



**SUMMARY**

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**A CONDENSED SUMMARY:  
EVALUATION OF THE SWEDISH  
CLIMATE CHANGE INITIATIVE, 2009–2012**

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

# ODA to Tackle Climate Change: A Condensed Summary of the Evaluation of the Swedish Climate Change Initiative, 2009 - 2012

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This report is a condensed summary of the results of the evaluation of the Climate Change Initiative 2009-2012. The main report presents a broader set of findings, insights and recommendations. In particular, the ten (online) case studies underpinning the main report provide more elaborated treatment of, and in-depth answers to, the evaluation questions.

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# Why an evaluation of the CCI?

Over the past decade there has been an enormous increase in the gravity of the climate change challenge. The issue has become existential, with some national and many local governments declaring a climate emergency. Responses reflect the very serious warnings from the scientific community,<sup>1</sup> as well as the rapid emergence of social movements, such as Extinction Rebellion. Interwoven with the climate crisis is a biodiversity crisis, with e.g. plummeting insect numbers, widespread biodiversity loss at land and at sea and increasing ecosystem collapse with potentially irreversible consequences.<sup>2</sup> These crises require both domestic and international responses.

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

The goal of the CCI was to “effectively contribute to long term adaptation efforts, especially in the poorest countries, and to developing countries' efforts to reduce greenhouse gas levels.”<sup>3</sup>

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

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<sup>1</sup> E.g. the Special Report from the IPCC, launched on 8 October 2018

<sup>2</sup> IPBES (2019) *Summary for policymakers of the global assessment report on biodiversity and ecosystem services*. Unedited advance version. IPBES, May 2019.

<sup>3</sup> Swedish Ministry of the Environment (2013). *Sweden's first biennial report under the UNFCCC*. Stockholm, Sweden: Swedish Ministry of the Environment.

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

This report is a condensed summary of the results of the evaluation. The main report presents a broader set of findings, insights and recommendations. In particular, the ten (online) case studies underpinning the main report provide more elaborated treatment of, and in-depth answers to, the evaluation questions.

The evaluation presents 18 recommendations, some in the form of guidance. This condensed summary discusses these recommendations along four themes, selected to describe how effective policies to combat climate change can be formed.

## **Evaluation approach**

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

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

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

# Rationale, design and implementation

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

In 2009, significant shifts in the levels and patterns of CCA investment took place. Despite the high-profile failings of the climate change summit COP 15 in Copenhagen in December 2009, developed countries did agree a financial pledge of USD 30 billion, known as “fast-start” climate change finance, in support of immediate actions in developing countries during 2010-2012.<sup>4</sup> This was part of a larger commitment made at COP 15, that by 2020, USD 100 billion should be mobilised for additional climate finance.

Sweden was able to make an early commitment to the fast-start climate finance initiative, because its own CCI had already been developed, informed by the work of the international Commission on Climate Change and Development (CCCCD), launched by the Swedish Government in 2007.<sup>5</sup> As the evaluation highlights, Sweden’s presidency of the EU during the second half of 2009, combined with this early financial commitment, put Sweden in a leadership position vis a vis the wider fast-start climate finance initiative and led to Sweden making significant contributions in both the medium and longer term. Sweden played a key championing role, particularly in pushing for direct national access to climate finance and in mainstreaming gender equality into the climate agenda.

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<sup>4</sup> During COP15 developed countries pledged to provide new and additional resources, including forestry and investments, approaching USD 30 billion for the period 2010 - 2012 and with balanced allocation between mitigation and adaptation. This collective commitment has come to be known as fast-start finance.

<sup>5</sup> The main task of the CCCD was to make proposals on how integration of disaster risk reduction and CCA into the development and poverty reduction plans of poor countries might be achieved.



