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**EVALUATION OF THE SWEDISH CLIMATE
CHANGE INITIATIVE, 2009–2012:
REGIONAL AFRICA CASE STUDY**

Mehjabeen Abidi Habib and Miriam Kugele

Evaluation of the Swedish Climate Change Initiative 2009 – 2012: Regional Africa Case Study

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Expertgruppen för biståndsanalys (EBA)

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Abbreviations

ACPC	African Climate Policy Center
AfDB	African Development Bank
AMCEN	African Ministerial Conference on the Environment
ARC	African Risk Capacity
AU	African Union
BecA	Bioscience East and Central Africa
Bioinnovate	Bioresources Innovations Network for Eastern Africa Dev't
CAWT	Conservation Agriculture with Trees
CCI	Climate Change Initiative
CIWA	Cooperation on International Waters in Africa
COMESA	Common Market for Eastern and Southern Africa
COP	Conference of Parties
CSO	Civil Society Organization
DfID	UK Department for International Development
EAC	East African Community
EAPP	Eastern Africa Power Pool
ECOWAS	Economic Community of West African States
EU	European Union
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GWP	Global Water Partnership
IGAD	Intergovernmental Authority on Development
IUCN	International Union for Conservation of Nature
IUCN-PACO	IUCN Regional Office for West and Central Africa
LVBC	Lake Victoria Basin Commission
LVRILAC	Lake Victoria Region Local Authorities Cooperation
MDTF	Multi Donor Trust Fund
MFA	Swedish Ministry for Foreign Affairs
MoU	Memorandum of Understanding
NBI	Nile Basin Initiative
NBTF	Nile Basin Trust Fund
NEL	Nile Equatorial Lakes
NELSAP	Nile Equatorial Lakes Subsidiary Action Program
NEPAD	New Partnership for Africa's Development
OECD	Organisation for Economic Co-operation and Development
PACJA	Pan Africa Climate Justice Alliance
PREMI	Poverty Reduction and Environmental Management Initiative
RCCP	Regional Climate Change Programme

REC	Regional Economic Communities of the African Union
RFGI	Responsive Forest Governance Initiative
SADC	Southern African Development Community
SEK	Swedish Kronor
Sida	Swedish International Development Agency
ToR	Terms of Reference
UNECA	United Nations Economic Commission for Africa
UNEP	United Nations Environment Programme
UNEP Af Marine	UNEP Africa Marine and Coastal Programme
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
USD	US Dollars
VBA	Volta Basin Authority
WIO	Western Indian Ocean
WIOMSA	Western Indian Ocean Marine Science Association

Preface 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 bn SEK to be used over a four-year period. Furthermore, this constituted a major part of Sweden's 7 bn 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 case study in which the regional Africa cooperation part of the climate change initiative (CCI) has been evaluated. Together with ten other case study reports this study is published on-line and may be found at <https://eba.se/en/ebarapport/>. The synthesis report of the evaluation, together with a separate summary of the evaluation are available in print and on-line.

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.

A handwritten signature in blue ink, appearing to read 'Helena Lindholm'.

Helena Lindholm, EBA Chair

Introduction

1.1 Overview

The Swedish Climate Change Initiative (CCI, 2009-2012) was implemented in five countries under Swedish bilateral cooperation, and in two regions, African and Asian, through Sweden's regional climate investments, and globally through multilateral investments. CCI was guided by seven principles as a more flexible approach in climate financing and programming under complex and dynamic conditions.

This report is the combined evaluation of the regional Africa portfolio and a case study therein. Rather than a narrower view to measure a portfolio's success and sustainability, this evaluation takes a more systemic view inspired by 'developmental evaluation' that sets out to reflect and learn.

This CCI regional Africa evaluation aims to contribute to answering the two main evaluation questions as set out in the EBA's Invitation for Proposals:

1. Has the CCI contributed to sustainable climate change adaptation and mitigation in poor countries? If so in what way, and to what extent?
 - What was the value of taking a principles-based approach to guide CCI investments & implementation?
 - How did this translate into sustainable impacts over the longer term?
2. What lessons from the CCI can inform climate aid today?

The report is structured as follows. This introduction (chapter 1) proceeds with details on methodology and limitations of this evaluation. Chapter 2 offers the first investigation to contextualise regional investments. Regionalism is explored from contemporary African perspectives, from recent European perspectives, and from scholarly critiques. The three Swedish regional Africa strategies that bracketed the CCI period are analysed as well as other guidance

provided for CCI. Chapter 3 provides insights into the portfolio with financial details, role of pen portraits for each investment, observations on Sida's role and others' contributions during CCI and after, as well as a commentary on change pathways. The case study in Chapter 4 deeply studies a portion, i.e. one third, of the portfolio related to transboundary river basins in Africa with regards to governance levels, linkages between investments, and longevity of regional institutions as a proxy for sustainability. In Chapter 5, the report then engages with the CCI principles and how it came to be that they deeply grounded the CCI investments in regional Africa. Finally, Chapter 6 analyses the choice making patterns that Sida employed when faced with the CCI funds that were additional to regular regional funds. We conclude with a summary of report findings and further insights into transformation that is required in the face of climate change impacts today.

1.2 Methodology

Both the CCI regional Africa portfolio evaluation and the case study were conceived as 'shallow dives', limiting its field of data and evidence collection as compared to medium or deep dive studies in this evaluation assignment.

In line with the shallow dive approach, and having discovered through responses to an email questionnaire, that was sent to six former regional Sida managers and 12 counterparts who are current managers, that institutional memory is limited, a decision was made at the outset for this study to focus the main field of data to emic¹ sources. This study drew primarily on CCI investment documents held in Sida's regional Africa archives located in the Embassies in Nairobi and Addis Ababa (due to a shift in Sida's regional Africa office from Nairobi to Addis in 2016. Full access was provided to these archives. These CCI investment documents mainly covered the CCI period, 2009 to 2012, with some investments having started before and others having spilt over into the post CCI period, to

¹ Emic and etic are two different approaches when trying to explain social realities observed while conducting fieldwork in social sciences. Emic perspective is the perspective of the studied social group. Etic perspective is the perspective of the observer. <https://www.quora.com/What-is-the-difference-between-emic-and-etic-approaches>

hence document a slightly longer time period. We found this emic data to be a highly rigorous and insightful source of data to use in order to not only understand the portfolio but to gain insights into each CCI regional Africa investment.

Additional data sources included a small number of carefully targeted face-to-face interviews and email exchanges with current Sida managers to gain insights to queries and reflect on early findings. Furthermore, we referred to selected documents on some of the CCI investments from etic sources, such as counterpart documents, external evaluations, or websites.

Overall, the evaluation built on the method of contribution analysis to contextualise Swedish investments in the context of others' contributions, especially of other donors, to reveal the added value of CCI and analyse the wider systemic context of change. But importantly, a mix of developmental evaluation approaches based on case study and investigations were used as devices to deliberate on the main evaluation questions and contextualize them.

To analyse the data and organise the findings, this evaluation utilised three main devices: pen portraits (qualitative sketches of the CCI investments, described in detail in section 3.2), case study, and investigations.

Pen Portraits were drawn up on each CCI regional Africa investment as deep and analytical 'learning histories' of each investment and the decisions, realisations and challenges within an unfolding investment typically spanning 2009-2012. The Pen Portraits also provided the primary data inputs for the analysis in the rest of the report. The interested reader can find the 18 Pen Portraits in Annex 1 of this report.

The case study is a purposive cut through the portfolio along a selected theme. The sampling rationale for the case study revolved around investigating deep vertical linkages within the CCI portfolio as well as thematic importance for Sweden in regional Africa. The selected case study considers its system of evaluation the field of transboundary river basins in CCI's regional Africa investments. Although the case study selected a smaller number of investments for detailed analysis (7 out of 18 investments, representing 35

percent of the investment amount of the CCI regional Africa portfolio), it was designed to provide the reader with an insightful learning story and to draw out themes that can be mirrored to the whole portfolio.

The investigations are meta-spaces in this evaluation that analyse as well as contextualise the CCI regional Africa portfolio. The investigations take the system of evaluation to be Sida itself, as provided by our focal field of data. They hence allowed the opportunity to deeply reflect on the political and strategic context (Investigation 1 on regionalism), the use of guidance (Investigation 2 on CCI principles), and decisions made under a push of additional funds (Investigation 3 on choice making patterns).

1.3 Limitations and choices

The evaluation team is confident that the findings presented in this report are evidence-based, valid, and provide learning insights.

The main limitation lay in the time available for in-depth sustainability and contribution analysis (i.e. in the feasibility), given that this regional analysis was designed as a **shallow-dive**. This was also limited by the timing of the closure of CCI and linked non-CCI investments (ranging from 2012 to 2017), which thereby limited the timescales covered by Sida's emic documentary evidence. This also arises from Sweden's own political and policy commitments to regionalism, which are based on capacity building for problems that are transboundary in nature and a belief that investing in this realm will ultimately lead to benefits at a systemic level. The constraint of this approach is that measurement of long-term sustainability and contribution analysis becomes less traceable and evident with the passage of time, particularly in the light of the scope of the portfolio. As a result, evaluation of longer-term impact pathways was limited, with only a light touch perspective on the change pathways and longevity of Sida's and others' efforts possible.

A number of **data limitations** were faced in the course of the regional analysis. Firstly, ten years after CCI started institutional

memory is not easily accessible anymore. Although we sent questionnaires to individuals who were regional managers at the time of CCI, most responded that they do not remember details. Secondly, counterpart managers seem to have experienced a high turnover in the last ten years, and with very few exceptions all had changed. Consequently, we worked mainly with emic data in written documentation residing in the Embassies of Nairobi and Addis Ababa. Thirdly, the nature of the shallow dive did not allow us to delve deeply nor extensively into counterpart documentation of the CCI contributions, i.e. etic data, however, for selected sections of this regional analysis we conducted limited web research. Finally, the documentation of the CCI investment called 'Ecowas preparatory' (the smallest of the CCI regional Africa investments) could not be found in either the Swedish Embassy Nairobi or the Swedish Embassy Addis Ababa (nor in digital archives) as it appears to have been subsumed under a much larger investment to Ecowas.

The possibilities presented by a shallow dive influenced a number of **analytical limitations**. Firstly, as a deep dive might have allowed, we abstained from a comprehensive exploration and analysis of linkages between past (CCI) and present. Rather, the case study on a section of the portfolio aims to give a snapshot of the longevity of regional institutions and opportunities for climate related work as a proxy for sustained impact. Secondly, while recognizing the suggestion² of a pre- and post- budgetary analysis of the whole portfolio as a good one, the quantum of work to access and analyse such portfolio level data precluded this analysis. A section is dedicated to Sida's role and other's contributions within each CCI investment and afterwards. Thirdly, less effort could be invested in the analysis of whether and how CCI-supported practices were spread, diffused or replicated, as well as any unintended effects. Fourth, the interlinkages between bilateral and multilateral investments was a theme we often encountered during research but could not investigate in detail in this shallow dive.

² Skype interview with Sida staff, Stockholm, 19 December 2018, Emerald team

Context: Sweden's Regional Strategies

2.1 Regionalism in Africa

2.1.1. Introduction

Investigation 1 opens with a short essay on the topic of regionalism in Africa to form a backdrop for a contextual understanding of Sweden's regional ODA. Specifically, it sets the stage for the detailed commentary on Sweden's Regional Africa strategies as a context for CCI over the past decade, set out in section 2.2 below.

In this section we present a brief overview of the various dialogues around the issue of regionalism in Africa in the years bracketing CCI up to the present time. Although an academic sub-field of development studies that is extensive, we have selected three perspectives to provide some insight into the concepts, debates and perspectives from the African, European and scholarly realms.

2.1.2 Some African Perspectives on Regionalism

Three African commentaries on regionalism across the period preceding CCI up to the present time are discussed.

Current African political views on regionalism reflect an emphasis on building strength and coordination from within the continent's leadership. In February 2019, the African Union convened the African Heads of State Summit in Addis Ababa where the opening called for a renewal of Pan-Africanism³. President Uhuru Kenyatta emphasized that the region must build "inner coherence" based on shared history, social structures, and culture. He argued that the restoration of peace in conflicted countries of

³ Pan Africanism represents black political and intellectual thought traditions over two hundred years old. It is a belief that African peoples, both on the continent and in diaspora, share a common history and destiny and has often shaped the creation of political institutions on the continent. Minkah, Makalani, Rutgers University. <http://exhibitions.nypl.org/africanaage/essay-pan-africanism.html>

the region is tied to regional cohesion, as are closer ties through art, scholarship, trade and youth movements. His anxiety also surfaced about making Africa stronger after independence (the 1950s onwards) in the face of “exogenous threats” in which outsiders take advantage of internal weaknesses to dominate the continent while Africans “remained asleep”⁴.

Similar calls for continental unity carry into the recent past in 2013, when UNECA’s Executive Secretary addressed the benefits of regional cooperation around sustainability, prevention of conflict, economic unity and bemoaned that these are largely latent⁵. As the Swedish CCI period came to a close we see the issue of climate change clearly surfacing through African leadership. Pointing out that new facets of continental challenges include “borderless problems” like climate change, famine, and fair use of natural resources, the Executive Secretary made clear the connection to strong regional governance: “The benefits of regional cooperation - increased investment, sustainability, consolidation of economic and political reforms, increased global competitiveness, prevention of conflict - are accepted, but sometimes just that: accepted”.

However, while politico-public leaders spell out regionalism in terms of the need for inner coherence and facing borderless problems, in 2007 a meeting hosted by the Friedrich Ebert Stiftung’s Institute for Global Dialogue⁶ revealed a thread of more historicized, economic understandings of regionalism in Africa. In this less public space, a critique of regionalism was surfaced by African delegates from SADC. They viewed African regionalism as an open debate whose intent and effect has shifted across the past half century. In 2007, they pointed to a ‘new regionalism’ that was covertly intended as a free market enabler in a globalized world. They posited that regionalism enables “a liberalised and harmonised single global system of free trade and capital flows, driven by market forces, as an aim”. In this perspective, “regions and Regional Trade Associations are conceived as building blocs to a liberalised world

⁴ Uhuru calls for stronger bonds among people of African roots, Daily Nation, February 12 2019, Nairobi

⁵ UNECA Moving from early Pan-Africanism towards an African Renaissance. Blog by the former Executive Secretary, uneca.org, 23 August 2013

⁶ Institute for Global Dialogue with Friedrich Ebert Stiftung. (2007).

economy, by providing a way out of the collective action problems that stifle co-operation among larger numbers in the multilateral arena as experienced in the World Trade Organisation Doha round”. This is a parallel expression of regionalism, not contradictory to contemporary visions shown above, but providing a more contestable view of outside-inside intent around regional entities and blocs.

The same SADC group further argues that the ‘old regionalism’ of the 1960s and ‘70s was characterized by aims for collective self-reliance through de-linking and protection of regional markets from easy outside economic penetration. Even at this time, they say, efforts for joint infrastructure projects, economy of scale of home markets and joint institutional decisions for development were disappointing. The group’s diagnosis of the systemic problems of regionalism were *inter alia* that problems arise from a resistance to give up or pool sovereignty for common development issues and recurring conflicts over distribution of costs and benefits across the region. Some of these obstacles to regional action do surface later in Sida’s work during CCI, particularly in the realm of the power distribution and regional energy systems. This group called for enduring developmental vision, strong and committed leadership, state capacity, meritocracy and the ability to mobilise the African nations for common causes - but set no high hopes for this “to develop anytime soon”.

2.1.3 Some European views on African Regionalism

One of Europe’s eminent observers and critic of regionalism, Soderbaum⁷ (who happens to be Swedish) offers an overarching perspective on how Europe has been central to regionalism in Africa. Writing in 2006, shortly before the time that the CCI was to arrive on the scene through Sida, he offers insight into the European approach to African regionalism - “what is today the EU has played and continues to play a crucial role in the construction of regionalism in Africa.” Implicit in this view is the reality that Europe draws upon its own experience of becoming a regional entity in the

⁷ Soderbaum, F. (2006).

form of the European Union. He points out that “as a model/anti-model, as a comparator and as an actor promoting... regionalism and inter-regionalism on the African continent” the EU is intertwined with African regionalism in this millennium.

Given this centrality, the way that perspectives of European overseas development assistance are shaped is well captured by the Norwegian development policy of 2008⁸, where it is stated that “foreign policy and development policy have already become closely linked,” underlining that while the intent of ODA efforts are based on solidarity with Africa, the effects of climate change and violent conflict in that continent are grave concerns for Europe as well.

The EU’s white paper on climate change in 2009⁹ emphasizes that the external dimensions of its policy for “bilateral and regional financial assistance programmes will aim to integrate adaptation considerations into all relevant sectors”. Furthermore, its external trade policy should incorporate “adaptation ... notably through the liberalisation of trade in environmental goods and services and in the elaboration of Free Trade Agreements (FTAs). There is a huge potential for green trade which can contribute to enhancing growth and creating jobs” at the regional level.

Continuing on over the past decade there are recurrent themes that underpin European policy and ODA to regional Africa. The 2018 Foreign Policy of the Netherlands¹⁰ focuses on a shift of development cooperation to “unstable regions (the Sahel, the Horn of Africa) in order to tackle the root causes of poverty, migration, terrorism and climate change.”

“A more stable and prosperous Africa is good for Africa and good for the UK” is DFID’s key statement on regionalism in 2018¹¹. “DFID will help tackle conflict and humanitarian crises and help people cope with climate change, including in countries where the UK does not have a DFID country office (e.g. Central African Republic) by providing humanitarian aid; working with the World

⁸ Norwegian Climate, Conflict and Capital (2008–2009)

⁹ https://ec.europa.eu/health/ph_threats/climate/docs/com_2009_147_en.pdf

¹⁰ Netherlands Ministry of Foreign Affairs (2018)

¹¹ https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/723075/Africa-Regional-July-2018.pdf

Bank and African countries to provide direct support to those affected by extreme weather events.”

In 2019, at the AU leaders’ summit in Addis Ababa¹², the Prime Minister of Norway emphasized that the AU and the RECs are a crucial element in the multilateral system including as entities that enable prevention of conflict across borders and continents, as well as protecting “crucial common goods” such as a healthy climate and sustainable oceans. She furthered the halting of global warming with renewable energy solutions and suggested “profit from this at the same time.”

The commentary above throws light on the European perspectives on regionalism in Africa and the political context and themes that frame the regional Africa portfolio of Sida and CCI. These themes of climate change, conflict prevention, and trade have shaped both international policy and ODA coming from the EU to Africa.

2.1.4 Scholarly critique on African Regionalism

Regionalism is an extensive sub-field of development studies and here we have selected the discourse on one of the major critiques mounted towards Sweden’s operational assumptions for ODA to regional Africa. In light of the appreciations that this evaluation later reveals about Sweden’s contributions to regional Africa in 2009-2012 and beyond, it seemed necessary to bring to the fore its critique also.

As expressed in the CCCD *Closing the Gaps* report,¹³ the premise on the operational aspects of why regional cooperation makes sense are twofold. Both these premise are built on the theme of ownership.

The first operational premise for regional assistance concerns management of public goods or shared resources beyond national boundaries. The Closing the Gaps report expresses this as “The case for regional coordination is strongest for producing and managing

¹² SDG Moment Speech/statement | Date: 10/02/2019 By Prime Minister Erna Solberg

¹³ Commission for Climate Change and Development. 2002.

regional public goods issues”.¹⁴ This assumes that nations are ready, willing and able to share regional public goods – and importantly that they agree on who owns these public goods and what forms this ownership of public goods takes. For example, shared rivers or sharing electricity power distribution grids is a very contested political subject in regional Africa today as is generally recognized within Sida. In the section above, the group from SADC pointed out in 2007 “that problems arise from a resistance to give up or pool sovereignty for common development issues”. Underlying this problem of pooling, is a contest in Africa about the ownership of resources, natural or otherwise and the rights and responsibilities of nations who share these resources.

The second operational premise for regional assistance is that it engenders greater ownership by nation states who are members or stakeholders of regional institutions. The *Closing the Gaps* report expresses this as “Coordination at the regional level is probably the most appropriate ... in that countries usually feel a greater ownership of and loyalty toward regional organizations”.¹⁵

Both the issue of sharing regional public goods and the issue of national ownership of regional organizations have been powerfully contested by Soderbaum¹⁶ and his associates over the past decade. He questions the understandings of ownership as follows:

“...a series of challenges regarding what is to be owned and by whom, and Sweden’s stress on building the capacity of the secretariats of ROs as the main way of strengthening ownership,” lies at the heart of this critique.

Soderbaum proposes that “the politics of African regionalism have been insufficiently understood,” and Swedish regional capacity building has “reinforced the gap between national and regional processes ...which undermined African ownership and commitment.”

Primarily African ownership is undermined because he suggests that external actors, such as powerful European donors, promote

¹⁴ Ibid. p 28

¹⁵ Ibid. p 28

¹⁶ Soderbaum F. (2017)

regional organizations in Africa so that these institutions are “driven more by the interests of external actors than by those of member states”. Efforts at donor coordination can also reinforce a greater sense of collective donor ownership while “very little emphasis is placed on national actors”.

Soderbaum’s long duration research and insights into Swedish commitment to regionalism have been part of policy dialogue in his country. He is both an author of an EBA report on the subject¹⁷ as well as an influencing voice in the formulation of the current Regional Africa strategy.

Despite his astute critique, Soderbaum acknowledges that Swedish regional development cooperation with Africa has many advantages that are underpinned by enlightened interests. Regional cooperation through Sida, he observes, is fundamentally “designed to assist African actors in achieving their own development and integration agenda by strengthening the capacity of Regional Organizations and other African actors. Sweden works largely through and with African actors and recipients. These factors are all helpful for strengthening performance and African ownership”¹⁸.

In conclusion, this brief overview on regionalism has shown that this subject field is problematized differently by Africans, European entities and scholars. While neo-liberal agendas of the ‘new regionalism’ view regionalism as a way forward for trade blocs that enable integration with other external actors beyond the continent, some of the dialogues do have a historicized and critical view about its meanings, benefits and its challenges. Sweden does stand out as a prominent donor in this field and for the most part emerges with an intention that is described by Soderbaum, Swedish scholar and critic, as “enlightened interest” around solidarity and justice in Africa.

¹⁷ Soderbaum, F. and Brolin, T. (2016).

¹⁸ Ibid.

2.2 Swedish Regional Africa Strategies

This section will give an overview of Sweden's Sub-Sahara Regional Africa Strategies before, during and after the CCI implementation period, will observe continuities and departures, will discuss their relation to CCI implementation, and will finally comment on Sweden's discernible leadership in regional development cooperation.

