).

### **Box 11: Successful adaptation: findings**

The more successful adaptation programmes in the CCI bilateral portfolio were well-designed. This entailed conducting situational analyses for climate change impacts and risks and making the links between risk and resilience more explicit. It also involved linking climate investments, policies and practice in adaptive capacities with actual infrastructure, services and social protection mechanisms. Programming that integrated development, DRR, CCA, mitigation and national ownership was found to be more relevant and potentially more impactful as this addressed the livelihoods of climate vulnerable communities more holistically.

Building on these findings, a key reflection arising from this evaluation was that successful adaptation requires clear conceptualisation both as an outcome and as a process, even if this conceptualisation is one that allows for considerable flexibility of interpretation. This leads to our fourth recommendation:

***R4: Sweden should develop a consistent framework for understanding successful adaptation (and maladaptation) as an outcome and for implementing successful adaptation as a process (key audiences: MFA, Sida, NDCs).***

Rather than define that framework here, we highlight a number of considerations that arise from the evaluation of the CCI and that we consider to be relevant. Definition of such a framework could be undertaken by MFA and Sida in-house, or by a new commission if this were felt to be relevant to the work of that commission. For example, a commission on ‘nature-based solutions’ would necessarily require consideration of what enables social-ecological systems to be resilient, adaptive and/or transformative in the current context of global-to-local climate and ecological emergency.

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<sup>60</sup> Lamhauge et al. (2011).

## Successful adaptation as an outcome

- The focus of climate adaptive development should be on increased adaptive capacity to both current and future risks. Depending on the sector or focus, different timescales may be relevant to adaptation planning. A critical concern is that adaptive planning should look sufficiently far into the future to avoid path-dependency and lock-in.
- It is important to articulate the relationship between adaptive capacity and resilience, particularly in the light of the narrative within the Paris Agreement of ‘climate resilient development’. There are many useful sources of experience and guidance available to support this, for example the tripartite framework of absorptive capacity, adaptive capacity and transformative capacity, as applied for example in the DFID-funded BRACED programme,<sup>61</sup> or in the recent evaluation of the Adaptation Fund.<sup>62</sup>
- Clarification of whose adaptive capacity matters, and why, is key. This should include attention to the relative importance of social, technological and ecological adaptive capacity. An alternative view would be that it is the adaptive capacity of whole systems (comprising social, technological and ecological components and their interactions) that matters.
- A further consideration concerns who should define and measure adaptive capacity. In some cases, there may be a role for both subjective<sup>63</sup> and objective measures. The issue of subjective and objective measures of adaptive capacity is particularly relevant to the multi-scalar governance dimension of adaptation and how this is measured (see section F.8).
- Consideration also needs to be given to ways of prioritising the prevention of maladaptation – as an integral part of “doing no harm”.

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<sup>61</sup> Bahadur AV et al (2015).

<sup>62</sup> Tango International (2018).

<sup>63</sup> Jones L (2019).

## Successful adaptation as a process

- Adaptation – as the name implies – is a process as well as an outcome. Specifically, it involves adaptive planning and/or learning<sup>64</sup>. While planning for adaptation as a process did not come forward in the evaluation in a very tangible way, there is a need to consider how MEL systems can be designed to support continuous and adaptive learning, particularly for programming over the long term and in the context of uncertain futures (see theme 4 below). Complementary tools, such as robust planning methods that avoid path dependency and retain options as things evolve, are also relevant here.

## Building on current approaches

For Sida, ‘successful’ adaptation as a process also means finding a bilateral role where it can make a useful contribution and can add value. This means building on the CCA work Sida is already doing – e.g. building local capacity and supporting south-south collaboration.

The need for Sida to support Nationally Determined Contributions (NDCs) and to establish a bilateral niche or role that adds value should be considered. We recommend that Sida works with NDCs to ensure effective adaptive development. NDCs should encompass ownership, a listening approach and partnership at the local level.

A particular challenge lies in increasing the level of ambition of NDCs, given that they are currently unlikely to achieve the 2° target let alone 1.5°. Recent patterns of investment and projections based on these give cause for some optimism.<sup>65</sup> Alongside this, working with NDCs to build deeper understanding of the adaptation challenges ahead may help to leverage jointly informed investments in mitigation and adaptation solutions.

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<sup>64</sup> See for example: <https://careclimatechange.org/alp-adaptation-strategies-compendium/>

<sup>65</sup> International Energy Agency (2019).

***R5:** Sweden should consider working with NDCs, especially in those countries where it has a long-term development cooperation partnership, to ensure that effective, (climate) adaptive development reflects a robust conceptualisation of adaptation and its operationalisation (key audiences: MFA, Sida, NDCs).*

## **Conflict and adaptation**

A final consideration by the ERG under the theme of effective CCA concerned the linkages between conflict and adaptation. Climate change impact is most manifest where there is extreme vulnerability and thus a fertile ground for conflicts around topics such as rights and resources access. Equally, conflict can increase vulnerability to climate-related disasters (box 9). Particular regions of the world, such as the Middle East and North Africa (MENA), are already faced by a confluence of crises in water, climate and security.<sup>66</sup> As the world enters a phase of greater polarisation and increasing threats to multilateralism, there is an increasing risk of such interlinked crises spreading.

### **Box 12: Climate risks and fragile states<sup>67</sup>**

When states face fragility and climate risks simultaneously, the risks and challenges are compounded. Responding to high exposure to risks requires substantial resources, infrastructure and mobilisation, which can exceed state capacity and social capital. Addressing climate risks in fragile states should therefore enhance resilience while also tackling fragility.

Climate change has multifaceted implications and, as such, is not merely a technical problem in need of a technical solution; rather it is a socio-political one in need of joint-risk analysis.

Responses to climate change in conflict settings will need to consider multiple entry points for approaches that build the resilience of vulnerable groups against security risks related to climate change in contexts of legitimacy deficits and individual country risk landscapes.

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<sup>66</sup> Schaar, J. (2019).

<sup>67</sup> Mayhew et al. (2019)

In the AF Cambodia case study, we observed early warning signs at the intersection of ecological and social conflict signalled *inter alia* by polarities in power, contested tenure and maladaptation. Importantly, the country has a history of conflict with patterns that have become systemic and it can be considered likely that pressures from climate change are going to exacerbate or accelerate these patterns towards conflict.

As climate impacts become more severe, conflict analysis and mediation could become a systemic need in many of the most vulnerable communities impacted. Given Sweden's global leadership in peace building, mediation and conflict resolution, and the presence of such organisations as the Stockholm Climate Security Hub,<sup>68</sup> Sweden is well positioned to further champion these approaches over the next decade across its support for adaptation funds and for adaptive and climate resilient development, much in the same way in which it has consistently championed gender over the past decade. In this respect, current Swedish organisational strategies for the GEF and GCF already emphasize this as a clear priority.

***R6:*** *Recognising that environment/ climate and conflict are two of the five perspectives underpinning the current policy framework for Swedish development cooperation,<sup>69</sup> and taking note of Sida's recent work in this area,<sup>70</sup> MFA and Sida should expand their work on making conflict analysis and conflict management integral to future work on climate adaptation, and on adaptive and transformative development (key audiences: MFA, Sida, Stockholm Climate Security Hub).*

Sweden should also consider how its strengths in conflict mediation, and its bridging skills of diplomacy and negotiation, might best be mobilized to support relevant processes of capacity development at multilateral, regional, country and local levels.

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<sup>68</sup> The Stockholm Climate Security Hub is a consortium involving the Swedish MFA, Stockholm Environment Institute, Stockholm International Water Institute, Stockholm International Peace Institute and Stockholm Resilience Centre.

<sup>69</sup> Government of Sweden (2016).

<sup>70</sup> Schaar J. (2017).

## Theme 3: Governance as a key for adaptation

A key component of successful adaptation articulated in the CCCD *Closing the Gaps* report was the need to ensure effective multilevel governance of adaptation – a theme which is widespread in its relevance to many areas of development, particularly those with a transboundary component. Action and evaluative research over the past decade on the multilevel governance of adaptation has further reinforced the importance of this theme.<sup>71</sup>

Building on the framework of the CCCD's *Closing the Gaps* report, the evaluation highlighted the many ways in which Sweden championed and addressed the significance of horizontal and vertical coordination and governance issues through its CCI investments, often to considerable effect (section F.8).