## Set-up and implementation of the initiative

The CCI had a number of distinguishing features:

1. It was spread across a portfolio of investments, implemented through 17 multilateral funds/programmes, managed by the Swedish Ministry for Foreign Affairs (MFA), and over two regions (African and Asian) and five countries (Bangladesh, Bolivia, Burkina Faso, Cambodia and Mali) managed by Sida.
2. It represented a ‘surge’ of new investments, placing new demands on the MFA and Sida.
3. The objective was to “effectively contribute to long term adaptation efforts, especially in the poorest countries, and to developing countries’ efforts to reduce greenhouse gas levels.”<sup>6</sup>
4. CCI was guided by a set of seven principles, which constituted a principles-based approach to programme planning.<sup>7</sup>

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

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

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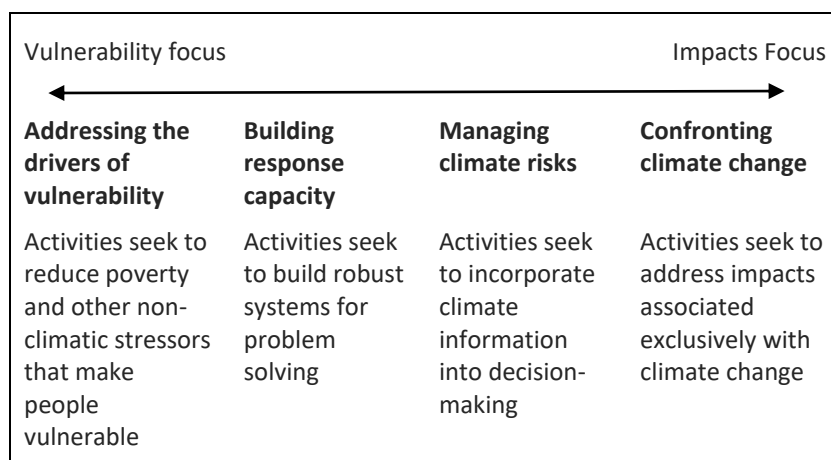
<sup>6</sup> Swedish Ministry of the Environment (2013). *Sweden's first biennial report under the UNFCCC*. Stockholm, Sweden: Swedish Ministry of the Environment.

<sup>7</sup> A principles-based approach integrates a set of agreed principles into all aspects of decision-making, planning, implementation and follow-up. The seven principles guiding the CCI were (i) funds for adaptation should go primarily to the poorest countries, (ii) Swedish contribution should have a tangible added value, (iii) contributions should work towards implementation of Paris agenda on aid effectiveness, (iv) considerations should be taken to the ongoing international climate negotiations, (v) allocation should reflect ongoing work of the CCCD, (vi) sustainable adaption requires that climate perspective is integrate in countries’ own development strategies, (vii) a proportion of the contributions should focus on disaster risk reduction.

finance in 2009 – was indeed additional, as opposed to traditional ODA that had simply been rebranded.

To address this challenge, reference was often made to a continuum of adaptation activities, concerned at the one end with activities seeking to reduce poverty and other non-climatic stressors that make people vulnerable (*‘addressing the drivers of vulnerability’*), and at the other end of activities seeking to address impacts associated exclusively with climate change (*‘confronting climate change’*) (Box 1).<sup>8</sup>

### Box 1: Continuum of adaptation activities



Addressing some of these challenges head on, the CCI was committed to addressing the full continuum of adaptation activities, building on the recommendations of the CCCD.<sup>9</sup>

The CCCD argued that a ‘new development path’ was needed which sought integration between mainstream development pathways, disaster risk reduction and climate change adaptation. The Commission as well recognized many synergies between CCA and mitigation activities, which should be integrated into

<sup>8</sup> McGray H, Bradley R, Hammill A, Schipper L, Parry J-E (2007) *Weathering the Storm: Options for framing adaptation and development*. Washington, DC: WRI.

<sup>9</sup> Sida (2009) *Guidance note Climate Change – Advice and Examples*. Environment and Climate Change Team, Sida, December 2009, page 2.

mainstream development.<sup>10</sup> They also recognized the urgency of climate change – happening faster than the science had predicted – and that there was no time to waste in developing effective mitigation and adaptation responses. Focus should be on managing risks, building the resilience of the poorest and enhancing the ecosystem functions on which they depend. There was a need to address solutions at scale. Given the growing numbers of people in danger, development must decrease the vulnerability of all of the planet’s poorest, and especially the “bottom billion”.

