

Including the Rwanda film as evidence that “The green growth and climate resilience strategy demonstrate Rwanda’s leading work in this area in Africa, and increases domestic and inter implementation” is problematic. Firstly, although the film was shown at the Rwanda COP 18 simply describes an activity and we do not know whether it has actually helped progress along the pathway. Indeed, while we were not able to rigorously track who had seen the documentary, the influence it had had on them, no one we spoke to in Rwanda mentioned the film as an influence. Both the Minister of MINERENA and DG of REMA reported significant outside interest in the Rwanda, neither could attribute this to the film. The limited feedback we received on the video was much less positive than of support to the Strategy or FONERWA. As one observer put it:

“The knowledge part of CDKN wanted to document the process of producing the Strategy and they recruited the film makers. People felt it didn’t really capture what was going on”.

There is an understandable tension between the need for CDKN to report success to DFID and to learn from self-critical reflection on the other. However, the evidence suggests that CDKN is confusing PR with M&E and is both over-claiming successes achieved and the contribution of CDKN. So, for example, the Africa Strategy claims:

“CDKN has and is currently supporting policy and programmatic change, research, and knowledge in ten countries in Africa. We have already delivered substantial results in Rwanda and Kenya advancing towards impact and results in a number of other countries.” p7

And the Rwanda Country Programme document says “The Green Growth and Climate Resilience Strategy approved and adopted by Cabinet in October 2011”<sup>26</sup> This new piece of climate change policy is a landmark action on implementing climate compatible development across the Rwandan economy, in a new manner. The year-long process included consultation with over 300 stakeholders, and was co-ordinated by a governmental Steering Committee comprising high level representatives from 9 Rwandan Ministries. There has been significant awareness-raising around both the Strategy and more broadly around climate compatible development, with government, business and civil society in Rwanda. CDKN co-ordinated the Strategy with DFID therefore can attribute a direct role in this change”. p33

However, the back to office report (BTOR) from the Africa Deputy Director and TA Senior Project Manager referencing the DG of REMA states:

“Rose did not receive the proposal for Rwanda’s participation in a regional learning project. She does not believe that Rwanda has achieved anything yet, as the Strategy is not yet implemented and FONERWA has not been launched. Rose’s main concern is how to move from policy to practice where she would like to see CDKN support.” P4

The MTR team shares the view of the DG REMA that it is “early days” in terms of implementing the political commitment to and awareness of CCD comes from GoR (with the 2008 SEI adapted with DFID support to the sector helping to raise awareness and the fortuitous timing of the EDPF providing a great opportunity for mainstreaming). CDKN has provided timely funding and competent technical support but must avoid giving the impression that it is taking credit for the work of others.

## Relevance

### *Targeting has been good*

The GGCR strategy is clearly owned by the GoR and, as noted in the RCC, the GoR established a Steering Committee comprising high level representatives from 9 Rwandan Ministries to lead a process of consultation on the strategy with over 300 stakeholders.

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<sup>26</sup> <http://www.dfid.gov.uk/Documents/publications1/op/rwanda-2011.pdf>

Concerning FONERWA, CDKN has done more than simply funding a relevant intervention and CDKN consultants have actively contributed to producing a relevant design. For example, we were told:

“They have used good stakeholder mapping and consultation – more than with other consultants”.

A number of stakeholders also appreciated that CDKN understood that having consultants able to communicate effectively with both MINECOFIN and MINERENA was critical to making FONERWA a success. CDKN were seen as selecting the best consultants for the job rather than giving in to pressure to have “big name” specialists on the private sector:

“The relationship with GoR is the critical success factor and explains why the CIDT team was chosen. GoR sees itself as leading the way on mobilising FONERWA projects and then bringing in the private sector. Given the GoR approach, getting outsiders with a better understanding of the private sector but no relationship with GoR would simply have produced reports rather than Government engagement”.

It is worth highlighting how important it was for the design of FONERWA to involve MINECOFIN and get their understanding. The Director-General of Budgets was involved in the process and has very high level of awareness of FONERWA. Strategic entry points were also identified at the outset. This model may well hold lessons for getting joined-up government involvement in climate finance in other countries.

## Effectiveness

*Demand-led work needs to be part of a clear strategy – in the case of CDKN’s early work in Rwanda it wasn’t.*

As mentioned in section 0 above, CDKN did not develop a theory of change *before* implementing the projects in the Rwanda programme. A number of stakeholders argued that this had reduced the effectiveness of the programme. Reporting, for example:

“Nowadays DFID has a CC strategy but the CDKN work has developed organically and we could not say that CDKN work is part of a broader strategy. CDKN outputs were much more reflective of demand and opportunistic”.

And;

“EDPRS2 via sector planning strategies is going to drive priorities for FONERWA. CDKN did not do a ToC to work out how to influence EDPRS2 early. They faced a lot of pressure to spend and deliver and the deadline for the strategy prevented forward thinking and reduced quality of the work i.e. reducing the focus on capacity building. It would have been helpful to stand back early on and develop a ToC”.

*It would have been a great help to have a country engagement leader right from the start of the programme who could engage at a senior level with Government*

This was a commonly expressed view and is illustrated by the following quotes:

“CDKN not being in country has been a disadvantage”.

“They should have had a senior person in country like Trademark East Africa – face time makes this programme successful”.

“There are challenges around FONERWA design being based locally and meeting with GoR regularly while CDKN is based in London and so their comments were sometimes not seen as reflecting local realities and were rejected. CDKN didn’t have the information to decide whether this rejection was valid – they need a CEL”.

*Both GoR and CDKN wanted the GGCR strategy contract to build GoR capacity in CCD but a number of factors prevented this (and, to some extent, could have been foreseen). These include:*

- Not having capacity building as a major element of project design
- The very demanding timeline for delivering the strategy

- Supplier focus on delivering a strategy rather than training.

Interviewees put this in terms illustrated by the following quotes:

“Local interns were meant to learn holistically from involvement in Strategy but it didn’t work”.

“The interns were not trained because no time was available for proper training. But also Smith School were not focussed on training but on delivery of the strategy. Their performance indicators did not include training”.

## Efficiency and broader VFM

The large majority of expenditure in Rwanda has been on externally commissioned technical assistance. CDKN uses a rigorous and robust procurement process and we can be confident that the unit costs for the Rwanda projects were in keeping with sector norms.

The main question relating to efficiency is:

*Whether CDKN has provided a service that the existing DFID office could not or whether it has simply added an additional layer of management?*

The evidence is clear that when CDKN began working in Rwanda that DFID Rwanda did not have the staff or time to manage the national climate strategy project. It would not have been possible to get another DFID CC advisor in time and, at that point, DFID tended to have CC advisors with specific skill sets whereas CDKN was able to offer the required wider range of skills and experience. Hence CDKN brought a technical advantage as well as speed of contracting.

This may not be true now as DFID has built technical capacity in this area and has a suitable country climate change programme in place. Consequently, in countries with DFID climate change programmes it is important that the advisor has oversight of CDKN projects – even if this is simply to confirm consistency with the country strategy and that there are good reasons for not managing it “in-house”. Given the requirement for independence this should not apply to AF. It should be noted that DFID Rwanda felt that there had been good coordination on strategy and technical issues with CDKN.

*There also appears to be a question of how to manage the complexity of joint DFID and CDKN project funding.*

As DFID accounting systems are not designed for this, staff find it difficult to know who has paid for what. There is then a risk of the same activity being funded twice. In these circumstances it is better to have all funding for a project managed by DFID or CDKN unless there are very clear activities that can be funded separately.

## Sustainability

*The GoR owns the GGCR strategy, EDPRS2 and FONERWA and so there is a good chance that CDKN inputs are part of a sustainable process.*

The limitations to this are GoR dependence on DP funding and lack of GoR capacity to implement CCD. As one GoR official put it:

“The hope is that FONERWA will implement EDPRS2 objectives (although resources are very limited). FONERWA is the key tool for sustainability although we need technical inputs from districts and private sector”.

*A combination of fortuitous timing for the new PRSP (EDPRS2), GoR commitment to the GGCR and rigorous mainstreaming presents a genuine opportunity to get line ministries to incorporate GGCR into sector plans with budget allocations. The critical constraint is a lack of capacity within line ministries and, while the CDKN RCC mentions capacity constraints, we believe it should have a higher profile at this point in time.*

The process of developing EDPRS2 will integrate CC as a cross-cutting area with guidelines – with some general and some sector-specific elements. The guidance for line ministries is taken from the GGCR strategy (annexes for specific sectors). This guidance typically sets out principles that need to be taken on board but the Sectors need more capacity to turn principles into detailed plans that can be linked with the Sector budget. Some of this capacity is technical but the lack of economic capacity (to assess where benefits of CCD interventions outweigh costs) was emphasised by a number of interviewees.

## Learning

*There is evidence that CDKN has learned from its experience to improve the TA it delivers but there do not appear to be processes in place to learn systematically from the programme. The film made about the production of the national climate strategy focuses on raising awareness of climate change and Rwanda's policy response rather than lessons learned from developing the strategy.*

*CDKN project management quality assurance processes helped to get the supplier for the GGCR strategy to address a number of weaknesses. A "hands-on" management approach identified concerns, CDKN commissioned an external review of the draft Strategy and the Smith School revised the Strategy as a result.*

*The CDKN Rwanda programme seems to have learned from its engagement in Rwanda. For the FONERWA contract, DFID and CDKN managed to insist on competitive contracting although this would take more time (delay being anathema to GoR).*

## Climate and Development Knowledge Network

### **CDKN Project Ref: AAGL-0020 CDKN External Evaluation Review**

### **COUNTRY VISIT REPORTS: Kenya and Ethiopia**

Submitted by



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## Acknowledgements

This report has been written by Robbie Gregorowski, Gil Yaron (team leader), Isabel Vogel and Jules Siedenbourg. The CDKN team has assisted our work by ensuring efficient access to information.