2.2.1 Three strategies that bracket CCI

Swedish ODA is an assemblage of decisions and of delegation. The Parliament directs funds to the Government. "The Government has a broad mandate to decide on the focus and direction of Sweden's ODA. Its two main steering instruments are the annual appropriation letters to the state authorities and the multiannual strategies governing Sweden's international aid in individual countries or regions; through multilateral organisations; and aid with a thematic focus." (p 5)¹⁹. Sida is one of the state authorities.

In the Sub-Sahara Africa region, the multi-annual strategies referred to above each covered five years. The development of each five-year strategy is a convergence of expertise in both MFA and Sida, as recounted by a Regional Manager: "The strategy is an MFA instruction to Sida for 5 years. After MFA has done some work on a draft, in the later stages it is given to Sida for inputs. Sida will normally develop two options and then return to MFA for finalization. The language of the final strategy is usually political [...] The strategy is based on what Sweden can do, the history of its work in the region, as well as an assessment of its comparative advantage."²⁰

The strategies for development cooperation in Sub-Saharan Africa that bracketed CCI and its investments are discussed below.

¹⁹ EBA (2018).

²⁰ Interview with Regional Section, Embassy of Sweden Addis Ababa. 20th February 2019.

The **2002-2006 strategy**²¹ took poverty, conflict and instability as its points of departure for regional work, further stating a variety of confounding conditions, which include the cross-border character of natural resources. While the strategy recognized that most donors have preferred to fund national entities or international bodies particularly within the UN, Sweden recognized a number of different types of institutions or organizations with regional relevance (Regional Economic Communities (RECs)²², NGOs, private sector) that it aimed to strengthen. “When it comes to regional development cooperation, the link to poverty reduction is, as a rule, indirect. Cooperation was aimed at developing policy and strong institutions that form a basis for effective poverty reduction”(p 7)²³. The strategy also suggested the application of the principle of subsidiarity in the choice of measures to be implemented at national versus regional levels, where the latter must have added value. Thus, the strategic point of departure was not within these institutions per se, but in the functions they provide for regional cooperation for development.

One of the seven aims within this 5-year strategy period was “engaging in cooperation regarding natural resources that require joint management, and sustainable utilisation of cross-border ecosystems” (p 8). Rivers, groundwater resources and aquatic ecosystems that are shared across borders were specifically mentioned with the aim of their sustainable utilization. This shows strong correlation to the strategy’s overall emphasis on institutional functions.

The 2002-2006 strategy foresaw annual funding volumes between SEK 600 million in 2002 and to grow to SEK 1,000 million in 2006.

²¹ Regeringskansliet Ministry for Foreign Affairs. 2002..

²² Africa's Regional Economic Communities (RECs) include eight sub regional bodies which are the building blocks of the African Economic Community. These are the Arab Maghreb Union (AMU/UMA); the Economic Community of West African States (ECOWAS); the East African Community (EAC); the Intergovernmental Authority on Development (IGAD); the Southern African Development Community (SADC); the Common Market for Eastern and Southern Africa (COMESA); the Economic Community of Central African States (ECCAS); and the Community of Sahel-Saharan States (CENSAD). See: <https://www.un.org/en/africa/osaa/peace/recs.shtml>

²³ This and the following quotes are from: Regeringskansliet Ministry for Foreign Affairs. 2002..

For the years 2007 to 2009, we have neither been able to find a strategy for Sub-Saharan Africa nor any reference to the same.

In 2009, the Swedish Government launched the special Climate Change Initiative to be deployed for four years until 2012, with an allocation of SEK 4 billion. Around two thirds were allocated through multilateral organizations via MFA, and one third was allocated to Sida for bilateral and regional efforts, the latter receiving SEK 350 million for the four-year CCI period. Sida issued guidelines on climate change programming to accompany the CCI funds, which are introduced below.

The strategy 2010 to 2015²⁴ stated upfront that regional cooperation should take place mainly with the AU and RECs, as they play a key role “to manage transboundary challenges such as regional stability, trade and economic integration, and sustainable development” (p 1). As before, this strategy made a clear statement that countries carry the ultimate responsibility, but that “Swedish regional support to Africa can underpin and promote, but not create, the necessary preconditions and solutions. Support must enable each country concerned to stand on its own feet and develop on the basis of its own realities” (p 2). Swedish regional cooperation was to improve the capacity and conditions for regional actors and intergovernmental communities, while it recognized that parliaments, civil society, research, and media have a role to play towards addressing shortcomings in accountability and transparency of the RECs. The strategy further sought to develop synergies not only within the regional investments but also with bi- and multilateral development cooperation, as well as with global actors such as UNEP, FAO and IUCN.

One of the six sectoral areas in this strategy was ‘environment and climate’, with the continued objective of sustainable use of natural resources, but adding for the first time mitigation and adaptation as responses to climate change. A specific focus was placed on food security, use of natural resources and transboundary water resources; the latter described in significant depth of analysis and breadth of linkages. This is noteworthy, as besides the RECs,

²⁴ Regeringskansliet Ministry for Foreign Affairs Sweden. 12 October 2010.

the Lake Victoria Initiative and Nile Basin Initiative were explicitly mentioned as organizations to be supported.

The total allocation for the 2010–2015 strategy period was to amount to SEK 3,260 million for Sub-Saharan Africa, which included the SEK 350 million from the CCI, and other funding for special anti-corruption initiatives and research collaborations.

The mid-term review to the 2010-2015 strategy²⁵ of Swedish regional Africa development proposed a continued overall strengthening of AU and RECs, while it also noted that “Cooperation with organisations that support RECs agenda is often a more efficient way to achieve results in the medium-term than supporting RECs directly, as these [support] organisations normally have better capacity and are less affected by political constraints.” (p 2). The AU and RECs were particularly recognized for their political legitimacy; through capacity building, Swedish regional development therefore required long-term perspectives for capacitating these institutions. The review further noted that geographic sub-regions were being reached with differing strength and advised more emphasis on West and Central Africa as well as Horn of Africa, depending on funding levels.

The mid-term review emphasized the need for an explicit focus on governance (beyond the scope that lay within the work on anti-corruption). “One challenge regarding the objectives and their hierarchy is that governance is not specified as part of the overarching objective, even though many of the sector objectives are intimately linked to improved national and regional governance” (p 4). Further, the mid-term review also recommended that Sweden should aim to bridge the gap between regional and national development, specifically through bilateral development that integrates relevant issues through wider dialogue and within bilateral results strategies as well as the sharing of information more widely.

The environment and climate change sector portfolio mid-term review²⁶ (working material as input to overall strategy review)

²⁵ Promemoria. Executive Summary of Mid-term Review Regional Africa Strategy – Conclusions and Recommendations. 2013-04-05.

²⁶ Working Material. Sector Portfolio Review Regional Africa Strategy, Environment and Climate. 2013-04-02.

recognized that the portfolio was cross-sectoral (including a mention of food, water and energy security being related), and acknowledged the cost-effectiveness of work with pan-African actors. It stressed the need for long-term investments in this sector, and thus asked for additional funds in order “to maintain the current ambition level and positive outcomes as initiated by the temporary Climate Change Initiative” (p 6). It also proposed that Sweden continue to assess where CCI had introduced significant added value in relation to other donors, and assess the geographic regions that would most benefit from increased regional integration.

The strategy 2016-2021²⁷ recognizes increased political will at the regional level (AU and RECs) for regional integration and collaboration. Yet, “there is a gap between commitments at regional level and implementation at national level.” (p 2). The focus for this strategy continues to be on strengthening capacities, although with a different emphasis, as increased ownership needs to be pegged down with actual commitments. Sweden thus now seeks to build the capacity for resource mobilization and long-term independence from development aid. While this strategy’s emphasis is still on AU and RECs, “Sida should investigate the possibility of including, to a greater extent, cooperation with academic research institutions, cultural organizations, the private sector, including business organizations, cultural and creative industries and diaspora groups.” (p 10).

The first of this strategy’s four objectives is “A better environment, sustainable use of natural resources, reduced climate impact and strengthened resilience to environmental impact, climate change and natural disasters”²⁸. The approach continues to be strengthening capacities of regional actors. Three newly introduced terms are noteworthy in this strategy: ecosystem services, food security, and renewable energy, while the term resilience is included as an overarching purpose that links environmental and resource aspects to other development objectives.

²⁷ Regeringskansliet Ministry for Foreign Affairs Sweden. 2016.

²⁸ The other three objectives are ‘Strengthened democracy and gender equality and greater respect for human rights’, ‘Better opportunities and tools to enable poor and vulnerable people to improve their living conditions’, and ‘Human security and freedom from violence’.

The strategy comprises a value of SEK 2,700 million.

2.2.2 Continuities and departures between strategies

Overall, the type of support channelled through Sida developed over the years and is reviewed in the following. In 2002-2006, the strategy suggests a shift from individual projects to a programmatic approach, in which regional cooperation that is ‘essential’ to deal with the problems concerned is not to be considered as an alternative but rather to go hand in hand with the ‘added value’ of investments for regional integration. In 2010-2015, the strategy suggests actively promoting partner ownership, and for some RECs, programmatic support to prepare the AU and EAC for future general budget and institutional support, instead of project-based support. Finally, the 2016-2021 strategy aims to support institutions to develop capacities for African resource mobilization for their sustainability²⁹ and independence from aid.

An emphasis on capacity development as the main *modus operandi* has continued over the years, although with evolutions for Sweden’s role. Over nearly two decades, we see growing ownership for regional integration in the development process. The 2002-2006 strategy sets out to describe why regional work is being undertaken by Sweden. The 2010-2015 strategy portrays institutional development in progress rather than as an outside goal, with “a strong desire on the African continent for increased regional collaboration in many policy areas” (p 5). The 2013 Mid-Term Review recommends governance strengthening to be made explicit as the overarching focus. In 2016-2021, the emphasis has shifted to Swedish added value arising from the long-term presence of Sweden as a regional donor in Africa.

Climate change and the need for adaptation and mitigation appear in the 2010-2015 strategy for the first time. The Government’s special Climate Change Initiative is mentioned in the

²⁹ Sustainability for the purposes of the evaluation is defined as “the viability and longevity of achievements financed by development aid once financing is withdrawn”. EBA. 2017-03-06. Invitation for Proposals: Evaluation of the Swedish Climate Change Initiative 2009-2012.

budgetary allocation, but not elaborated on in more detail and without specific guidance for interfacing with RECs on climate aspects. Notable also in the 2010-2015 strategy are linkages between DRR and reducing vulnerabilities. The prevention of natural disasters and efforts to reduce vulnerability to the impacts of climate change cut across the strategy's environment and climate sector. In the following (and post CCI) strategy for 2016-2021, climate appears in the context of resilience building that encompasses many sectoral aspects such as food security, water, health, renewable energy and others, as well as its relations to conflict and the humanitarian realm, within the climate focus.

The three strategies for the environment sector show a continuum in their emphasis on water as a key natural resource, often referring to work in shared river basins. New additions within this sector in 2010 include energy, agriculture and relations to food security, and in 2016 marine, fisheries and renewable energy.

The aims of the three strategies also display overall continuities. Regional work for the poor or for poverty reduction is the continued overall aim, while other related factors are added over the years, including demographic changes, migration, corruption, and climate change in 2010-2015, as well as democracy and a rights-based perspective in 2016-2021. Gender is an explicit continuity across all strategies. Each strategy expresses the need for donor coordination. Over time, links being made within Swedish work are apparent, not only between regional and national, but also between regional and international investments. As expressed from the perspective of a Sida Regional Africa manager, "I would say that the regional Africa portfolio is evolving and building on the past"³⁰.

2.2.3 Sida Regional Africa Strategies and the CCI

In 2009, the Commission for Climate Change and Development published the 'Closing the Gaps' report³¹. It was significant for recognizing the urgency of the climate crisis, interlinkages between

³⁰ Interview with Regional Section, Embassy of Sweden Addis Ababa. 20th February 2019.

³¹ Commission for Climate Change and Development. 2002.

sectoral issues, as well as the opportunity for enhanced sustainable development. It recognized that adaptation can be best managed through governance, including cooperation, policy, and capacity enhancement. Regional cooperation was explicitly recognized, whereas other levels (e.g. households) also had a strong role to play. Finally, it advocated for ‘new and additional funds’ to address the scale of the challenges.

In response to the CCI, Sida issued a guidance note in 2009 to support decision making at the regional and embassy level³². This provided numerous examples of climate programming in eleven sectors, while aspects such as gender, human rights, or exacerbated natural resource conflicts were seen as cross-cutting. An entire chapter of the guidance was dedicated to capacity development at various levels of governance. This is in line with the regional strategies’ overall emphasis on building capacities, which was also seen as critical for effective management of climate related challenges. The guidance became a little more specific than the strategies by specifying the role that Sweden can play for adaptation: “*Adaptive capacity* is influenced by economic and natural resources, institutions, governance, social networks and human resources. Development cooperation can play an important role to facilitate adaptation” (p 2, emphasis added). Overall, the guidance note defined climate change as a sub-set of environmental change, while at the same time – as in the regional strategies – basing the need to address climate change impacts in the need for poverty reduction: “The impacts of climate change on poverty reduction, development and ecosystems are important and multifaceted” (p 1). Finally, the guidance note provided references to online, print and personnel³³ resources.

The Sida regional Africa strategy 2010-15 and the CCI guidance were the main anchors for CCI programming decisions in regional Africa. Several investments in the Regional Africa portfolio only commenced in 2010 or the two following years during the CCI window. This lead time would have provided an opportunity for the internalization of the strategy and guidance note towards Sida’s

³² Sida Environment and Climate Change Team. 2009-12-03..

³³ Two of the experts listed as resource persons for climate change issues at Sida Stockholm are Ulrika Åkesson and Elisabeth Folkunger..

choices of investments from additional CCI funds were made available. A Sida Regional Africa Manager recounts that “CCI did bring in additional money which was seen as an addition to the strategy of 2010-2015. [...] we used the strategy and annual instructions from Sida to shape our decisions and choices.”³⁴ The continuity between the CCCD report, regional strategies, and CCI guidance indicate a level of convergence in thinking that was joined with existing and regionally specific expertise at the Embassy level to make informed CCI decisions. Devolving the decision making for these decisions was framed in procedures that enhanced Sida’s embassy level expertise as “contributions [i.e. investments] under 80 million SEK are approved by the head of the regional development cooperation section in the Embassy after recommendations by a committee”³⁵.

The following extracts from selected regional Africa CCI investment documents exemplify how they operationalized the aforementioned strategies and guidance.

The Memo for the East African Community (EAC) Climate Change Master Plan ³⁶ refers to the “overall goal of Swedish cooperation with EAC to contribute to an equitable and sustainable development and poverty reduction in East Africa.... ‘The priority is to provide more support to RECs to build institutional capacity’” (p 2). Further, the EAC Master Plan should lead to coordinated action to mitigate the effects of climate change in a region that shares many natural resources across boundaries. The support is further relevant from a peace and security perspective, as climate change may add pressure and possible conflicts on such resources including water, may make the poor more vulnerable, and may derail economic development. It also states that “transboundary impacts may be better addressed by a regional approach” (p 6). All these aspects strongly reflect the intentions and guidelines set out in the regional strategies.

³⁴ Interview with Regional Section, Embassy of Sweden Addis Ababa. 20th February 2019.

³⁵ Ibid.

³⁶ Memo. Swedish Embassy Kampala. 5 October 2010. For further details on this CCI contribution see Annex 1: Pen portrait of the CCI contribution to the EAC Climate Change Masterplan.

The Assessment Memo for the UNEP-Nile³⁷ investment states that “The support is thus important for reducing vulnerability of poor people and to fight poverty” (p 4) as climate change will add stress to hydrological regimes on which these people and often their livelihoods depend. It also mentions the likelihood of climate change induced migration, so that the investment is relevant to peace and stability. The logic of this investment is that “Regional institutions have, as of today, very limited knowledge as well as capacity to deal with the challenges that climate change brings and how to address these in view of their shared water resources. Capacity to deal with these challenges, which is clearly lacking in the region at present, are key for effective transboundary water management to be implemented and is therefore also a key to effective poverty reduction”(p 4). Sweden is seen as a trusted partner in the region with comparative advantage, especially as it has been a key supporter of Nile Basin Initiative and Lake Victoria Basin Commission, and as this investment links to the EAC’s regional climate change position. Again, these are explicit references to intentions (and partner institutions) as set out in both the 2002 and the 2010 strategies.

Overall, the CCI investments in their assessment documents refer to key features of the strategy (RECs, adaptation, etc.) that squarely underline strategic intention (poverty reduction, peace and stability) while being consistent in the approach (capacity development, sustainable management of shared resources). Each of them points to support for governance or governance shifts, which is Sweden’s long-term experience.

In 2013, the mid-term regional Africa strategy review was conducted just after CCI was concluded. Explicitly mentioning CCI: “Sida notes that the Climate Change Initiative and other Government initiatives require long-term support to institutions in order to be effective, whilst the earmarked funds were only made available for a limited number of years” (p 7)³⁸. With reduced funding for the remaining strategy years, it recorded that several

³⁷ Assessment Memo. Sida. 25 November 2009. Jägerskog, A. For further details on this CCI contribution see Annex 1: Pen portrait of the UNEP-Nile CCI contribution.

³⁸ Promemoria. Executive Summary of Mid-term Review Regional Africa Strategy – Conclusions and Recommendations. 2013-04-05.

strategic partnerships might need to be phased out, and also recommended regional development cooperation with Sub-Saharan Africa going forward to be allocated a comparable level of funding to that allocated in 2010-2012.

Further, the mid-term review proposed an increased and specified emphasis on governance, which is even more explicit in the associated environment and climate change sector portfolio review. Specifically, the sectoral review offered a number of learnings that appear to come from CCI investments, such as strengthening of rights based forest governance (cf. RFGI), good governance of shared water resources in specified river basins (cf. UNEP-Nile, NELSAP, PREMI, CIWA), strengthened African voice in international climate negotiations (cf. PACJA and EAC), integration of climate change into plans (cf. LVRLAC and EAC), or agreement for data exchange with the NBI (cf. UNEP-Nile). The review also recommended increased attention to synergies within the entire portfolio. As shown above, these specific learnings from CCI are quite prominent in this mid-term strategy review, given that CCI funding was only about 11 percent of the regional funding for the strategy period (SEK 350 million versus SEK 3,260 million respectively).

A little further after the end of CCI, the strategy 2016-2021 contains more general evidence that may be drawn from CCI learnings, for example with the overarching goal that “Swedish development cooperation is to be economically, socially and environmentally sustainable, and also gender-equal” (p 9), giving an indication of the synergies between and integration of climate-related sectors and activities therein.

It is worth noting that until 2016 there were two units under the regional section, one based at the Swedish Embassy in Nairobi and one based at the Swedish Embassy in Addis. In 2016, the unit at the Embassy in Nairobi closed and the management of all regional projects and programmes moved to Addis Ababa. Given the strategies’ overall guidance that is brought together by technical expertise within both Stockholm and the Embassies, staff in the Swedish Embassy in Addis Ababa note that “We were aware of the

importance of long term continuities. We inherited from Nairobi and decided to continue.”³⁹

2.2.4 Sweden’s leadership in African regional development

Sida decision makers sometimes refer to CCI originating from a political decision ⁴⁰. Yet, the strategies and other guidance documents before as well as after CCI display a significant continuity, suggesting that Sweden’s long-standing investments in regional development cooperation did not fundamentally alter its course of action with the insertion of additional funds mobilized through CCI.

As displayed in the regional strategies, Sweden for a long time has seen the added value of regional work and has continued to invest in regionalism in Africa. In this way, Sida came to have a leadership role on regional cooperation in Africa, and received regional Africa CCI funds whilst in that cumulatively gained position of leadership. During CCI, Sida was cognizant of its leadership role, which was at times explicitly expressed. For example, the Decision on Contribution to the African Climate Policy Centre (ACPC) stated that in the context of other donors’ contributions, **“lead or no lead, Sweden will continue to be an active and driving force in the partnership”**⁴¹.

The Chair of the Expert Review Group of the EBA observed that “you may find that Sweden is often the prominent donor at the regional level” ⁴². The preceding pages’ discussion on regional strategies begins to suggest that Sweden was cognizant of the added value of regional work as a complement (or added value) to bilateral cooperation and took the position of an early mover. For example, within CCI, the allocation to regional investments was two third the amount as to bilateral investments, which is a significant amount. As described in the regional Africa Strategy 2010-2015, “Swedish

³⁹ Interview with Regional Section, Embassy of Sweden Addis Ababa. 20th February 2019.

⁴⁰ Ibid

⁴¹ Decision on Contribution (2009), Godana, T. SIDA, Addis Ababa.

⁴² Paraphrased from Chair Expert Review Group, EBA October 2018, Stockholm.

regional support to Africa can *underpin and promote, but not create*, the necessary preconditions and solutions”⁴³ (p 2, emphasis added). It is in this way that the decisions were taken for regional cooperation investments to be invested mainly in capacity development, which – as will be evident in the following pages of this regional portfolio analysis – contributed to shifts in governance for sustainable impacts.

⁴³ Regeringskansliet Ministry for Foreign Affairs Sweden. 12 October 2010.

Regional African Portfolio 2009-2012

This chapter 3 introduces the reader to the CCI Regional Africa portfolio. As a shallow dive with limited scope and resources, this portfolio overview also required careful choice making. We offer four different views into the portfolio.

Section 3.1 describes the financial investments made by Sida within the CCI regional Africa portfolio of CCI during 2009 to 2012. Section 3.2 describes the tool of pen portraits we used to manage and analyse the huge amount of qualitative data for the 18 CCI regional Africa investments. In section 3.3 we offer observations on Sida's role in the CCI regional Africa investments within the context of others' contributions during the CCI period and beyond; this forms part of a more systemic contribution analysis that goes beyond the outcomes of the CCI investments alone, towards understanding their added value. Finally in section 3.4 we offer a commentary on change pathways for a small sample of the portfolio to give the reader a flavour of what emanated out of the CCI period of investments.

3.1 Financial disbursements during the CCI

Figure 1 shows the portion of CCI funds allocated by Sida into regional Africa investments in relation to the entire CCI allocation.