All these ideas were adopted by the CCI, which as one of its guiding principles stated that “the allocation should reflect the ongoing work of the Commission on Climate Change and Development”.<sup>11</sup> This was significant, showing that CCI sought something of a paradigm shift away from business as usual. The CCI set the bar high in terms of facilitating new development pathways – challenging the established international development cooperation system to adjust and indeed to transform. The challenge was especially significant, given the active debate at the time regarding the need to ensure additionality in climate finance.

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<sup>10</sup> CCCD (2009) *Closing the Gaps*. Stockholm: CCCD, page 4.

<sup>11</sup> See footnote 7.

## A note on findings

Given the high bar set by the CCI, one might have expected very mixed findings in looking for evidence of the impacts of the CCI a decade later. To our surprise the evaluation illuminated a number of positive assessments of Sweden's contribution over the past decade. Here we focus on four of those findings.

### **Achievements and sustainability**

The achievements of Sweden's fast-start CCA investments at the end of the CCI period ("intermediate outcomes") can be illustrated through findings from the bilateral portfolio analysis and supporting case studies. Within the five partner countries, CCI funds were primarily invested in downstream activities of enhancing resilience and in upstream activities of policy making, translation and administration, as well as associated technical capacity development. These different strategies resulted in Sweden contributing to:

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

In order to develop effective adaptive capacity at local community, ecosystem and built environment levels, it was necessary to work with enabling and constraining factors, at multiple governance levels. At national level these included national policies and strategies, and critically, government ownership of these. Strengthening horizontal governance for multi-actor, collaborative

planning, learning and action was also critical. In addition, bridging national and international levels through mechanisms to access international climate funds was seen by Sweden as a key enabling factor for ongoing development of adaptive capacity and resilience.

Across the **bilateral portfolio**, several intermediate outcomes to which CCI-supported projects and programmes had contributed were sustained over the longer term. Examples include climate and related policies and strategies at the national level; action plans at the local level; and national structures such as the Steering Committees of National Trust Funds as well as water committees at local levels. Various mechanisms contributed to sustaining outcomes over the longer term. In some cases, intermediate outcomes, such as steering committees and water committees, were self-sustaining over the longer-term through local efforts. On the other hand, in several cases there were additional mechanisms that contributed to sustaining intermediate outcomes. Specifically, several of the major projects supported by CCI continued beyond the CCI period, often with the substantial continued input of Swedish funding (Box 2).

### **Box 2: Sustaining results in Mali over the longer term**

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

## **Long-term ‘governance gaps’**

As well as wanting to understand whether and how intermediate outcomes at the end of the CCI period were sustained, we also sought to understand whether and how these intermediate outcomes had contributed to a wider set of impacts by the end of the 10-year period. Such understanding requires the development of a bigger picture of impact “across the global system of CCA

activities” by the end of the 2010s. Based on this, evidence can be assembled for an informed judgement on whether Sweden’s CCI investments had contributed in any way to these impacts and if so, how significant – or even unique – this contribution might have been.

Drawing on the multilateral, regional and bilateral portfolio analyses and supporting case studies, we identified a number of significant findings beyond what Sweden might have expected in terms of its long-term contribution. One of the most significant was Sweden’s long-term contribution to addressing ‘governance gaps’. Here we highlight two sets of findings, one concerned with ‘horizontal governance’ and another with ‘vertical governance’.

**Horizontal governance** is concerned with coordination – of both actors and sectoral perspectives – and addresses key questions of donor harmonisation, national government ownership, as well as the central question of integrating climate, DRR and mainstream development practices. The evaluation highlighted that there has been significant progress over the past decade in integrating climate, DRR and mainstream development practices, as evidenced for example by the widespread focus today on resilience and on ‘climate resilient development’.

The evaluation revealed the breadth of Sweden’s contribution to these developments, often as one voice among many, but sometimes standing out as more significant. For example, through its CCI investment in the World Food Program (WFP) and through its sustained engagement on the WFP board over many years, Sweden appears to have made a significant contribution (Box 3).