## Introduction

This Country Visit Report reflects the combined findings from a joint visit to Kenya and Ethiopia, reviewed as part of wider CDKN 'sub-regional hub that includes Rwanda (country visit undertaken by Gil Yaron in December 2012). More emphasis is placed on the results and findings relating to CDKN's engagement in Kenya as a Deep Engagement Country with its own Country Programme and duration of engagement that has started to deliver tangible results. Findings specific to Ethiopia, a more recent Medium Engagement country, are highlighted in the text.

## Key Findings and Recommendations

- In terms of activities and outputs CDKN have successfully delivered the 6 components on time and as budgeted as set out above. As a whole these components have contributed to the delivery of a draft NCCAP document. The process of producing this document has been largely led, managed and delivered by CDKN and their sub-contracted service providers.
- The key short term outcome is significant contribution to / progress towards mainstreaming climate change into national planning processes. CC will feature in next Medium Term Plan and in overall Vision 2030.
- TA is where CDKN has greatest capacity to transform. Other CDKN output areas need to be tied to country led actions which are based around TA. In both the Kenya and Ethiopian contexts there needs to be better overall coherence of how each of the CDKN outputs support work in countries.
- The role of Country Engagement Leader (CEL), or similar, is critical if CDKN is to strategically inform CCD processes at the national and international level. This requires CDKN to have permanent staff based in country who are recognised as CCD experts and who are able to engage key counterparts through trusting relationships and informed dialogue.
- A potentially key missed opportunity relates to failing to systematically document the lessons learned, methods deployed and tools created through the NCCAP development process that CDKN has support. – This could and should be a key CDKN knowledge product and a potentially significant global public good. There is no evidence that CDKN recognises this and no evidence the other outputs are systematically engaged to realise this and take advantage of the opportunity.
- A wider implication is that CDKN's outputs could be better grounded in the strategy, activities and lessons at the country level – to respond to priorities as they emerge and apply lessons learned through working with priority audience and stakeholders in deep engagement countries and then transferring these activities and lessons elsewhere.
- CDKN's results focus needs to include more 'honest introspection' and self-questioning in order to learn lessons about what works and what doesn't. Pressure to report successful achievement of objectives to DFID needs to change to understand that failure is natural and can be accepted.

## Results and Impact

### Expected results

Based on the need and demand expressed by the MEMR, CDKN TA-support in Kenya comprises the following six components:

	Project code	Title	Start Date	End Date
1	TAAF-0027a	Kenya's NCCRS - Subc 9 - Coordination	Aug 2011	31 March 2013
2	TAAF-0027b	Kenya's NCCRS - Subc 4: Mitigation action	Aug 2011	31-Jul-12
3	TAAF-0027c	Kenya's NCCRS - Subc 1: Long-term National Low Carbon Development Pathway	April 2012	31-Oct-12 (likely to extend to end Dec 12)
4	TAAF-0027d	Kenya's NCCRS - Subc 2 - Enabling Policy and Regulatory Framework	Sept 2011	30-Sep-12
5	TAAF-0027e	Kenya's NCCRS - Subc 3 – Preparing for a National Adaption Plan	Sept 2011	19-Oct-12
6	TAAF-0027f	Kenya's NCCRS - Subc 8 - Finance	Sept 2011	30-Sep-12

According to the CDKN Kenya Country Programme impact pathway, CDKN aims to deliver and contribute to:

*CDKN areas of intervention:* Evidence of results to date and trajectory towards impact based on evidence presented to the evaluation team member.

1. Collated existing and new information as fresh evidence base for choosing future CCD priorities. **Successfully delivered.**
2. Support to MEMR and NCCAP process (scoping, procurement, project management, capacity building, process facilitation). **Successfully delivered.**
3. Improve understanding of climate change opportunities and costs for Kenya amongst key stakeholders. **Successfully delivered.**
4. Facilitation of stakeholder consultations (national, provincial and county levels) **Successfully delivered.**
5. Support to MTP process and screening of flagship projects. **Partially delivered.**
6. Development of tool, reports, systems to implement and inform the NCCAP and CCD in Kenya. **Successfully delivered.**
7. Options analysis produced to support identification of key NCCAP actions and other CCD priorities at different scales (e.g. Coastal zone, local, provincial, national). **Partially delivered.**

*Short term changes:*

- 1) *NCCAP recommendations accepted and included in MTP/sector plans and budgets. Significant movement towards positive change.*
- 2) *When county plans are developed they are informed by NCCAP analysis/actions. Movement towards positive change.*
- 3) *Recommendations from NCCAP in terms of creation of institutional home for CC within new Government structures taken up (e.g. creation of CCD). Movement towards positive change.*
- 4) *Changes are made based on NCCAP to legal, policy and regulatory frameworks in Kenya that promotes CCD (e.g. climate change policy, climate change act). Movement towards positive change.*
- 5) *Tools to support climate proofing of development projects/programmes are available and used. Movement towards positive change.*
- 6) *NCCAP recommendations relating to climate finance are taken up and concrete proposal developed. Expected movement towards positive change.*
- 7) *Mechanisms are created that promote multi-stakeholder engagement in development of NCCAP and Government commits to providing ongoing opportunities for strategic discussions to drive implementation. (incl. media breakfast). Support planned but too soon to identify any significant movement towards positive change.*

*Medium term changes*

- 1) *Mainstreaming of CCD and NCCAP actions in Government Planning and Budgeting processes. Some evidence of contribution/progress towards positive change.*
- 2) *Mechanisms promote leadership, coordination and coherence of response to climate change. No evidence of contribution/progress towards positive change.*
- 3) *Financial mechanisms to support climate compatible development are in place and attract and provide sufficient investment. No evidence of contribution/progress towards positive change.*
- 4) *Private sector plays an active role in supporting increased resilience and response to low carbon development opportunities through investment and promoting access to technology. Support planned but no evidence of contribution/progress towards positive change.*

**Evidence of results delivered**

In terms of **activities and outputs** CDKN have successfully delivered the 6 components on time and as budgeted as set out above. As a whole these components have contributed to the delivery of a draft NCCAP document. The process of producing this document has been largely led, managed and delivered by CDKN and their sub-contracted service providers.

The key **short term outcome** is significant contribution to / progress towards mainstreaming climate change into national planning processes. CC will feature in next Medium Term Plan and in overall Vision 2030.

*At the launch of the MTP process (28th August 2012) the Minister of Planning announced that climate change would be considered as a cross-cutting issue and that sector plans would be expected to identify climate related spending, climate proof their existing and plan for new activities*



*(potentially drawing on the NCCAP actions and analysis).* CDKN Kenya Country Programme Impact Monitoring Form CP3, page 38 – verified during the Kenya country visit.

Trajectory towards **medium and long term outcomes / impact** - CDKN have successfully delivered their central short term objective to establish the CCS in the MEMR and to deliver the NCCAP recommendations into the MTP. But impact depends on concrete implementation on the ground as a result of CC mainstreaming. It is too soon to claim that support to the CCS has been achieved and CDKN's focus should shift to the private sector and civil society. Rather, CDKN need to continue to work with MEMR to bring in these groups to ensure medium term changes such as mechanisms promote leadership, coordination and coherence of response to climate change are sustainably embedded in key institutions and processes. Similarly, it is too early on the trajectory of a complex change pathway to define CDKN's role and contribution to ensuring that key counterparts (the private sector and civil society) and mechanisms (climate finance) play a role in delivering a meaningful response to climate change.

### **Results reporting / M&E**

CDKN's results focus needs to include more 'honest introspection' and self-questioning in order to learn lessons about what works and what doesn't. Pressure to report successful achievement of objectives to DFID needs to change to understand that failure is natural and can be accepted.

## **Relevance**

*"DFID Kenya did not bring CDKN in – CDKN already in dialogue with MEMR and COMESA. DFID supported MEMR's aspiration to develop the NCCAP and felt that CDKN had already established good dialogue, relationships and entry points with MEMR. All three partners shared aspiration that concrete implementation was the ultimate outcome."*

### **CDKN Kenya Country Engagement process**

*"CDKN support to the NCCAP process is extremely relevant to Kenya's CC priorities as it is the necessary and essential next step to go from a strategy to a costed and budgeted plan to support implementation."*

In terms of relevance, CDKN's engagement in Kenya demonstrates a clear response to Kenyan-owned need and demand which is neatly summarised in the CDKN Kenya Country Programme document (October 2012):

*The Government of Kenya published the National Climate Change Response Strategy (NCCRS) in April 2010. This was a thorough and comprehensive assessment of Kenya's climate change issues and presented a detailed implementation and resource mobilisation plan, including the identification of adaptation and mitigation measures at an annual average cost of some US\$ 3bn over the next 20 years. The NCCRS did not establish a system for coordinated implementation of climate action in Kenya and following a process of inter-ministerial collaboration and stakeholder engagement, a vision for an ambitious Climate Change Action Plan was established in early 2011. Kenya's Ministry of Environment and Mineral Resources (MEMR) identified the need to make more specific recommendations for coordinated and practical progress under the NCCRS. The need was identified through discussions between a Climate Change Adviser from the Common Market for Eastern and Southern Africa and the Permanent Secretary in the MEMR. COMESA then approached CDKN and a number of other donors, including DFID Kenya and the French Development Agency to provide support to a few areas of technical input.*

*CDKN has sought to address the following challenges that exist in Kenya:*

- 1) *The commitment and capacity of the Kenyan Government to lead and take action on climate change and move beyond development of strategies and planning to delivery and impact on poor people's lives.*
- 2) *Lack of country specific knowledge and evidence to support decision making about Kenya's options in terms of mitigation and adaptation actions.*
- 3) *Deeper engagement and action from a range of stakeholders, particularly civil society and the private sector, in order to support Government commitments and provide a wider enabling environment for climate action.*