In reviewing this evidence, the ERG held searching discussions on different aspects of governing effectively and the current relevance of these issues. These discussions and the learning they generated are reflected in the following four sub-themes:

### Realities on the ground should be better known

Because multilateral funds operate at multiple levels of governance, they have a key role to play in ensuring effective multilevel governance of CCA. The evaluation highlighted that some multilateral funds – especially the AF and GCF – have made significant progress in strengthening multilevel governance arrangements, with both funds championing the role of National Implementing Entities (NIEs) as a more equitable and context-sensitive governance mechanism, in part as the result of Sweden's influence. In recent years the AF has also experimented with 'enhanced direct access' in South Africa.<sup>72</sup>

Yet multilateral boards and their members very often remain disconnected from the realities of developments at country level and

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<sup>71</sup> Colvin J & Mukute M (2018).

<sup>72</sup> Burt (2020)

more locally. This is highlighted in the AF Cambodia case study, where the same kinds of disconnections in-country have failed to connect a national government-led initiative with a joined up, place-specific and historically contextualised approach at local level, leading to social and ecological maladaptation.<sup>73</sup> The case study argues for the importance of institutions who can act as meso-level connectors capable of bridging such disconnects, thereby addressing the kind of ‘governance gap’ articulated in the *Closing the Gaps* report.

There are several ways in which Sweden might contribute to ensuring more effective multilevel governance on the part of the multilateral funds:

- *Championing effective multilevel governance on the board of multilateral funds.* The evaluation highlighted how Sweden has already championed a number of mechanisms, such as NIEs, to ensure more equitable governance of multilateral funds and their implementation. Championing issues at board level is often most effective through alliances with other board members. Championing coordination of multilevel governance through such alliances may in turn open up opportunities for early testing of improved approaches.
- *Playing a vertical brokering<sup>74</sup> and capacity building role in selected governance processes.* In testing out improved approaches, Sweden should ideally select opportunities where it already plays a regional role (in Africa and Asia) *and* has a strong bilateral mandate (in Sweden’s principal partner countries), although specific board-level alliances may lead to early testing in non-priority countries. Given Sweden’s strengths in the bridging skills of diplomacy and negotiation that sit behind effective processes of horizontal and vertical governance, Sweden is well positioned to develop these

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<sup>73</sup> Mukute and Ho (2020).

<sup>74</sup> ‘Brokers’ are actors who use their knowledge, skills and authority to bridge between different perspectives, often those significantly differentiated by power. ‘Vertical brokering’ between different levels of governance enables more effective dialogue and understanding between macro, meso and micro levels, for example between global, regional and national levels. Brokers are sometimes also known as ‘intermediaries’. See: Kilelu et al. (2011).

capacities in others. We recommend that MFA and Sida, particularly in the context of a funding surge, support the development of bridging capacity through investing in individuals and organisations that can act ‘connectors’/ ‘intermediaries’ between different levels of governance, thereby contributing to the development of a powerful system of networked change agents operating at micro, meso and macro scales.

- *Supporting this vertical brokering role through coordination between the MFA and Sida regional and bilateral offices.* Both of the above will require internal coordination between MFA, Sida and embassies, and appropriate resourcing.

**R7:** *In order to strengthen its contribution through multilateral funds to multilevel governance processes, Sweden should focus on the following roles: (i) championing effective multilevel governance on the board of multilateral funds; (ii) playing a vertical brokering and capacity building role in selected governance processes; (iii) supporting this vertical brokering role through coordination between the MFA and Sida regional and bilateral offices.*

## **Maximising synergies in multilevel governance**

While we found some evidence in the evaluation of CCI for the coordination of governance linkages from national to local levels, we found no evidence of coordinated multilevel governance between multilateral, regional and bilateral investments of the CCI (section F.8). Yet CCI held considerable potential for Sweden to make much more of the interlinkages between its multilateral and bilateral investments, by exploiting potential synergies between global, regional, national and local levels, and by promoting learning between these different levels of governance.

**R8:** *Through careful design, architecture and programming, Sweden should pay greater attention to processes of multilevel governance that result from the combined contributions of multilateral, regional and bilateral funding, in order to maximise synergies and reduce constraints between different levels. This will require attention to multilevel governance both in the development pathways Sweden seeks to contribute to and within its own internal systems.*

In considering the synergies between different types of investment, Sweden should identify the most important issues that require multi-level governance with global, regional and country/local dimensions. Equally, having decided the thematic focus of any new funding surge, the role of multilateral governance should be given appropriate attention within this. Given the need for transformative approaches which support both system change and change at scale, the role of multilevel governance is likely to be key.

## **Facilitating dialogue between multilateral funds**

A major finding of the evaluation is the need for a more coherent climate architecture within countries, embedded in careful attention to the learning dynamic between innovative local experimentation, scaling and systemic change. While the evaluation focused on a clearer differentiation of roles between those multilateral funds better positioned to support local experimentation (e.g. the AF and LDCF) and those better positioned to support scaling and systemic change (e.g. the GCF and perhaps the PPCR), in practice the picture is more complex than this, as bilateral donors, multilateral development banks (MDBs) and multilateral funds, such as the WFP, ASAP and GFDRR, involved in the sector mainstreaming of (climate) adaptive approaches, all play a role within individual countries.

Some of these issues of differentiation and coherence can only be resolved on a case-by-case basis at country level (see 3.4 below), Yet an active dialogue between multilateral funds on how to build greater coherence is also required (Box 10). Given its previous contributions to this dialogue,<sup>75</sup> and drawing on the findings of this evaluation, Sweden should continue to play an active role in this dialogue.

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<sup>75</sup> WRI (2017).

### Box 13: Current views on adaptation fund complementarity

“The [GCF] could explore programmatic approaches for adaptation but leave adaptation projects of less than USD 10 million to the AF and coordinate with the LDCF to enhance efficiency in NAP funding and related implementation.”<sup>76</sup>

“An open question for the GCF is whether it should prioritize certain sectors in its approach to catalyzing adaptation action, or whether it should focus on strengthening and scaling up environments that enable strong adaptation initiatives in any sector...In general, the GCF may take the role of filling funding gaps, scaling up what other funds are doing, or funding more innovative, catalytic action. While all three roles are appropriate in different situations, the GCF should be deliberate about when it choose to take on each role.”<sup>77</sup>

***R9:** Sweden, through its role on the boards of key multilateral adaptation funds, should contribute to the strategic dialogue between these funds on how synergies between these funds might best be maximised. This should consider the dynamic between pathfinding, innovation, scaling and systemic change, and which funds are best suited to play which roles, both on a country-by-country basis<sup>78</sup> and more strategically.*

### Facilitating processes in-country

Coordination is not the role of any one actor, albeit recognising the key role of national governments, and despite the claims by some (e.g. the WB) for the value of ‘programmatic approaches’. Some organisations, nevertheless, have had considerable success in taking on such a role, in part because they act as International Implementing Entities (IIEs) for several multilateral funds. Here the opportunities are ripe for organisations such as UNDP to extend this role.

Yet the bilateral experience of Sweden in Mali and other countries suggests that other approaches to coordination are possible, in which national entities take a stronger coordinating role

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<sup>76</sup> WRI (2017).

<sup>77</sup> GCF (2018a).

<sup>78</sup> Recognising the particular histories of different funds in different countries.

while donors or others who are trusted to do so take a stronger facilitating, connecting and enabling role. Sweden, over the past decade, has demonstrated a strong track record in working with others to build the capacity of national entities, while also facilitating and connecting multiple actors.