Figure 1: CCI Regional Africa allocation in relation to the total

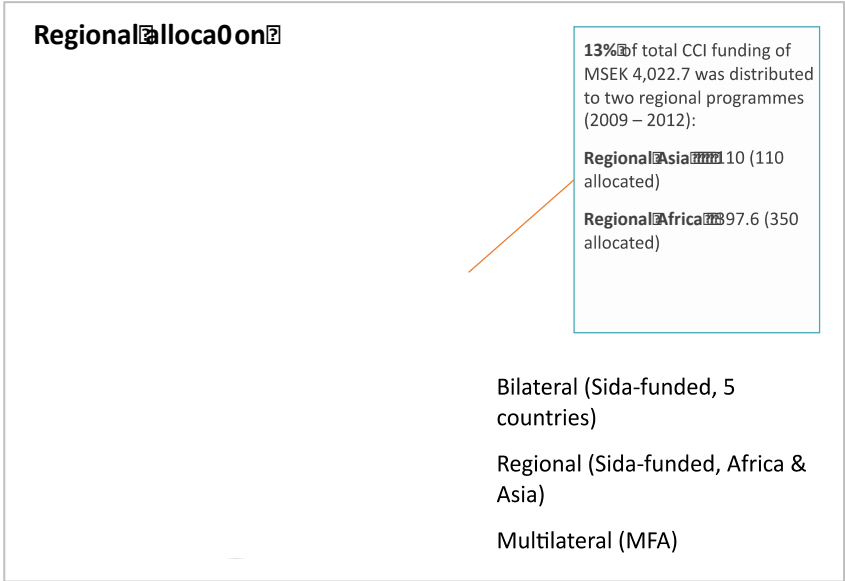


Figure 2 provides details of the size of each of the 18 CCI regional Africa investments, totalling SEK 350 million. They are ranked by size of disbursement to the investment, from largest (1. ACPC) to smallest (18. Ecowas preparatory). For qualitative details the reader may glance at the index table of Annex 1 that gives a cursory look at these investments.

Figure 2: Total disbursements, 18 Regional Africa investments

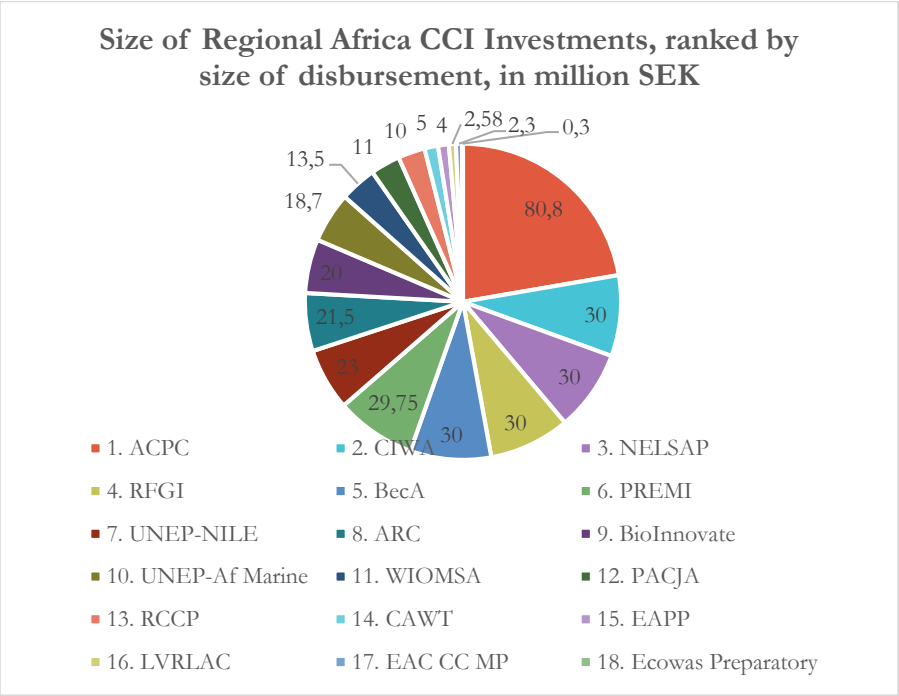
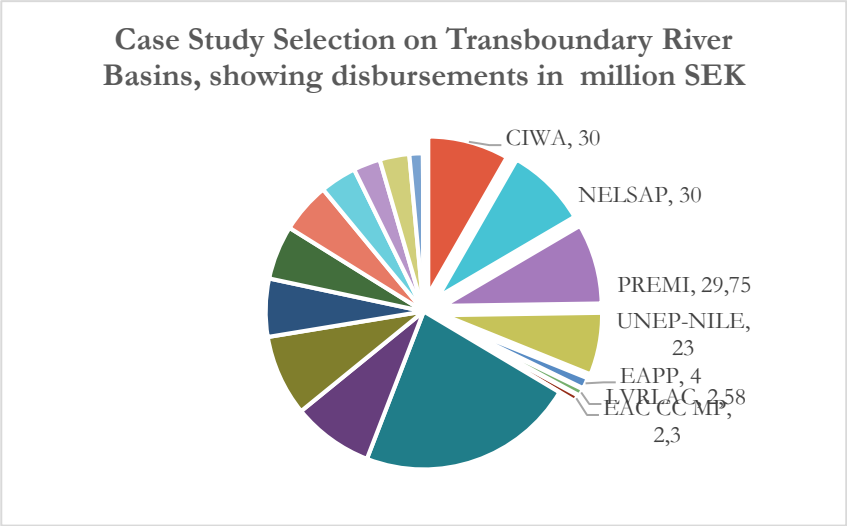


Figure 3 samples out the seven investments selected for the shallow dive case study on transboundary river basins, indicating that these cover 35 percent of the CCI regional Africa portfolio. The case study will go into detail of these seven investments in chapter 4.

Figure 3: Investments selected for case study



3.2 Pen portraits of the Investments

3.2.1. Pen Portraits as Learning Histories

Given the quantity and complexity of the data on most of the CCI Regional Africa investments, we decided to create pen portraits for each investment. In this brief introduction, the meaning and use of this device is explained. The entire collection of Pen Portraits for the portfolio is available for the interested reader in Annex 1; the general reader may wish to browse the annex looking at its index sheet, while a reader with special interest may wish to read details of the annex of interest.

In qualitative research, pen portraits have been used as devices mainly in the business and marketing realms to create an informal persona of a target audience; essentially a character sketch in words. It may include facts and figures but also covers attributes,

appearance, history and other descriptive aspects. It can be used as part of the outcomes of qualitative research work⁴⁴.

As described above in methodology, our field of data was mainly emic, that is from Sida's perspective, including not only formal documents, but also workshop reports, email trails, travel reports, newspaper clippings and other documents. Thus reflecting "the voice" of Sida, this emic data allowed us to use the pen portraits as 'learning histories' that are organised around a structure to add clarity to our evaluation purpose. As learning histories, the pen portraits help us to collectively learn from a narrative, e.g. from an investment to create reflective pieces on how events unfold and emerge, how decisions were taken, and notice patterns of change⁴⁵.

The pen portraits therefore go beyond the conventional tools for evaluations against objectives and indicators. When the investments closed, they were occasionally already assessed or evaluated, and furthermore preparations were made by Wingqvist et al.⁴⁶ and Cesar et al.⁴⁷ to evaluate the whole bilateral and regional CCI portfolios in 2013 (never carried out⁴⁸) as part of the services provided by Sida's helpdesk.

We also studied a wide range of Sida documents developed after CCI including two evaluation pieces done in 2013, i.e. by Wingqvist et al. and by Cesar et al., but did not find any materials that had been developed similar to pen portraits as learning history. The annex of factsheets in Wingqvist et al.⁴⁹ list goals, objectives, expected results and expected outcomes for the investments, with the intention of weighting the investments' focus on six categories as an evaluative tool. The annex to Cesar et al.⁵⁰ aims to assess the investments' indicators towards evaluating the portfolio. Inconsistent terminology in both documents appears to have created some confusion as repeatedly expressed by Cesar et al, for example: "It's

⁴⁴ The Association of Qualitative Research pen portrait <https://www.aqr.org.uk/glossary/pen-portrait>

⁴⁵ Colvin, J. (2013).

⁴⁶ Wingqvist, et al (2013).

⁴⁷ César et al. (2013).

⁴⁸ Comment by Johan Schaar 30th April 2019

⁴⁹ Annex 1: Factsheets. Wingqvist et al. 2013. Ibid.

⁵⁰ Annex 6: Analysis of objectives and indicators. César et al. 2013. Ibid.

difficult to get an overview”⁵¹, “Are the stated indicators ‘indicators’ or something else?”⁵², or “Seems impossible to measure.”⁵³

Used through this work, pen portraits are tools that create an (evaluative) narration of each of the Sida investments as they were planned and emerged over time using primary data in the form of documentation as reference. They capture selections from an entire archival content of the investment in a few pages and are structured to assist in reflections that are built into this report.

3.2.2. Structure of the Pen Portraits

The pen portraits were designed with a number of sections to organize the data. An initial box allows a snapshot of key facts, including name, CCI disbursement(s), CCI achievements, and current size or role of the supported institution. Section 1 uses etic data from the institution’s perspective (referenced e.g. to websites, institutional reports, or external evaluations) to state the investment’s goal or objective. Section 2, using emic data, describes and evidences Sweden’s involvement before, during, and after the CCI investment, as well as contextualises this short history in the contributions of other donors. Section 3 starts to analyse the investment in terms of change pathways that opened after CCI, the investment’s relevance to CCI principles, and a commentary into sustainability. Section 4 offers strategic highlights with regards to linkages with the different CCI portfolios (bilateral, regional and multilateral), observations on Sweden’s leadership role in this investment, and the choices made towards sustainable change processes.

The following Figure 4 provides the reader with an impression of a pen portrait, its structure and content. The interested reader may refer to Annex 1 for all 18 pen portraits, around 40 pages in total.

⁵¹ César et al. 2013. Ibid., Page 105

⁵² César et al. 2013. Ibid., Page 144

⁵³ César et al. 2013. Ibid., Page 145

A note on change pathways: Change pathways are not attributions that imply cause and effect between activities and results. Rather, we use this as an analytical tool to notice connections between an investment's objectives and the shifts forged due to CCI towards opening opportunities. Change pathways are thus to be seen as only some of the shifts forged by CCI in the context of others' contributions. They offer insights into the challenges of regional work and how the CCI investments navigated these spaces towards change on climate change adaptation and mitigation. This will become clearer to the reader in the following section 3.4 that observes the types of change pathways we found in the portfolio.

3.2.3. Pen Portraits as building blocks for evaluation

Firstly, the pen portraits are useful on as they offer a contextualised learning history on each investment, while referencing key facts. Their development allowed us to deeply engage with the investments from the Swedish perspective, synthesised the amount of raw data to be referred to in further analysis, offered insights into the history of Swedish involvement, and allowed for pieces of analysis on Sida's choices, others contributions, sustainability and change pathways.

Secondly, the pen portraits were designed also as inputs and building blocks for the remainder of this regional Africa evaluation report. For example, the following two sections stacked the following pieces from the pen portraits, respectively: comments on change pathways, and others' contributions. Investigation 2 collates and then analyses relations to the CCI principles across the portfolio, while Investigation 3 classifies and contrasts Sida's strategic choices as has been drawn out in each pen portrait.

3.2.4. Limitations of Pen Portraits

One of the pen portraits for Ecowas preparatory, 'Strategic programme on reduction of vulnerability and adaptation to CC in West Africa', contribution number 51050026, could not be

developed as its data could neither be found in the Swedish Embassies of Nairobi nor Addis Ababa. Only a placeholder pen portrait has been developed with the information at hand.

Using a complexity lens in this evaluation has been aided by the development of pen portraits that allow a certain transcendence from the traditional evaluation tools. This was especially enabled through noticing of emergence, context and other's contributions. However, the newness of this tool used as building blocks has meant that we have had to be rather 'imperfect pioneers' in adapting these as learning histories in a shallow dive analysis.

Figure 4: Sample of a pen portrait

Name: African Climate Policy Centre (ACPC) – Climate for Development (ClimDev) in Africa

CCI funding and duration: 80,8 MSEK: 60 MSEK in 2009, 20,8 MSEK in 2012. This is the first CCI disbursement towards Sida's CCI regional Africa portfolio.

History: In 2008, ClimDev-Africa was initiated by the African Union Commission, UNECA and the AfDB as a Trust Fund managed by the AfDB while ACPC is its implementing mechanism managed by UNECA. Both fall into one programme with UNECA as the partner for Sweden.⁵⁴ Sweden joined this initiative by contributing USD 8,5 million as a 'pooling strategy' after three other donors had committed funds to ACPC (UK 5 MUSD, EU 8 MEUR, Norway 1 MUSD for 2009). Sida recognized that numerous climate adaptation African initiatives create 'a chaotic situation in which overlaps sometimes lead to undermining and gaps'.⁵⁵ ClimDev was intended to become a coherent framework of coordinated climate change work.

Swedish funding ongoing: Swedish direct funding to ACPC was closed in 2015. It is not known if funding for ACPC was nested into a continued joint funding agreement to UNECA. This was the stated intention in a 2015 report; the decision was contingent upon a joint donor evaluation of APCP.⁵⁶

CCI achievements: An operational ACPC as a prime hub for evidence based climate policy for Africa; A constructive shift in climate change dialogue in Africa supported by scientific regional data; High level experts have access to climate science in realms of adaptation and mitigation; African group of Negotiators improve negotiating positions during UNFCCC and interim

⁵⁴ Decision on contribution (2009), Gocana T., Sida, Addis Abeba

⁵⁵ Ibid.

⁵⁶ Concluding Assessments (2015), Tesfaye M., Sida, Addis Abeba.

working groups; Five African countries developed investment plans for national meteorological and hydrological systems.⁵⁷

Level of management: APCP is managed by a joint secretariat of the African Union Commission, the AfDB, UNECA; the Board of ClimDev is a separate entity. It is mandated at regional meetings of African Heads of State and Government, as well as by Africa's Ministers of Finance, Ministers of Planning and Ministers of the Environment.

Current size of organization: Remains a significant and large entity at the Africa level, with ACPC, the ClimDev-Africa Special Fund (CDSF) and Climate Change and Desertification Unit that are linked to multiple regional, sub-regional and national level institutions, actors and fora.⁵⁸ CDSF is currently capitalized to 33 million Euro.

Section 1 – Goal, Mission, organizational context, achievements: The objective of the programme was to improve climate information systems, analysis and decision making in order to make policies and decisions on practices in Africa take full account of climate change risks and opportunities at all levels. ACPC was to play a leading role in knowledge generation, dissemination, policy advocacy and provision of advisory and capacity building services.⁵⁹

Section 2 – Before, During, After the CCI:

Before CCI: Sweden had an ongoing investment to UNECA's business plan (2008 – 2010, 40 million SEK⁶⁰) and amended an additional investment for ACPC (2009) triggered by CCI.

During CCI: Owing to previous partnership, there was comfort in the partner's risk levels, ability to influence continental decisions, high level ownership and high relevance to Sida's regional strategy as well as to the specific mandate of CCI. A large 60 million SEK 'front-loading' grant was provided as the first CCI investment in 2009 to ACPC; a second grant of 20,8 million in 2012.

After CCI: While ACPC had delivered good results in 2013 as a result of CCI funding, there were shortfalls in reporting and the ClimDev Trust Fund was slow to be financed by other donors.⁶¹

Others' contributions: The UK kickstarted the ACPC with 5 MUSD and the EU and Norway joined in with significant commitments prior to Sweden. Other partners, like Denmark and the USA were expected to join when Sweden

⁵⁷ Conclusion on performance (2012) Gräslund, S., Sida, Addis Abeba.

⁵⁸ www.ClimDev-africa.org/governance

⁵⁹ Concluding assessment (2015) Tesfaye, M., Sida, Addis Abeba

⁶⁰ Completion memo UNECA Business Plan 2008 – 2009 (2009), Sida

⁶¹ Conclusion on performance (2013), Gräslund, S. Sida, Addis Abeba.

decided its commitment with 22 percent of the total cost of ACPC over four years.⁶² What actually happened to others' contributions to ACPC is unclear.

In 2013, the EC committed 20 MEUR to the ClimDev-Africa Special Fund (CDSF). Originally, this Trust Fund was intended to receive investment from the AfDB in synchrony with Swedish capacity support to ACPC, its management arm. Eventually, other donors supported the CDSF to become operational in August 2014 as a multi-donor trust fund established to support African countries, institutions and communities build resilience to the impacts of climate change.⁶³

Section 3 – Change Pathways and Sustainability of Investment

Change pathways: Climate information in three pilot countries (Ethiopia, Rwanda, Gambia) was mainstreamed in the National Meteorological and Hydrological Agencies resulting in climate forecasting and enhanced disaster risk mapping for vulnerable communities.

Relevance to CCI principles:

P1 Some of the poorest countries in Africa are beneficiaries of the ClimDev support

P2 Swedish funding contributed to operationalization of the ACPC and the ClimDev Trust Fund through significant value addition of funds and RBM,

P3 A strong RBM focus and efforts for donor coherence is central to the design of the investment

P4 A good link to coordinated capacity enhancement African perspectives at UNFCCC

P5 CCI is specifically referred to as a framing for the investment

P6 work with national meteorological and hydrological agencies at national and sub-national levels in various countries in Africa

P7 Improved disaster risk mapping and forecast for the public, specifically for vulnerable communities is one of the results that has been achieved through the ACPC.

Sustainability: Sida resolved in 2010 to provide continued support to ACPC to enable it to become fully operational and achieve overall goals as well as have sustainable financing. Sida aimed for continued support “until somewhere between 2015 and 2020”.⁶⁴ While Sida’s early assessments of financial sustainability showed confidence, it noted in 2015 that there were weaknesses in the programme’s overall efficiency and goal achievement with a 35 MSEK reimbursal of unutilized money from UNECA/ ACPC. However, beyond

⁶² Decision on Contribution (2009).

⁶³ ClimDev-Africa Special Fund at a glance, www.afdb.org

⁶⁴ Decision on Contribution (2012), Sida, Addis Abeba

Sida's reservations, the whole institution is a significant player at regional Africa level.

Section 4 – Strategic Highlights:

Interlinkages with the regional Africa portfolio: ClimDev was considered to be an added value and umbrella for many Sida supported efforts that could be potentially financed through the ClimDev trust Fund and become a channel for financiers to cohere various regional efforts around climate information systems.

Interlinkages with bilateral and multilateral aspects: ACPC work extended support to several of the bilateral efforts of Sida, including Mali and Kenya. UNECA's role as a multilateral organization with a regional mandate positioned it well for interlinking with many of Sida's other climate investments in Africa.

Swedish leadership was shown by the significant commitments that Sweden made to ACPC, from the outset of the design to its leadership role in the Joint Funding Agreement with UNECA since 2008. Going forward, a notable statement is "lead or no lead, Sweden will continue to be an active and driving force in the partnership".⁶⁵

Closing sentence: ACPC-ClimDev was a first investment arising from the CCI funds in regional Africa. Sweden pooled its resources to join other donors towards a common goal of building capacity in the AU to create and manage major climate information systems and policy advocacy grants. Spread across most of the continent including nationally focused work in climate vulnerable countries.

3.3 Sida's role during CCI and onwards

Here we share the evidence (i) for Swedish investment support before, during and after CCI, and (ii) for the financial support of other donors to the initiatives and/or institutions funded through the CCI Regional Africa portfolio. Table 1 provides details on the CCI disbursements as well as evidence, as far as available, of Swedish non-CCI investments to this initiative or institution before and after CCI. The last column details investments by other development partners to the initiative or institution during and post-CCI. The data were sourced from a) information available in the Sida documentation studied and b) web research on these

⁶⁵ Decision contribution (2009), Sida, Addis Abeba.

institutions and their activities. All references are to be found in the pen portraits in Annex 1.

3.3.1 Observations

Only four CCI regional Africa initiatives were solely CCI funded: PREMI, BioInnovate, WIOMSA and CAWT. The majority of CCI investments were therefore co-funded with other donors. Section 5 will give more details on two strategies (that we call piggybacking and pooling strategies) employed by Sida to join other donors. Even where CCI funds were exclusively given to a certain initiative, other donors may have been supporting other dimensions of these institutions and reinforcing the CCI investment. For example, WIOMSA had two other donor-funded projects during the CCI period (funded by EU and GEF/UNDP) that brought additional climate expertise to the institution. In other instances, CCI funds brought new climate additionality to institutions and their work, while other donors supported work on other topics in these institutions. Such was the case for BioInnovate, BecA and the UNEP-Africa Marine and Coastal Programme.

Where Sida joined an institutional landscape of other donors, we can observe the “like-minded donors”⁶⁶ active during CCI in regional Africa. Several investments benefitted from co-funding by the governments of Norway, Denmark, UK, Netherlands, the EU and the World Bank. More specifically, like-minded may refer to a number of different aspects, as can be seen in that DfID (UK) was already invested in building institutional capacities for adaptation and mitigation through certain initiatives before Sida/CCI came in, including for ACPC, ARC, and RCCP. Norad (Norway), Danida (Denmark) and SNV (Netherlands) were also co-funding several CCI initiatives. The World Bank was also active in the regional Africa space, but in addition to grants for technical assistance their larger investments were to MDTFs or infrastructure development, e.g. in EAPP. USAID (US) was another donor active in supporting MDTFs during the CCI period (ACPC and EAPP).

⁶⁶ Interview with Regional Section, Embassy of Sweden Addis Ababa. 20th February 2019.

Four of the investments were top ups to Sida grants that predate CCI. Specifically, CIWA received other non-CCI funding from Sida at the time, LVRLAC was already supported with an ongoing Sida grant and received the CCI funds as explicit add-on, the EAC Partnership Fund was enabled with CCI funding to ensure the CC Master Plan could be fully developed, and BioInnovate was already a Sida initiative that received additional CCI funds to bring a climate focus. In each case, we see that the CCI funds had a separate, specific objective within the basket of Sida funds e.g. for institutional capacity building on adaptation and mitigation, or for climate focusing.

For many of the CCI investments, Sida continued to disburse non-CCI funding after the CCI window. This was either directly to the specific initiative (i.e. RFGI and BecA), or to the institution (i.e. IUCN had PAGE after the PREMI initiative, institutional support to UNEP after the Africa Marine and Coastal Programme, WIOMSA, EAPP).

Within the latter type, some continued Sida funding was transitioned to multi-donor trust funds, specifically for CIWA, the EAC Partnership Fund and EAPP⁶⁷. The case of EAC is interesting, as the 2010-2015 regional Africa strategy (see Section 2.2) aimed for selected stronger RECs to graduate from projects through programmes with more flexible budgetary support, and it appears this was realized in the case of EAC.

Sweden, via several CCI investments, mobilized other donors to carry work forward, including via ARC, ACPC, WIOMSA, PACJA, EAPP, and EAC CC MP. Most common donors leveraged in the regional Africa space were the aforementioned “like-minded donors”, i.e. Nordic donors, Netherlands, UK, and World Bank, although others also joined in, e.g. KfW or USAID.