## CDKN's role in Ethiopia

### Evolution of CDKN's role in Ethiopia and the need for a flexible response strategy

- Contracted by CDKN in June 2012 as part of 3-person CDKN team placed in the EPA to scope the procurement support and needs required to translate the CRGE into an action plan entitled iPlan24 and now called Sectoral Reduction Mechanism (SRM).
- Originally envisaged that the CDKN team would draft the TORs and manage the process of selecting the service provider to coordinate aspects of vulnerability and emissions reductions required under iPlan/SRM.
- CDKN began this work by starting to develop TORs for various service providers but recently and suddenly the nature of the work was changed when EPA decided that didn't want / need service providers to be procured and would manage the process themselves.
- Focus now is to support EPA through the provision of 3 individual technical experts covering MRV, KM, and climate finance to build EPA capacity over 6 months.
- GGGI will also have a complementary role to cover the climate baseline and green growth. It is not clear to what extent this is a more strategic advisory role to the EPA that CDKN aspires to.
- CDKN seem to have accepted and responded to the change in EPA demand and focus well but are still pushing the EPA to realise the value of an overall coordination role for them.
- EPA is a challenging client to work with – very strong sense of their own needs and where they invite outside support. The nature of the demand and their overall strategy is subject to change as their own understanding evolves. Very recently, there was a major and last minute shift in the nature of the engagement CDKN envisaged. The nature of the demand from EPA is much smaller, and less strategic than CDKN proposed. CDKN have been able to respond flexibly to change their support to meet this need by focussing on identifying the key risks to the EPA strategy. The final agreement of the nature of CDKN's involvement is yet to be formalised.
- CDKN support in Ethiopia relates primarily to the provision of TA to the EPA. Through the TA-component, CDKN have embedded staff within the EPA which has contributed to establishing relationships and building local capacity within the EPA and ensuring an effective (and co-ordinated) approach between different donors and GGGI through strong project management. However, this engagement looks set to be a single, projectised engagement and based on this CDKN will not be able to claim contribution to CC in Ethiopia beyond output level. Therefore, the most ambitious claim they can make is likely to relate to building and strengthening the capacity of the EPA to implement the SRM.
- More broadly it is too early to tell if CDKN are happy to play a role that relates only to the provision of niche TA to transfer capacity to EPA staff and where their ability to work strategically with the EPA is limited. GGGI play this role currently in Ethiopia both for the EPA and DFID, and do it better than CDKN can as they have permanent technical staff based in country.

## Effectiveness

### CDKN role

CDKN added value in Kenya relates to procurement, contracting, programme management and process quality assurance (QA). In Kenya, CDKN have facilitated a process of creating the CCS and delivering the Action Plan more effectively and efficiently than either DFID Kenya or the MEMR on their own could have done.

More significantly, several key informants summarised CDKN's effectiveness as:

- Process management and process QA – strong
- Technical content QA – mixed – trouble understanding nuanced and complex process and context from London. PM support in London is very junior. Tim Ash Vie – very good and should expand role as Country Engagement Leader.
- Development processes – don't understand the soft side of development – struggle to understand need to invest in developing and managing relationships – instead want to 'push' / 'force' process through according to own timetable

### **Structures and mechanisms to ensure effectiveness**

The recently created position of Kenya Country Engagement Leader (CEL) looks to ensure that CDKN has permanent presence in Kenya and wider East Africa sub-regional hub. This role provides link between client (MEMR) and service providers and ensures that CDKN better understands and adapts to the complex political economy in Kenya and the region. The CEL is an innovation that CDKN should employ in all high engagement countries as it means that they are more likely to step beyond simple contracting, procurement and process management support to provide more meaningful support based on dialogue and relationship building.

### **CDKN added value as a programme that is greater than the sum of its parts – synergies across CDKN outputs**

Little evidence was presented in Kenya or Ethiopia of systematic integration / synergy across CDKN outputs – TA, knowledge management (KM), research, partnerships, and advocacy. CDKN strategy and activities in both countries are heavily TA-led with little evidence of systematic input from the other CDKN outputs. CDKN have had very early conversations with the Government of Kenya regarding a project to enhance public engagement and understanding of climate compatible development to support Kenya's Climate Change Action Plan. CDKN are also scoping a joint research and knowledge management project which aims to support the communication and uptake of CDKN-commissioned research in Africa, through strengthening the ability of researchers in Africa to communicate their research findings to targeted audiences. Whilst these activities are laudable, they are in their infancy and cannot be considered representative of a systematically synergised approach across the country programme. The case study below illustrates the potential added value of a more synergised approach.

#### **CASE STUDY / ILLUSTRATIVE EXAMPLE of CDKN synergies across outputs – TA and Partnerships**

Stephen was invited to attend the LEDS Global Partnership meeting in London in 2011 based on a suggestion by the CDKN PM to the CDKN Partnerships lead. CDKN managed to mobilise an advisor each from the MEMR and Ministry of Planning (MoP) as well as both respective Permanent Secretaries (PS). MEMR approached CDKN as they saw a strategic opportunity to influence the Ministry of Planning through his attendance. All four travelled together and presented on mainstreaming CC into national planning processes. According to Stephen this experience was key to the Minister of Planning. The outcome was a significant and immediate change in attitude from the MoP to better engage with MEMR in terms of the importance of CC mainstreaming in planning processes. A wider benefit of the LEDS GP exposure (Stephen now sits on the LEDS GP steering

committee) is that he has been exposed to a wide range of potential Development Partners who are interested in contributing development assistance to the implementation of the NCCAP in particular sectors of interest – e.g. Germans now funding development of a NAMA for Kenya’s energy sector based on discussion at LEDS GP meeting.

NOTE: this seems to be a relatively isolated example of synergy across outputs rather than a systematic approach to working employed by CDKN. Everyone else interviewed was unaware of the CDKN’s other outputs beyond the TA led support provided by CDKN in Kenya. But it is an example of how CDKN can work across outputs to add value and contribute to a programme that is ‘greater than the sum of its parts.’

## Efficiency and wider VFM issues

CDKN’s added value to DFID Kenya is as a convenient procurement mechanism through which DFID could put its single biggest country office grant. CDKN provided a very efficient procurement process which resulted in the best technical experts. This is CDKN’s primary value to DFID for the country offices – DFID Kenya does not have the capacity to procure and manage the different sub-components involved in producing the MEMR.

*“Because of this procurement and management ability CDKN was able to manage the complex NCCAP process within 12-18 months – a significant achievement.”*

A potential downside of CDKN’s ‘projectised efficiency’ (characterised by a *technical assistance plus* approach which reflects PWC’s hard management practices and is very UK-centric in terms of (ODI-orientated) research, partnerships and knowledge management) is that it prevents the development of dialogue and relationships with government counterparts for meaningful long term change. In this way, an organisation such as CDKN may be less efficient than other organisations attempting to occupy the CC strategic advisory space. These two different approaches were clearly visible in Ethiopia where GGGI provides much more of a strategic advisory role to the Environmental Protection Authority due to their long term presence in the organisation as opposed to CDKN’s project team and a CEL based remotely in Nairobi.

CDKN have been engaged in Ethiopia in order to provide flexible and efficient TA funding through their procurement, management and QA expertise. Therefore, there is a disconnect between CDKN’s vision as a CCD ‘world authority’ and what they are used for in Ethiopia. The appropriate and most efficient role for CDKN may not be as simple as a dichotomy between a LT CCS institution vs. efficient procurement, management and QA mechanism. A potential 3rd option relates to providing a CC Resource Centre type vehicle to DFID and to developing countries (similar to DFID resource centre model open to DFID in the UK) where both DFID and developing countries could procure services across the CDKN outputs on demand.

## Sustainability

### Sustainable engagement with key stakeholders and counterparts

Sustainability of the engagement process with the MEMR after the support finishes in March is an issue for CDKN. CDKN support has helped establish the Climate Change Secretariat in the MEMR which should be sustainable but may require support in translating the Action Plan into meaningful implementation. This would require CDKN to have flexibility in revising their Kenya strategy – it is not clear that this flexibility is currently in place as CDKN are currently procuring contracts to raise the visibility of the NCCAP with the private sector and civil society, implicitly assuming support to the MEMR is complete. The last round of contract procurement was not developed through a process

and dialogue with MEMR but was developed unilaterally by CDKN as a component of their original strategy – this seems to suggest that CDKN struggles to flexibly change approach in order to react to context and maintain relevance.

## Learning

### **CDKN research and knowledge management**

CDKN's Kenya Country Programme is almost entirely TA-led. This is also the case for the proposed support to the EPA in Ethiopia. However because of the lack of other CDKN output integration, CDKN is unlikely to systematically document lessons learned.

A potentially key missed opportunity relates to failing to systematically document the lessons learned, methods deployed and tools created through the NCCAP development process that CDKN has support. – This could and should be a key CDKN knowledge product and a potentially significant global public good. There is no evidence that CDKN recognises this and no evidence the other outputs are systematically engaged to realise this and take advantage of the opportunity.

A wider implication is that CDKN's outputs could be better grounded in the strategy, activities and lessons at the country level – to respond to priorities as they emerge and apply lessons learned through working with priority audience and stakeholders in deep engagement countries and then transferring these activities and lessons elsewhere.

## Theory of Change

### Other issues

#### **Conflict of interest**

Role of PWC coordinating CDKN and being given complete access to Kenyan ministries as well as service provider details but then competing against these same service providers in other Kenyan tenders was seen as unfair, transparent and a serious conflict of interest.

## Climate and Development Knowledge Network

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### **COUNTRY VISIT REPORTS: Colombia**

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## Introduction

This Country Visit Report describes the findings from a visit to Colombia, a CDKN Deep Engagement Country. Specific findings for Colombia are highlighted, with the implications for CDKN as a whole drawn out and recommendations made.

A selection of projects from the Colombia Country Programme portfolio were reviewed, and interviews held with project partners and stakeholders, project suppliers and independent peer organisations in Colombia. A key meeting with new institutional stakeholders for the Cartagena project was also observed.