Given its focus on the LDCs, which aligns with Sweden's principle to support the poor in development, one vehicle through which Sweden could contribute to the improved coordination of multilateral and bilateral efforts at country level would be to address this coordination issue in partnership with the recently developed LDC Initiative for Effective Adaptation and Resilience (LIFE-AR).<sup>79</sup>

***R10:** The need to maximize synergies between multilateral, regional and bilateral funds in country could be aided by Sweden through support to the LDC Initiative for Effective Adaptation and Resilience (LIFE-AR), particularly in its principal partner countries. The objective should be, on the one hand, to enhance opportunities and connections between local experimentation, scaling and systemic change, and on the other, to strengthen the coordinating role of national entities in shaping transformation (key audiences: MFA, Sida, multilateral funds).*

## Theme 4: Designing new investments

The CCI was conceived and implemented as a 'surge' of new funding, in the sense that significant new investments were made in a cutting-edge issue of international importance, but over a limited period only (3 years, later extended to 4). Through tracing the contribution of the CCI to longer-term impacts, the evaluation offers insights into the long-term value of such investments and, in support of this, insights into their effective design, architecture, programming and implementation.

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<sup>79</sup> LIFE-AR (2019).

Drawing on relevant findings from the evaluation, discussion by ERG members focused on the following four sub-themes:

- The role of cutting edge funding surges;
- The design and architecture of cutting edge investments;
- Programming and implementation of cutting edge investments;
- Investment in transformative design, programming and implementation.

The value of principles-based approaches was a further sub-theme, cross-cutting to those above.

## **The role of cutting-edge funding surges**

A major finding from the evaluation (sections F.4, F.5 and F.9) was that the timebound surge of fast start financing represented by CCI offered a significant mechanism for championing and contributing to diverse and sometimes unexpected long-term benefits in climate resilient development. The evaluation also highlighted the many mechanisms that enabled this surge to be effective. The value of the surge represented by CCI lay in a combination of factors:

- It enabled Sweden to respond rapidly and positively to an emerging strategic challenge of high relevance;
- It enabled Sweden to respond rapidly and positively to an emerging strategic challenge which was framed by an international call – for ‘fast start’ funding – which was itself built around the idea of a funding surge’. In other words, the nature of the surge was shaped by an external opportunity rather than simply by internal preferences;
- This in turn enabled Sweden to provide ‘prime mover’ inspiration for other donors to commit to fast start funding, given Sweden’s position as a respected developed country partner;
- It enabled the design and delivery of a CCI multilateral portfolio that featured a mix of ‘safer bets’ (investments in

established funds) and investments in more recent funds (albeit managed under the aegis of established organisations);

- It enabled the design and delivery of a mixed (multilateral, regional and bilateral) CCI portfolio that had the potential to work with the many synergies between these different types and levels of investment.

The evaluation highlights the **generative potential** of CCI as a fast start contribution able to add significant and sometimes unique value globally over both the short, medium and longer-term (section F.9). It should also be noted that many of the longer-term contributions couldn't have been anticipated in advance; to a significant extent, Sweden's leadership required stepping into an unknown future.

While the CCI was of its time, the learning from CCI can be applied both to new 'funding surges' and to other kinds of investments. As discussed further below, there is a particular case for funding surges, provided that these are well framed, are responsive to emerging strategic challenges of high relevance – for example the biodiversity crisis and the challenge of transformative development – and are well designed. In the new and rapidly evolving development landscape shaped by the dual emergencies of climate and biodiversity, it is vital that Sweden maximises its contribution over the next decade. Timebound, principles-based funding surges will have an important role to play.

***R11:** Funding surges have an important role to play in helping Sweden to maximise its contribution to the new and rapidly evolving landscape of development cooperation. Sweden should give serious consideration to investing in new funding surges focused on key themes – for example nature-based solutions – where innovation and transformation are at a premium. These new investments should involve a minimum of 5 years' funding (key audiences: MFA, Sida).*

We recommend the selection of themes which require both short and longer-term leverage. The short-term leverage is that the funding surge should enable Sweden to champion the theme, contribute to political momentum and respond to immediate needs of countries, regions and multilateral initiatives. The longer-term leverage is that the funding surge can be sustained as required to

enable adaptive support for transformation. Transformation takes time, highlighting the value of consistent investment in an unfolding approach. For this reason, longer-term strategies should be in place that can absorb and progress what comes out of a timebound initiative.

## Design of cutting-edge investments

*Design.* The architecture of the CCI was based on a principles-based approach, which was used to steer the selection of funds and the development of the CCI adaptation portfolio. Such an approach was already part of Swedish good practice (section F.1, F.6). However, by investing in an initial design phase, the CCI was able to develop a tailor-made set of principles, in particular by capitalising on the findings of the CCCD, an international commission that Sweden had itself initiated. By incorporating forward-thinking, evidence-based recommendations from the CCCD as three of the CCI's principles (P5 – P7, Box 1), Sweden was able to shape a strategic, principled, coherent and mainly consistent yet also flexible portfolio (Figure 1a – 1c).

**R12:** *Sweden should consider insights from the CCI in the design of new, cutting edge funding surges and other investments. As part of this, there may be value in setting up and/or drawing on the findings of an independent commission to help shape a clear, principles-based mandate.*

We recommend the use of an independent commission to help shape a principles-based mandate using a research-based approach and in a way that draws on a balance of perspectives to help develop a consensus. With a political champion, such a commission can also serve to build political momentum behind a funding surge. In parallel, the MFA and Sida should maintain a formal and informal dialogue about the funds and human resources that might be required. Learning – for example from this evaluation – should feed into the design process, but also inform the initiative on a continuous basis throughout implementation.

*Architecture.* Development of a set of principles was central to the architecture of the CCI (section F.6), enabling Sweden progressively

to develop a mixed portfolio. The value of CCI's mix of investments needs to be understood in the fast start context of building up to climate investment levels of USD 100 billion annually by 2020. In this context, the *amount* invested by Sweden was significant. The *mix* was also significant, being sufficiently diverse for Sweden to enable and contribute to several long-term investments comprising both newer, dedicated multilateral adaptation funds (e.g. the AF, GCF, GFDRR, LDCF), more established multilateral development actors (e.g. CGIAR, IFAD, WFP), as well as dedicated regional and bilateral investments.

Some aspects of the mix of funds in this 'experiment' – for example, spreading investments across both multilateral and bilateral opportunities – can be seen as generative. While multilateral investments offered breadth and scale, there was less guarantee of impact at a local level. By contrast, investment of CCI funds in least developed countries where Sweden already had a long-term, established and trusted bilateral relationship, offered opportunities for Sweden to make a more hands-on contribution to adaptive capacity development.

Other aspects of the mix of CCI funds call into question the selection and a different mix might have been more generative. In particular, the multilateral selection challenged the capacity of Sweden. For example, principle P4 required that Sweden invest in mitigation as well as adaptation funds. With limited capacity the intention to invest in both adaptation and mitigation may have resulted in the MFA being spread too thinly. This was particularly the case with regards to the Forest Investment Program (FIP), where the MFA lacked expertise, and the Clean Technology Fund (CTF), a non-Convention fund with a focus on middle-income rather than least developed countries. While it is evident from the evaluation case studies that the Swedish investments made a contribution in both cases, funds invested in the FIP and CTF might have been better invested in the PPCR – the main adaptation fund under the Climate Investment Funds (CIF) – or bilaterally in additional LDCs.

Given Sweden's strategic experience, knowledge and positioning, we recommend that the architecture of new funding surges contains

fewer engagements than CCI, to avoid spreading capacity too thinly, and ensure impact at scale and value for money. At the same time, portfolios should be sufficiently broad that there is room for some investments to fail alongside others that succeed.

The spread of investments across multilaterals, regionals and bilaterals should be considered on the basis of several factors, including geography, governance and complementarity. For example, while different multilateral funds can play complementary roles, which should be maximized (R9, above), there are also significant opportunities for Sweden to help shape interlinking governance processes at multiple levels, for example by leveraging influence and contribution both multilaterally and bilaterally (R8, above). The contribution of regional investments, for example in helping to shape the governance of trans-boundary landscapes, river systems or shared oceans, should also be leveraged.

***R13:** The principles-based mandate of any new funding surge should highlight its purpose and architecture. The latter should spread risk and opportunities for learning but not be spread too thinly. Careful consideration should be given to the mix of multilateral, regional and bilateral investments and especially, their interrelationships.*

## **Implementation of cutting-edge investments**

Programming and implementation were also enabled through the principles-based approach adopted by the CCI (section F.6). It enabled Sweden to capitalise on an approach with which it was already familiar and, at regional and bilateral levels, to adopt a steering framework that was light, objective and not too cumbersome or bureaucratic compared with many log frames and M&E frameworks, enabling the system to progress quickly.