⁶⁷ Continued funding to EAPP via the trust fund was discussed but the available documents are unclear whether this was decided and disbursed.

3.3.2 Challenges

Some of the CCI investments were planned with a Phase 2 or follow-up initiative in mind. For three investments, Sida financed a Phase 2 or follow-up (the PREMI investment was followed with PAGE, while the ARC and BioInnovate investments were both followed by second phases). For four investments with planned second phases (UNEP-NILE, RFGI, CAWT, PACJA) the Phase 2 was not implemented, either due to internal challenges (UNEP-NILE), or for other reasons that may have included the fact that it was not possible to raise funding from other donors, as had been intended. Given that some initiatives were planned with an important second phase for scaling out, scaling up, dissemination, or other objectives, the potential for impacts may have been lowered significantly when only a first phase could be implemented. Designing exit strategies and seeking alternate linkages to share learning and to allow impacts to unfold need to become critical steps in the closing of a first phase.

Above we observed that for many investments, other donors took over or donor funding was brought together into an MDTF. While this may reinforce impacts, the reality that these regional institutions still require donor funding is not necessarily an indication of the ability of institutions to deliver results and impacts by themselves. In fact, some Sida documents mentioned the challenge for RECs and other regional institutions to call upon member governments for fees, indicating the contested space to strengthen capacities of these institutions in the long run.

Given the number of donors and initiatives in regional Africa, Sida was operating in a ‘messy’ landscape. Sida recognized the implications of this, e.g. that numerous African climate adaptation initiatives create “a chaotic situation in which overlaps sometimes lead to undermining and gaps” (see ACPC). The solution in ACPC was to design ClimDev as an MDTF intended to provide a coherent framework of coordinated climate change work. In RFGI, Sida convened the Nordic donors with the partner organization CODESRIA in a joint donor meeting. In this way, Sida’s efforts for coherence and coordination with others becomes manifest.

Table 1: CCI investments in context of other investments.

CCI Regional Africa investments	Sida investments prior to CCI	Sida investments using CCI funds (2009-2012)	Sida investments after CCI	Others donors' investments
1. ACPC (<i>ACPC is the implementing mechanism of the ClimDev-Africa Trust Fund, managed by UNECA</i>)	Sweden had an ongoing contribution to UNECA's business plan (2008-2010; SEK 40 million)	SEK 80.8 million comprising SEK 60 m in 2009 and SEK 20.8 m in 2012. This was 22% of the total cost of ACPC over four years of CCI.	Swedish investment directly to ACPC was closed in 2015 [unknown amount].	UK kickstarted ACPC with 5 MUSD, the EU 8 MEUR and Norway 1 MUSD 2009. Others (Denmark and USA) were expected to join with Sweden. ClimDev-Africa 20 MEUR from the EU; operational in August 2014.
2. CIWA (<i>a MDTF with DK, NO, SE, NL, UK, EU, hosted by the World Bank</i>)	No Swedish funding to CIWA prior to CCI.	SEK 30 million in 2012.	SIDA overall has earmarked SEK 170 million for CIWA [2012-2022].	CIWA has received over 72 MUSD in pledges and contributions.
3. NELSAP (<i>a programme of the Nile Basin Initiative</i>)	Sweden had supported the NBI and NELSAP since 2003 [unknown amount].	SEK 30 million in 2012.		Sweden to cover first year of NELSAP before processed under CIWA funding from 2014. Current donors not mentioned on the NBI website.
4. RFGI (<i>an initiative hosted by CODESRIA</i>)	Sida long-term funding to CODESRIA before CCI substantive, but not known.	SEK 30 million, comprising SEK 10 m each in 2010, 2011 and 2012.	Additional (unknown) amount of non-CCI funding given in 2013. Phase 2 of RFGI was intended; unclear whether this occurred.	Norway most active REDD+ donor in Africa during CCI; RFGI was a research initiative for REDD+.

RFGI (cont'd)			Sida continues as core donor to CODESRIA.	Norad & Danida are currently core donors. First joint RFGI meeting with CODESRIA in April 2014.
5. BecA (an initiative of the BecA-ILRI hub)	Sida has supported BecA-ILRI since 2011 [unknown amount].	SEK 30 million in 2012.	Additional non-CCI 40 MSEK invested 2013. Sida continues to provide core funding to BecA-ILRI on food security. E.g. 5.5 MUSD in 2017 to boost agricultural productivity.	The BecA-ILRI Hub established as part of the AU/NEPAD African Biosciences Initiative (ABI). BECA-ILRI now has many donors, including DfID, CIDA and others.
6. PREMI (an initiative hosted by IUCN-PACO)	Sweden supported the Volta Basin Authority before CCI [unknown amount]. IUCN-PACO received Swedish funding 2010 - 2012 [unknown amount]	SEK 29.75 million, comprising SEK 10 m in 2009, SEK 10 m in 2010 and SEK 9.75 m in 2011.	Building on the learning from PREMI, Sweden continued to support IUCN-PACO for a follow-up project, PAGE, from 2014 to 2018.	Unknown.
7. UNEP-NILE (an initiative of UNEP)	NBI and LVBC, partners of the UNEP-NILE initiative, were supported by Sida before CCI.	SEK 23 million, comprising SEK 10 m in 2009, SEK 5 m in 2010 and SEK 8 m in 2011.	Phase 2 of the project (dissemination and scaling out) was intended but did not materialize.	In-kind contributions from UNEP. GTZ was to support NBI & closely coordinate with Sida [unknown].
8. ARC (an initiative of the WFP, and currently a specialised agency under the AU)	Both the WFP and the AU had received Sida support for many years [unknown amounts].	SEK 21.5 million, comprising 16.4 m in 2011 and 5.1 m in 2012.	In December 2013, Sida funded the design of Phase 2, 55 MSEK, to establish ARC. Last Sida investment, June 2017.	WFP involved in ARC since 2010 at the request of the AUC. DfID, Rockefeller Foundation & IFAD contributed to design phase in

				2011/2012; SDC and KfW got involved later. With the initial 16.4 MSEK from CCI, Sida covered 19% of overall costs of design phase.
9. BioInnovate (an initiative currently based at the International Centre for Insect Physiology and Ecology)	SIDA had funded Bio-EARN, a predecessor to BioInnovate, 1999-2009. Sida from 2010-2014 provided a larger basket of investments to BioInnovate of SEK 90 million to which CCI added.	SEK 20 million in two equal instalments in 2010 and 2011	BioInnovate Phase II is funded by Sida with SEK 100 million for five years (2016-2021).	No other donor other than Sida is reported to have supported BioInnovate. However, the field of biotech & bioinnovation is widely supported at national levels, by the AU and multiple donors.
10. UNEP Af Marine (an initiative of UNEP)	Sida has supported UNEP's marine work prior to CCI, including the Regional Seas Programme, SEK 9.3 million in 2004-2007.	SEK 18.7 million, comprising SEK 10 m in 2010, SEK 4 m in 2011 and SEK 4.7 m in 2012.	Sida decided to give core support to UNEP of SEK 140 million through its Global Programme Unit (2014-2017).	Norway and Finland contributors to core funding of UNEP during the CCI period. FAO & Ministries of Environment important partners. IUCN's 'Mangroves for the Future..' up-scaled lessons learned from UNEP Af Marine.
11. WIOMSA (an institution)	Sida a WIOMSA partner from start 1993. During 2007-2011, 46 MSEK also given as core support. During 2000-2011, 130 MSEK total support.	13.5 MSEK, comprising 10 MSEK in 2009 and 3.6 MSEK in 2010.	Sida assistance, using non-CCI funding, continued to be invested until 2017 [unknown amounts].	During the CCI period, EU and GEF/UNDP brought add. expertise. Sida support to W's fundraising unit, gave broader membership & funding by 2013.

12. RCCP (an initiative implemented by One World Sustainable Investments South Africa)	Unknown.	SEK 10 million in 2009; terminated prematurely in 2012.		DfID had funded of the RCCP initiative with GBP 7.2 million, to which the CCI investment had added.
13. PACJA (an institution)	Unknown.	SEK 11 million, comprising SEK 6 million in 2012 and SEK 5 million in 2013.	A stage 2 proposal was in development and supported during CCI, but it is unknown whether stage 2 occurred.	PACJA staff funded in 2012 by Christian Aid & the World Bank. Following the CCI many others funded PACJA, (GermanWatch, SNV, ACT, DfID, Oxfam, FCPF/World Bank & IrishAid).
14. CAWT (an initiative under NEPAD's CAADP, with ICRAF as the implementing institution)	Sweden supported NEPAD's CAADP with SEK 46 million from 2006 to 2010.	SEK 5 million in 2010.	The project included design of a medium-term regional programme; (unclear if happened). Sida has funded other projects under the realm of NEPAD's CAADP.	No co-funding for this initiative, but probably ICRAF had other institutional donors at the time of CCI and afterwards.
15. LVRLAC (an institution)	LVRLAC supported by Sida since 2000. LVRLAC also received non-CCI Sida funds during 2010-2012 [unknown amount].	SEK 2.58 million, comprising SEK 1 m in 2010, SEK 1.5 m in 2011, and SEK 0.08 m in 2012.	The CCI grant was terminated in late 2011.	LVRLAC's website [no date] lists a number of partners, including Sida, CDKN and UN-Habitat.
16. EAPP (an institution under COMESA)	No Swedish funding to EAPP before CCI.	SEK 4 million in 2012	Regular Sida investments of 4 MSEK both 2013 and 2014. Sweden	Many donors have invested in EAPP after CCI, including: AfDB, EU, JICA, WB

EAPP cont'd				discussed a total of 15 MUSD with 11 MUSD to SAPP and 4 MUSD to EAPP through the World Bank MDTF in 2016 (disbursal status is unknown; name of MDTF unknown).	(infrastructure development); Sweden and Norway (government-to-government support); the US. Sweden joined multiple partnership within Power Africa after 2015.
17.	EAC CC Master Plan (<i>an initiative under the EAC</i>)	Non-earmarked Swedish funding to the EAC Partnership Fund since January 2008.	SEK 2.3 million in December 2010 with a 'light earmark' for development of the plan.	Sweden continued to support the EAC Partnership Fund [unknown dates and amounts].	EAC CC Strategy development was supported by GIZ. Two prioritized projects had started implementation by 2013 with funding from the EU, Norway, DfID and USAID.
18.	ECOWAS preparatory (<i>an institution</i>)	Unknown.	SEK 0.3 million in 2010.		Unknown.

3.4 Comments of Change Pathways emanating from the CCI investment period

In the preceding section, CCI funds invested in the regional Africa portfolio were shown along with those of others' contributions during CCI and onwards in time. In this section, a selection of investments will be explored to observe the change pathways that emanated from the CCI investment period. Table 2 overleaf shows Sida's investment categories, CCI investment objectives, achievements and change pathways emanating from the CCI period for a sample of five CCI investments.

3.4.1. Role of change pathways

Here we revert to Sida's own six categories for investment in the regional Africa portfolio developed by the Sida Helpdesk when the 2013 evaluation of the CCI was undertaken⁶⁸. These are used to anchor a selection of 5 different investments to create a sample of CCI investment objectives, detail what results and achievements arose during the course of the CCI period, and finally observe the diversity of change pathways that may emanate from the CCI's period of investments after completion. In a shallow dive case such as this one, this sampling of five investments is meant to create a commentary on change pathways; in a deeper dive the sampling could be more extensive and all 18 investments could have been discussed.

We use the term change pathways when detecting an influence that may signal shifts at a systemic level in the future if they are pursued. We understand this as what Westley *et al.* calls changes to a 'fitness landscape'⁶⁹ which in our case includes an institutional or governance fitness to address both social and ecological challenges for climate change adaptation, mitigation and disaster preparedness. While it would be wrong to attribute the CCI investment to a whole story of change making for institutional fitness, it can be considered one of the shapers and influencers (given early and large investments) that nudges the landscape into change pathways towards desirable responses to climate change at the regional Africa level. The Swedish Strategy for Sub-Saharan Africa 2010-2015 mirrors the same observation: "Swedish regional support to Africa can underpin and promote, but not create, the necessary preconditions and solutions."⁷⁰ For example, in the East Africa Commissions Climate Change Master Plan, the CCI investment facilitated five national climate change plans, strategies and legal instruments by 2012. These signal a shift towards nudging the possibility of using these plans, strategies and rules to make choices

⁶⁸ Wingqvist, et al. (2013)

⁶⁹ Westley, F. Zimmerman, B. Quin Patton, M. (2006).

⁷⁰ Regeringskansliet (2010).

that are climate sensitive – in this way a change pathway is opened up to enable enhanced institutional or governance fitness.

3.4.2 Comments on Change Pathways

We note the diversity of change pathways emanating out of investments in the post CCI period, as documented in Table 2.

Firstly, reading Table 2 horizontally we find a diversity of change pathways emanating from individual CCI investments. For example, EAC CC Master Plan was categorised by Sida’s helpdesk with an emphasis on ‘policy and administrative management for climate change’, but connected to achievements during the CCI period, the change pathways towards addressing climate change adaptation, mitigation and disaster risk reduction that emanated have implications for the future beyond the CCI period. We found at least three change pathways that opened up: i) Facilitating the realm of national planning and legal instruments unfolding 2012 onwards (policy influence); ii) Increased endowment of funds to EAC for climate change projects (enhanced funding); and iii) EAC’s realm of governance influence reaching the international level (increased macro or international governance influence).

Table 2: Investment categories, objectives, and achievements

Six categories of investments by Sida’s helpdesk (Wingqvist et al)	Objective and purpose during the CCI investment (2009-2012)	Results / Achievements as reported by Sida during the CCI period (2009-2012)	Diversity of Change Pathways emanating from the CCI period
Category 1. Enhancing resilience to climate change.	BioInnovate ⁷¹ The objective of the CCI investment was the provision of grant awards for innovations in	Platform for African science innovation for climate affected food crops and waste treatment; Specific crops offered to small farmers for climate	Infusing entrepreneurial thinking into science-driven teams: Bringing African, science driven adaptation

⁷¹ Sida’s category classified none of the 18 investments as showing primary emphasis of this category, but tertiary emphasis in this category is seen in BioInnovate.

	the fields of adaptation to climate change, specifically for crop productivity and resilience to climate change in small-scale farming systems and to improve efficiency of agro-processing industry to add value to local bio-resources in a sustainable manner to bring impacts on the ground. ⁷²	resilience. Induced entrepreneurial thinking into scientific ventures; Linking of some private sector agribusiness to bioinnovation. ⁷³ Rolling out new varieties & tech: East Africa-wide applications of new sorghum and millet varieties, climate resilient seeds for cassava, potato, sweet potato; bean growing technologies; better use of agro-industrial waste through bio-energy and mushroom production (mitig); processing of waste waters through constructed wetlands (mitig) and green approaches to bioproducts from fish waste. ⁷⁴	solutions closer to end users. ⁷⁵ Introducing small farm systems to have climate sensitive applications of food and bioenergy resources.
Category 2. Policy and administrative management for climate change.	EAC CC Master Plan: The purpose of the CCI investment for the creation of the Master Plan is to provide a long-	Achievements: ⁷⁷ 27 th Meeting of the Council of Ministers of EAC in August 2013 approved the EAC CC Strategy and the EAC CC Master Plan and EAC Disaster Risk	i) Change pathways in the realm of nat'l planning & legal instruments 2012 onwards: Consultative nature of plan development

⁷² BioInnovate (2010)

⁷³ BioInnovate (2010) *ibid*.

⁷⁴ BioInnovate (2010) *ibid*.

⁷⁵ Conclusion on Performance (2015), Behravan, G. SIDA Nairobi

⁷⁷ Results Report from EAC / Responses to Sweden. 29 April 2014.

term vision and a basis for Partner States to operationalise a comprehensive framework for adapting to and mitigating Climate Change in line with the EAC Protocol on Environment and Natural Resources Management and with international climate change agreements. The Master Plan's Vision is to ensure that: "The People, the Economies and the Ecosystems of the EAC Partner States are climate resilient and adapt accordingly to Climate Change." ⁷⁶	Reduction and Mgmt Strategy, & operational modalities for the EAC CC Fund. EAC CC Policy had been approved by the EAC Heads of State Summit. April 2011. All 5 EAC partner states have prepared national documents: Burundi's Nat'l CC Policy and Strategy (2013), Rwanda's CC and Green Growth Strategy (2012), Kenya's Nat'l CC Response Strategy (2010) & Action Plan (2013-2017) & draft CC Policy and Bill, Tanzania's Nat'l CC Strategy (2012), Uganda's Nat'l CC Policy (2013). Implementation of interventions as prioritized in EAC CC Master Plan, including attracting donor finance. EAC accredited by UNFCCC as observer, Dec 2012.	(national & regional levels) rigorous analysis undertaken at country level led to enhanced capacity, knowledge & ownership amongst policy makers, timely uptake of plans & legal instruments. ii) Increased endowment of funds to EAC for CC projects ⁷⁸ : EAC Partnership Fund's increased donor support since establishment, EAC attracted more funding towards CC projects iii) EAC's realm of governance influence reaches the int'l level: EAC propelled itself to be taken seriously regarding CC at the international level: EAC's accreditation as observer to the UNFCCC.
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⁷⁶ <https://www.eac.int/environment/climate-change/eac-climate-change-policy-framework>

⁷⁸ <https://www.eac.int/environment/climate-change/projects>

Category 3. Education, training and awareness on climate change; And Category 4. Climate studies, scenarios and impact research.⁷⁹	3. UNEP Af Marine: The purpose of the CCI investment was to assist in implementing UNEP's Marine and Coastal Strategy in Africa for prosperous and healthy oceans and coasts where conservation, productivity, and resource use are sustainable. It's aim was to develop and reinforce existing legal instruments and strengthening capacity of regional and national bodies with marine and coastal mandates. ⁸⁰	Vulnerability assessments of marine and coastal ecosystems have become part of National Action Plans, National Climate Response Strategies, and Policies on Integrated coastal zone management.	i) Enabling development of policy and laws for transboundary marine and coastal management through regional dialogues, national plans and policies, and integrated coastal plans. ⁸²
		Strengthening of the Nairobi and Abidjan Conventions as platforms for collaboration of member states of marine and coastal issues. ⁸¹	ii) Enhancing the ability of member states to report on marine environment according to the UN Regular Processes & implement COP 10 decisions with regard to WIO. ⁸³ iii) Creating framework for continued investment for regional sharing of data & joint management of marine resources & address sensitive political issues such as oil and gas exploration. ⁸⁴

⁷⁹ In the portfolios, education, training and awareness was difficult to discern, therefore, we have decided to merge these two categories for illustrative purpose.

⁸⁰ Conclusion on Performance (2014) Oberg, S. SIDA, Nairobi

⁸¹ Conclusion on Performance (2014) *ibid.*

⁸² Assessment Memo (2010)

⁸³ Conclusion on Performance (2014) *ibid.*

⁸⁴ Decision on Contribution (2014)

Category 5. Coordination on climate change measures and activities across relevant actors.	<p>SIDA's aim for ACPC investment of CCI was to enable ACPC to become fully operational⁸⁵ achieve overall goals and have sustainable financing.⁸⁶ The overall objective of ACPC was to improve climate information systems, analysis and decision making, in order to make policies and decisions on practices in Africa take full account of climate change risks and opportunities at all levels. ACPC was to play a lead role in knowledge generation, dissemination, policy advocacy and provision of advisory and capacity building services.⁸⁷</p>	<p>Climate information in three pilot countries (Ethiopia, Rwanda, Gambia) was mainstreamed in the National Metrological and Hydrological Agencies resulting in climate forecasting and enhanced disaster risk mapping for vulnerable communities.⁸⁸</p> <p>Five African countries developed investment plans for national meteorological and hydrological systems.⁸⁹</p> <p>Core Sida funding supported the operationalisation of ACPC as an institution.⁹⁰</p>	<p>i) Facilitating an evidence-based climate policy hub for Africa in the AU.</p> <p>ii) Enhancing scientific regional data to be incorporated within Africa's climate change dialogues.</p> <p>iii) Strengthening climate evidence from the Africa region to be incorporated within the African Group of Negotiators during UNFCCC and interim working groups.⁹¹</p>
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⁸⁵ Sida's category classified none of the 18 investments as showing primary emphasis of this category, but secondary emphasis in this category is seen in ACPC.

⁸⁶ Decision on Contribution (2009), Godana, T. SIDA, Addis Ababa

⁸⁷ Concluding Assessments (2015), Tesfaye, M. Addis Ababa

⁸⁸ Conclusion on Performance (2012) Graslund, S. SIDA Addis Ababa

⁸⁹ Conclusion on Performance (2012) *ibid.*

⁹⁰ ClimDev Africa Special Fund at a Glance www.afdb.org

⁹¹ Conclusion on Performance (2012) *ibid.*

Category 6. Climate Change Funds.	CIWA ⁹²	Increased transparency and involvement of stakeholders taken up by CIWA management on Sida's request. ⁹³	i) Influencing the MDTF to improve operational perspective about gender, stakeholder participation & access to expertise.
	Sida committed CCI funds towards the early stages of CIWA together with other donors, with the aim of operationalizing the MDTF with improved processes. The objective of the CIWA programme is to aid sustainable climate-resilient growth through strengthened cooperative management and development of international waters in Sub-Saharan Africa.	Improved gender indicators for CIWA results framework. ⁹⁴ Integrated Sida's learning from long-term experiences with transboundary rivers into CIWA's planning, and recommended CIWA to invest in relevant basins and organisations, including NBI and NELSAP, Volta Basin Authority, Niger Basin Authority, ECOWAS Water Resource Coordination Center, SADC Groundwater Management Institute. ⁹⁵	ii) Creating a shift from project funding to donor coordination & programs. Coordination required also at basin, regional & global levels. iii) Encouraging debates in the Advisory Committee on climate resilient growth. iv) Targeting climate vulnerable populations around river basins, enabled by the inclusion of gender perspectives, more participatory decision making.

As another example, the CCI investment UNEP Africa Marine categorized under Sida's climate awareness and studies category (compounding Sida's category 3 and 4) set out to develop and

⁹² Sida's category classified none of the 18 investments as showing any primary or secondary emphasis of this category, but we would classify the CIWA investment to have a high relevance to this category.

⁹³ Letter from Embassy of Sweden (Nairobi) to World Bank, dated 5 April 2012.

⁹⁴ Conclusion on Performance. Vink, M. SIDA 2014-11-25.