The projects reviewed were:

<b>Colombia Country Programme Yr 3-5: Mainstreaming Climate Change</b>	Technical Assistance TALA 0028	June 13, 2012	December 12, 2014	Grupo E3, Colombia
<b>Integrating adaptation to climate change into local planning and sectoral management in Cartagena Phase 1</b>	Technical Assistance TALA 0006	20/06/2011	30/06/2011	INVEMAR, Colombia
Integrating adaptation to climate change into local planning and sectoral management in Cartagena: PHASE II “ADAPTATION PLAN AND NATIONAL GUIDELINES”	Technical Assistance TALA 0028b	17/09/2012	31/03/2014	INVEMAR, Colombia
<b>An inter-institutional, multi- sectoral analysis of vulnerability and adaptation to climate change for the agricultural sector in the upper Cauca valley river basin impacting adaptation policies (AVA)</b>	Technical Assistance TALA 0009	26/09/2011	31/12/2012, Extended to 31/03/2013	Universidad del Cauca, CENICAFE, Universidad de Caldas, CIAT, Colombia
<b>Amazonia: The Security Agenda. Responding to imminent threats</b>	TALA -0025	01/07/2012	31/12/2012	CIAT /Green Canopy, Colombia

<b>Growing up in Adversity: resilience in families affected by the winter</b>	AAGL -0009h	15/04/2012	15/10/2012	Universidad del Norte, Colombia
<b>Mainstreaming Climate Change into the Transport Sector in Colombia</b>	TALA 002a	11/2012	21/06/2014.	ICF International

## Key Findings and Recommendations

- In terms of activities and outputs CDKN have successfully delivered the project outputs detailed above, on time and to budget, apart from the TALA 0009 project which has been extended until March 2012, due to difficulties in obtaining information for the vulnerability model.
- Overall, the CDKN Colombia Country programme is a successful programme. There is strong evidence that the **country engagement approach, plus strategic projects** is effective at producing both the product and process results that are required.
- Performance in Phase 1 has been impressive, with tangible results achieved during the lifetime of the projects, and with projects with relatively small budgets.
- Projects represent efforts to apply climate science to the development of tools to support public policy development for adaptation in selected mainstream sectors such as agriculture and transport.
- CDKN Colombia have succeeded in engaging the key actors at the national level through the steering groups for the portfolio of projects. This includes the Ministry of Environment and Sustainable Development, in charge of adaptation planning; the Department of Planning, in charge of planning and financing; as well as sectoral ministries, Agriculture and Transport. CDKN Colombia has also succeeded in engaging at the local and regional level, with city government in Cartagena, and with the autonomous regional environmental corporations which have influence over land use planning, among other areas.
- Interviewees consider this two-tier approach to be highly effective, because national engagement is needed to open the space for action, but the local level is where implementation needs to be tailored to the specific regional conditions.
- There is a confirmed match between how CDKN Colombia understand their niche and offering and how their partners and suppliers view it:
  - Having a holistic vision of climate change, adaptation and development
  - Bringing a combination of technical expertise, a focus on public policy and instruments and building a multi-stakeholder, consensus approach
  - Working at the nexus of science and policy – with very few comparators nationally.
- All interviewees considered that CDKN Colombia's projects were relevant, strategic and innovative. Of particular interest were:
  - i) the linking of research and public policy instruments to produce tools to support highly tailored decision-making at different levels of decision – national, regional, locally at the municipal level. The focus on planning instruments such as Land Use



Plans was considered particularly strategic and likely to have sustainable impact, as regulations and norms flow from these plans.

ii) The focus on developing climate change adaptation decisions and planning on two axes: sectoral and territorial. The focus on major productive sectors such as agriculture, transport and large city governance was seen as having strong potential for demonstrating how mainstreaming of adaptation could work.

iii) CDKN's concept of climate compatible development and explorations of how to implement it within some of Colombia's most economically important sectors. This model was considered to be bringing something innovative and potentially new solutions within the current institutional framework.

- Most of the results achieved have been in the pilot projects TALA 0006 and TALA 0009. These components have contributed to the establishment of evidence-based and multi-stakeholder endorsed planning products and process for the two main areas of CDKN's intervention in Colombia
- These projects are now ready to begin Phase 2. They represent important results in that they are 'proof of concept' of not only research-based products that support implementation planning, but also of multi-stakeholder processes that are able to transcend institutional, public and private, and local/national boundaries.
- The projects demonstrate that - given the spaces and on-going accompaniment from CDKN as a trusted broker and source of support – stakeholders are able to find ways to collaborate to address climate change adaptation, ecosystem management and related issues as mainstream issues affecting economic competitiveness and national development.
- The other projects have been funded through Regional Research and Innovation Fund respectively. They are to be addressed under the Colombia portfolio because they are ready to be scaled up in a second Phase to support the Colombia Programme objectives.
- The project envisioned for Workstream 2, embedding a technical expert in IDEAM (the official institutional authority for producing meteorological, hydrological and environmental research in Colombia) had not yet started at the time of the mission.
- There are some caveats in the degree to which government and national institutional stakeholders are actually engaged. The AVA project especially has posed challenges to the institutions that are responsible for the generation of national information. The space that the AVA project has opened for multi-stakeholder dialogue and engagement needs to be carefully managed by CDKN to ensure practical government and institutional commitment to the process through into Phase 2.
- Although CDKN Colombia has undertaken communication activities, interviewees nevertheless consider that CDKN is not as visible nationally to other actors in the climate change area. Communication of CDKN's approach and lessons from the projects need to be communicated more widely for sustainability.

#### **Implications for CDKN as a whole**

- **Synergies across outputs** There is a missed opportunity in that the Colombia projects are coded as TA, whereas they combine national and international science and research in

practical applications of decision-making tools and inputs to institutional planning, supported by multi-stakeholder engagement and dialogue.

- Evidence from the visit suggests that the dialogue process is effective in balancing the instability of institutional personnel changes. Suppliers in all four main projects are research-based organisations with a policy development approach.
- However, learning from this synergistic approach is currently not being captured, for reasons to do with:
  - i) how the impact pathway is conceptualised
  - ii) a lack of focus on capturing intermediate results rather than deliverables within the M&E system.
- **Impact pathway** As an example, CDKN Colombia's impact pathway is missing a key pathway: political and institutional development. In practical terms, this is precisely where their multi-stakeholder processes are focused and is one of the drivers of change.
- In the 'Vision of Change', the outcome '*Decision makers at different levels have political will to address climate change as a transversal priority in sectors and regions, incorporating climate change considerations into development decisions and actions*' has been identified. However, this has been codified in the Vision as 'beyond the scope of the country programme', mainly for reasons of confidence in delivery.
- As the development of 'political will' – i.e. institutional, government and private actors seeing that it is in their interests and stakeholders' interests to address the issues – is where a lot of the project results are being seen (for example, in Cartagena), then missing this pathway means that there is no M&E process attached to this area of work.
- This makes it difficult to report important engagement results and to justify the investment in the multi-stakeholder engagement approach, as well as the public engagement communication interventions now being planned.
- Valuable learning opportunities are being missed because the impact pathway does not incorporate any learning questions or assumptions to monitor.
- **M&E and results reporting** There is a general issue in that the CDKN reporting system favours reporting of deliverables at the immediate end of projects, and a generic aggregation at the top level of the DoC.
- Results reporting is brought together better at the country programme level, but there are two issues here:
  - i) these results are self-reported by the team without verification;
  - ii) the structure of the reports mean that the evolving 'impact story' is presented in different sections: contextual and institutional challenges are presented as risks, CDKN's response and contribution are presented as risk mitigation, and any resulting changes are reported in a de-contextualised way, often as PR stories, with risks about over-claiming CDKN's contribution to a wider process.
- This makes it difficult to read across the significance and track how small changes build up into big ones, and obscures how CDKN may be responding strategically and adaptively to these.
- The risk is that results are reported as PR rather than M&E and valuable learning about 'change stories with chapters' is not captured.

## Recommendations for CDKN as a whole

7. The Country Engagement Leader approach is effective in order to make projects more than stand-alone investments, and helps to build an uptake pathway for the results. The CEL should be in place early in the process of deep engagement so that investments are made at a *strategic* level (even if this means working in fewer countries).
8. Internationally, CDKN may be better known as a research entity, but in the country setting, its innovative contribution is the combination of research and public policy for implementation. It is at the country level where tangible gains have been made, at least in Colombia. This suggests that countries should be at the forefront of the change process.
9. Countries should drive the combination of deep engagement, a CEL and strategic engagement. Country programmes should draw on combinations of TA, national and international research, communications and knowledge management and partnerships to engage all the pathways for change at the country level.
10. CDKN should improve its use of M&E evidence for critical reflection to promote learning and avoid confusing M&E with PR functions. This could be supported by embedding well-structured learning questions (similar to action research questions) into the impact pathway. Learning questions could be formulated to encourage critical reflection about both CCD themes and the drivers of change (process). This would encourage critical thinking about what is happening ‘behind the arrows’ in the impact pathway and provide points of aggregation with Regional learning and Cluster-based learning.
11. This will require a clearer separation of functions and reporting of M&E findings to the MoC using a reporting format that is better suited to this than the current quarterly report.
12. It is recommended that the impact pathway is reviewed and updated in the light of learning, with previous versions kept as a record of the evolving strategic learning and responses of the country teams.

## Theory of Change and Impact Pathway

The Country programme’s Theory of Change consists of the vision of Change and the Impact Pathway. In ToC practice, a theory of change ought to be revised. The CDKN M&E process asks for this.

### Strengths of the ToC and Impact Pathway for Colombia

- Contextual analysis is thorough, baseline study in place.
- Projects follow the rationale laid out, and the results areas and DoC they contribute to can be tracked through.
- Generally a good, systematic design process has been followed, with the key DoC identified and links between these and projects.

### Weaknesses of the ToC and Impact Pathway

- ‘Political will’ and ‘strong popular and political support for prioritising and implementing climate change adaptation’ are both elements identified in the Vision, but are placed out of scope. However, these are the areas that CDKN Colombia is influencing quite directly with its

multi-stakeholder approach, and has the potential to influence yet further with a change-oriented communications strategy that intends to work with media.