### **Box 3: CCI contribution to long-term outcomes in the WFP**

For the WFP, there has been marked progress in understanding how climate change and food insecurity are linked, and the multifaceted ways needed to address these linkages. CCI was an important early step in this path, probably as one among several early donor-supported contributions. E.g., the CCI-supported contribution enabled acceleration of the WFP’s understanding, systematising and scaling of its work on climate change adaptation. Previous understanding of climate within the WFP

was limited to seeing climate change in disaster-related terms. CCI support, combined with Sweden's continued and significant influence on the board, may also have helped shape WFP's Climate Change Policy in 2017.

Furthermore, CCI was able to support multiple routes to CCA/DRR mainstreaming in vulnerable countries. It did so by spreading half of its multilateral CCA investments across five established development cooperation funds,<sup>12</sup> and the other half across five new funds, developing new adaptation policy, planning and practice.<sup>13</sup> This contributed over the longer-term to mainstreaming both from within development pathways (the first group of funds) as well as from the outside in (the second group). Good examples of the latter can be found in Sweden's investments in the Global Fund for Disaster Risk and Recovery (GFDRR) and the Adaptation for Smallholder Agriculture Program (ASAP). In both cases the contributions of its early influencing, further leveraged through CCI investments, continue to be felt today.

Likewise, Sweden has made a number of long-term contributions in helping to address **vertical governance gaps**, building on its commitment to champion the interests of the poorest countries and the most vulnerable communities. Notable examples arose from its pivotal role as chair of the Adaptation Fund (AF) board and subsequently of the Green Climate Fund (GCF) board. On both these boards, Sweden was able to use its reputation and diplomatic skills to considerable effect. By bridging the interests and concerns of developed and developing nations, Sweden helped these boards develop as more collaborative and just spaces.

This in turn led to the agreement of policies, such as mechanisms of direct access funding – National Implementing Entities (NIEs) – that were more strongly geared toward the adaptive capacities of

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<sup>12</sup> These include the UNDP Bureau for Crisis Prevention and Recovery (BCPR), the Consultative Group for International Agricultural Research (CGIAR), the International Development Association (IDA) and the International Strategy for Disaster Reduction (ISDR), as well as the WFP.

<sup>13</sup> Adaptation for Smallholder Agriculture Program (ASAP), Adaptation Fund (AF), Global Fund for Disaster Risk and Recovery (GFDRR), Green Climate Fund (GCF) and Least Developed Countries Fund (LDCF).

poor country partners. This bridged a key vertical governance gap which has continued to plague other climate adaptation funds, such as the Least Developed Countries Fund (LDCF).

While challenges remain to allocate adequate financing through direct access entities, both the AF and the GCF have made great strides in accrediting NIEs. Within the AF more than 30 NIEs are now in existence and NIEs form a majority among the 95 entities currently accredited to the GCF. In turn, the diverse impacts to which these NIEs are contributing, in the case of the AF include: evidence of new and more reliable disaster risk information strengthened by risk-based planning at local and national levels (so-called *absorptive capacity*); evidence of project-supported livelihood adaptation and diversification strategies (so-called *adaptive capacity*); and evidence of the development of climate-resilient infrastructure systems, supporting improved ecosystem management and policy building (examples of so-called *transformative capacity*).<sup>14</sup>

Although we have focused here on the multilateral portfolio for evidence of CCI's long-term contribution to addressing governance gaps, indicative evidence can also be found in the regional and bilateral portfolios. For example, the evaluation's Regional Africa case study found substantial evidence for the facilitating role of the CCI in coordinating the multi-level governance of transboundary river basins. However, the methodology employed in this case study was unable to establish the long-term adaptation impact of these interventions or CCI's contribution to this.

## Enablers and contributors

The evaluation highlighted several factors that have contributed to the achievements and longer-term contributions of Sweden's CCI in the CCA field. One significant factor, supporting both its multilateral, regional funds, and bilateral investments, was Sweden's distinctive leadership style and reputation comprising several facets:

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<sup>14</sup> Tango International (2018) *Final report: Overall evaluation of the Adaptation Fund July 2017 – July 2018*. World Bank: Washington D.C.