⁹⁵ CIWA Conclusion on Performance. July 2013. Gestblom Perrolf, K. SIDA 2013-07-24.

reinforce existing legal instruments and strengthening capacity of regional and national bodies in the marine field. We found three change pathways emanating in the post CCI period: i) Enabling development of policy and laws for transboundary marine and coastal management (policy); ii) Enhancing the ability of member states to perform global reporting on the marine environment (macro governance participation); and iii) Creating framework for continued investment for regional sharing of data and joint management of marine resources (enhanced funding).

Secondly, reading Table 2 vertically we find a diversity of change pathways emanating from the portfolio. We will confine this to an appreciation of the diversity of these change pathways, opting out of a systematisation of them, which will require a more extensive analysis of all the CCI investments in regional Africa.

At a portfolio level, we see change pathways that affect all levels of responses for climate adaptation, mitigation and disaster risk reduction: from small farmers to national decisions to intergovernmental conventions and even donor processes, as well as dialogue and knowledge sharing between levels there are enhancements and capabilities emanating after CCI. This diversity of change pathways on various levels of responses gives an indication of the potential shifts in the overall fitness landscape of regional governance to enable climate sensitive development to come into the realm of the possible if pursued further. Preparing such fitness landscapes is particularly important given complex systems in an uncertain climate future.

Thirdly, we relate the diversity of change pathways into the regional context.

In this chapter, we have offered a flavour of the diversity of change pathways that can emanate from regional Africa CCI investments. Table 2 gives insight into a sample of the work done through results and achievements of the CCI and of the institutional spaces and governance levels in which it operates to what investigation 1 had described as the development and policy levels of a landscape that calls for an enhanced fitness to become climate sensitive.

Continuing beyond this sample, next this report will delve deeply into a case study on transboundary river systems in the regional

Africa portfolio. It will explore in more detail the change pathways during and after the CCI period, especially in relation to governance shifts influenced by CCI towards a fitness landscape.

In the case study that ensues, a deliberate choice has been made to use a complex systems lens and some conceptual language that has been introduced in this chapter namely, change pathways and fitness landscapes. Although much of 2009-2012 framings of CCI investments at the Sida level are based on the results-based management tools and language, ten years on in the current time, climate change and its compelling complexity merits more the language that better captures complexity.

4: Case Study, Transboundary River Basins

4.1 Introduction to Case Study

The case study is designed to help answer the main evaluation questions around change pathways and sustainability and forms a learning story. It offers observations on change pathways, sustainability and systemic contribution to a fitness landscape around the theme of transboundary river basins. This case study considers the system under study to be the field of transboundary river basins within CCI's regional Africa portfolio. It represents an 'evaluative slice' into one third of the funds that totalled CCI regional Africa during 2009-2012.

The focal field of data used for this case study is the same as for the entire regional Africa portfolio, which comprises internal Sida documentation (mainly emic data), already summarized and analysed in the Pen Portraits (Annex 1), in addition to web research (thus etic data) mainly for section 4.4 below.

The theme of transboundary river basins is a purposive sample, as it is one of the main thrusts of the regional Africa portfolio. The rationale for its importance is already centre stage from CCI principle 6 "central areas are water and land-use in urban as well as rural areas", the Closing the Gaps report 2009; expressed through CCI principle 5 and through all the Sida regional strategies from 2002 onwards, as shown in the following paragraphs.

62 per cent of Africa's total land area is covered by transboundary river basins⁹⁶. Over 90 per cent of water in Africa is in river basins that are shared by two or more countries⁹⁷, thus a significant proportion of the population is dependent on the resources from and around these river basins. Furthermore, most of Africa's major rivers are shared between two or more countries. This reality makes

⁹⁶ <http://documents.worldbank.org/curated/en/239901487091959473/pdf/AUS11561-WP-REPLACEMENT-PUBLIC.pdf>

⁹⁷ <http://www.worldbank.org/en/programs/cooperation-in-international-waters-in-africa>

a compelling case for the importance of this aspect of regional cooperation for Sweden, even more so during and after CCI, given that water is one of the resources most affected by climatic changes⁹⁸.

The Closing the Gaps report in 2009⁹⁹ already stated that “There is a need to address climate change at the level of river basins and agro-ecological zones, making regional agencies more important” (p.28). The latter part of the report gave insights into the thematic area of water, with a rationale for adaptive water management from local to global levels: “At the regional level, the focus should be on the transboundary water management arrangements. By its nature, water resource management is located at the level of the basin or catchment area that rarely corresponds with political or administrative boundaries. [...] Transboundary water management is costly and resource-intensive but can yield tremendous benefits (e.g., regional peace and stability)” (p.77).

The Swedish regional Africa strategies showed a continuity in their emphasis on water as a key natural resources, often referring to work in shared river basins and explicitly mentioning river basin organizations. New thematic additions within the water sector in 2010 included energy, agriculture and relations to food security, and in 2016 added marine, fisheries, and renewable energy.

Currently, many donors beyond Sida are active in Africa’s transboundary river basins, including World Bank (CIWA¹⁰⁰ until 2020), GIZ’s Transboundary Water Management in SADC¹⁰¹ (2016-2019), and the joint GWP-NEPAD project (2019-2024) that is supported by AfDB and others¹⁰².

The seven regional Africa CCI investments that worked directly in, and relate to transboundary river basins totalled a value of SEK 121.63 million during CCI, comprising 35 percent of the total regional Africa CCI funds¹⁰³. Figure 5 shows that these seven

⁹⁸ See also Sida Environment and Climate Change Team. 2009-12-03.

⁹⁹ Commission for Climate Change and Development. 2002.

¹⁰⁰ <http://www.worldbank.org/en/programs/cooperation-in-international-waters-in-africa/brief/political-economy-analysis-for-transboundary-water-resources-management-in-africa>

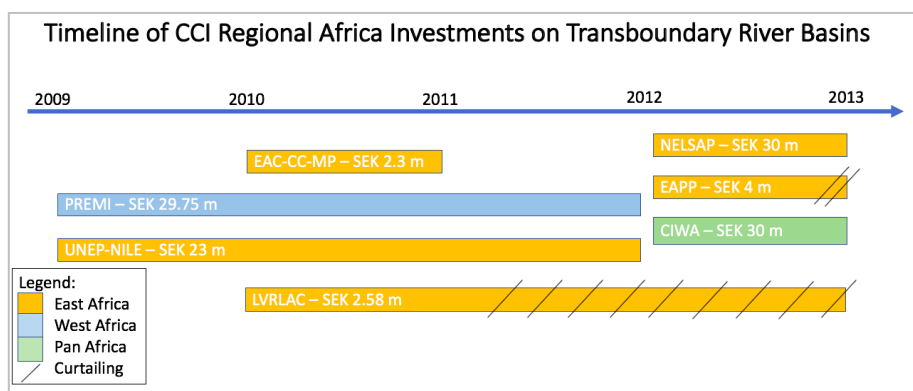
¹⁰¹ <https://www.giz.de/en/worldwide/14931.html>

¹⁰² <http://sdg.iisd.org/news/gwp-supports-transboundary-water-projects-iwrm-in-africa/>

¹⁰³ This was approximately USD 17 million during the CCI period.

investments cover a) a range of financial amounts contributed by CCI (from LVRLAC with SEK 2.58 million, to NELSAP and CIWA each with SEK 30 million), b) a range of timings with respect to the four years of CCI, as well as c) a range of geographical spread or reach.

Figure 5



This case study aims to give insights on various levels of governance in these transboundary river basin investments, discover linkages between the investments, and offer observations on sustainable change pathways.

In this regard, the regional Strategy 2010-2015 for the sector ‘Environment and Climate Change’ states that “Support is to include contributions to democratic management and protection of water resources”, where “Contributions may aim at strengthening institutional capacities, environmental management and/or harmonised environmental legislation”¹⁰⁴ (p 8). As we have seen elsewhere (section 2.2.) the main emphasis in the Swedish approach to regionalism is on strengthening capacities and improving governance (the latter suggested in the Strategy Mid-Term Review in 2013¹⁰⁵).

This case study specifically looks into the strengthening of regional African institutional capacity and the realms of governance

¹⁰⁴ Regeringskansliet (2010).

¹⁰⁵ Promemoria. Executive Summary of Mid-term Review Regional Africa Strategy – Conclusions and Recommendations. 2013-04-05.

influencing to produce results that address climate change adaptation, mitigation and disaster risk reduction within transboundary river basins in the short term (i.e. during and directly after CCI). Potential change pathways refer to shifts and opportunities that are opened up or reinforced by investments towards adaptation, mitigation and disaster preparation to emerge in the future, and this case study will start to explore this in the last chapter.

4.2 Governance levels affected by CCI results

This section of the case study analyses the results of the seven investments, i.e. during the CCI period.¹⁰⁶ Table 3 shows the intended outcome that each transboundary river basin related investment in the CCI Regional Africa portfolio was designed for¹⁰⁷, and the investments' results that manifested over the CCI period¹⁰⁸. It then maps these results to four levels of governance to which these results contributed. The results are taken mainly from each investment's completion reports, in this way documenting at what point in time Sida stops measuring an investments effects, and these are mostly stated as results or achievements. It is worth noting here

¹⁰⁶ We use the word 'governance' to approximate the concept of multi-level governance as used by the Stockholm Resilience Center to mean "governance must be able to not only coordinate relevant actors at local, regional and global scales, but also achieve collective action rapidly before critical thresholds are transcended." <https://www.stockholmresilience.org/research/research-streams/stewardship/multilevel-governance.html>

¹⁰⁷ NELSAP: Contribution Completion, final. SIDA. Holmberg, K. and Jonsson, U. 2016-01-14; CIWA: Conclusion on Performance. SIDA. Vink, M. Nairobi. 2014-11-25; CIWA Conclusion on Performance SIDA. July 2013. Perrolf, K. B.; NILE: Contribution Completion, final. 2015-05-25. Vink, M.; IUCN-PACO (2013). Mainstreaming the environment in poverty alleviation policies: Influencing policies and practices through dialogue and dissemination of innovative responses. Ouagadougou, Burkina Faso : IUCN; EAPP: EAPP Project Brief. August 2012. RNE-SIDA financed 2012-2014 Program for Enhancing the Operationalization of the Coordination Center (CC) and Independent Regulatory Board (IRB) – 2012-2014; LVRLAC: Beslut om insats. Embassy of Sweden Nairobi and Sida. 2010-11-29; EAC: Swedish Embassy Kampala. Nordin, K. 5 October 2010. Memo: Support to the EAC for the development of a climate change adaption master plan for East Africa- 2010/11.

¹⁰⁸ NELSAP: Contribution Completion, final. SIDA 2016-01-14; CIWA: Conclusion on Performance. SIDA. Vink, M. Nairobi. 2014-11-25; CIWA Conclusion on Performance SIDA. July 2013. Perrolf, K. B.; PREMI: Contribution Completion, final. SIDA. 2015-08-31. Junker, B. et al. Addis Abeba ; Conclusion on Performance, annual and Handover. SIDA. 2013-03-03. Graslund, S.; NILE: Contribution Completion, final. 2015-05-25. Vink, M.; EAPP: Completion Document. Ekman, L. L., 2012. Royal Norwegian Embassy; LVRLAC: Hand-over, final. SIDA. 2016-07-19. Fruhling, P., and Jonsson, U.; EAC: EAC Responses to Sweden. 2014. Nairobi.

that a comment on CCI's role in achieving the stated results, in relation to other donors' support, can be found in the pen portraits.

For the purposes of this case study, governance shifts at macro, meso and micro levels are classified and described in the following four bullet points, and based on the understanding that Sida's regional Africa investments were designed to strengthen institutional capacities to shape the multi-level (governance) change required to effectively address climate change adaptation, mitigation, and disaster risk reduction. Through a complexity lens, this mean that governance shifts are made so as to open up change pathways that may allow for a better fitness of institutions to respond to climate change effects.

The **international governance** level considers results in relation to international conventions and global fora.

The **macro governance** level considers results in relation to 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.

The **meso governance** level considers results in relation to 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.

The **micro governance** level considers results in relation to local development planning for climate change, local pilot testing, increased inclusion, improved tools, and greater awareness of climate change.

Table 3 highlights a range of CCI results associated with each level of governance, and the following paragraphs will describe the resulting governance shifts per level.

At the international governance level, a regional stakeholder, the EAC, gained accreditation to the UNFCCC, enabling participation and influencing of East Africa regional actors, agenda and learning in relation to climate change.

Multiple developments associated with shifts at the regional Africa macro governance level included:

- ministerial commissions approve climate change strategies and master plans;
- develop legal instruments to address climate change, such as adopt a Forest Convergence Plan for ECOWAS, or initiate a regional climate change bill;
- policy ratification, such as Niger Basin Water Charter or EAC Disaster Risk Reduction and Management Strategy, or Climate Change Adaptation and Mitigation in Eastern and Southern African Region on Climate Smart Agriculture adopted as a program in Southern Africa;
- multi-country MoUs such as between UNEP and NBI, or between Nile Equatorial Lake countries for joint interventions in three countries; and
- the leveraging of regional financial investments e.g. USD 7.8 billion through CIWA; and
- the consolidation of regional institutions, e.g. CIWA supported by NELSAP and Volta Basin Authority.
- Multiple developments associated with shifts at the regional Africa meso governance level included:
 - management plans at river and sub-basin level, such as water resource management systems in three Nile Equatorial Lakes (NEL) basins, scientific assessments of climate change impacts in the Nile Basin, and a Master Plan for regional power trading in East Africa;
 - institutional strengthening of regional authorities, including Zambezi, Volta, Niger, SADC support to Ground Water Management Institute;
 - regional dialogues such as ECOWAS with governments on dams and IUCN-PACO with civil society on dams;
 - increased pipelines of investments in 3 Nile Equatorial Lake (NEL) river basins;
 - national climate change policies or green growth strategies formulated in 5 countries;

- improved regional technical capacity, including 120 professionals trained in decision support systems, flood preparedness tool, Batoka Gorge Hydro Energy project and Lesotho Highlights-Botswana Water transfer study.

Multiple developments associated with shifts at the regional Africa micro governance level included:

- local development planning for climate change, including sub-basin and community development plans in NEL countries;
- local pilot testing, such as in Ethiopia and Uganda where local institutions and communities increase adaptive capacities and feed practices to guide policy;
- increased inclusion, such as the specific inclusion of women and poor voices in the Nile Basin discourse, and the EAC Climate Change Master Plan addressing vulnerable groups of women, poor and marginalized;
- improved tools, including hydrological and meteorological services and early warning systems for flood and drought in East Africa, analytical tools at sub-basin level in Nile Basin countries to support adaptation actions;
- greater awareness of climate change, including community awareness of climate change plans in three sub-basins in NEL countries, in West Africa increased media capacity on climate change, environment and mining.

Overall, the mapping in Table 3 shows that results were attained at all three macro, meso and micro levels through a mix emanating from all seven transboundary river basin investments of CCI. Noteworthy, at the international level is the unique addition that was made through accreditation of the EAC to the UNFCCC in 2012, contributed to by a CCI investment.

From nearly all of the seven investments of this case study, results have been mapped that fall into each of the levels of governance from micro to meso to macro. A noteworthy exception here is EAPP, where results in the CCI period were associated only

with the meso level in the East Africa region. However, we are aware that this institution has subsequently grown and enlarged (see section 4.3 below).

Historically, Sida had placed less emphasis on West Africa than East Africa (as critiqued also in the 2010-2015 Strategy Mid-Term Review¹⁰⁹), and this is similarly reflected in the investments of this case study, of which six out of the seven were active in Eastern Africa. However, Sida also included West Africa through the investment PREMI and the continent-wide investment of CIWA, thereby casting a wider governance net. As already seen in Table 3, both of these investments resulted in shifts at all three levels of governance from micro to meso to macro.

4.3 Linkages within the Transboundary River Basin Investments of CCI

This part of the case study will explore linkages between the CCI transboundary river basin investments in Regional Africa, relating to timing, geography, and linkages between institutions and results. Firstly, the RECs and the river basin authorities that Sida chose to work with were not incidental, with many having been supported by Sida in the past (see Section 3.3 and Annex 1). This enabled Sida to judge the potential value of further investment in order to leverage them into new spheres of governance. It is also worth noting that a number of these investments were designed to have a Phase 1 (during CCI) and a Phase 2 (post CCI)¹¹⁰ that would aim at sharing and scaling out results, linking institutions and other activities to enhance capacities.

In 2009, at the beginning of the CCI period, the first two CCI transboundary river basin investments, PREMI and UNEP-NILE, were located in Eastern and Western Africa respectively (see Figure 5 above). We find a number of parallel aspects in their design. Each

¹⁰⁹ Promemoria. Executive Summary of Mid-term Review Regional Africa Strategy – Conclusions and Recommendations. 2013-04-05.

¹¹⁰ Sida financed a Phase 2 or follow-up for PREMI (followed by PAGE), ARC Phase 2, BioInnovate Phase 2. For four CCI contributions (UNEP-NILE, RFGI, CAWT, PACJA) a Phase 2 was planned but not implemented.

strengthened a large river basin authority (Nile Basin Authority, NBI, and Volta Basin Authority, VBA). Furthermore, the implementing institutions, UNEP and IUCN-PACO respectively, were both trusted institutions for Sida, and the partner RECs (IGAD in the Horn of Africa, and ECOWAS in Western Africa) were institutions that Sida had previously partnered with. In this way, these two investments were both significant in financial terms (close to SEK 30 million each) within the regional Africa CCI portfolio, and both commenced early in the CCI period.

In 2010, two further investments under CCI were made with partner institutions working at different levels of governance. The EAC Climate Change Master Plan was funded for one year to work at the macro governance level of the REC, whereas LVRLAC is an organization comprised of sub-national administrations. Both institutions (in the case of EAC through its Partnership Fund) had been supported by Sida prior to CCI, whereas the CCI funds were given as additional investment to focus these institutions' work more towards climate aspects (see investigation 3): in the case of EAC, the CCI funding was earmarked for the Climate Change Master Plan, whereas the focus for LVRLAC was to support development of climate plans at the sub-national level.

In 2012, the final year of CCI, Sida chose to strengthen CIWA and NELSAP with large disbursements of SEK 30 million each, while the third CCI investment that year was given to EAPP - a relatively small amount of SEK 4 million over one year for master planning for power trading within East Africa (Figure 5).

Figure 6 overleaf reveals how CCI transboundary river basin investments were strategically linked by Sida to support and enable synergies and shifts in governance levels at regional Africa level. The examples that follow illustrate various linkages that Sida created or enhanced in the CCI transboundary river basin investments.

Enhancing linkages between NELSAP and CIWA to transition NELSAP to CIWA funding. An important link that emerged through conscious support is illustrated in the way in which Sida, through its CCI investment to NELSAP in 2012, strengthened and thus enabled NELSAP to receive CIWA funding once CIWA started to disburse project funds in 2014. This was to not only reduce the

management strain on Sida¹¹¹, but – importantly – to incorporate lessons learnt from the CCI investment to NELSAP, via its parent organization NBI, into the new multi-donor trust fund CIWA. Furthermore, the CCI investment to UNEP-NILE supported NBI also, which was its partner organization, and advised the development of a programme that was later proposed to and funded by CIWA.

Institutional strengthening for transitioning to CIWA in Western African river basins. Similarly to the way NELSAP was strengthened during CCI, the Volta Basin Authority (VBA) and ECOWAS Water Resources Coordination Center as partners of the CCI investment PREMI received capacity development support, while later CIWA continued to work with and support both of these regional institutions¹¹².

Paving the way for enhanced knowledge sharing in the Nile Basin. In a third example of working with linkages, Sida was able to strengthen an emerging partnership between the NBI and UNEP through its CCI investment UNEP-NILE. One result involved signing an MoU between these two institutions, paving the way for data and knowledge sharing across national boundaries. The investment then was able to focus on research and capacity building support to build resilience in ecosystems and economies within climate hotspots of the Nile Basin. Notably, the NBI is supported by the Nile Basin Trust Fund (NBTF), to which Swedish assistance has been extended since NBTF's creation in 2001¹¹³.

Taking up emerging topic of renewable energy and power sharing. During the course of CCI's support to NELSAP, it became clear to Sida that the highly political context of renewable energy and hydroelectric power sharing in Eastern Africa required political dialogue and leadership. In this connection, Sida made contacts with senior US officials who were preparing to position a new programme, Power Africa, through the African Development Bank. Subsequently, Sida decided in 2012 to give a small grant of SEK 4

¹¹¹ CIWA: Conclusion on Performance *ibid*

¹¹² <http://www.worldbank.org/en/programs/cooperation-in-international-waters-in-africa#2>

¹¹³ <http://www.worldbank.org/en/news/feature/2019/02/22/stronger-together-20-years-of-cooperation-around-the-nile>

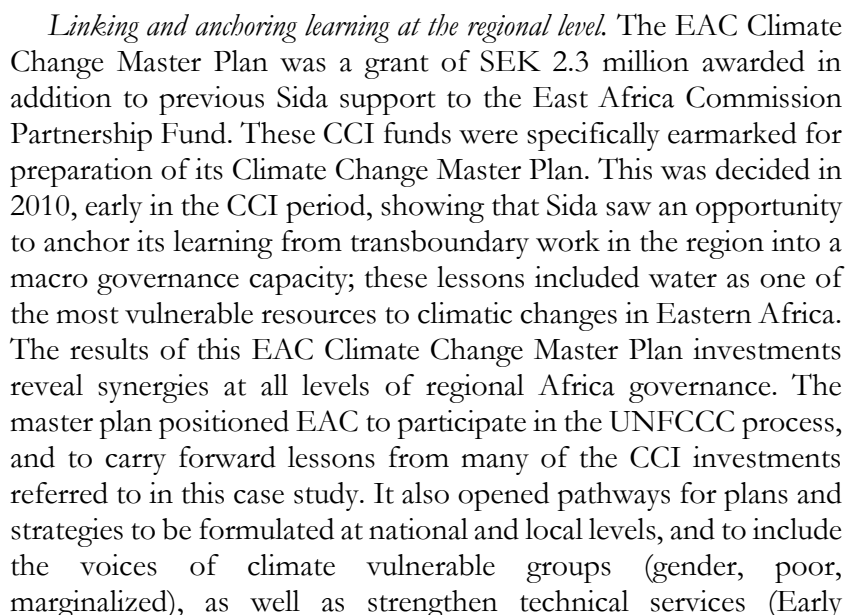
million to EAPP to prepare a master plan on power sharing and connectivity, enabling EAPP to benefit from Sida's long-standing comparative advantage in building institutional capacities, knowledge sharing, and governance strengthening. In this way, Sweden subtly but strategically built a basis for the political accord needed amongst these countries to share power and connectivity.¹¹⁴ This also readied EAPP for major renewable energy disbursements in East Africa, including through the US' special programme Power Africa, and mobilized actors such as USAID, KFW and the World Bank, all of whom have a comparative advantage in infrastructure investments. Furthermore, Sweden promoted learning from other CCI investments in the region, such as NELSAP, for managing resources in transboundary rivers in order to understand power sharing across boundaries. Over time, NELSAP itself – being the investment program of the NBI – attracted funds for and oversaw implementation of projects in the renewable energy and transboundary energy sharing realms¹¹⁵.