- The drivers of change and assumptions that lie ‘behind the arrows’ have not been made explicit, nor have the interventions been documented.
- In Colombia’s case, the driver of change seems to be a combination of:
  - project provides a neutral space around which institutional, public, private and research stakeholders can come together to observe, participate and model collaborative approaches in a low-risk setting;
  - using research to produce decision-making tools that support practical policy development and implementation actions that stakeholders need to make;
  - supporting these with multi-stakeholder dialogues and engagement to create awareness and momentum around the issues.

### Implications

- By missing out this pathway, CDKN Colombia is not able to report effectively against the successes it is achieving in creating political and institutional momentum for change. Subsequently, the investment in engagement may become not possible to justify, when it seems clear that it is engagement to support institutional development, are driving the change in Colombia.
- By not making explicit the interventions and drivers of change, the opportunities for learning about what is effective are lost.
- There is also an issue in how results are reported. CDKN have good results to share but the focus on delivery rather than results or changes means that reporting over-emphasises products rather than process and misses important small changes that over time build into larger ones.

### Recommendations

As recommendations, CDKN Colombia should:

- Tighten the logic of the impact pathway. Short-term changes do not always flow logically into medium term changes, and the cause-effect relationship unclear. For example, at the short-term level ‘*Accessible scientific information*’ sits at the same level as ‘*government institutions coordinate fluidly*.’ These seem to be changes of a different order. A change hierarchy should follow the logic similar to the CDKN DoC but be arranged in a sequence in the country context:
  - changes in knowledge, attitude, skills;
  - changes in behaviours, relationships, coalitions;
  - changes in practices, plans, strategies, programmes;
  - changes in institutions, financing and investments, implementation of actions.

Observations from the MTR mission suggest that ‘*government institutions coordinate fluidly*’ is a much more difficult goal to achieve, and is the focus of much of CDKN Colombia’s engagement work over the longer rather than short term. The Impact Pathway should be revised to reflect this.

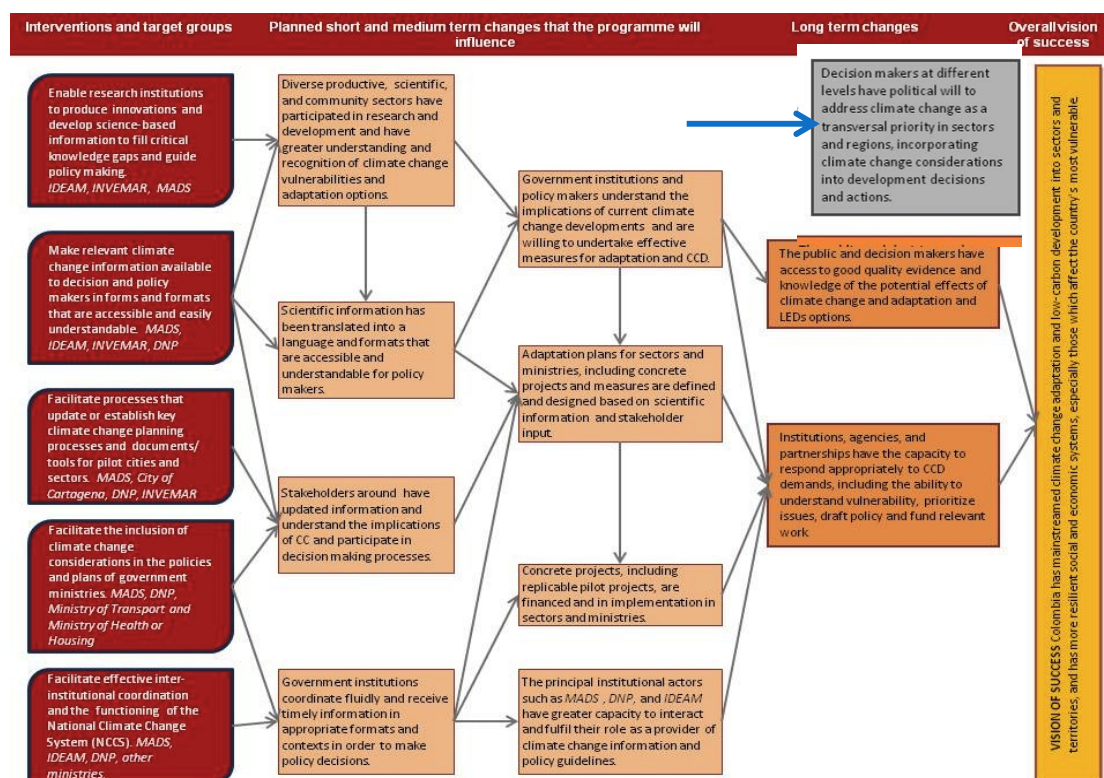
- The descriptors should include some kind of change amongst or by a stakeholder, for example behaviour changes or actions. Also, the descriptors could be unpicked to be more precise – several mix a number of changes, for example: ‘*understanding implications*’ is together with ‘*participate in decision-making processes*’. ‘Understanding’ is usually a precursor to a behaviour change like ‘participation in decisions’.
- To strengthen the reporting of results in a contextualised way, it is recommended that the team develop a format similar to the competency-based interview technique known as STAR.<sup>27</sup> The acronym STAR stands for Situation, Task, Action, Result. The table below illustrates how this could be applied.

<b>Step 1 – Situation</b>	Describe the situation that was faced, the challenges that were present or the task that needed to be accomplished. The context is important.	<p>Example:</p> <p>S: In Cartagena, the Plan de Adaptacion was having to be designed by law, and also the statutory revision of the Land Use Plan was due. The then Secretary of Planning saw the opportunity to link the two plans to move the climate change adaptation agenda forward. However, there was no clear idea or consensus of how to do this in practice. Also, while there was awareness of a lot of scientific evidence on the issue, this was not accessible in a way that the planning officials could use.</p> <p>CDKN had also seen the opportunity that the convergence of these two plans offered. CDKN was aware of a number of studies by INVEMAR, including a diagnostic study of the impact of climate change on Cartagena, which presented three scenarios.</p> <p>T: The task was to present the diagnostic study so that it would make the case clearly to the senior decision-makers in the Cartagena city government to integrate adaptation in the principal planning instrument. This would be helped by strengthening INVEMAR’s role as the scientific authority, able to support implementation planning. The CEL’s experience indicated that support would stronger if a wider set of stakeholders, from public, private and civil society spheres, could also be engaged in a parallel dialogues and discussions to create consensus and a platform for implementation.</p> <p>Action: CDKN’s contribution was to:</p> <ul style="list-style-type: none"> <li>• Raise awareness of the climate change vulnerability issue, based on the INVEMAR study. Stakeholders reported that the INVEMAR study was lent additional credibility by the verification of CDKN.</li> <li>• CDKN facilitated the inter-institutional coordination – stakeholders confirmed that meetings were held that would never have been held otherwise. CDKN identified the owners of key decisions: the city government, the Ministry of Environment and Sustainability, the Chamber of</li> </ul>
<b>Step 2: Task</b>	Explain what had to be achieved, and why it was significant.	
<b>Step 3: Action</b>	Describe the action that was taken demonstrates and highlights the particular contributions that CDKN made. It offers the opportunity to highlight what was done, how it was done and why it was done that way (a good link back to an understanding of the niche and offer and the theory of change).	
<b>Step 4: Result</b>	Explain what happened as a result, describe what was accomplished by CDKN, what was done by others, and what was learnt in that situation. It offers an opportunity to demonstrate that specific actions were taken to achieve a specific objective and not simply by chance.	

<sup>27</sup> For examples, see: <http://www.interview-skills.co.uk/competency-based-interviews-STAR.aspx>

		<p>Commerce, and the Regional Autonomous Environment and Development Corporation – who have authority over the Land Use Plan, and invited them to take part in workshops and roundtables.</p> <ul style="list-style-type: none"> <li>Stakeholders confirmed that the novel positioning of Cartagena as the first city to be able to adapt to the climate change threat attracted a lot of attention from the stakeholders.</li> </ul> <p>INVEMAR produced a practical application of their diagnostic data that was validated by stakeholders. The Planning Department sponsored and represented the project within the city government and maintained the momentum through a number of set-backs.</p> <p>CDKN's approach was informed by an understanding that convening around a project created a platform to raise awareness of the climate change issues and the implications for different stakeholders in a neutral way.</p> <p>CDKN then accompanied the inter-institutional process – closely over time – it is this committed accompaniment that was the key to the effectiveness and the sustainability of the process amongst the stakeholders. CDKN also supported the INVEMAR director to present the project to the different mayoral candidates during an election period helping to ensure continuity of engagement.</p> <p><b>Result:</b> Despite changes in the city leadership, stakeholders confirm that the process has continued. The result to date is that the incoming Acting Mayor has commissioned a climate office to be set up in Planning, staffed by technical staff from INVEMAR, supported by CDKN.</p>
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- The diagram below illustrates how adding the 'political will pathway' shows an Impact Pathway that better reflects what CDKN Colombia is doing and has the potential to achieve: i) influencing the emergence of political will to address climate change as a transversal priority in sectors and regions; ii) ensuring that the public and decision-makers have access to and use good quality evidence; iii) institutions, agencies, partnerships have the capacity to respond to appropriately to CCD demands. (*Use* needs to be added to the long-term change, access alone would not be sufficient to achieve the change sought in the long-term; CDKN Colombia need to consider how they support 'use' through their emphasis on practical policy and planning tools)



- The recommendation is to include this ‘political will’ dimension in the Colombia Programme’s impact pathway, so that the three outcomes that create the pre-conditions for the overall vision of success become:
  - ‘Decision makers at different levels have political will to address climate change as a transversal priority in sectors and regions, incorporating climate change considerations into development decisions and actions’.
  - The public and decision-makers have access to and use good quality evidence and knowledge of the potential effects of climate change and adaptation and LEDs options
  - institutions, agencies and partnerships have the capacity to respond appropriately to CCD demands, including the ability to understand vulnerability, prioritise issues, draft policy, develop interventions and fund them.’
- The short and medium-term stages within the ‘political will’ pathway will need to be developed by the team.