Implementation of the CCI also revealed limits in the extent to which Sweden was able to use its principles-based approach to support successful adaptation practice. For example, despite contributing to climate adaptation mainstreaming in the IDA, there was mixed evidence of effectiveness. In another example, despite Sweden, both through and since CCI, championing the role of NIEs

as a means for the AF and GCF to channel funding in ways that are nationally owned and contextualised, for both funds there remain greater funding flows through IIEs than through NIEs.

More broadly, we also found evidence of a potential mismatch between the principles-based approach embodied by the CCI and pressures from several sources for the application of often poorly-contextualised monitoring, evaluation and learning (MEL) approaches at both multilateral and bilateral levels. This is discussed under theme 5 below.

In summary, the CCI provides a significant opportunity to learn about the value of applying a principles-based approach in the context of a major funding surge. The evaluation highlights the value of Sweden's unique, principles-based leadership, experience and reputation in guiding CCI design, financing, programming and implementation. In the case of CCI, these principles built on development cooperation principles already widely in use in MFA and Sida and added additional principles relevant to climate change adaptation, derived from the work of the CCCD.

***R14:** In designing a new funding surge relevant to the needs of today, Sweden should further develop its principles-based approach, considering what additional principles might be needed alongside those in established use. For example, transformational principles that consider complex social-ecological systems, leverage points and other 'blue marble' dimensions (box 11; also section 4.4 which follows) may all be relevant (key audiences: MFA, Sida, bilateral and multilateral actors).*

We also recommend that the development of such principles should be a central aspect of the work of any commission convened to inform the design of a new funding surge.

## Box 14: Blue marble principles<sup>80</sup>

Blue Marble is a new evaluative framework developed in the recognition that “we are the first generation to know we are destroying our planet and the last one that can do anything about it.” The framework is designed to support processes of developing, adapting and evaluating major global-to-local systems change initiatives involving complex networks of stakeholders, from the perspective of this existential insight. The framework is based around a series of principles to guide such initiatives – for example, principles of transformative engagement, integration, transboundary engagement, bricolage methods and transformation fidelity.

Beyond the design of the funding surge and its architecture, attention should also be directed to how any new principles are communicated and embedded throughout MFA, Sida and Sweden’s embassies, for example using existing networks. We recommend that this is addressed as a core aspect of capacity building and ongoing learning supporting any new funding surge, enabling Sweden’s principles-based practice to be adapted and deepened in response to new challenges.

Finally, and given the relevance of principles-based approaches to good adaptive practice, we encourage other international actors – for example bilateral and multilateral actors – to learn from Sweden’s experience of principles-based practice. We recommend that mechanisms are developed to support such learning, perhaps linking with other relevant initiatives.<sup>81</sup>

## Transformative design and implementation

In the previous section (4.3) we recommended (R14) that Sweden further develop its principles-based approach, to include consideration of transformational design principles. Transformation was a theme mentioned several times during the ERG reflective

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<sup>80</sup> Patton, MQ (2019).

<sup>81</sup> Examples might include the Developmental Evaluation Institute (<https://developmental-evaluation.org/guiding-principles>) and the Global Learning Alliance on Adaptive Management (<https://www.odi.org/projects/2918-global-learning-adaptive-management-initiative-glam>)

discussions, although not properly analysed. The need for transformation was also introduced under theme 1 of this section, which concluded by highlighting the need for “new and transformational approaches to design, financing and programming”.

In this section we briefly note the rapid expansion of transformational design thinking over the past five years, including Sweden’s contribution. We also return to this theme of transformation under section 5 below.

There has been growing momentum, spearheaded by the CIF, the GCF and by CCA initiatives such as BRACED, to catalyse transformational development pathways that go beyond incremental and reforming change (‘business as usual’). ‘Transformational design’ is a new and rapidly developing field, building on the emerging learning from the Transformational Change Learning Partnership (TCLP) of the CIF, from the GEF, the GCF and from others, to conceptualise and enact a ‘paradigm shift’. For example, building on current research, the TCP advocated four core dimensions of transformation: purpose; system change; scale and durability.<sup>82</sup> Understanding what transformation is, how it happens, how it can work for planetary restoration, and be designed in the face of multiple emergencies (climate, ecological, security, financial), will be key to the next decade – a critical climate window already entered.

Through its participation on the boards of the CTF, GCF, GEF, the Strategic Climate Fund (SCF) of the CIF and others, Sweden has already made an active contribution to these debates. Several of the insights of this evaluation, particularly the discussion under theme 3 of better integration of different (climate) funding streams within countries (e.g. linkages between AF, LDCF, PPCR and GCF), and of ensuring more effective multilevel multi-level governance, have transformational implications for scaling and system change. Sweden’s work through the board of the GCF on global financing flows, including shifting flows through private pension funds and

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<sup>82</sup> CIF (2019).

private sector engagement, is also part of this, as are other more recent initiatives<sup>83</sup> (see also box 12).

### Box 15: Shifting to transformational approaches<sup>84</sup>

“It is time to challenge development thinking and go beyond just ‘doing things right’ for the environment, i.e. following safeguards, to also ‘doing the right things’ in strategic ways, i.e. promoting and actively pursuing outcomes such as investing only in renewables and not supporting fossil fuel investments. Ultimately this is a transformational policy and institutional agenda that contrasts quite starkly with the incremental agenda of existing mainstreaming work. It needs a dialogue towards a common narrative (which the OECD can help to shape) and commitment from the highest levels (where Sweden’s leadership is well-placed).”

It is therefore vital that Sweden now expands its engagement in transformational thinking and practice, mobilising its experience and strengths but also updating – and potentially transforming – these to inform its future climate investments and the design of future funding surges.

***R15:** Sweden should place transformational approaches centre stage in the design and architecture of future funding surges. More broadly, there is a need for multiple actors to invest in transformative design, financing and programming, harnessing relevant insights from the CCI and elsewhere (key audiences: MFA, Sida, multilaterals, evaluation community).*

## Theme 5: The key role of learning

### MEL systems that enhance adaptive development

Sweden, along with other donors, was a champion on many multilateral boards of a results-based management (RBM) approach

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<sup>83</sup> For example, Sweden and India are taking the lead to transform the heavy industry sector towards a fossil free future.  
<https://www.government.se/articles/2019/10/sweden-and-india-are-taking-the-lead-to-transform-the-heavy-industry-sector-towards-a-fossil-free-future/>

<sup>84</sup> OECD (2019b).

and the introduction of effective monitoring, evaluation and learning (MEL) systems. While RBM can provide an effective complement to principles-based steering, it can also reduce management effectiveness in situations that require a more adaptive and flexible approach. The types of RBM and MEL approaches advocated or supported by Sweden on these boards in many cases reflected a misalignment between the CCI principles, the principles-based approach that underpinned this and the types of MEL systems required.

While it is important to be able to track, measure and evaluate CCA outcomes and learn from these, the approaches adopted by some funds (for example AF, GFDRR) fell short of the rapid advances over this period in adaptive, learning-by-doing MEL practices and other aspects of good practice for CCA MEL (section F.5). Promising approaches developed during this period included those that are principles-based as well as others that offer greater flexibility, are more iterative and strengthen the learning component.<sup>85</sup> Recognition of the need for more robust and better-tuned RBM and MEL systems for CCA, including transformational dimensions, is now emerging from some of the funds concerned, for example the AF and the GCF.

There are two explanations for these mismatches and shortcomings. The first is that there was no explicit guidance developed by the CCI to support the translation of its principles into appropriate management practices, despite the fact that CCI was based on a combination of principles familiar to MFA, Sida and Embassy staff, and newer, less familiar principles, such as those derived from the CCCD's *Closing the Gaps* report. The result was that many Swedish staff sitting on multilateral boards would have been unfamiliar with emerging work on the development of CCA-compatible MEL approaches. Likewise, for Embassy staff working at bilateral level in countries targeted by CCI, there was varied familiarity with the principles underpinning CCI, although in some cases (e.g. Mali) *Closing the Gaps* has been widely distributed and read.