- In many multilateral funds as well as bilateral partnerships, Sweden was seen as a **trusted partner**, with commitment and skills in building dialogue, trust and synergies. Examples include Sweden’s leadership of the Donor Harmonization Group in Mali and Sweden’s role on the board of the GCF (Box 4).

#### **Box 4: Analysis of Sweden’s role in the Green Climate Fund**

Sweden’s role in the GCF over the last decade has been continuous, committed (with its dedicated and diligent role on the Board) and in some areas transformative (providing start-up funds at a politically critical time). Sweden is recognised for investments into the governance structure and other topical issues, and particularly for its highly important and skilful negotiation and facilitation role. Sweden has one of the six single seats on the GCF board given its financial commitments. The selection of Sweden to co-chair the Board in 2018 showed trust amongst the other constituents. Sweden has a vision for GCF which is complementary to other funds. It also coordinates with its constituency at home, displaying its aim for accountability.

- In many multilateral funds Sweden was seen as a **reliable partner**, offering long-term, consistent support and a stable political hand. For example, Sweden is the only country that has contributed funding continually since 2012 to the AF, regardless of changes in government. Sweden is appreciated by the AF Secretariat for pushing for good governance and direct access.
- Regarding its roles both on the GCF board and in Mali, Sweden’s approach was described as **‘frank and friendly’** – nuanced, not beating its own drum, but prepared to confront issues that matter. In Mali especially, Sweden is respected for these qualities and listened to.
- Sweden is respected both for its **principles-focused** approach (e.g. ally of developing countries, champion of unearmarked funding and of gender issues) and in some cases also for its **content-focused** leadership in thinking and practice around the integration of DRR, CCA and mainstream development pathways (e.g. on the board of the GFDRR).

- Finally, Sweden’s role as a **social innovator** was highlighted in the Regional Africa portfolio analysis. This drew on Sweden’s enlightened interest in Africa’s regionalism agenda, approaching this without a blueprint. Rather, Sweden’s approach comprises *umbrella strategies*: strategic, long-term, non-prescriptive; *process strategies*: regular assessments enabling emergent learning; and *nimble decision making* by Sida managers, identifying and realising opportunities within the diversity of regional investments.

## Constraining factors

Alongside these enabling factors, the evaluation identified a number of factors which have constrained or limited Sweden’s achievements and contributions. Three are noted here.

The first concerns the way in which **monitoring, evaluation and learning (MEL) frameworks** were developed across many of the multilateral funds and programmes supported by Sweden. Support for effective climate adaptation requires particular kinds of MEL frameworks. Because of the need to track adaptation and learning, many standard MEL frameworks, based on linear, results-based management (RBM), are insufficient for this purpose. For this reason, many innovative and CCA-relevant MEL frameworks have been developed over the past decade. There is now a wide range of good and emerging practices.<sup>15</sup> Promising approaches include those that are principles-based as well as others that offer greater flexibility, are more iterative and strengthen learning.

However, these developments appear not to have been on the radar of the multilateral adaptation funds and programmes supported by Sweden.<sup>16</sup> Nor were they on the radar of the CCI, which while principles-based did not translate these principles into

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<sup>15</sup> STAP (2017) *Strengthening Monitoring and Evaluation of Climate Change Adaptation: A STAP Advisory Document*. Global Environment Facility, Washington, D.C.

<sup>16</sup> The need for more robust and better-tuned RBM and MEL systems for CCA, including transformational dimensions, has only recently begun to emerge from some of the funds concerned, e.g. the AF and the GCF.

MEL guidance for CCA initiatives.<sup>17</sup> As a result, while Sweden was an active champion on many multilateral boards, along with other donors, of a strengthened RBM approach, this was not necessarily well-aligned to support CCA approaches and may even have constrained these.