## Results and Impact

According to the Colombia Country programme Impact Pathway, CDKN aims to contribute to:

Short and Medium term changes	Evidence of results to date and trajectory towards impact based on evidence presented to the evaluation team member.
Diverse productive, scientific, and community sectors <b>have participated</b> in	Successfully delivered in two projects, Cartagena and Cauca Valley.

<p>research and development and <b>have greater understanding and recognition</b> of climate change vulnerabilities and adaptation options.</p>	<p><b>Positive points to highlight:</b></p> <ul style="list-style-type: none"> <li>- In Cartagena, the process of engaging public and private sector actors in a multi-stakeholder process seems to have supported greater understanding of vulnerability and adaptation, and recognition of the implications for the economic competitiveness of the city. Around 64 different organisations were involved in consultation workshops in Phase 1.</li> </ul> <p>The stakeholder groups convened by the Cartagena Chamber of Commerce made statements that suggested acknowledgement and recognition of the roles and responsibilities of different sectors, private as well as public. Enthusiasm and concrete actions to support Phase 2 were verified.</p> <ul style="list-style-type: none"> <li>- In the Cauca project, the reach of the project activities has been considerable, reaching 600 people from communities as well as sectoral representatives. The reach may well extend further, as there is evidence that representatives of a membership association of women coffee producers shared new knowledge gained from the project workshops with their 240 members in up to 7 municipalities in the region.</li> </ul> <p><b>Caveats to results:</b></p> <p>The dimensions of <b>understanding and recognition</b> included in this change descriptor have not been possible to verify for the Cauca project. First, the project has not yet produced its Phase 1 output. Second, national institutional stakeholders in particular indicated that they had participated. They recognised the quality and innovative potential of the vulnerability tool being produced, and acknowledged CDKN’s contribution.</p> <p>However, there were reasons to believe that they were not fully engaged and did not feel ownership. They appear to be waiting to see the output and the opportunity to validate it for their purposes and stakeholders. There was some sensitivity to the implied criticisms of national provision of information.</p> <p>This suggests that there will need to be ongoing engagement and a process of validation in Phase 2 before it can be said that all stakeholder <b>have greater understanding and recognition</b> of climate change vulnerabilities and adaptation options.</p> <p><i>Notes on description of change:</i> As a way to track change, this milestone may not have a sufficiently specific description of the change being sought. Identifying a behaviour change amongst actors could be helpful. It is also not clear when this result area will have been sufficiently achieved at the level of the programme.</p>
<p>Scientific information has been translated into a language and formats that are accessible and understandable for policy makers.</p>	<p>Successfully delivered in the Cartagena project.</p> <p><b>Positive points to note:</b></p> <ul style="list-style-type: none"> <li>- The Cartagena stakeholders highlighted the maps produced by INVEMAR showing vulnerability in the city. The maps were regularly referred to throughout the meeting.</li> <li>- The AVA concept will also provide a good visual way of showing vulnerabilities by different units of analysis – crop variety, natural vegetation, municipal area, community territory, water sources etc. The tool is intended to provide a Red, Amber, Green visual score against the various indicators of vulnerability.</li> </ul> <p><b>Caveats to reported results:</b></p>



	The Country Monitoring Report reports a number of publications that have been produced. The fact that they have been produced is verified, but feedback from interviewees indicates that CDKN is not well-known in Colombia outside the stakeholder groups it is working with. So to what extent the publications have been accessed and read in Colombia is not possible to say. More strategic communications and awareness-raising is planned by the team, which this review recommends be done with a view to supporting change, not merely for PR.
Stakeholders have updated information and understand the implications of CC and participate in decision making processes.	Partially delivered in the Cartagena project. Stakeholders do have updated information, and there is evidence that the implications have been understood.  The AVA project has not completed its final output yet.  However, the participation in decision-making processes was not able to be verified.
Adaptation plans for sectors and ministries, including concrete projects and measures are defined and designed based on scientific information and stakeholder input.	This is the goal of all the projects; it is a medium term change in the impact pathway. The CDKN projects will be providing important inputs to sectoral plans, and providing examples of effective multi-stakeholder processes.
Concrete projects, including replicable pilot projects, are financed and in implementation in sectors and ministries.	This is a long-term change that it was not possible to assess. There are a series of proposed projects that have been identified for Cartagena, but these have not yet been prioritised or agreed on.

### Evidence of results delivered

In terms of **activities and outputs**, In terms of activities and outputs CDKN have successfully delivered the project outputs detailed above, on time and to budget, apart from the TALA 0009 project which has been delayed due to having to generate information for the vulnerability model that was originally assumed to be held by the national information entities.

Overall, the CDKN Colombia Country programme is a successful programme. There is strong evidence that the **country engagement approach, plus strategic projects** is effective at producing both the product and process results that are required.

The key **short term outcomes** are:

- successful take-up by stakeholders of climate change adaptation as an economic issue, affecting productivity and competitiveness
- the endorsement by stakeholders of a set of 'proven tools and processes'. Practical, science-based tools that support implementation planning and that are based on engaging multiple stakeholders, including those outside the formal institutional structures but who are influential, for example, the sector membership association and trade bodies.

CDKN Colombia and its supplier partners have identified strategic points where a combined intervention can make significant progress towards implementation, demonstrating in practice 'what it takes' to conceptualise, design, finance and implement adaptation measures.

Example 1: Cartagena's Chamber of Commerce and INVEMAR project stakeholders endorse results from Phase 1

At the meeting of the group, convened for the MTR, stakeholders listed their perceptions of what Phase 1 had achieved. It was agreed that there is now public awareness of the climate change issues, cross-cutting enough to bring interested actors together to coordinate. Cartagena is now considered a national example of how stakeholders can collaborate on the adaptation issue and to understand what it takes to implement this.

The information on the impacts of adaptation, the diagnostic tools and list of financeable projects are now agreed – they are useful inputs for all the entities and concrete in terms of proposals (event to decide on costed projects to take forward is programmed for February, so momentum going strong).

There were no spaces before to conduct this coordination, now there is, with established processes to convene and reach the actors. The 'political commitment' from the city government and the private stakeholders has been achieved.

There is still a need to raise awareness in the city and nationally more broadly by communications and media, and more of the trade and industry associations – the powerful 'gremios' - need to be brought into the process in Phase 2.

One of the stakeholders proposed a formal coordination unit and having one focal point in each organisation for Phase 2. Before the meeting, the INVEMAR and CDKN teams had discussed proposing a 'council for coordination of adaptation'. News of the mayor's proposal for a new office in the Planning Department was also shared, and it was agreed that both units could work in parallel. Actions were agreed for implementing the proposals within the next month.

Example 2: Cartagena's new Mayor Responds enthusiastically to the INVEMAR/CDKN project

Cartagena has many factors that make it both extremely vulnerable to climate change events such as floods and sea level rises, as well as being one of the economic powerhouses of the country, both through tourism and industry, a place of extremes of wealth and poverty. The political context is dominated by local interest politics. The industrial associations – the gremios – are also powerful actors. An important result is that the CDKN project has succeeded in engaging the Chamber of Commerce into the project.

The city administration of Cartagena has been involved with the CDKN/INVEMAR project to develop an adaptation plan for a year. The main link has been with planning, with continuity provided through the involvement of middle management, as well as the Secretaries of Planning. But in 2012, there were four changes of Secretary of Planning, as these are political appointments, then the mayor fell ill but has not resigned. An interim acting mayor was appointed just in December. The evaluator was invited to observe the first meeting with him and the new Secretary of Planning.

It was very uncertain how the incoming acting mayor would view the project. However, the response of the acting mayor was very encouraging. He is doing a Masters degree in environment and economic development, and so was impressed with the product of phase 1, which is the framework of guidance for the adaptation plan, the analytical tools e.g. maps of vulnerability and projections produced by INVEMAR, and a set of proposed adaptation interventions developed from the multi-stakeholder consultation process.

The acting mayor spelt out his support for the project: 'I have climate change at my heart, I used to have it at the level of discourse, but it is an issue of survival of our city now.'

CDKN presented CDKN and its role in the project. The message was tailored to the city's interests: 'We are focusing on making Cartagena competitive through adaptation. We understand that this has to work through a consensual process of all the stakeholders, which we have supported. CDKN provides some resources, and access to a national and international network of technical and research expertise on the issues.' The Mayor was very interested.

INVEMAR's Director presented the project: 'Cartagena is a flagship city, the commitment of the city authorities shows a political maturity to take a long-term view, adaptation will give advantages to investors in the medium-term. INVEMAR offers a system of science-based information through tools that support decision-making, not just the data.'

The Mayor referred to his own priorities, which is to get the reform of the Land Use Plan through at this next attempt, the planning instrument in which to integrate the adaptation plans so that it is sustainable beyond the changes in administrative personnel. He went further, proposing the formation of a special office for climate change adaptation within the municipal architecture that will sit within Planning, involving a team from INVEMAR. Although this offer has been made before, it is an opportunity to combine CDKN's support of a post within INVEMAR within this formal office. Staff profiles were discussed for immediate implementation.

The Mayor was responsive to the idea of having some costed interventions ready for financing as an output of the next phase. He asked about other donors, and the CEL mentioned the IDB which has funds for 'Competitive and Sustainable Cities'. The Mayor referred to other priorities and for which some of the financing was in place, for example, the plan to improve the drainage; a plan to extend the water treatment plants and supply of water; issue of providing social housing for victims of violence and of environmental events; social cultural behaviour change programme for solid waste management.

It was noted that the Mayor has access to his own sources of research and studies, e.g. Policarpa study on community responses to vulnerability. He asked if INVEMAR had partnerships with other universities.