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<sup>85</sup> STAP (2017). *See also*: BRACED (2016) In this presentation, recent learning from the BRACED programme highlighted the value of combining “bedrock indicators”, flexible indicators, learning process indicators and open-ended “concrete change” indicators.

Second, there was increasing pressure from the government at the time of CCI for MFA and Sida to adopt a more linear and narrowly defined RBM approach which, *de facto*, paid less attention to carefully contextualised, adaptive and/or principles-based MEL approaches. A likely result would have been for staff to become more risk-averse, rather than feel confident to innovate and to explore shifts in practice that might be required of new development challenges typical of CCA and its integration with DRR and mainstream development.

Nonetheless, there were exceptions. The portfolio analysis of CCI investments in Regional Africa showed that while Sida managers and their partners were required to use the RBM approaches to track, measure and evaluate CCI investments, alongside this there was more nuanced negotiation, practice and learning shaping management decisions based on managers' own experience within the region. These good practices, while part of Sida culture, need to be recognized and rewarded. They offer an opportunity segue into recent advances in good MEL practices for CCA.

Since CCI, the MFA and Sida have started to move away from more linear and narrowly defined results-based approaches and to explore more flexible, learning-based and adaptive approaches to programme management.<sup>86</sup> This is of particular relevance to development processes that must now function adaptively in the context of climate change adaptation – and in response to the broader demands of addressing ‘wicked issues’ and rapid change – and may even require transformative approaches.

***R16:*** *The MFA and Sida should continue to adapt their planning and MEL systems so that these are fit for purpose, ensuring that these systems support and enhance adaptive and transformative development. This will require careful consideration of the complementarity between principles-based and results-based frameworks, taking especial care that results-based frameworks are used appropriately and do not ‘close down’ the effectiveness of adaptive programming and learning (key audiences: MFA, Sida, OECD, bilateral and multilateral actors).*

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<sup>86</sup> Sida (2018); Molander J (2018).

Given limited staff numbers and high turnover within MFA, this ongoing process of adaptation and reform should be supported by a learning process. The methodology underpinning this evaluation could offer one of several initial sources of learning. Examples of initiatives in other OECD countries to reform MEL systems should also be considered, as a means to identify examples of emerging practices and their scaling.

Direct consideration by multilateral funds themselves of the central role of continuous, multi-scale, adaptive and transformative learning within their MEL systems is also recommended, noting recent advances such as the work of CIF's TCLP<sup>87</sup> and the Technical Evaluation Reference Group of the AF.

## **Invest in continuous and transformational learning**

While learning is important in the design and implementation of CCA programming, it plays an even more significant role in transformational programming, where it is key to both transformational design and transformational practice. Learning processes within organisations happen naturally but can also be augmented and designed for. Learning processes may result from MEL practices, other kinds of organisational development (OD), or a combination of both. Multi-organisational learning processes, as in the TCLP of the CIF, can be particularly effective in a transformational context.

Through careful reflection on nested, decade-long histories, this evaluation has opened a space to consider Sweden's contributions within a larger, systemic context and how these have unfolded over time, at scale and to what ends – all key components of transformation (purpose; system change; scale and durability).

This evaluation has also afforded the opportunity to learn about how learning as a central component of adaptation did or didn't work during the CCI, including an opportunity for real time, strategic and reflexive learning through the continuous involvement throughout the evaluation of a small reference group (ERG)

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<sup>87</sup> CIF (2019) *op.cit.*

consisting of staff within MFA and Sida, from EBA, and from other organisations (Box 13). For example, ERG members found value in the joint learning approach fostered through the three ERG workshops, which “used a less confrontational approach that enabled the surfacing and joint addressing of issues and problems.” It was also felt that bringing MFA and Sida to converse together in the ERG was of particular value. The evaluation also engaged with wider audiences through workshops with the MFA and Sida in May 2019.

The value of the evaluation lay not just in its findings, insights and recommendations, set out in this report, but also in this experience of evaluative learning. Through its work with the ERG as well as its wider engagements, the evaluation began to open a space for transformative (‘triple loop’) learning within Sweden’s climate resilient development community and development cooperation more broadly. The hope of those involved is that this experience can be built on to generate a wider learning process, underpinning and already putting into practice the recommendations of this report.

***R17: To expand such learning, Sweden should:***

- *Further develop ways to institutionalize and reward transformative learning within and between the MFA and Sida, perhaps using this evaluation as an initial focus.*
- *Encourage the MFA to further support transformative learning within the funds it supports, using the Adaptation Fund and/ or Green Climate Fund as areas of initial focus.*
- *Invest in supporting (transformational) learning between regions and countries. Sida already has a network structure set up to capture learning which should be enhanced to support transformational approaches.*

## **Enhance Sweden’s capabilities and leadership skills**

To strengthen and institute the kinds of adaptive and transformative approaches discussed in this section requires capacity building, itself a learning process. To build effective capacity Sweden must: recognize, appreciate and play to its strengths – thereby ‘adding

value to the wider system'; address key areas of weakness – to ensure that it 'gets the basics right'; and develop new capabilities that match the emerging future – 'pushing the boat out'. The reflections and recommendations in this part of the report speak to all three areas.

Alongside broad knowledge capacity, leadership capacity will also be at a premium. The evaluation highlighted Sweden's distinctive leadership contribution in both the bilateral, regional and multilateral work of CCI, including in facilitating dialogue, trust and synergies among partners, in bridging differences and conflicts, in its 'frank and friendly approach', in its principles-focused leadership and as a reliable partner, offering long-term, consistent support and a stable political hand (section F.10).

Culturally, some of these strengths are associated with Sweden's longstanding experience in development cooperation, as well as in the realm of conflict resolution and are now also expressed through Sweden's feminist foreign policy.

Reflecting on the requirements for effective leadership in the context of CCA, such bridging skills may take on added value. The challenge of CCA – and of adaptive development more broadly - is that it requires understanding, judgement and skills in a number of different domains:

- As in development *per se*, bridging or mediating the needs and perspectives of the poorest with those of more powerful stakeholders at difference levels of governance;
- Bridging differences of temporal focus between DRR (short term risk), CCA (longer term risk) and development, including a recognition of the multiple uncertainties associated with futures scenarios in a rapidly climate changing world
- Bridging CCA practices and perspectives, some requiring quite specialised climatological understanding, into different technical domains, such as agriculture, water management and urban development
- Bridging between more traditional, linear management practices and emerging, more adaptive management practices

It was hard, 10 years ago, to see what was required in the field of CCA, so that those who exercised leadership at the time had much less to go on. Throughout the decade, the challenge has been to exercise leadership in an emerging context; today this may be even more so.

Recognition of these distinctive leadership capabilities should also be tempered by recognition of their limits.

First, although key individuals with these skills played important roles in the CCI at both bilateral, regional and multilateral levels, the extent to which such skills were found across the MFA and Sida may have been quite limited; however, investigating this was not a focus of our evaluation. This does link however to the observation that Sweden risked spreading itself too thinly across its CCI multilateral investments, with limited capacity to resource some (e.g. FIP) in a knowledgeable manner. Furthermore, to have a single individual spearheading an innovative mandate such as CCA on the board of a multilateral fund may be insufficient; rather, there is a need for that individual to be supported by and accountable to a wider network of individuals within MFA and/or Sida. This in turn points to potential vulnerability in the Swedish aid system. If the network of individuals with relevant skills is quite small, then that makes the system more vulnerable and points to the need to embed relevant skills and qualities more widely.

Second, there are specific areas where we have already identified limitations in the MFA/ Sida skillset relevant to CCA – e.g. in adaptive learning and effective MEL for CCA – areas which reflect institutional as much as leadership capacity.

***R18:*** Knowledge capacity will be at a premium in maximizing Sweden's contribution through a new funding surge and/or in tackling the transformative developmental challenges of the 2020s. In developing new investments in such arenas, MFA and Sida should ensure that they have the right staff in place with the right knowledge. Additional and complementary capacity should be mobilized through government, business and third sector partners, both in Sweden, internationally and in targeted regions and countries, but cannot substitute for core capacity in MFA and Sida.