Enhancing learning linkages across various governance levels around Lake Victoria. Sida was involved with both Lake Victoria Basin Commission (LVBC) and NBI prior to CCI. Both these institutions had lessons to offer for climate planning in LVRLAC whose constituent members are sub-national level, local administrations. Sida had begun capacity building work with the LVRLAC prior to CCI (i.e. 2004-2008) and was confident in the achieved results. However, CCI funds had to be curtailed due to reports by whistleblowers in March 2011. Connected to this experience, but lying outside of the CCI regional Africa portfolio, Sida committed SEK 16.5 million to SIWI (Stockholm International Water Institute) from 2012 to 2014 to improve understanding of water-related ethical practices in the regional, national and local levels of Western, Eastern and Southern Africa. This SIWI investment reflects a learning experience and active response to sustained problems

¹¹⁴ Stalgren, P. (2016) Travel report, Embassy of Sweden Nairobi, 2nd July. Most of these observations are built on what is captured in the Pen Portraits, however because of the subtlety of the linkages which lie between and inside the investments we have also used primary reference documents from the embassy archives.

¹¹⁵ <https://www.theeastafrican.co.ke/business/African-states-to-interconnect-power-grids-/2560-2718798-46w76b/index.html>

Figure 6: Interlinking of transboundary river basin investments



Warning Systems) in East Africa. The EAC Climate Change Master Plan investment was used to scale learning and promote multi-level governance influences and linkages.

Concluding this chapter, we propose this interlinking as a form of institutional engineering to enhance systemic shifts. While some linkages may not have been formal, many CCI investments did share learning and lessons even across the continent and across sectors. All of this indicates a deliberate and strategic orchestration by Sida of investments and support to the different regional institutions.¹¹⁶ Whilst this is an emerging conclusion from the case study, to enlarge such observations to apply to the whole regional portfolio would require more extensive research using similar methodological approaches.

4.4 Sustainability through Regional Institutions

Sections above have shown CCI regional Africa investments associated with transboundary river basins in time and space. They have mapped results of these investments to governance levels. We then showed linkages actively forged by Sida between these investments. Here, we cast an eye to the current time by taking a cursory look at the regional institutions to highlight the richness of regional transboundary river work that has emerged.

We set about in this case study to offer observations on sustainable¹¹⁷ change pathways related to the transboundary river basin investments of CCI, in line with what was set out in the Invitation for Proposals, “the main aim of the evaluation is to gain in-depth understanding of the long term effects and sustainability of the CCI”¹¹⁸. As in previous chapters of this case study, we offer in-depth reflections by creating tools for the analysis of available data.

¹¹⁶ This insight was offered by the first review of this report by the Evaluation Reference Group, 1st May 2019

¹¹⁷ EBA. 2017-03-06. Invitation for proposals: Evaluation of the Swedish Climate Change Initiative 2009-2012.

¹¹⁸ Sustainability for the purposes of the evaluation is defined as “the viability and longevity of achievements financed by development aid once financing is withdrawn”. EBA. 2017-03-06. Invitation for Proposals: Evaluation of the Swedish Climate Change Initiative 2009-2012.

This chapter, based mainly on data obtained in website searches, does not aim to be comprehensive. As a deep dive might have allowed, in this shallow dive case, we abstained from a comprehensive exploration and analysis of linkages between past (i.e. CCI) and present times. Rather, this chapter aims to give a snapshot of the longevity of regional institutions and opportunities for climate related work.

Table 4 overleaf first shows which regional institutions were supported by Sida case study investments ¹¹⁹. As proxies for longevity and change pathways, it then provides details on these institutions and their work at the current time, specifically on a) their continued existence; b) the sustainability of their work on climate change; c) other donor funding they have received in the post CCI period.

The first observation from Table 4 relates to the column titled ‘Associated Regional Institutions’. It is already notable that the seven regional CCI investments in this case study were associated with many more regional African institutions. Particularly, the CCI investments supported or worked with two different kinds of regional institutions, namely RECs and river basin authorities, and frequently worked with a combination of both.

Overall, Table 4 shows that a) all regional organizations supported in the case study investments continue to be operational (with the possible exception of LVRLAC where we cannot be certain), b) for about half of these institutions, their current activities explicitly include the climate change realm, and c) a large array of donors have contributed to these institutions in the post CCI period. The following paragraphs will discuss each column in turn.

Table 4: Current aspects of regional institutions that received CCI investments

CCI investment	Associated regional Institutions	(a) active in 2019?	Still in	(b) Sustained activity in climate realm?	(c) Highlights of other’s contributions post CCI
NELSAP	NBI	Yes		Yes ¹²⁰	Many multi- and bilateral donors ¹²¹ mostly via Nile Basin Trust Fund
CIWA	Zambezi River Authority	Yes		Not explicit	Unclear

¹¹⁹ Institutions are not repeated in this table, e.g. NBI’s NELSAP-CU was also partners of CIWA, or VBA was also partner of PREMI.

¹²⁰ Approved Climate Change strategy in June 2013
<http://nileis.nilebasin.org/system/files/23.10.13%20climate%20change%20strategy.pdf>

¹²¹ <http://www.internationalwatersgovernance.com/nile-river-basin-initiative.html>

	SADC Groundwater Management Institute	Yes	Not explicit	World Bank, GEF, CIWA, GIZ, USAID and others ¹²²
	Volta Basin Authority	Yes	Yes	CIWA ¹²³ , WMO ¹²⁴
	Niger Basin Authority	Yes	Yes	GIZ ¹²⁵ , World Bank ¹²⁶ , GCF/GEF/EU ¹²⁷
PREMI	ECOWAS Water Resources Coordination Center	Yes	Website down	AfDB ¹²⁸
	ECOWAS Environment Department	Yes, now Agriculture & Env. Dept.	No	USAID, Spain, FAO, IFPRI, EU, GIZ and others ¹²⁹
UNEP-NILE	Lake Victoria Basin Commission	Yes, is now an EAC institution	Yes ¹³⁰	World Bank, AfDB, USAID ¹³¹
	IGAD-ICPAC	Yes	Yes	UNDP ¹³² , USAID ¹³³ , UKAid ¹³⁴
EAPP	EAPP	Yes	Not explicit	USAID ¹³⁵ , AfDB ¹³⁶ , EU, Norway ¹³⁷

¹²² <http://sadc-gmi.org/about-sadc-gmi/>

¹²³ <https://www.ghanaweb.com/GhanaHomePage/NewsArchive/Volta-Basin-Authority-to-develop-Water-Charter-557932#>

¹²⁴ <https://public.wmo.int/en/media/news/wmo-leads-new-flood-and-drought-management-project-volta-basin>

¹²⁵ <https://www.giz.de/en/worldwide/14938.html>

¹²⁶ <http://www.worldbank.org/en/news/feature/2014/07/08/niger-river-basin-management-project-to-support-institutional-strengthening-of-the-niger-basin-authority-and-enhance-benefit-sharing-around-the-planned-fomi-dam>

¹²⁷ <https://www.ecofinagency.com/public-management/0711-39222-niger-basin-authority-will-get-us-134-million-to-spur-development-and-climate-change-adaptation-in-the-niger-basin-pidacc>

¹²⁸ <http://eo4sd-water.net/news/workshop-ecowas-regional-water-observatory>

¹²⁹ <http://www.ecowas.int/ecowas-sectors/agriculture/>

¹³⁰ <https://www.lvbcom.org/taxonomy/term/12> and <https://www.lvbcom.org/node/129>

¹³¹ <https://www.lvbcom.org/taxonomy/term/12>

¹³² http://www.icpac.net/images/Project-Profile-250315_final.pdf

¹³³ <http://www.icpac.net/index.php/projects/prepared.html>

¹³⁴ <http://www.icpac.net/index.php/projects/scipea.html>

¹³⁵ <https://www.usaid.gov/powerafrica/ethiopia-factsheet>

¹³⁶ <https://www.theeastafrican.co.ke/business/Phase-One-of-regional-power-pool-project-set-for-completion/2560-4699790-g706gj/index.html>

¹³⁷ https://www.usea.org/sites/default/files/event-file/496/Egypt_eastafricapowerpool.pdf

LVRAC	LVRAC	Uncertain ¹³⁸	Uncertain	CDKN, ICLEI, UN-Habitat ¹³⁹
EAC	EAC Partnership Fund	Yes	Yes ¹⁴⁰	EU and 10 bilateral donors ¹⁴¹

¹³⁸ Website seems out of date, reference to Sida funded project is duplicated, and most links are not working.

¹³⁹ <http://www.lvrac.net/#>

¹⁴⁰ <https://www.eac.int/environment/climate-change>

¹⁴¹ <https://www.eac.int/terms/17-basic-page/431-640-654-partnership-fund>

Column a) Regional institutions relating to transboundary river basins remain active today.

We observe that all of the regional institutions relating to transboundary river basins that had partnered with or were strengthened by CCI investments remain active up until today; LVRLAC may form an exception to this as we cannot ascertain current activity from its website. This is important in so far as only institutions that are active today have the potential to sustain possible change pathways, or even impacts¹⁴², that were opened or achieved during CCI. The fact that these institutions are active leads us to suggest that CCI investments contributed to, or played a role in, the longevity of these institutions, as well as the enrichment of these regional institutions, given that much of regional Africa strategy and investment focus was on capacity building. However, caution needs to be exercised in that an attribution of cause and effect logic is not appropriate here because of the many contributions of others as well as the complex regional and national context of these institutions.

Column b): Some of these regional institutions currently carry out climate change work.

Becoming more specific, we find variations in the current focus on climate change of these regional institutions and of their work. For about half of the institutions, we found an explicit focus on climate change, e.g. NBI approved its Climate Change Strategy in 2013, or the Lake Victoria Basin Commission attracted donor funding for climate resilience projects. Several of these regional institutions appear to be implicitly implementing relevant work for adaptation or mitigation to climate change today. For example, EAPP has grown into a strong institution (now as part of COMESA) that facilitates transboundary agreements on a range of renewable energy initiatives (mainly dams for hydroelectric projects), however, the words ‘mitigation’ or ‘climate change’ cannot be found on the EAPP website.

¹⁴² For impact, we refer to the DAC definition as “positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended”. OECD-DAC 2010.

Column c): Regional institutions today attract funding from many donors.

The final column provides evidence that most of these regional institutions relating to transboundary river basins continued to be supported in the post CCI period by a number of donors (see also ‘messy donor landscape’ as explored for the CCI period in Section 3.4). The majority of institutions have been supported by three or more international donors, both bilateral and multilateral donor organizations. Overall, we observe an expansion of actors in the transboundary river basin space since the CCI period, where GEF and GCF appear as new funds in the regional landscape, along with USAID and GIZ as more active development partners. Various UN institutions are also visible (e.g. UNDP, FAO, UN-Habitat). ‘Like-minded donors’ from the CCI period (e.g. Nordic, UK) have continued to support some of these regional institutions.

To conclude section 4.4, we have traced the case study selection of regional institutions that were supported during CCI period to the present, taking a cursory look at the present activity to give an overview of the richness of regional transboundary river basin work in terms of both regional institutions involved and of donors involved. We have found a large number of institutions in transboundary river basins and that they are enduring even ten years after the start of CCI. Almost all of these institutions have sustained activity in the climate realm, given that we also find a significant level of activity to be implicit but highly relevant to climate adaptation, mitigation and/or disaster risk reduction. Finally, we find that beyond CCI, many actors have joined to support the work of transboundary river basin institutions, showing a changing and emergent donor landscape.

4.5 Observations, Transboundary Case Study

This final chapter will offer a few key learning insights from the case study, but with wider relevance for future development across the entire regional portfolio. Some of these are appreciative and uncover strengths arising from within Sida; others are challenges posed to Sida in its future work. By implication, this would invite Sida to engage in internal thinking about the documentation and

management of learning¹⁴³ as well as appropriate methods to capture complex and emergent insight and practice.

Challenge 1: Sida can make learning across basins and regions more explicit.

This first learning insight is about how to frame choice-making in time and space. Sweden has been a long-term supporter of many of the RECs and river basin authorities, as well as other regional organizations. It therefore knows the realities on the ground that help to inform, design and steer investments effectively. Sweden may think of new and innovative ways to share learning across basins and regions, framing its future decisions in its historical experience by spelling this out as a sub-strategy. For example, such strategic learning would effectively bridge the geographical imbalance between West and Eastern Africa that Sida was encouraged to address during the mid-term review of the strategy bracketing the CCI period. Sweden continues to work on transboundary river basins, e.g. the Pungwe River¹⁴⁴ and may greatly enrich this work with explicit learning from the past.

Appreciation 2: Sida's leadership role is seminal.

The second learning insight is about Sida's own role and leverage in the implementation of its investments. While some partners sometimes lamented Sweden's hands-off approach (IUCN-PACO in PREMI), which is consistent with Sida's high level of trust in its partners, for other investments Sida had formal roles on the project advisory group or board, or also leveraged its own representatives to negotiate at various fora. The latter resulted in some important influencing of governance, management, and decisions for example through convening and shaping views of other donors. Just two examples relating to transboundary river basin investments include the role that Sweden took in nudging the World Bank's management style within CIWA in order to improve gender and participation, and getting involved in negotiations with NBI for signing an MoU

¹⁴³ This insight was offered by the first review of this report by the Evaluation Reference Group, 1st May 2019

¹⁴⁴ NIRAS Sweden AB, Sørensen, S.E., et al. 31 May 2018. Evaluation of the Pungwe Basin Transboundary Integrated Water Resources Management and Development Program (PP2): Final report – Baseline.

and for data sharing with UNEP in the UNEP-NILE investment (see pen portraits for full stories).

Appreciation 3: Sida's nimbleness is widespread.

The third learning insight is about Swedish decision-making that can be quite nimble. The present case study (especially Figure 6) has offered a layer of analysis to show Sweden's effectiveness in being able to link up investments within a portfolio, e.g. sharing of topical learning (including NELSAP and EAPP, or UNEP-NILE and CIWA), or transitioning funding into something more sustainable (e.g. NELSAP from CCI to the CIWA MDTF), or anchoring learning into macro level political decisions (e.g. EAC-CC-MP)¹⁴⁵.

Challenge 4: Some Sida work on regionalism cannot be set up for easy measurement.

A final learning insight is about measuring impact in the context of climate change which is itself a complex problem. The regional Africa strategies have stated the aim of regionalism includes peace building, stability, and most recently resilience. For these large aims, as well as for the strategy of choice – building capacities – the measurement of impact is very challenging. Swedish work does not tend to be set up for easy or quantifiably measuring impact, e.g. at the level of river basins or in terms of sustainable use of natural resources such as water. However, the results of the CCI transboundary river basin investments, as categorized in Table 3, strongly reflect Swedish regional strategic aims giving an indication of change pathways that open up over the course of the CCI period.

¹⁴⁵ Investigation 3 later in this report will explore choice making patterns in the entire regional Africa portfolio in more detail.

5: Tracing CCI Principles

5.1 Introduction, rationale, methods and limitations for this investigation

In investigation 2 of this report, we explore the issue of the CCI Principles as set out in the evaluation around Question 1a) what was the value of taking a principles-based approach to guide CCI investments and implementation? Foremost in this investigation we tried to find evidence for the CCI Principles and their relation to Sida's regional Africa investments, and in what way, if at all, their relation is made manifest in Sida's investments.

In this investigation we came up with some surprising findings on who influenced whom *vis a vis* Sida and the CCCD and its CCI Principles. In researching these surprises we are reminded of the importance of understanding context and history in setting the stage for an evaluative learning story. We will unpack this insight further in this investigation.

Our evaluative learning story below is organized into the steps that we ourselves followed to evidence and trace the CCI Principles and their relation to Sida's investment in regional Africa. In step 1, we discuss the observations from our initial probing. In step 2, we delve into Sida's own practices for the assessment, decision and conclusions of its investments, appreciating how these form good practice. In step 3, we present our own evidence for the manifestation of CCI Principles and their relevance within the regional Africa CCI investments. This is followed by key insights from the current Head of Regional Development Cooperation section in Addis Ababa. Finally, we conclude and reflect on the use of principles to guide change making from one of the foremost thinkers on social innovation.

In our data gathering for this extensive portfolio of regional CCI investments, we went deep inside Sida's primary and emic data relating to the internal reports on assessments, decisions and conclusions of CCI investments for Regional Africa and the

associated correspondence. The archival materials housed at embassies in Nairobi and Addis Ababa proved valuable locations for this data. This has provided a valid base from which to investigate the value of CCI principles in relation to Sida's own process of investment.

Methods: The Pen Portraits for all CCI regional Africa investments are the building blocks of this investigation. Within each Pen Portrait we have a dedicated section for tracing the relevance of the entire investment to the CCI Principles, matching the intent of the Principle with investment results and in the broader short-term contributions with which they were associated. This evaluative commentary on CCI Principles spans Sida's management at various stages including the assessment, decision to contribute, conclusion and completion reports as well as any mid-term reviews, evaluations and partner reports available within the Sida investment files or related online reports. In this way we capture how CCI Principles stand out as most relevant to each CCI investment.

Limitations: In the light of this investigation and the surprises that it unravels in terms of the dialogic of CCI Principles and Sida's methods of investment assessment (known as 'Assessment of Contribution') and management, we note that the large size of the regional Africa portfolio (2009-2012) and our commitment to a shallow dive evaluation created limits as to how deeply we could identify the CCI Principles inherent within each investment. While our confidence level in our evaluative observation is quite high, a deeper investigation might bring out more extensive and rich connections with the CCI Principles and their relation to Sida's investments in Regional Africa. Interview questionnaires were sent out to most staff who had been associated with the management of CCI regional Africa, specifically asking about CCI Principles; quotes from three out of six responses are also included below.

5.2 Initial probing for CCI Principles in Regional Africa Portfolio

During our initial probe into CCI Principles and the CCI regional Africa portfolio (2009-2012) we did not find much evidence of relation, influence or reference to CCI Principles.

In discussions and survey questionnaires we heard that principles were “imposed from above (top down)¹⁴⁶” with a political set of money; survey answers either showed that institutional memory has been lost or that CCI principles did not influence at the investment level:

The CCI principles did not influence the decision making for CIWA since environment and climate change were [already] a prioritized area within the regional strategy for Sub-Saharan Africa and that transboundary waters were a focus area as well. (Official, Sida)

CCI was the basis for the decision-making but it was a new initiative within the existing portfolio at the time. Lessons learned: it's been too long for me to remember I have to say. (Former official, Sida Regional Africa team)

I wouldn't say they [CCI Principles] got lost – but we used the strategy and annual instructions from Sida to shape our decisions and choices. (Official, Embassy of Sweden, Addis Ababa)

Furthermore, there is no evidence that CCI principles are explicitly mentioned in Sida's documentation of regional Africa CCI investments that we researched in archival material in Nairobi and Addis.

The CCI itself is mentioned in a few of the large investment assessments, for example in ACPC and UNEP Africa Marine and Coastal Africa Programme as shown below, but CCI principles are not specifically in evidence.

“The support disbursed under the ongoing agreement was the first disbursement under the Swedish Government's Climate Change

¹⁴⁶ Skype interview with Sida staff, Stockholm, 19 December 2018, Emerald team

*Initiative...*¹⁴⁷ “21.5 million SEK is the funds from the time limited CCI”¹⁴⁸.

At step 1, the question then arises: where, if at all, are the CCI Principles to be found in relating to, shaping or influencing the regional Africa CCI portfolio?

5.3 Understanding Sida’s good practices

We next decided to better understand Sida practice as evidenced within the documents of the regional Africa CCI investments. In the ‘Appraisal of Contribution’ of CCI investments we noticed sections that are captioned: relevance, effectiveness and cost efficiency, feasibility, sustainability, harmonisation and coordination, risk management, intervention logic and implementation arrangements including legal status of the partner organisation. As expressed by a current regional manager: “The assessment is a decision to look deeper into the project and the risks to be investigated are identified”¹⁴⁹.

In this way, the documents revealed a practice of looking with significant depth at contextual understanding and analysis.

To understand the genesis of this practice in the larger context of development cooperation, we studied DAC evaluation criteria and aid effectiveness. In 1991, OECD-DAC formulated 5 criteria to be applied to the evaluation of development programmes: *relevance, efficiency, effectiveness, impact, and sustainability*¹⁵⁰. These criteria have since been widely applied and become influential beyond OECD and DAC.

We found discernible parallels between the DAC criteria and the way in which Sida analyses and, most explicitly, in the way it structures its assessments. The parallels in terminology suggest that

¹⁴⁷ Graslund, S. (2012). Plan Appraisal, Uneca African Climate Policy Centre ClimDev, Amendment to Agreement

¹⁴⁸ Blixt, M. (2010). Assessment Memo Support to the implementation of the UNEP Marine and Coastal Strategy for Africa

¹⁴⁹ Interview with Regional Development Cooperation Section, Embassy of Sweden Addis Ababa. 20th February 2019.

¹⁵⁰ <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

Sida has integrated DAC criteria or international standards into its practice and, interestingly, applies them not only to the evaluation stage but has integrated them into the planning and design stage of its investments.

For further context, we studied the Paris declaration on Aid Effectiveness, agreed upon in 2005¹⁵¹. It has five principles: *ownership, alignment, harmonisation, managing for results, and mutual accountability*, with a total of 12 associated indicators. OECD-DAC in its review of Sweden's development cooperation in 2009¹⁵² assessed that the Paris principles were already embedded in Sweden's development practice.

When looking at our data, the CCI regional Africa portfolio documents, we also found reflections of the Paris agenda principles in Sida practice. In addition to aforementioned sections such as coordination or implementation arrangements in the 'assessments' and 'decisions to contribute', the 'conclusion on performance' documents include sections on effectiveness, risk and lessons learnt.

The Paris agenda principles are themselves the subject of CCI Principle 3, namely: contributions should work towards the implementation of the Paris agenda principles on aid effectiveness. We further found that some of the principles of the Paris declaration are themselves reflected in other CCI principles, e.g. CCI principle 6 (on integration into countries' own development strategies) is aiming towards ownership, or CCI principle 2 (on added value of Swedish contributions) is aiming at managing for results and mutual accountability.