Other opportunities highlighted by the Acting Mayor for the Phase 2 of the Cartagena included:

- Including the system of the coral Islas del Rosario into Phase 2 of the CDKN project. These are currently not covered by the Land Use Plan, but the Mayor showed his understanding of environmental issues by flagging not just the touristic value but the ecosystems services of the islands, as well as the social issues of having long-established indigenous groups living in dense populations on the islands.
- CDKN and INVEMAR responded that they are planning to integrate the Islas into the Phase 2 of the project.
- The Acting Mayor also mentioned that there are funds available for training on environmental issues within the framework of the local administration, especially the powerful neighbourhood Committees of Action, and the local leaders. There are 400 of these, but it was agreed that these groups would present a good opportunity for deepening and scaling the mainstreaming of adaptation in Phase 2.

### **Trajectory towards long-term results**

The bases for progressing towards long-term results are in place. The extent to which the momentum is built on depends on how well the CDKN Colombia team are able to interpret the results they are seeing, and apply that learning to their strategies for the new phases and projects. This will depend on revising their impact pathway, *and documenting the thinking about how and why change can be supported* so that it offers a good framework for strategic decision-making and interpreting results, as they move towards scaling up.

Example 3: How could a national manual on adaptation principles for road-building contractors ensure that adaptation is 'built-in'?

The proposed short-term output in the Transport project is a manual for contractors outlining adaptation principles. This is mainly being driven by the Ministry of Transport's timetable on tendering and contracting its large projects.

The 'manual' could meet a short-term need, but looked at from the perspective of the drivers of change and impact pathway, how the manual is conceptualised will affect the trajectory towards long-term results. To illustrate, a manual is a standardised response to a stable problem, but the very nature of climate change means that adaptation requires flexible solutions in the face of dynamic problems. If every region and every road project has different challenges with regards to adaptation, and these are not even yet properly understood, then the 'manual' concept needs to address this right from the outset.

The manual is only the first output of a larger project, and many stakeholders will be consulted and engaged as part of the project. Project plans have already benefitted from feedback from CDKN's international experts. The CDKN team have a vision for how the manual could be developed as a tangible and useful deliverable, yet still provide a focus for the joint learning that the Transport sector and its stakeholders have yet to undertake to develop solutions to climate change adaptation and resilience of roads. It is recommended that the CDKN team document their thinking and assumptions about the product and process so that these can be checked and updated as results emerge.

**Areas to strengthen**

- **The continued need for engagement and follow-up of all stakeholders.** The next phases of the projects are likely to be more challenging in terms of maintaining the commitment of stakeholders when choices and investments will need to be made. Particularly for the AVA project, the vulnerability methodology and tool will need to be tested and verified by the institutional actors if it is to overcome the tensions caused by having been developed by universities rather than state or sectoral institutions.

Example 4: Institutional stakeholders watch with interest but do not yet feel full ownership

The stakeholders from the ministries and national environmental research institute highlighted that what was attractive about CDKN's offer was the combination of national and international technical expertise with a focus on public policy and instruments. The difference in approach that was highlighted was CDKN's desire to listen and to build a project together from within the institutions, so that it becomes co-owned and learning is also built-in. The quality and innovation of the CDKN projects was also acknowledged.

There was also acknowledgement that CDKN Colombia had achieved an important involvement and dialogue of actors and stakeholders in their projects, from rural communities to the Chamber of Commerce of Cartagena, helping them as national actors to establish closer links in the regions. However, it was highlighted that involvement in multi-stakeholder processes has provoked much reflection on the part of the stakeholders about what are the roles and responsibilities of the various institutions, for example, for providing information within a locality. There were some sensitivities to challenges posed by independent research entities.

The hope that was expressed is that frameworks and tools being developed in the projects could be tested and validated by the institutional and government actors. The joint approval is key because the methodologies being created require inputs of information and exchange between all these actors. Before scaling up, the CDKN projects need to allow a process of resolving the issues of jurisdiction, responsibility, authority, competence and financial administration. This could require a separate space for the government authorities to sort this out between them. The question remains on how to channel methodologies developed into the systems of all the institutions. It seems likely that Phase 2 is going to require more engagement and investment in relationship-building than Phase 1.

- **More and more strategic communications are needed.** The external stakeholders interviewed were not aware of CDKN as an interesting new actor on the scene. Some were aware of the Cartagena project, but not beyond that. Most were very interested in the CDKN concept of climate compatible development and felt that it should have a higher profile in Colombia to ensure that learning from projects' approaches and outputs is shared.

## Relevance

All interviewees considered CDKN's interventions to be strategic, for the following reasons:

- The CDKN model is interesting and likely to be effective because of its local focus. Given the wide range of regional diversity, work at the national level can only achieve limited general framework policies. The local level is important for frameworks to support implementation.
- The focus on planning instruments is also effective, as there changes will be enshrined and norms will flow from there.
- The focus on productive sectors is also key to moving climate change out of the environment sector and into the mainstream.
- Cartagena is interesting because it is the nexus for many factors: city governance, competitiveness and growth, high levels of both affluence and poverty.
- The focus on the Land Use Plan is very important because it moves adaptation out of the environment and makes it an economic issue. From the UN experience, it is one of the drivers of success to influence these types of planning instruments.
- Cauca region is also important because it is a nexus for many factors – coffee production, indigenous groups, ecosystems that regulate the water supply for most of the country; it is one of the poorest regions, and on-going problems of violence and conflict.
- AVA methodology is considered to offer an innovation, if it can be kept simple. The focus on the decision-makers at the local level, e.g. the municipalities would be innovative.
- CDKN seems to have been persistent in pursuing the institutional actors, taking the dialogue right to the top, as well as working at very local levels.

## Effectiveness

### Niche and offering

CDKN Colombia's niche and offering was identified by stakeholders as:

- Having a holistic vision of climate change, adaptation and development
- Bringing a combination of technical expertise, a focus on public policy and instruments and building a multi-stakeholder, consensus approach
- Working at the nexus of science and policy – with very few comparators
- Having a clear mission but moderate in their position, good at listening to partner needs, able to co-produce projects with stakeholders
- Offering high quality technical knowledge and research expertise, in the team and through access to the CDKN international network

- Realistic about the institutional realities, but ambitious about what can be achieved through a multi-stakeholder, public, private and civil society approach.
- Having a real understanding of the importance of working locally first, from ground up to national level, and so having good potential for impact.

Both government and non-government stakeholders felt that CDKN offered something different to other funders or cooperation initiatives.

*'CDKN does not bring pre-set projects, but facilitates a process so that the projects are born from within the institutions, they are co-produced hand in hand to meet needs. But our own learning is also enhanced in the process. The results are very different – there is institutional ownership and understanding and learning is institutionalised.'* Government of Colombia official

These findings confirmed how the CDKN Colombia team themselves understand their niche and offering.

### **Drivers of effectiveness**

Interviewees highlighted that this effectiveness depends on a **Country Engagement Leader** who is:

- i) a recognised and respected authority in the country amongst political, research, private sector and civil society actors;
- ii) has the institutional understanding to co-produce projects with key partners and stakeholders;
- iii) has the credibility and skills to convene multi-stakeholder processes, especially attracting powerful private sector actors.

### **Synergies between CDKN Output Areas**

The CDKN Colombia projects represent quite a high degree of synergy between TA, research and knowledge management. Both the flagship projects are **research-driven** and led by research institutions and consortia (as suppliers), although with a TA objective. The two other projects being brought into the portfolio are also research projects. One of three main GoC stakeholders is the national environmental research institute, IDEAM.

The government stakeholders involved in the new transport sector project have indicated that research would be needed as there are no pre-existing solutions.

Partners in the CDKN projects have welcomed the access to international research expertise and new ideas, signalled as one of the drives of effectiveness in many cases. Access to international platforms for knowledge sharing was also welcomed as an important benefit of involvement with a CDKN project.

**Knowledge management and communications** are also starting to play an increasing role. CDKN Colombia have maintained communications, and are now ramping up with a structured communications strategy. The strategy is well-designed and outlines specific target audiences. It could be further strengthened by linking it to the Impact Pathway so that it is optimised to support the changes that are needed, for example, building public understanding and support of climate change adaptation measures.

**Negotiations support** is not available to Colombia as a middle income country. Partnerships was not mentioned as a formal approach in the country strategy.

## Challenges and risks for CDKN

These were seen as:

- For most ministries, the target is compliance with the adaptation requirements. But what is needed is on-going analysis, creativity and adaptation. Creating conceptual creativity in sectors not accustomed to dealing with adaptation issues is an on-going challenge, e.g. transport, but also agriculture and other productive sectors, e.g. mining and energy.
- In transport, there is practically no research on adaptation in transport, so there is nothing to fuel new approaches and solutions; this could be a good focus for CDKN.

## Efficiency and wider VfM issues

### Understanding of its costs, the factors that drive them, the linkages to its performance and an ability to achieve efficiency gains

It was not possible to make a thorough assessment of the VfM of the Colombia projects through a lack of comparators. The CDKN Colombia team understand that their driver of change is the engagement process and sustained follow-up of stakeholders. They consider that this investment at the country level is managed well through PWC procurement processes.

The projects have all achieved promising results within short timeframes of just over one year, and within relatively small budgets of £300,000. The new Transport project has been costed at a higher level of £400,000 but with the balance being spent on additional activities rather than management by the contractor.

There is potential to analyse the reach of the projects as a measure of value, for example, Cartagena involved 64 organisations and Cauca involved 600 individuals. There is potential for generating limited metrics on potential impact value, for example, the value of adapted and resilient roads to isolated, poor, rural communities.

### Systems and structures to support efficiency

Some of the CDKN systems have not supported efficiency. For example, the requirements for public liability insurance which were not appropriate in the Colombia context took a year to negotiate.

The proposal and contracting process was identified as time-consuming by some interviewees, although it was recognised that inputs from international experts had strengthened proposals. Suppliers felt they had learned from the process.