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# Annex 1: The CCI portfolio

Central to *the multilateral contributions* was to safeguard the Paris agenda on aid effectiveness. Funding totalling SEK 2.9 billion (USD 407m) – 75% of the total CCI portfolio – was allocated to seventeen multilateral funds, programmes and initiatives focusing both on climate change adaptation and the reduction of greenhouse gas emissions, including REDD+ (Table A1). In 2013 an additional SEK 500m was allocated under an extension of CCI to five of these funds<sup>88</sup>.

**Table A1. Multilateral funds and programmes selected for CCI investment, annual financial contributions for 2009-2013.**

Funds and programmes with an adaptation focus	Funds and programmes with an adaptation/ DRR focus	Funds and programmes with a mitigation focus	Funds and programmes with a joint adaptation & mitigation focus
<b>International Development Association</b> (IDA) – SEK 705m (2009, 2011) <b>Least Developed Countries Fund</b> (LDCF) – SEK 335m (2009, 2011, 2012) (100m, 2013) <b>Adaptation Fund (AF)</b> – SEK 300m (2010, 2011, 2012) (100m, 2013)	<b>Global Facility for Disaster Risk Reduction</b> (GFDRR) – SEK 75m (2010, 2011) <b>World Food Program (WFP)</b> – SEK 44m (2012) <b>International Strategy for Disaster Reduction</b> (ISDR) – SEK 37.5m (2009, 2012) <b>Bureau for Crisis</b>	<b>Clean Technology Fund (CTF)</b> – SEK 600m (2009, 2010, 2011) <b>Global Environment Fund (GEF) including GEF REDD+</b> – SEK 235m (2010) (165m, 2013) <b>Scaling Up Renewable Energy in Low Income Countries</b> (SREP) – SEK	<b>Green Climate Fund (GCF)</b> – SEK 5m (2012) (5m, 2013)

<sup>88</sup> Nilsson L (2013).

<b>Consultative Group for International Agricultural Research</b> (CGIAR) – SEK 150m (2009, 2010, 2011) <b>Adaptation for Smallholder Agriculture Program (ASAP)</b> – SEK 30m (2012)	<b>Prevention and Delivery (BCPR)</b> – SEK 38.5m (2009, 2012)	170m (2012) (115m, 2013) <b>Forest Investment Program (FIP)</b> – SEK 100m (2011) <b>Program for Market Readiness (PMR)</b> – SEK 50m (2012) <b>Sustainable Energy for All (SE4All)</b> – SEK 20m (2012) <b>Climate and Clean Air Coalition (CCAC)</b> – SEK 10m (2012)	
<b>Totals (including 2013 investments)</b>			
SEK 1,915 m (56.2 %)		SEK 1,480m (43.5 %)	SEK 10m (0.3 %)

The *bilateral and regional efforts* were directed to partner countries and regions identified to face high risk and vulnerability to the effects of climate change. Regional Africa, regional Asia, and the individual countries Bolivia, Bangladesh, Cambodia, Burkina Faso and Mali were chosen to be part of the initiative. The starting point was to support already existing programmes, primarily in the environmental, water and energy sectors focusing on adaptation measures. In total, 60 interventions were financed (Tables A2, A3, A4).

**Table A2. CCI Regional Africa allocations**

Programme	Total allocation 2009-2012 (MSEK)	Additional allocation 2013 (MSEK)
1. African Climate Policy Centre (ACPC)	80.8	
2. Cooperation in International Waters in Africa (CIWA)	30	
3. Nile Equatorial Lakes Subsidiary Action Program (NELSAP)	30	
4. Responsive Forest Governance Initiative (RFGI)	30	
5. Bioscience East and Central Africa (BecA)	30	
6. Poverty Reduction and Environmental Management Initiative (PREMI)	29.8	
7. Adapting to Climate Change Induced Water Stress in the Nile River Basin (UNEP-NILE)	23	
8. African Risk Capacity (ARC)	21.5	10
9. Bioresources Innovations Network for Eastern Africa Development (BioInnovate)	20	
10. UNEP Africa Marine and Coastal Programme (UNEP Af Marine)	18.7	10.5
11. Western Indian Ocean Marine Science Association (WIOMSA)	13.5	
12. Pan African Climate Justice Alliance (PACJA)	6	5
13. Regional Climate Change Programme (RCCP)	10	
14. Conservation Agriculture with Trees (CAWT)	5	
15. East Africa Power Tool (EAPP)	4	4
16. Lake Victoria Region Local Authorities Cooperation (LVRLAC)	2.6	

17. East Africa Community Climate Change Master Plan (EAC CC Master Plan)	2.3	
18. Strategic Programme on Reduction of Vulnerability and Adaptation to Climate Change in West Africa (ECOWAS preparatory)	0.3	
<b>Total</b>	<b>SEK 357.5m</b>	<b>SEK 29.5m</b>

**Table A3. CCI Regional Asia allocations**

Programme	Total allocation 2009-2012 (MSEK) <sup>89</sup>	Additional allocation 2013 (MSEK)
1. International Centre for Integrated Mountain Development (ICOMOD)	15	10
2. Regional Climate Adaptation knowledge platform for Asia (UNEP RRC.AP component)	15	
3. Regional Climate Adaptation knowledge platform for Asia (SEI component)	12	
4. Wetlands Alliance	12	2
5. Mangroves for the Future phase 2 (2010-2013)	10.5	3.5
6. Southeast Asian Fisheries Development Centre (SEAFDEC)	9	3
7. Mekong river commission – Climate change adaptation Initiative (CCAI)	8	
8. COBSEA Spatial planning in the Coastal Zone	7	
9. Strengthening the Governance of Climate Change Finance to benefit the poor and vulnerable	6.9	5
10. Regional Community Forestry Training Center for Asia and the Pacific (RECOFTC) 12	4	2
11. University of Queensland – Adapting to climate change at the community level	3	

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<sup>89</sup> Source: Sida (2013).

12. Greater Mekong Subregion - Core Environmental Program and Biodiversity Conservation Corridors initiative	2.5	5
13. Economy and Environment program for Southeast Asia (EEPSEA)	2	1.5
14. ADB CEP	1.1	1.1
15. ADB – Managing Climate impacts on Health	1	
16. Earth Journalism Awards	1	
<b>Total</b>	<b>SEK 110m</b>	<b>SEK 33.1m</b>

**Table A4. CCI bilateral allocations, 2009 – 2012**

Partner country	Total allocation 2009-2012 (MSEK)	No. of projects	Percentage spent	Percentage unspent
<b>Bangladesh</b>	180	2	100 %	0 %
<b>Bolivia</b>	200	11	95.95 %	4.05 %
<b>Burkina Faso</b>	125	2	64.80 %	35.20 %
<b>Cambodia</b>	60	4	100 %	0 %
<b>Mali</b>	125	7	77.67 %	22.24 %
<b>Totals</b>	<b>SEK 690m</b>	<b>26</b>	<b>88.42%</b>	<b>11.58 %</b>

## Annex 2: Themes discussed at the first ERG meeting, relevant to the focus of the evaluation

(a) The opportunity to evaluate what the CCI did and how this was done	
Guiding principles as the evaluand	<p>There was a lively discussion about whether the guiding principles of the CCI should be the evaluand. Some participants challenged the central role of the principles in guiding CCI implementation in practice, particularly given the move within towards a stricter form of results-based management during the CCI period. This suggested the need within the evaluation to view the guiding principles as sensitizing concepts<sup>90</sup> that framed the CCI and to evaluate their role as steering instruments. This included understanding tensions and trade-offs, and how these were dealt with in the context of practices such results-based management, as well as how the CCI engaged with emerging opportunities.</p> <p>Recognition of more recent changes in the way that the results agenda is being viewed within Swedish aid reinforced the value of such an inquiry focus:</p> <p>“In December 2017, the Government adopted new <i>Guidelines for strategies in Swedish development assistance and humanitarian aid</i>. These replaced the 2013 guidelines on results strategies. The fact that the heading in the new guidelines no longer includes the word “results” is testimony to a revised perception of how the link between results and management should look. A closer comparison of the documents also testifies to a new perception of results evaluation, emphasising learning rather than accountability.”<sup>91</sup></p> <p>Other ERG participants felt that such changes raised interesting questions about the relationship between principles-based steering and trust-based management:</p>

<sup>90</sup> ‘Sensitizing concepts’ provide a general sense of reference and guidance whereas ‘definitive concepts’ provide prescriptions of what to do and see. See: Blumer, H. (1954). What is wrong with social theory? *American Sociological Review*, 19(1), 3-10.