A second area of constraint is relevant to Sweden's successful advocacy for mechanisms of direct access funding – NIEs – that were introduced by both the AF and GCF. Here, despite the successful development of NIEs in the cases of the AF and the GCF, there has been **strong competition from alternative, International Implementing Entities (IIEs)**. Thus, for the AF, only 26 of the 63 projects approved by March 2017 – or 36% of the total approved budget – were given to NIEs, while for the GCF, less than 20% of adaptation or cross-cutting<sup>18</sup> projects submitted (covering less than 10% of funding) have been from NIEs. By contrast, four non-national entities have accounted for over 50% (28 of 55) of approved GCF projects.<sup>19</sup>

The risk in such cases is that IIEs, by being more remote from a country's priorities and national (or subnational) decision processes, may be less effective in developing contextually responsive CCA initiatives and solutions than NIEs. As an example, our case study of an AF initiative in Cambodia, implemented by an IIE, shows that unintended outcomes towards maladaptation rather than adaptation are plausible in this case, which features both conflict and socio-ecological contradictions.

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<sup>17</sup> Possibly due to increasing government pressure for the Swedish MFA and Sida to adopt a more linear output-focused RBM approach which, *de facto*, paid less attention to carefully contextualised, adaptive and/or principles-based MEL approaches.

<sup>18</sup> Projects combining both adaptation and mitigation elements.

<sup>19</sup> United Nations Development Programme (UNDP), World Bank (WB), Asian Development Bank (ADB) and European Bank of Reconstruction and Development (EBRD).

# Recommendations

## **Align aid with the Paris Agreement**

*Sweden should ensure alignment of the principles of effective development cooperation and the objectives of the Paris Agreement across all of its international aid, drawing on policy already in place<sup>20</sup> and new initiatives to accelerate learning and implementation of appropriate, integrative practices. (Recommendations 1 - 3).*

There has been significant progress over the past decade in the integration of CCA and DRR into mainstream development pathways ('climate resilient development'). The SDG agreement has done much to advance this integration imperative. More recent initiatives, such as the UN Secretary General's climate action summits, have also shone a spotlight on integrative pathways.

This is significant, because we are now in a 'new geopolitical reality' that demands that we place the climate and ecological emergencies centre stage, such that we frame all development cooperation within this context.

The evaluation findings reveal the many ways in which Sweden was able to contribute to horizontal integrative practices and to integration at regional, national and subnational levels. In the light of the climate and ecological emergencies, Sweden should now draw on this experience to ensure that it brings an integrated approach to all its development cooperation work. Furthermore, there should be a strong emphasis on rapid learning to spread and embed such practices.

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<sup>20</sup> Sweden's most recent policy framework for development cooperation applies five principles, known as 'perspectives', across its development cooperation: (i) the perspective of the poor on development; (ii) rights perspective; (iii) environmental and climate perspective; (iv) gender equality perspective; and (v) conflict perspective. See: *Government of Sweden (2016) Government Communication 2016/17:60 Policy framework for Swedish development cooperation and humanitarian assistance.*

## **Effective climate change adaptation**

*Sweden should develop a consistent framework for understanding and implementing successful adaptation. This should include working with NDCs, especially in long-term partner countries, to ensure effective adaptation. Sweden should also make conflict analysis and management integral to future work on climate adaptation. (Recommendations 4-6)*

The evaluation highlighted the importance of a clear conceptualisation of ‘successful’ climate change adaptation, including continuous learning to help guard against maladaptation. Rather than defining the concept, the evaluation pointed to six key factors: (i) Focus on increased adaptive capacity to both current and future risks; (ii) Articulate the relationship between adaptive capacity and resilience; (iii) Clarify whose adaptive capacity matters; (iv) Include both subjective and objective measures; (v) include the prevention of maladaptation; (vi) Plan for adaptation as a process, including continuous and adaptive learning.

Sweden ought to support Nationally Determined Contributions (NDCs) to ensure effective adaptive development. NDCs should encompass ownership, a listening approach and partnership at the local level. Furthermore, as climate change impact is most manifest where there is extreme vulnerability, there is also fertile ground for conflicts around topics such as rights and resources access. As climate impacts become more severe, conflict analysis and mediation could become a systemic need. Sweden is well placed to champion approaches around conflict – adaptation links over the next decade.