We thus found that Sida's practice of managing investments (as evidenced in CCI regional Africa portfolio) reflects international development practice, such as DAC and aid effectiveness. We called this Sida's 'good practice', stemming from a long tradition of rigorous knowledge, expertise and compliance with agreed practices as set out by multilateral entities.

¹⁵¹ <https://www.oecd.org/dac/effectiveness/45827300.pdf>

¹⁵² <https://www.oecd.org/dac/peer-reviews/sweden2009dacpeerreview-mainfindingsandrecommendations.htm>

5.4 CCI Principles and Regional Investments

Further to understanding Sida good practice as applicable across investments, we next decided to explore the evidence within each regional Africa CCI investment for relevance to the CCI Principles. This section presents the results formulated post data analysis, that is, after preparing the pen portraits. Each pen portrait has a dedicated section for tracing the relevance of the entire investment to the CCI Principles, matching the intent of the CCI Principle with results of these investments and in the broader short-term contributions with which they were associated. The following Table 5 of CCI principles in operation condenses the analysis in the pen portraits and will be followed by the evaluative findings towards addressing question 1a) of the ToR.

Table 5: CCI Principles in operation in the CCI regional Africa investments

	P1 – Adaptation primarily to the poorest countries	P2 – Tangible added value	P3 – Implementation of Paris agenda principles	P4 – Int’l climate negotiations re timing and choice of channels	P5 – Reflect work of CCC D	P6 – Integrated in countries’ own dev’t strategies, esp. water & land use	P7 – Focus on DRR as part of adaptation
ACPC	X	X	X	X	X	X	X
CIWA		X	X	X	X	X	
NELSA P		X			X	X	
RFGI		X	X	X			
BecA			X		X		X
PREMI		X			X	X	
UNEP-NILE		X	X		X		X
ARC	X	X	X			X	X

Bio-Innovate		X	X		X	X	
UNEP-Af Marine		X	X	X	X	X	
WIOMSA		X	X	X	X	X	X
PACJA		X		X			
RCCP ¹⁵³	Princ's	not	known				
CAWT		X			X	X	
EAPP		X	X				
LVRLAC		X			X		
EAC CC MP	X			X	X	X	X
ECOWAS	Princ's	not	known				
Counts	3	14	10	7	12	10	6

While Table 5 gives an overall impression, in the following paragraphs we present our findings with selected details on the relevance of Regional Africa CCI investments to CCI Principles.

P1: The funds reserved for adaptation interventions should go primarily to the poorest countries. The regional Africa investment documents did not always or explicitly identify poorest countries in the region of implementation. Some investments, however, did make this relevance explicit:

- Example 1, ACPC: Some of the poorest countries or areas in Africa are beneficiaries of the ClimDev support, including Mali, Niger River and Senegal.
- Example 2, ARC: Stated aim to support the long-term efforts for climate change adaptation in the poorest countries.

¹⁵³ Not enough data in the case of RCCP, or no data in the case of ECOWAS.

P2: The Swedish contributions should have a tangible added value. We easily identified the relevance of most investments and their short-term contributions to this CCI Principle, with the following indicative examples:

- Example 1, CIWA: Swedish investment has tangible added value (also due to their long-term experience in this sector and in regional Africa), as Sida's learnings from transboundary water was successfully used to influence World Bank in its design and management of CIWA.
- Example 2, RFGI: REDD+ was a hot topic at the time and developing research from Africa added a new and innovative perspective.
- Example 3, PACJA: This was one of few regional CCI investments working via a CSO forum. The investment allowed for different stakeholder voices to be brought together and to influence RECs and climate change related policy making at continental, regional and national levels.

P3: 'Contributions' should work towards the implementation of the Paris agenda principles on aid effectiveness. We found relevance of this CCI Principle in over half of the investments and their short-term contributions, with indicative examples relating to selected Paris principles as follows:

- Example 1, CIWA: Documentation explicitly refers to the Paris agenda principles with the emphasized need for donor coordination in this Multi Donor Trust Fund.
- Example 2, RFGI: Sida actively strengthened donor coordination, as exemplified in its initiation of the joint Nordic donor meeting with CODESRIA (indicating alignment).
- Example 3, EAPP: Coordination between the multiplicity of donors involved in the MDTF was required and Sida was conscious of the comparative advantages of its own experience and of various donors' roles (indicating harmonization); Sida considered various ways to stay involved in EAPP.

P4: Consideration should be taken to the ongoing international climate negotiations regarding timing and choice of channels. We found relevance to this CCI Principle in nearly half the investments, with indicative examples as follows:

- Example 1, UNEP-Af Marine: The UNFCCC COP's recommendations and the Abidjan and Nairobi conventions are priority areas in the 'contribution logic'.
- Example 2, EAC CC Master Plan: The EAC was accredited by UNFCCC as an observer organization. Consultations in the region also prepared negotiation strategies and regional perspectives in anticipation of UNFCCC COP16.

P5: The allocation should reflect the ongoing work of the Commission on Climate Change and Development (CCCC). We found relevance of this CCI Principle in most of the investments:

- Example 1, UNEP-Nile: Highlights the need for basin-wide cooperation in climate change adaptation; increased capacity of regional and national centres to support adaptation actions.
- Example 2, CAWT: This CCI investment funded bottom up research to empower more farmers to test and adopt conservation agriculture and agroforestry practices for sustainable production intensification. The CCI investment also helped set the institutional and policy conditions to improve the adaptive capacity of farmers.

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. We found relevance of this CCI Principle in over half of the CCI investments and their short-term contributions, with indicative examples as follows:

- Example 1, NELSAP: Integration of climate change related learning and data into national strategies; central focus is on transboundary water.

- Example 2, EAC CC Master Plan: All 5 EAC partner states have prepared national documents on climate change (policies, strategies, and/or plans).

P7: A proportion of the Swedish contributions should focus on disaster risk reduction as an integral part of climate adaptation. We found relevance to this CCI Principle in some of the investments:

- Example 1, ACPC: Improved disaster risk mapping and forecasts for the public, specifically for vulnerable communities.
- Example 2, UNEP-Nile: Emphasis on floods and droughts, with contributions to DRR in the region.
- Example 3, ARC: Focus on reducing the impact of drought turning into disaster. (In the post CCI period, other CC induced disasters were included).
- Example 4, EAC CC Master Plan: Explicit integration of disaster and extreme weather as one of eight pillars of the plan.

Overall, this analysis shows the high relevance of the CCI regional Africa investments (including in some cases their short-term contributions) to the CCI principles, although as we found in Step 1 above, the CCI Principles themselves are not explicitly mentioned. It is worth mentioning again that the above findings result in a high level of confidence in the relevance of the CCI principles for the investments, and in some cases their short-term contributions, while not being comprehensive in terms of how deeply we could identify the CCI Principles inherent within each investment.

5.5 Sida's good practice bridged into the CCI

Here we share the key insight that solves our puzzle in this investigation: how did CCI Principles manifest in regional Africa investments even when there is no overt mention of them within Sida's regional work at the time? We found that it was CCCD that 'learned from' and bridged Sida's good practice, which reflected

long-standing Swedish aid policies¹⁵⁴, and less the inverse situation, in which CCI Principles were a top down imposition into Sida's work.

With a long association with Swedish Foreign Affairs, the current head of African regional cooperation at the Swedish Embassy in Addis Ababa, explained how learning was carried from Sida into CCI¹⁵⁵. She indicated how Sida's good practices were 'carried into' CCI Principles by a few leaders who occupied key positions of influence at the time of CCCD:

"Even today, politicians should hear about Sida practice. Johan Schaar was very instrumental in the case of CCI. It is a happy coincidence that Johan was able to influence the political decision of CCI. His training is in agronomy, he went into humanitarian work, into Sida's Department of Policy and into CCCD, then back into bureaucracy and is now in research.

Also the Swedish Minister for Development Cooperation and Climate Change, Isabella Lovin at the time and her Secretary of State Ulrike Modeer were very experienced. Ms Lovin was a member of European Parliament [in 2009] and wrote about the blue environment as a journalist. [Ms. Modeer at the time of the CCI was Team Manager, Environmental and Foreign Policy Team of the Green Party Parliamentary Secretariat]. All of these were members of the Green Party so they had internalized climate change [when CCCD was active]."

In offering these insights, there is recognition that key Swedish leaders who had influential positions had internalized climate change action and were well positioned at the time of CCI. All of them were steeped in grounded practice of various dimensions of humanitarian aid, climate adaptation and Sida practice.

¹⁵⁴ As reflected by the Evaluation Reference Group, EBA in an early review of this report, 1st May 2019: "it is not only about Sida's practice, it reflected what had been Swedish development policy for many years, being actively engaged in developing the Paris principles and then promoting them in aid practice. Now it is almost embedded in Swedish/Sida aid culture. The interesting thing is that the CCCD was active under a new liberal/conservative government that was much less an advocate for earlier policies. The CCCD principles were also articulated at a time when much climate aid programming and financing, under the influence of ministries of the environment that ran climate negotiations, was projectized, stand-alone and off-budget, and we found it important to actively advocate an approach that was grounded in good aid practice."

¹⁵⁵ Interview with Regional Development Cooperation Section at Swedish Embassy Addis Ababa, 20 February 2019

Although we have not interviewed the erstwhile Head of the Humanitarian Section (2000-2005) on this matter, we also note that Sweden's humanitarian assistance where he worked is organized around 20 Principles as gleaned in the case study on GFDRR in other parts of this evaluation. So that familiarity of working with Principles is within the possible experience of such a staff member.

Further it is explained in this interview that Sida's knowledge of ground realities is one of its influencing strengths, informing other fora such as the EU and UN system about 'what works on the ground and what does not'¹⁵⁶.

Where this bridging of political funds with knowledge of good practice has been absent, other political funds have not segued so well into effectiveness. The current Sida Head of Regional Africa Development Cooperation at Addis explains:

From the systems view, other political initiatives were not as helpful [as the CCI]. They had short time frames and came with a political push. Now the CCI was not a problem – the bureaucrats handled it - but others [packets of money like CCI] were a problem...because they were not grounded in reliable practice.

By deliberating on context and history, we see how leaders who had internalized climate change and Sida's good practices carried systemic learning into the perspectives of the CCCD. They used their operational experience and carried it into this political initiative, and thereby shaped CCI.

Our investigation shows how many of the CCI Principles manifested within regional Africa investments and their short-term contributions. It suggests that this is not because they were imposed from CCI onto Sida but rather that learning from Sida had been carried into the CCCD and contributed to the shape of CCI Principles. This explains some of the natural resonances between Sida's management of CCI investments and the CCI principles. It is a good illustrative example of systemic learning, showing the process of how this learning was carried and even influenced the larger system at the OECD's CCCD level.

¹⁵⁶ Currently, Sida Regional Africa Development Cooperation in Addis

5.6 Reflections

In this investigation we conclude that there was a strong grounding of the CCI principles in the CCI regional Africa investments – both in terms of the investment assessments and decisions, and in their implementation as manifested both in the results (interim outcomes) of these investments and in the broader short-term contributions with which they were associated. Without being explicit or prescriptive, CCI principles in the CCI regional Africa portfolio were manifest in the investments and their implementation. This investigation traces how this relation or connection happened, proposing that learning may have been carried into the CCI through key leaders steeped in climate awareness and Sida's own good practice. Rather than being an imposition, the CCI Principles were resonant with Sida's own management of investments that we call its own 'good practice'; a practice founded in firmly established Swedish aid policy continuing from the past as well as guidance and manuals.

In the light of these conclusions, in the remainder of this section we dig deeper by exploring emerging insights into processes of strategic design across complex systems and the role of principles-based approaches within this. It is intended that such emerging insights may help to shape strategic learning and adaptive planning into the future.

Our emerging insights here draw on the work of Frances Westley - one of the foremost thinkers in the field of learning in complex systems - and her colleagues. Westley et al argue "that our romance with deliberate strategies has blinded us to the reality that all strategy is a pattern in a stream of actions involving both intent and emergence"¹⁵⁷. Inspired by this argument, we conclude that three elements were involved in grounding the CCI regional Africa investments and their short-term contributions in CCI principles: umbrella strategy, process strategy and personnel. The combination of these three elements applied to the CCI regional Africa portfolio displayed both intent and emergence.

¹⁵⁷ Westley, F. Zimmerman, B. Quin Patton, M. (2006)., p141.

Firstly, at the level of umbrella strategy, we found that Sida decisions were guided by intent at the right level of information, strategic insight and long-term goals, but without being prescriptive. Westley et al¹⁵⁸ have theorized the role of strategies for innovation in complex systems as follows:

“The ‘deliberate’ element of such strategy lies in creating broadly based goals, or “umbrella strategies” on the one hand, and in creating specific “process strategies” on the other hand¹⁵⁹.”

Using the conceptual understandings of Westley et al, we suggest that Swedish five-year regional strategies as well as the 2009 CCI Guidance Note (discussed in the detail in Investigation 1) formed such umbrella strategy for Sida. While providing direction or intent, they were not prescriptive and left room for application of good practice and decision making, as the following two elements will show.

Secondly, at the level of process strategy, we found patterns of good practice that also reflected the larger development aid system. This investigation’s focus was the CCI principles, and while finding these deeply grounded in the investments, we also uncovered Sida’s good practice e.g. of assessments. A consistent pattern of applying good practice allowed for emergent learning within and between the investments and short-term contributions of the regional Africa portfolio. Westley et al theorized this as ‘process strategy’:

“All strategy is a pattern in a stream of actions... process strategies delineate patterns for interaction... but do not determine specific content in advance¹⁶⁰.”

Thirdly, process strategy requires nimble decision makers. To complete the picture: while the intent was expressed by political aspirations of regionalism through umbrella strategy, and emergent learning in patterns of good practice shaped process strategy, the Sida team realised opportunities within the diversity of regional African CCI investments. As we will show in investigation 3, decisions for CCI regional Africa investments were skilfully crafted

¹⁵⁸ Westley et al, *ibid.* page 140

¹⁵⁹ Westley et al, *ibid.* page 141

¹⁶⁰ Westley et al, *ibid.* page 141

by Sida managers at the Embassy level. Skill resides with Sida personnel who shape practice; they best know the complex regional realities and at the same time are well empowered to make decisions. This is the process of change making as expressed by Westley et al:

“All strategy is a pattern in a stream of actions... that need focus, feedback, and skill.

A potter at her wheel is someone who exercises skill, perhaps with a goal, but most critically with an ability to find and discover opportunity in her materials¹⁶¹.”

The three elements of umbrella strategy, process strategy and personnel, offer key insights to systemic learning in the complex system in which Sida was operating. Sida carefully navigated this complex space to forge the relation between CCI principles, investments and their short-term contributions, displaying intent and emergence at the same time.

¹⁶¹ Westley et al, *ibid.* page 141

6: Choice-making in the face of a surge of funds

6.1 Rationale for this investigation

In this investigation we assess, describe and analyse the choices and decisions made by Sida in the face of the surge a funds that was made available by the CCI. This chapter also starts to answer question 2 of the ToR of this evaluation, to discuss "lessons to inform climate aid today".

Drawing out lessons is a challenging matter since attribution to a cause, which often seems warranted, is not appropriate when considering a complex problem like climate change within a complex system such as assistance to regional Africa. We have already looked in a light touch way at 'systemic contribution' to impact in the pen portraits (i.e. Sweden's history and others' contributions). In this investigation, however, we seek and observe portfolio-wide patterns from the past as a means to inform possible decisions in the future, keeping in mind relevance to the regional context.

This investigation explores the choices or decisions made by Sida at the time when additional CCI funds became available. For this, not only do we look at each investment as we did in the pen portraits but we also seek to understand how political strategies, Swedish history of regionalism, CCI guidance and Sida internal processes all informed how decisions or choices were made and manifested for each investment. Thus, this investigation takes a portfolio-wide approach while recognizing these factors as comprising essential structures of the system of Swedish aid.

6.2 Decisions as expressed by Sida

A decade after CCI commenced, it remains interesting to inquire into Sida's own understanding of their decision-making. The Sida Final Report on CCI Bilateral and Regional Projects¹⁶² noted that funds in the CCI regional Africa portfolio were directed to organizations with sufficient absorption capacity. CIWA documentation notes Sida's aim to relieve itself of management burden by joining hands with this MDTF. Sida decision makers today, when reflecting on CCI decisions then, have noted that Sida chose to work with large partners¹⁶³, or that most CCI investments were often an 'add on' or 'top up' to existing or past investments¹⁶⁴.

The Swedish Regional Africa strategies also influenced programming decisions and choices of Sida on the ground. The Swedish Regional Africa Strategy 2002-2006¹⁶⁵ suggested the application of the principle of subsidiarity in the choice of measures to be implemented at national versus regional levels, where the latter must have added value. It recommended targeting the *functions* that institutions provide for regional cooperation for development and regional integration, rather than the institutions *per se*. The Swedish Regional Africa Strategy 2010-2015¹⁶⁶ explicitly made suggestions for the institutions that might constitute the focus on regional cooperation. Furthermore, the guidance note to CCI in 2009¹⁶⁷ recommended that synergies are to be sought between climate change mitigation and adaptation, as well as capacities to be developed at all relevant levels.

¹⁶² Sida. 30/04/2013. Memorandum. Final Report on the Swedish Government's Special Climate Change Initiative 2009-2012: Bilateral and Regional Interventions.

¹⁶³ Interview with Regional Development Cooperation Section, Embassy of Sweden Addis Ababa. 20th February 2019.

¹⁶⁴ Two members of the Evaluation Reference Group (2018) Interview with Mehjabeen Abidi Habib, EBA 19 December

¹⁶⁵ Regeringskansliet Ministry for Foreign Affairs. 2002. Swedish Strategy for Support for Regional and Subregional Development Cooperation in Sub-Saharan Africa, January 1 2002 – December 31 2006.

¹⁶⁶ Regeringskansliet Ministry for Foreign Affairs Sweden. 12 October 2010. Cooperation Strategy for Regional Development Cooperation with Sub-Saharan Africa January 2010 – December 2015. Appendix to Government Decision (UF2010/54407/AF).

¹⁶⁷ Sida Environment and Climate Change Team. 2009-12-03. Guidance note Climate Change – Advice and Examples.

6.3 Emerging patterns in the regional portfolio

While the commentary above offers anecdotal observations, in the remainder of this chapter we deepen our investigation into the regional portfolio, investigating what happened to regional Africa work when CCI was delivered by studying the choice making patterns in the portfolio of investments. We studied the choices that Sida made from a systemic point of view, naming the regional Africa context as the system under study and viewing the CCI funds as a surge that came with a substantial flow of money in a relatively short time period. Specifically, we observed what happened when a healthy sub-system (i.e. Sida's regional team) was challenged with a large surge of money through CCI, while being given guidance and technical support from Stockholm but no additional human resources at the implementing Embassy level.

Our understanding of patterns is that they are behaviours that Sida manifested in the actual choices for and within their CCI investments. To identify patterns we first captured and described the Swedish investments in the pen portraits (section 2.4), mainly using emic data (see section 1.1.) on these investments and the whole portfolio, rather than etic data from e.g. specific and CCI-wide evaluations. We then looked for patterns (as things that happen more than once and begin to form part of an underlying structure) which started to emerge in the design, programming and financing choices that were made, when seen from beyond a single investment. We note with appreciation that it takes both a portfolio wide perspective and the viewpoint of an ex-post evaluation like this exercise to allow patterns to emerge in an investigation as well as explanations that elucidate these patterns.

6.4 Strategies for CCI regional funds

Based on the patterns observed we identified six key choice-making strategies enacted by Sida in its CCI regional Africa portfolio, as shown in Table 6. This table also gives descriptions for each of these

strategies and notes which investments were consistent with each strategy.

Table 6: Strategies used in CCI decisions

Six Strategies	Description of Strategy	CCI Investments which were consistent with each Strategy ¹⁶⁸
Midwifing	Nurturing a project or organization until it can be handed over or support itself; sustaining an initiative until it safely transitions.	NELSAP PACJA PREMI
Piggybacking¹⁶⁹	Contributing to what others helped to start	EAPP RCCP
Climate additionality	Bringing an additional focus on climate aspects to an existing organization or processes	BioInnovate BecA LVRLAC ¹⁷⁰ UNEP-Africa Marine & Coastal Prog WIOMSA
Pooling	Joining a congregation of various donors to pool resources towards a goal	CIWA ARC EAC CC Master Plan ACPC-ClimDev
Linking	Enabling all or some of: Linking science to policy Linking science to implementation Linking science to decision making	CAWT UNEP-NILE RFGI
Curtailing	Prematurely closing a Swedish investment	LVRLAC RCCP EAPP ¹⁷¹

¹⁶⁸ This analysis of strategies covers the Regional Africa investments during 2009-2012 except CC EcoWas Preparatory 51050026 which is not included in this evaluation because no documentation could be found within the archives that we researched. Out of 18 total CCI investments made by SIDA in Regional Africa, 17 have been analysed due to this constraint.

¹⁶⁹ We use piggybacking to mean 'use existing work or an existing product as a basis for support' Oxford English Dictionary.

¹⁷⁰ Note that LVRLAC is mentioned twice in this table. Piggybacking and curtailing were both strategies chosen by SIDA to apply to this investment.

¹⁷¹ The EAPP investment, implemented from 2012-2014, included CCI funds released at the outset of the project and was curtailed in 2016 after mismanagement, delays and unspent money. Since this investment included unspent CCI funds even up to 2016, it is included in our analysis.

6.5 Details of the six strategies

This sub-section explores each strategy, describing similarities in choices that were made among the relevant investments within each strategy. We also note the short-term contributions that the strategy enabled for each related investment, and where possible the potential change pathways to impact.

‘Midwifing’ describes the strategy employed to sustain or nurture an initiative, project or organization until it can be handed over, transition, or become independent of aid. NELSAP was consciously supported with CCI funds before it could be transitioned into the larger and more long-term CIWA portfolio in 2014. PACJA was nurtured with CCI funds, as one of two donors at the time, towards gaining more long-term support from other donors as well as gaining capacity to raise funds from African governments. Using CCI funds, the PREMI investment strengthened its REC partner ECOWAS, e.g. by helping it institutionalize processes such as stakeholder participation and by building its network and capacities.

It appears that the midwifing of CCI investments opened potential pathways to impact in the longer term in that CCI contributed to the sustainability either of the original organisation (e.g. PACJA that now claims to be the largest CSO in Africa with over 1000 members¹⁷²) or of a larger initiative (e.g. CIWA).

‘Piggybacking’ describes the strategy employed by Sida where it joins an initiative that others (donors) helped to start. SIDA’s agreement partner for the CCI investment to EAPP was the Norwegian Embassy, in that it had funded EAPP for three previous years. Sida helped EAPP with a regional sector Masterplan that strategically positioned EAPP as other donors and an MDTF stepped in. Sida’s partner for the RCCP investment of CCI was Dfid, who were aiming for regional outreach of climate adaptation work together with SADC.