<sup>91</sup> EBA (2018) *2017 Annual report*, EBA, pp. 22-23

	<p>“I’m fascinated that such a large initiative [CCI] did not have a results-based framework and theory of change – and would like to examine the pros and cons of this approach.”</p> <p>“I’m interested to understand better the approach to steering that is embedded in the principles and how that might relate to trust-based management.”</p>
<p><b>The guiding principles as a basis for allocating funding across different portfolios and programmes within the CCI</b></p>	<p>Discussions at this meeting suggested that the MFA and Sida may have worked with the CCI principles in different ways, with the MFA using them as a negotiating platform within the Swedish government to determine the allocation of funding across different portfolios and programmes, and subsequently as a means to help shape policy and practice within selected multilateral funds, while Sida through its embassies drew on the principles more loosely as a basis for the programme and project design.</p> <p>For the MFA, a particular interest in retrospect was uncovering the rationale for developing the CCI as mixed, multi-tiered investment portfolio consisting of multilateral as well as regional and bilateral investments.</p> <p>“Given the size of this investment, it is important that we assess the multilateral investment – we don’t yet have any learning from this – we need to find smart ways in future to support such decisions.”</p> <p>An evaluation opportunity to understand not only the different funding allocations but also the linkages between the different levels was highlighted.</p>
<p><b>The guiding principles as a basis for shaping project design</b></p>	<p>Compared with its uses in MFA, the guiding principles may have sat differently within Sida, particularly within its embassies where CCI principles were applied more loosely as a basis for CCI project selection and design. This raises questions for the evaluation about the extent and ways in which the CCI principles were applied by Sida in practice in CCI regional and bilateral programme/project selection and design, and the perceived value of this approach:</p> <p>“The seven principles guiding the CCI investments were developed more as a basis for selection and direction (e.g. in choice of contributions/ projects) for</p>

	<p>Sida but...there is a risk that this takes over and you miss the goal of impacts in terms of adaptation capacity and climate change resilience on the ground – especially the development cooperation and poverty linkages.”</p> <p>These discussions began to highlight the complex set of arrangements between the Swedish government, MFA and Sida<sup>92</sup>, that form the backdrop for any policy interpretation and implementation. Of particular interest was how Sida interpreted CCI principle 5 and the sub-principles sitting beneath this. For example, what were the implications of CCI principle 5 for effective climate adaptation programming and how did these sit alongside an RBM approach?</p>
<b>(b) The opportunity to evaluate the contribution of the CCI and its sustainability over the longer term</b>	
<b>Sustainability as a primary focus of the evaluation</b>	<p>Participants highlighted the importance of using the evaluation to better understand the long-term effects and sustainability of CCI, reinforcing the central aim of the evaluation as set out in the ToR, which noted that: “sustainability is one of five core criteria for evaluating development assistance according to OECD/DAC [and refers here] to the viability and longevity of achievements financed by development aid once financing is withdrawn.”<sup>93</sup> Sustainability of the impact of interventions is often under-researched in the evaluation field<sup>94</sup> and yet becomes vital in order to understand the real value of climate investments.</p>
<b>A narrower focus on the CCI intervention versus a systemic focus on the CCI contribution in the context</b>	<p>The sustainability of an intervention outcome can be measured in two ways. In a narrower sense, a CCI intervention outcome can be followed up over a longer time period to understand whether the outcome was sustained, increased or decreased, and why, as well as emergent and unplanned outcomes – both positive and negative – to which the CCI investment contributed.</p>

<sup>92</sup> EBA (2018b).

<sup>93</sup> Invitation for proposals. EBA, 2017, p.4

<sup>94</sup> Cekan, et al. (2016). Retrieved 2<sup>nd</sup> April 2018 from <http://betterevaluation.org/themes/SEIE>

<p><b>of others' investments in climate adaptation, DRR and mitigation</b></p>	<p>Here the primary focus is on the CCI intervention itself and is associated with questions such as:</p> <ul style="list-style-type: none"> <li>• What did the CCI do and how well did it do it?</li> <li>• To what extent did this lead to sustainable as well as unintended impacts over the longer term?</li> </ul> <p>A broader, more systemic view involves understanding the contribution of the CCI intervention within the context of others' investments, its relative significance and how this field of interacting contributions plays out over the longer term. Evaluation questions associated with this broader perspective include:</p> <ul style="list-style-type: none"> <li>• What contributions did CCI make in the context of others' interventions?</li> <li>• What was the significance or added value of these contributions?</li> <li>• To what extent did these contribute to sustainable as well as unintended impacts over the long term?</li> <li>• What can we learn from seeing these investments within their wider systemic context?</li> </ul> <p>In practice, the first kind of analysis – what did CCI do and how well did it do it – is necessarily undertaken as part of the broader, more complex process of contribution analysis. The focus of the latter, however, is primarily on long term impact whereas the former type of analysis is often associated with an evaluation focus on the first three of the five DAC criteria – relevance, efficiency and effectiveness – with less rigorous attention in practice given to sustainability and impact (DAC criteria 4 and 5).</p> <p>This difference between a narrower and broader perspective on contribution was of particular concern to Sida, possibly reflecting its RBM focus from the CCI period. The decision was taken to work with this difference in the evaluation by giving attention to the DAC criteria of relevance and effectiveness within the bilateral and regional case studies, alongside a broader focus on systemic, impact-related contribution analysis, and associated sustainability analysis.</p>
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	The primary focus of the multilateral case studies would be on CCI's contribution to impact and the relative significance (added value) of this contribution. The extent to which CCI was able to shift understandings as well as practices aligned with the CCI principles – for example in the integration of climate adaptation, DRR and development pathways – could form a central component of this analysis.
<b>Understanding what adaptation 'success' might look like</b>	The discussions at this first ERG meeting also raised searching questions about what adaptation 'success' might look like and the extent to which interventions intended to build adaptive capacity might in practice lead to maladaptive development. This discussion proved important subsequently for shaping the evaluation protocols.
<b>(c) The opportunity to review and further Sweden's leadership role in climate financing and implementation</b>	
<p>Discussion at the ERG1 meeting suggested that a significant value of the CCI lay in strengthening Sweden's position as a global leader in climate financing and implementation. Participants wished to use the evaluation to better understand this leadership contribution, with a view to further developing Sweden's global leadership role in the future. Discussions of Sweden's potential leadership role focused on three aspects:</p> <ul style="list-style-type: none"> <li>• <i>Championing the agenda of integration (between mitigation, adaptation, DRR, environment and sustainable development)</i></li> </ul> <p>From origins in the 1972 United Nations Conference on the Human Environment,<sup>95</sup> Sweden has played a significant role in championing environmental (and subsequently climate) issues on the international stage and seeking ways in which these might be considered alongside – and integrated into – sustainable development processes.<sup>96</sup> To what extent did this role manifest through CCI and its long-term contributions?</p> <ul style="list-style-type: none"> <li>• <i>Integrating top down and bottom up perspectives between MFA and Sida</i></li> </ul> <p>Coordination between MFA and Sida provides significant opportunities to link developments in thinking emerging through international negotiations</p>	

<sup>95</sup> Also known as the Stockholm Conference, this was the first UN conference to focus on international environmental issues. The roots of the Stockholm Conference lay in a 1968 proposal from Sweden that the UN hold an international conference to examine environmental problems and identify those that required international cooperation to solve.

<sup>96</sup> See for example: Kjellén, B. (2008); Engfeldt, L.-G. (2009).

and Sweden’s overall development policy, both championed by MFA, with knowledge of what works on the ground, which resides mainly in Sida. Sida’s heavily decentralised role and longstanding engagement with priority countries further contributes to this contextualised experience and knowledge.

Through understanding the dynamics of this two-way coordination and learning relationship, and the extent to which it was able to contribute to opportunities for innovation through CCI, the evaluation may offer new insights into Sweden’s leadership positioning through the CCI investments and ways in which this has been sustained.