## **Vertical and horizontal coherence**

*The need to maximize synergies between multilateral funds, and between multilateral, regional and bilateral funds could be aided by Sweden. More attention should be paid to multi-level governance to reduce constraints between levels. Support could be given e.g. to the LDC Initiative for Effective Adaptation and Resilience (LIFE-AR) (Recommendations 7 - 10).*

A key CCI contribution concerns emerging synergies between smaller (AF, LDCF) and larger (PPCR, GCF) climate adaptation funds, and between these funds and sector-based funds (WFP, CGIAR, ASAP), themselves changing as a result of climate adaptation mainstreaming. These synergies have the potential to link small-scale piloting with scaling through some of the larger funds. This would bring greater coherence and transformational potential.

Nonetheless, many governance challenges remain, albeit that the governance gap has shifted. Thus, a second, significant insight to emerge from the evaluation was that new governance gaps were revealed. These specifically concerned the coordination of multilateral and bilateral efforts at country level and occurred despite long-term contributions of the CCI to address horizontal and vertical governance challenges associated with CCA.

Sweden's focus on the LDCs aligns with its principle to support the poor in development. Given this, one vehicle through which Sweden could contribute to the improved coordination of multilateral and bilateral efforts at country level would be to partner with the recently developed LDC Initiative for Effective Adaptation and Resilience (LIFE-AR).<sup>21</sup>

## Cutting-edge funding surges

*Funding surges have an important role to play in helping Sweden to maximise its contribution to the new and rapidly evolving landscape of development cooperation. When planning new investment surges, Sweden should consider insights from CCI in the design, architecture and programming, e.g. in building knowledge from independent commissions, further developing its principles-based approach and place transformational approaches centre stage (Recommendations 11 - 15)*

The learning from CCI can be applied both to 'funding surges' and to other kinds of investments. There is a particular case for funding surges, provided that these are well framed, are responsive to emerging strategic challenges of high relevance – for example the

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<sup>21</sup> LIFE-AR (2019) *Delivering our Climate-Resilient Future: Lessons from a global evidence review*.

biodiversity crisis and the challenge of transformative development – and are well designed.

While the CCI was of its time, it demonstrated that it is important to follow through after the surge to achieve sustainability. It was also clear that the design benefitted strongly from prior intellectual work, in this case in the form of the CCCD, which developed conceptual as well as practical advice. Flexibility in implementation benefitted from the principle-based steering of the initiative, but was hampered by the stress put on result-based frameworks. Hence, there is a need to focus on stronger adaptive and learning frameworks for the steering of funding surges.

## **Thou shalt evaluate, monitor, and learn**

*Invest in monitoring, evaluation & learning systems that are appropriate for adaptive and transformative development (Recommendations 16 - 18).*

Sweden was, along with other donors, a champion of a results-based management (RBM) approach. While RBM can provide an effective complement to principle-based steering, it can also reduce management effectiveness in situations that require more adaptive and flexible approaches. The types of monitoring, evaluation and learning (MEL) advocated by Sweden on multilateral boards in many cases reflected a misalignment with its principles-based approach. Other, more flexible types of MEL systems are required for tracking, evaluating and adapting climate resilient development pathways and investments. As a result, learning about these pathways and investments was limited.

‘Successful adaptation’ requires incremental, adaptive and transformational learning. The MFA and Sida have started to move away from more linear and narrowly defined results-based approaches. This move should continue towards MEL systems that allow for continuous, transformative (“triple loop”) learning. Knowledge capacity should be built in a way that deals both with high staff turnover and allows for future Swedish leadership capacity.

This report is a condensed summary of the results of the evaluation of the Climate Change Initiative 2009–2012. The complete evaluation contains a main report and ten case study report.

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Denna volym innehåller en sammanfattning av resultaten från utvärderingen av Sveriges klimatsatsning 2009–2012. Utvärderingen i dess helhet omfattar en huvudrapport och tio fallstudier.