It appears that for both investments that employed the strategy of piggybacking, these specific CCI investments were later curtailed

¹⁷² <https://www.pacja.org/index.php/about-us>

(see below). However, EAPP continued to be supported by many donors including Sweden through a World Bank managed MDTF.

‘Climate additionality’ describes the strategy employed to add climate related work into an existing initiative, process or organization. Sida used this strategy with five of its CCI regional Africa investments. The BioInnovate investment of CCI enabled grants to be provided to consortia for climate change adaptation and mitigation technologies in agriculture and environment in East Africa, specifically for crop productivity and resilience to climate change in small-scale farming systems. The BecA investment provided for research on climate-smart fodder grasses towards reducing small farmer vulnerabilities. The investment to LVRLAC was an additional grant for adaptation planning to existing Sida support, and also focused or brought in experiences from the region to sub-national actors. The UNEP-Africa Marine & Coastal Programme was the first to bring in the climate perspective to marine work in the region, and thereby CCI was able to contribute to national, regional and global discussions on the topic. The investment to WIOMSA enabled research related to effects of and adaptation to climate change in coastal areas, to also influence regional priorities, policy and strategy at the AU level.

It appears that the climate additionality strategy contributed to potential pathways to impact in that several organisations continue to be active in the climate realm today; including UNEP, BioInnovate and BecA-ILRI.

‘Pooling’ describes the strategy employed in which CCI funds were joined with other donors’ funds towards a joint goal. CIWA is a multi-donor trust fund to which CCI contributed, leveraging Sida’s long history of working in transboundary river basins in Africa to steer and strengthen CIWA’s working. ARC was supported by CCI to mature from a WFP initiative into a Specialized Agency under the AU by linking the technical to the political spheres, as well as to pave the way for more donors to join in. The CCI investment for the EAC Climate Change Master Plan was a small but targeted investment to link Sida’s long-term experience in regional work to be anchored at a higher level while other donors funded specific initiatives identified in the plan or accompanying strategy, policy and

fund (supported in their development by other donors). In the ACPC, Sweden pooled its CCI resources to join other donors towards a common goal of building capacity in the AU to create and manage major climate information systems and policy advocacy grants.

It appears that the pooling strategy contributed to potential pathways to impact as Sida's joint contributions with other donors could be matured to or anchored at the REC or AU levels (for ARC, EAC CC MP, and ACPC investments).

'Linking' describes the strategy employed to connect science to improve policy, action or decision-making processes. CAWT with the support of the CCI investment provided scientific evidence for the integration of conservation agriculture, agroforestry and adaptation for uptake at national and regional policy levels. The investment UNEP-NILE through an MoU facilitated the sharing of national hydrological and other climate-relevant data towards improved planning at the basin level; project sites also provided more localized data for inclusion in planning and scaling out. RFGI was a CCI investment that worked with a research organization to improve forestry governance processes that would reduce climate vulnerability and adaptation capacities with the use of research outputs in policy discussions, development of instruments, and establishment of new networks.

It appears that the linking strategy contributed to potential pathways to impact transdisciplinary science at multi-levels to step into regional planning for climate vulnerability and adaptation policy and development perspectives.

In contrast to the previous five strategies, **'curtailing'** describes the strategy employed by Sida at a later point in time, i.e. after agreement and commencement of an investment, in order to close a investment before its originally planned completion date. This strategy could have been applied in addition to any of the previous five strategies; we saw curtailing applied to three CCI investments. In the case of LVRLAC, Sida was notified by a whistle-blower on the incorrect use of funds after which Sida tried to recover some money, since there was also no evidence of any results. In the case of RCCP, both main donors (DfID and Sida) curtailed the funds as

the implementing partner was not able to implement the program. Sida closed the CCI funds to EAPP on the basis of poor financial systems, however continued to provide support through a MDTF.

6.6 Insights to inform climate aid today

To recap, we first described the rationale and methods used in this investigation to identify emergent patterns of decision making within Sida's regional Africa programming. This led us to describe six different decision strategies across the CCI Regional Africa portfolio. Finally we seek to abstract lessons that can inform Sida's regional Africa work today. As five of the strategies (i.e. all apart from the last) concern decisions and choices made at the time of planning CCI investments, rather than at later points in the investment cycle, these lessons focus mainly on financing and programming (rather than design or closing of investments, for example).

In contrast to Sida's own reflections (section 6.2 above) on how it decided on its CCI regional Africa programming and partners, this analysis has shown a greater breadth of strategies that were employed by Sida at the time. We suggest that reflecting on the added value of each type of strategy may be useful to Sida decision makers and implementers in their deliberations over future investments - in this context both the portfolio from which this has emerged (as represented in the pen portraits) as well as this strategy 'menu' could be used as a source of insight and potential guidance.

Following from this, we have shed light on what can happen when a healthy system such as Sida is stressed with a burst of additional funds to be operationalized. The above strategies suggest that even in a complicated portfolio, the Sida system has experience enough to make informed choices. Part of this knowledge is based on having been present in regional Africa work for a significantly long time since 2004 and certainly longer than most other donors. Further, Sida had invested in and worked with many of the RECs and other CCI partner organizations before the surge of CCI funds. In this way, Sida had inherent knowledge of what strategies might be appropriate for a specific type of institution, what might be

effective at that given point in time, and what was needed in the regional African context. Another foundation of ‘knowing how to make choices’ may be found in Sweden’s perspective on the role of regional work, which is distinct from bilateral and multilateral work, but has added value to support work on other scales (see chapter 2).

Swedish ODA decision making structures reveal another level of how choices are made: the experience of ‘how to do’ complex regional work resides in Swedish Embassies, and many decisions are devolved to the Embassies, thereby enabling them to take appropriate decisions in and for the region. Sida HQ provides solid technical backstopping but only gives approvals above a funding ceiling. Grant amounts that are below a certain ceiling (80 million SEK) are approved by the Regional Development Cooperation Section at the Embassy level¹⁷³. Similarly, we have seen that the politically influenced regional strategies also provide guidance for decisions by Sida rather than boundaries, just as the CCI Guidance Note in 2009 gave direction and inspiration rather than imposing restrictions. It appears that such decentralized decision-making with very knowledgeable decision makers in the field enabled Sida to successfully use the CCI funds in regional Africa – via a variety of choices and strategies that were appropriate for each investment and each partner – towards the operationalization of the big surge of CCI funds. CCI was implemented with mediation and long-term knowledge of the complex regional system, possibly in contrast to two other special funds that were introduced over the same period as CCI and that appear to have been less successfully employed (in one, Sida worked with organizations, institutions or governance levels they had not worked with before in that sector¹⁷⁴).

In various other chapters of this regional analysis, we have seen that capacity development is an overarching goal of regional work, and it is clear that capacity development and institutional strengthening take time. In this regard, it is not surprising that several of the patterns and strategies identified above (i.e. midwifing, pooling, piggybacking) are also strategic in how they create long-

¹⁷³ Interview with Regional Development Cooperation Section, Embassy of Sweden Addis Ababa. 20th February 2019.

¹⁷⁴ Interview with Regional Development Cooperation Section, Embassy of Sweden Addis Ababa. 20th February 2019.

term partners and financing, whether through Swedish support or otherwise. CCI provided sufficient amounts of funds, strategic leadership, and appropriate strategies or transitions for most of these institutions. These institutions remain existent and are active in the climate realm today.

To conclude, this investigation has reflected decisions made in the past and organized these into patterns that give a picture of what happened when additional funds were injected into Sida. The analysis offers a number of insights or lessons that may continue to be relevant if a new surge of funds were to challenge Sida, such as the need to know the system under consideration, its history and how it works or its limitations very well, as well as an awareness of a variety of choices and pathways. We offer this investigation as an opportunity to reflect whether one may organize one's choices and pathways similarly or differently in a given context of a given system.

7. Conclusion

7.1 Evaluation as space for reflection

The conclusion to this evaluation of the CCI regional Africa portfolio will recap the main findings of the report and offer the reader a few emerging insights with enquiries going forward.

In evaluating this CCI investment portfolio into regional Africa, as researchers we worked with two underlying assumptions that were reinforced during the process.

First was the recognition that this is an evaluation of complex interventions, marked *inter alia* by the following features:

multiple components such as investments in the fields of water, energy, food security, science that may or may not interlink over time and geography;

heterogenous mechanisms tailored to relevant context and settings such as investments that influence national policy and law, regional climate funds and regional frameworks, scientific data sharing, linking science to the private sector, civil society and gender participation;

non-linearities in change pathways where specific interventions may emanate into larger shifts such as the CCI investment in 7 transboundary river initiatives that were associated with many more regional African 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.

Features like those above are identified by evaluators Patton¹⁷⁵ and Westley *et al*¹⁷⁶ as best approached through developmental evaluation. These evaluators encourage a reflective and non-

¹⁷⁵ Patton, M.Q. *Developmental Evaluation: Applying Complexity Concepts to Enhance Innovation and Use*, Guilford Press, June 2010

¹⁷⁶ Westley, F. Zimmerman, B. Quin Patton, M. (2006). *Getting to Maybe: How the world is changed*. Vintage Canada p 83.

technical view of methods which are non-prescriptive and need to be sensitive to learning. As recapped below, the approach taken in this report reflects developmental evaluation.

Second was the recognition that Sida, with CCI as a fast-start finance mechanism that was invested through Sida into regional Africa, behaved like a social innovator in this field. Sida was an early, significantly sized and trusted donor at the regional level. Sida conceived of regional problems with an approach of enlightened interest using justice, peace and resilience as overall aims, and worked without a tried and tested blueprint of how interventions are likely to influence the whole region. As Westley¹⁷⁷ points out “the right kind of evaluation can be a powerful tool to help the social innovator stand still and take stock” to reflect on patterns of the past to open up a space for inquiry into the future.

Thus taking this as an evaluation of a complex intervention and considering Sida in the light of an innovator in the regional space, this report aims to become a space for reflection.

7.2 Recap of findings in the report

To recap the report, we remind the reader that given the shallow dive nature of the evaluation, we used creative ways to bring out depth in both our case study and in the investigations, as meta-spaces to learn about the portfolio.

We started this regional evaluation by creating context about African regionalism as a whole, showing that this is a contested space that is problematized differently by various stakeholders with historical, economic and development interests that have changed over time. We also note that the concern with climate change, peace and migration is a contemporary one and is disseminating globally in development and academic circles. The leadership of the EU, the AU and donors all have varying perspectives that are problematized in divergent ways, sometimes converging and sometimes diverging from each other.

¹⁷⁷ *ibid* (p 82 and p138)

We have also shown how Sweden's regional Africa strategies have changed over time, not only bracketing the CCI period but in fact learning from the experiences with regional work in this contested and evolving space.

We then described the portfolio in various ways: the different sized investments from Sida; the contributions of others in the CCI space and afterwards; and finally reflected on the diversity of change pathways opened as opportunities for the post CCI period.

Next, and working in greater depth, we evidenced a case study on the transboundary river basins that constitutes one third in terms of financial volume of the whole portfolio. We noticed the timing and geography of the investments, for example noting (timing, financial, partner and thematic) parallels created between the UNEP-Nile investment in eastern Africa and the PREMI investment in western Africa. We undertook an extensive governance mapping of CCI investments and their results showing the systemic nature of the influences of these results for climate adaptation, mitigation and disaster preparedness. We then revealed extensive linkages within the transboundary river basin investments of CCI. These include enabling the transition of NELSAP to CIWA funding; strengthening CIWA to reach West African river basins; knowledge sharing in the Nile Basin; taking up renewable energy and power sharing; linking governance levels around Lake Victoria; facilitating river basin learning at the regional level. Finally, we observed the longevity of assisted regional institutions arising from the CCI period and showed how many remain active today, continue climate work and attract funding from many other donors.

Next we tackled the evaluation question of tracing CCI principles to CCI investments in regional Africa. Investigation 2 proved to be a surprising piece of discovery. Initially, there was no indication that Sida had overtly used the CCI principles. Yet delving further into the workings of Sida, we struck upon evidence that these Principles may have been garnered and influenced from Sida's own good practice, founded in the ethos of long-standing Swedish aid policies. It was found that a few individuals, who were steeped in climate awareness and Sida's own good practice at the right time and the right place, helped shape the CCI principles and their flow

favourably into Sida practice. Overall it was found that underlying the CCI regional Africa investment portfolio there was a grounding of change making practice that closely mirrors the intent of the CCI principles. Three elements that allowed the interplay of principle-based intent and context specific emergence are umbrella and process strategies that incorporate principles without being overly prescriptive and locally empowered and skilful personnel at Embassy level.

Finally, we enquired how a healthy system with good practice (i.e. Sida) would behave under the additional surge of funds like CCI and without extra staff. Across the portfolio, we looked for emerging patterns in the choices and decisions made by Sida for the investments. Six patterns were found including midwifing, piggybacking, climate additionality, pooling, linking and curtailing. These are strategies for how CCI money was used in the context of regional Africa investments at the systemic level of change making.

7.3 Evaluative findings and emerging insights

Today's centrality of climate change has created debates about transformational adaptation, or deep change at multiple levels of socio-ecological systems as part of resilience¹⁷⁸. This can be overwhelming at times, but learning from Sida's complex regional work through CCI ten years ago, we suggest that Sida is experienced and well positioned for continued innovation in this field.

We have tabulated below in Table 7 for ease of reading the main findings against the main evaluation themes.

Table 7: Evaluative findings of the regional portfolio and case

Themes	Evaluative findings of the regional portfolio analysis and case study
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¹⁷⁸ IPCC SR1.5 (2018) Final Government Draft, Glossary Coordinating Ed. Robin Mathews, J.B.

Relevance: alignment to regional/ national policies and strategies; short term alignment with CCI principles	<p>CCI created some of the early climate additionality for regional organisations in Africa. The regional Africa portfolio was almost entirely focused on bringing the climate focus to regional institutions (AU, RECs, river basin authorities, etc.). These leveraged and provided the baseline for national policies and strategies, some directly and some indirectly.</p> <p>We found a strong alignment between CCI regional Africa investments and the three Swedish Regional Africa Strategies that bracketed CCI (e.g. in relation to the focus on RECs, capacity building, and thematic foci). We also traced some reflections originating from CCI experience in strategy mid-term reviews.</p> <p>We easily found extensive short-term alignment with the CCI Principles across the whole portfolio of investments. Some Principles were very widespread in their operation across the portfolio such as: tangible added value (P2), implementation of Paris agenda principles (P3), reflection of the work of the CCCD (P5) and integration into countries' own development strategies especially around water and land use (P6). Less widespread but still prominent were Principles such as: International climate negotiations regarding timing and choice of channels (P4) and focus of DRR as a part of adaptation (P7). Less explicit in the regional portfolio was the Principle on adaptation intervention's primarily to go to poor countries (P1).</p>
Effectiveness: outputs; contribution to intermediate outcomes	<p>We found copious evidence of CCI short-term outputs across the portfolio for climate adaptation, mitigation and disaster preparedness; and a strong position for CCI contribution in the light of other donors, often by Sida leading, pooling, piggybacking, and midwifing investments in relation to other's contributions.</p> <p>Outputs in the regional Africa portfolio were particularly discernible at the governance level:</p> <p>The international governance level has results in relation to regional Africa influences in international conventions and global fora.</p> <p>The macro governance level has results in relation to 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.</p> <p>The meso governance level has results in relation to 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.</p>

		<p>The micro governance level has results in relation to local and local development planning for climate change, local pilot testing, increased inclusion, improved tools, and greater awareness of climate change.</p> <p>CCI contributed in the short term to the following intermediate outcomes:</p> <p>capacity and readiness for integrating climate change aspects into development decisions and planning.</p> <p>active sharing of climate change related data, knowledge and tools across national boundaries.</p> <p>readiness of institutions to mobilise and manage funds for climate related projects.</p> <p>improved livelihoods, adaptive capacities and ecological capital.</p> <p>improving dialogue on, participation in, and prominence of the climate change agenda.</p> <p>Overall, CCI investments opened up opportunities and enabled shifts towards longer-term adaptation, mitigation and disaster preparation pathways.</p>
Enablers constraints regional level	and at	<p>Enablers:</p> <p>Sida's early leadership position as a donor in regional Africa starting 2004.</p> <p>Sida's comparative advantage in capacity building for regional institutions (capacity building for management planning, policy formulation, training, linking science, and civil society participation).</p> <p>Sida's expertise at Embassy level in assessment, negotiation and decision-making.</p> <p>Sida's reputation of being a fair and impartial partner.</p> <p>Constraints:</p> <p>At the time of CCI, the discussion around long-term impacts is not made visible in relevant Sida documentation of CCI regional investments.</p> <p>Independence of regional institutions from donor assistance as a long-term sustainability goal is not articulated clearly as a desirable outcome. Although this is palpable in Sida internal discussions, it is not surfaced as a clear and desirable outcome.</p> <p>Three of the Regional Africa investments needed to be curtailed owing to concerns about corruption and unethical practice in partner institutions.</p> <p>An increasingly messy donor landscape is acknowledged by Sida as a constraint in orchestrating others' contributions towards efficiency.</p> <p>National actors do not want to 'dilute or pool sovereignty' for transboundary development issues.</p>

Sustainability of short-term outputs and contribution at regional level	of CCI and at	<p>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.</p> <p>Beyond the deeper case study on transboundary river basins, we could offer limited opportunity for in-depth evaluation of sustainability in this shallow dive analysis.</p>
Contribution of CCI to long-term outcomes/impact at regional level		<p>At a portfolio level there is evidence of CCI contribution to long term change pathways that give an indication of the potential shifts in the overall regional governance for climate sensitive development to arise if pursued further in the long term. We evidence extensive change pathways that affect long term responses to climate adaptation, mitigation and disaster reduction: from enhanced capacities of small farmers to national decisions to intergovernmental conventions and even donor processes, as well as dialogue and knowledge sharing between levels that are enhancements and capabilities emanating beyond CCI.</p>
The role of CCI principles at regional level		<p>CCI Principles were not overtly used in planning and decisions. Sida's good practice, however, resonates deeply with CCI principles. In fact, Sida's appraisals, interim reviews, conclusions mirror CCI principles as formulated by the CCCD. In the process of investigating the role of the CCI principles, we discovered that these principles actually emerged from Sida's own development and humanitarian 'good practice', and has led to systemic learning.</p>
Contribution 'successful' adaptation at regional level	to at	<p>In 2009, Sida was an early leader at the regional Africa level that brought climate additionality into the governance capacities of the continent. These capacities were 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 contribution was both pioneering and significant. However, we were not able to assess the contributions at potential impact stage (i.e. in 2019) so are not able to comment on what "successful adaptation" at regional level currently looks like.</p> <p>However, regional investments aimed to contribute indirectly to successful adaptation through shifts in governance arrangements at the continental level. They were meant inter alia to prepare and enable regional institutions towards climate related information flows, planning, strategy, law and international influencing.</p>

Evidence of coordinated, multi-level governance at regional level	Our case study on transboundary river basins maps in detail the evidence of coordinated multi-level governance at international, macro, meso, and micro levels.
The added value of CCI at regional level	<p>At regional level, CCI represented an added surge of significant funds to Sida's portfolio. Given Sida's expertise and knowledge of the regional context, the added value that this surge of funds brought was mobilised through six strategies of choice-making across the regional portfolio towards building capacity for climate adaptation, mitigation and disaster preparedness. We conclude that the added value of this surge of funds, coupled with the comparative advantage of Sida's regional position, is significant, particularly through the midwifing, pooling and linking strategies.</p> <p>In 2009, Sida's understanding of the nature of transboundary problems was distinct from other donors who frequently clubbed together problems at the national level instead of focusing on issues that related to shared resources and climate concerns across multiple national borders.</p>
The added value of Sweden's leadership at regional level	Overall, Sweden's enlightened interest in regionalism (justice, sustainable development, poverty, resilience), the significant surge of funds at a critical time, the presence of expert Embassy staff who were empowered to make many decisions, and Sida's good practice, created a distinct value add. This was further enabled by Sida's active positioning to coordinate with like-minded donors.

7.4 Enquiries going further

In this report, by using developmental evaluation we revealed some emerging insights that invite enquiry into regional issues going forward. In order to approach transformative practice, Sida's inquiries going forward need to be grounded in its own good practice but push the boundaries of its understandings and framings. The following are our offerings for further design thinking of regional approaches:

Understand context including the history of how regionalism is differently conceived e.g. through Pan Africanism, economic regional blocs, enlightened interest and humanism including the fundamental misunderstandings in the divergence of these histories.

Understand scales of influence and acknowledging that diversity is necessary, e.g. EAC reached global and Pan Africa scales of influence; that CSO network of PACJA is the largest African climate network and attained representation at AU level; EcoWAS through PREMI learned dialogue with grass-roots communities including women.

Tap into better ‘fitness landscapes’ in institutions that must respond to an uncertain future with a wide range of capabilities. EAPP was positioned such that it was able to respond to the arrival of Power Africa, the largest energy initiative, at an opportune time.

Noticing patterns in a string of actions **while allowing emergence** to work with those patterns of the past, especially by devolving decision making and retaining a high level of technical knowledge. This is evident in the empowered and decentralized Embassy staff working in the regional Africa development cooperation unit.

Noting linkages that (due to decentralisation and complexity of context) cannot be programmed but need to be recognised and rewarded. This is evident in the deep analysis of the transboundary river basin investments of CCI in which interlinkages are revealed even while they were never explicitly strategized or preconceived.

Embrace global commons thinking¹⁷⁹ as an approach that is a higher order, umbrella to regional approach. In this way, new theoretical insights from the commons field (global oceans, global atmosphere) can be applied to regional commons (oceans, regional waters, agroecological zones, forests). The politics of national sovereignty that has been an obstacle in the management of shared regional resources then gets another perspective in which multiple actors across borders can experiment with a variety of co-developed rules-of-use systems. This may help to overcome the barrier of nation states as monoliths or the sole gatekeepers of shared resources.

Through this evaluation as a space for reflection on a complex portfolio of interventions, we present a recap of our detailed report,

¹⁷⁹ As exemplified in the extensive work of Elinor Ostrom, co-winner of the 2009 Nobel Prize for Economics and her wide network of colleagues also at the Stockholm Resilience Institute

tabulate evaluative findings against the evaluation themes and finally offer enquiries going further that Sweden may find useful to explore and consider. In this way we have endeavoured to “systematically look back to [help Sida] seriously look ahead”¹⁸⁰.

¹⁸⁰ Westley et al, *ibid.* p84

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