- *An alignment between trust (principle)-based approaches and the flexibility and nimbleness required for effective adaptation*

The potential innovation afforded by the principles-based approach within CCI is a further reflection of the opportunities and constraints within the relationship between MFA and Sida. A principles-based approach to climate financing and programming is potentially more enduring than more prescriptive approaches as it can support the flexibility and nimbleness inherent in adaptive management and governance. However it can also be disruptive of old habits and ways of doing things, whether this is in multilateral programmes or in partner countries, thereby encountering resistance, and is likely to require skilled agents of change to support its introduction. There was agreement that findings of the evaluation on this potentially significant area of innovation could also help to inform understanding of Sweden’s leadership role.

**(d) The opportunity to leverage the value of the learning (‘utilisation’) focused approach, including through surfacing and resolving contradictions**

“We need research-backed knowledge that can support enticing policy decisions – the report will not be used if not speaking to Sweden as a game changer internally and globally.”

It was agreed that working with the evaluation as a learning focused approach would require attention to processes of learning and how these might best be facilitated. Individuals and organisations learn in many different ways and learning can be shaped both by structured and emergent processes, including through evidence sharing, reading and discussion. These in turn can enhance reflection, sense-making and decision-making.

The first ERG meeting surfaced proposals both for co-learning within the ERG, and for channels through which to share evaluation findings more widely in ways that are accessible to different stakeholder groups.

## Annex 3: Stakeholders consulted

### (1) Bilateral Mali case study

Organisation	Number of people interviewed
Environment and Sustainable Development Agency (AEDD), Government of Mali	1
Germany Agency for International Development (GIZ), Mali	1
International Union for the Conservation of Nature (IUCN), Mali	1
Mali Folkecenter	1
National Directorate of Hydraulics (NDH), Government of Mali	3
National Directorate for Water and Forestry, Decentralised Forests Management Programme (DNEF – GEDEFOR), Government of Mali	6
Netherlands Embassy, Bamako	2
Norwegian Church Aid (NCA), Mali	1
Reso Climat Mali	4
Swedish Embassy, Bamako	4
UNDP, Mali	1
World Food Programme (WFP), Mali	4
World Bank, Mali	1
<b>Total evaluation participants</b>	<b>30</b>

### (2) Bilateral Cambodia case study

Organisation	Number of people interviewed
Action for Khmer Aid Service (AKAS), Battambang province, Cambodia	3
Akphiwat Neary Khmer Organization (ANKO), Pursat Province, Cambodia	12
Forum Syd, Cambodia	1
National Committee for Democratic Development, Ministry of Interior, Government of Cambodia	2

National Council for Sustainable Development (NCSD) of Ministry of Environment, Government of Cambodia	3
Sida, former personnel in the region	2
Swedish Embassy, Phnom Penh	1
United Nations Development Programme (UNDP), Cambodia	2
United Nations Food and Agriculture Organisation (UN/FAO), Cambodia	1
<b>Total</b>	<b>27</b>

### **(3) Bilateral portfolio analysis**

Organisation	Number of people interviewed
Sida	6
Swedish Embassy, Bamako, Mali	2
Swedish Embassy, Ouagadougou, Burkina Faso	2
<b>Total</b>	<b>10</b>

### **(4) Regional Africa portfolio analysis**

Organisation	Number of people interviewed
Swedish Embassy, Addis Ababa, Ethiopia	4
<b>Total evaluation participants</b>	<b>4</b>

### **(5) Adaptation Fund case study**

Organisation	Number of people interviewed
Adaptation Fund, board members (current and former)	5
Adaptation Fund NGO network, members from Germany & South Africa	2
Adaptation Fund Secretariat, Washington DC, USA (current and former)	2
Adaptation Fund, Technical Evaluation Reference Group	1
Evaluator, Adaptation Fund project managed by NIE, South Africa	1
Ministry of Foreign Affairs, Stockholm, Sweden	2

National Implementing Agency (NIE), South Africa	1
<b>Total</b>	<b>14</b>

#### **(6) AF Cambodia case study**

<b>Organisation</b>	<b>Number of people interviewed</b>
Community groups (2) at Adaptation Fund and NGO project sites, Cambodia (approximate number of participants)	40
Evaluator, Adaptation Fund	1
Ministry of Environment, Government of Cambodia, district project management, Siem Reap, Cambodia	2
Ministry of Environment, Government of Cambodia, national project management, Phnom Penh, Cambodia	2
National Committee for Democratic Development, Ministry of Interior, Government of Cambodia, Phnom Penh, Cambodia	3
National Council for Sustainable Development (NCSD) of Ministry of Environment, Government of Cambodia, Phnom Penh, Cambodia	5
Siem Reap regional NGO staff members	4
Swedish Embassy, Phnom Penh, Cambodia	1
United Nations Development Programme (UNDP), Phnom Penh, Cambodia	2
<b>Total</b>	<b>60</b>

#### **(7) GFDRR case study**

<b>Organisation</b>	<b>Number of people interviewed</b>
Ministry of Foreign Affairs, Sweden, Stockholm (current staff member)	1
Sida, Sweden, Stockholm (former staff member)	2
GFDRR/ World Bank (current and former staff member), Washington DC, USA	3
<b>Total</b>	<b>6</b>

### (8) GFDRR Ethiopia case study

Organisation	Number of people interviewed
CARE, Addis Ababa, Ethiopia	1
Environment, Forest and Climate Change Commission, Government of Ethiopia, Addis Ababa, Ethiopia	2
National Disaster Risk Management Commission, Government of Ethiopia, Addis Ababa, Ethiopia	1
Swedish Embassy, Addis Ababa, Ethiopia	4
UNDP, Addis Ababa, Ethiopia	1
World Bank, Addis Ababa, Ethiopia	4
World Bank, Washington, DC, US	1
World Food Program, New York, US	1
<b>Total</b>	<b>15</b>

### (9) Multilateral adaptation portfolio analysis, including ‘rapid review’ annexes

Organisation	Number of people interviewed
Climate and Clean Air Coalition (CCAC), Secretariat	1
Consultative Group for International Agricultural Research (CGIAR)	1
Climate Investment Funds (CIF), Washington, DC	1
Green Climate Fund (GCF), South Korea	1
Global Environment Facility (GEF), Washington, DC	3
GEF Independent Evaluation Unit, Washington, DC	2
International Centre for Climate Change and Development (ICCCAD), Dhaka, Bangladesh	1
International Fund for Agricultural Development (IFAD)	1
Ministry of Climate and Environment, Stockholm, Sweden	1
Ministry for Foreign Affairs, Stockholm, Sweden (current and former)	7
Program for Market Readiness (PMR), Secretariat	1

Sida, Stockholm, Sweden	1
World Bank Group, Washington, DC	1
World Bank Group, Independent Evaluation Group, Washington, DC	1
<b>Total</b>	<b>23</b>

#### **(10) Clean Technology Fund case study**

<b>Organisation</b>	<b>Number of people interviewed</b>
Climate Investment Funds (CIF), staff member, Washington DC, USA	5
Clean Technology Fund (CTF) Trust Fund Committee (TFC) members, countries other than Sweden	2
External CIF evaluator	1
Ministry of Foreign Affairs representing Sweden on the CTF TFC, Stockholm, Sweden	4
<b>Total</b>	<b>12</b>

#### **(11) Forest Investment Program case study**

<b>Organisation</b>	<b>Number of people interviewed</b>
Climate Investment Funds, staff member	2
Climate Investment Funds sub-committees, donor representative	1
Forest Investment Program staff member, Washington DC, USA	2
Ministry of Foreign Affairs, Sweden, Stockholm (current and former)	4
World Bank (former staff member), Washington DC, USA	1
<b>Total</b>	<b>10</b>

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This report presents findings, insights and recommendations of the evaluation of the Swedish Climate Change Initiative 2009-2012. With a strong learning approach, the evaluation focused on the initiative's long-term effects and sustainability. Underpinning the results are ten case studies that are published separately.

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Denna rapport innehåller resultat, lärdomar och rekommendationer från utvärderingen av Sveriges klimatsatsning 2009 – 2012. Med en stark lärande ansats har utvärderingen fokuserat på initiativets långsiktiga effekter och hållbarhet. Resultaten är underbyggda av tio fallstudier som publiceras separat.