## Sustainability

The CDKN projects are considered by some interviewees to have sustainability as a focus. CDKN is influencing the factors that support sustainability including:

- Facilitating multi-stakeholder processes that take on their own momentum.
- Encouraging national and regional institutions assume responsibilities for addressing the issues, building their own capacity to do so and not to depending on international cooperation and projects, for example, understanding the measures and instruments that they can use, such as Land Use Plans and local private sector stakeholders identifying for themselves how they can build sustainability and understanding the actions that they can take without waiting for institutions or policies to be in place.

However, while these may be the foundations for sustainability, the next challenges for CDKN Colombia highlighted by stakeholders include:

- Replicating the results of the projects, identifying how these can be scaled up, developing options for plans and interventions for adaptation that are direct, specific, relevant and practical recommendations for government and other stakeholders.
- The results of the projects need to be better communicated and disseminated, including the lessons about process, the influence on policy and planning, and other achievements.
- Other productive sectors need to be engaged, including tourism, health and housing (on MADs' list), but also the mineral sectors and others.
- Ecosystems issues such as water management need to be brought in, and tools developed for managing the impacts and maximising the benefits for ecosystems and development.

In other countries, establishing engagement with the finance ministry has been identified as key factor for sustainability. The National Planning Department is the authority in charge of the financial planning of all the sectors. By law in Colombia, no donors are to be engaged directly with the Ministry of Finance unless it is requested by the sectors, so the NPD is the appropriate authority. CDKN have engaged the NPD through the steering group arrangements for the projects.

## Learning

Lessons from CDKN Colombia's experience are clearly being learned. Some key lessons have been documented, for example, starting with small-scale, practical projects, building up in stages to larger scale interventions. The accompanying consultation and engagement processes also help to move the actors together. A key lesson has been to establish relationships with the permanent staff at different level to manage the impact of ever-changing leaders.

However, there are learning opportunities that are not being capitalised on due to a lack of linking learning questions to the Impact Pathway. CDKN Colombia's projects are producing valuable learning about both CCD themes and uptake processes – these could potentially not be captured and documented (although this is an issue across CDKN, not only for Colombia). Strategic learning questions that could be explicitly formulated to focus learning include:

- How do we manage the trade-offs between implementing adaptation + competitiveness and how will we know it is working? (e.g. Cartagena)
- What is the minimum information needed for a multi-dimensional vulnerability analysis? (e.g. AVA)
- What processes help to sustain focus and coordination under institutional instability? (e.g. focus on permanent middle management staff)



## Annex 1 – People met

(See Annex 1 to main report)

## Annex 2: Colombia's institutional landscape for climate change

### 1. Previous considerations

Since 2002, approximately, Colombia has been creating its own institutional framework to address the challenges, and the opportunities posed by Global Climate Change (GCC) to the country's development and economy.

From 2002 to 2008, the main focus was GCC mitigation, even though according to IDEAM (National Institute on Meteorology, Hydrology and Environmental Studies) national emissions of GHG accounted to 0.3-0.4% of the world's total GHG emissions. That is why the so called Ministry of Environment, Housing and Territorial Development (currently Ministry of Environment and Sustainable Development) created the Climate Change Mitigation Group, depending directly from the Vice-Minister of Environment's office and later from the Minister's office itself. The initial aim was to support the development of mitigation projects understood as economic opportunities, within the framework of the CDM and the CONPES 3242 (Institutional strategy for selling environmental climate change mitigation services).

Simultaneously, the country developed the First National GCC Communication to the UNFCCC which identified the reduction of climate change vulnerability as a national priority issue, especially for key sectors such as water supply, agriculture, public health and biodiversity. This is maybe the yielding point in the national policies since for the first time the focus moved from mitigation to adaptation.

As a consequence, from 2007, with support from the IADB, Colombia started to develop a comprehensive policy framework for climate change, a process that concluded in 2011 with the delivery of the "Strategy to coordinate policies and actions to address GCC in Colombia" (CONPES 3700). This document establishes the national priorities on GCC, defines the basic institutional framework to coordinate the policy (stating that the National Planning Department will be the head of the foreseen National Climate Change System), and requires GCC to be treated not as an exclusive environmental but strategic national and sectoral issue.

Currently, the aforementioned policy is reflected in the implementation of three different strategies (they were not new strategies defined by the CONPES but rather ongoing ones articulated as part of the formulated policy): Then National GCC Adaptation Plan, Colombia's Low-Carbon Development Strategy and the National REDD Strategy, the latter basically related to mitigation (with a sectoral approach).

### 2. Public institutions

#### a. MINISTRY OF ENVIRONMENT AND SUSTAINABLE DEVELOPMENT – MADS ([www.minambiente.gov.co](http://www.minambiente.gov.co))

MADS is the main authority and the planning/implementer of GCC policies. The following two offices have a direct relation with this issue:

Climate Change Directorate, created in 2011, as a natural evolution of the previous GCC Mitigation Group; it is in charge of not only mitigation, but also adaptation and vulnerability reduction, themes and is leading the implementation of the National GCC Adaptation Plan and the Low-Carbon Development Strategy.

Forestry, Biodiversity and Ecosystem Services Directorate (formerly called Ecosystems Directorate), in charge of the sustainable management of forests and deforestation control (National REDD

Strategy). Unfortunately, the original intention of concentrating GCC management from different perspectives within the Climate Change Directorate was hard hit when REDD issues were taken out and relocated under the Forestry Directorate.

Additionally, more than four months ago these two directorates are headless (with interim directors unable to take policy or strategic decisions), strongly affecting the coordination and implementation of actions, and the execution of financial resources.

b. NATIONAL PLANNING DEPARTMENT – DNP ([www.dnp.gov.co](http://www.dnp.gov.co))

DNP is the head of the proposed Executive Commission on GCC (COMECC) and is the Secretariat of the Financial Management Committee, both proposed in the CONPES. Within the DNP, the Vice-Direction of Environmentally Sustainable Development (SDAS) has a key role in implementing the CONPES, but no role have been designed for other sectoral directorates that have direct relationship with the corresponding ministries, a coordination mechanism that could prove itself ideal to articulate sectoral adaptations or mitigation plans.

Currently, DNP is carrying out a study on the long term impacts of GCC on national development (fundamentally economic growth and quality of life), using a Computable General Equilibrium Model that will not only provide information about these impacts but will also allow decision making to mitigate them.

It is important to point out that SDAS does not have the required staff to fulfil its duties in terms of policy coordination (only two staff people and the corresponding Vice-Director), and that is why external contractors, not contributing to strengthen the DNP capacities, have been hired. Besides, and very much MADS alike, this SDAS has had no director at all for the last 4 months, after its former director Carolina Urrutia quit the job.

c. NATIONAL INSTITUTE ON HYDROLOGY, METEOROLOGY AND ENVIRONMENTAL STUDIES – IDEAM ([www.ideam.gov.co](http://www.ideam.gov.co))

IDEAM is the most experienced and participation institute in climate change issues in Colombia, with the General Direction as well as the Environmental Studies and Ecosystems Directorates deeply involved in the corresponding activities.

IDEAM's role has been improved in the eyes of the Colombian public, through the provision of frequent and accurate meteorological information in the recent and destructive rainy seasons of 2010-2011. There has been also a process of internal capacities development in issues such as the definition of detailed GCC scenarios for Colombia, the follow up to deforestation processes, the generation of basic information to develop REDD projects and the coordination of pilot adaptation projects in Andean forests, highlands and glaciers.

Currently IDEAM is in the process of preparing the Third National Communication on GCC to be presented to the UNFCCC, a process partially to be funded by the GEF between 2013 and 2015.

d. OTHER ENVIRONMENTAL RESEARCH INSTITUTES

These research institutes (IAvH; INVEMAR; SINCHI; IIAP), all of them depending from the MADS, should be playing a key role in providing the information required to formulate sectoral or sub-national (because of the geographic emphasis of some of them) mitigation and adaptation plans. Amongst them, only INVEMAR ([www.invemar.gov.co](http://www.invemar.gov.co)) has been involved in the pilot adaptation Project in Cartagena, funded by CDKN, while IAvH ([www.humboldt.org.co](http://www.humboldt.org.co)) has participated in the design of adaptation programs in the Colombian Andes (Proyecto Macizo and INAP).

Nevertheless, it is possible to say that these institutions do not count on the required capacities nor the resources (financial, technical nor human) to address these actions in a proper way and do require thorough strengthening programs.

e. NATIONAL PARKS OF COLOMBIA ([www.parquesnacionales.gov.co](http://www.parquesnacionales.gov.co))

National Parks has participated in the design and implementation of the Macizo and INAP pilot adaptation projects, and has been the leading institution in the development of REDD projects in the Colombian Amazon basin.

f. OTHER SECTORAL MINISTRIES

Their participation is still limited on the design of adaptation or mitigation plans; it would be very important to promote the involvement of this ministries: Agriculture and Rural Development ([www.minagricultura.gov.co](http://www.minagricultura.gov.co)), for adaptation programs in agricultural or cattle ranching areas; Transportation ([www.mintransporte.gov.co](http://www.mintransporte.gov.co)) for adaptation of road, river, aerial and railway infrastructure; Housing, Cities and Territory ([www.minvivienda.gov.co](http://www.minvivienda.gov.co)) for adaptation of vulnerable urban centres and public services supply; Health ([www.minsalud.gov.co](http://www.minsalud.gov.co)) for adaptation plans of the public health system.

g. NATIONAL ADAPTATION FUND ([www.fondoadaptacion.gov.co](http://www.fondoadaptacion.gov.co))

This is the newest institution related to GCC management and perhaps the first one outside the scope of the MADS or the DNP. After two consecutive La Niña phenomena had devastating consequences all over the country, affecting infrastructure, houses, and threatening the lives and health of several million people, it was created in 2010 with the purpose of being the institutional mechanism to identify and prioritize the needs in the recovery/reconstruction phase, as well as to protect the population from economic, social and environmental threats.

Several stakeholders are coincident in considering that the actions of the Fund have been focused in the construction of infrastructure (engineering works to mitigate the risk) instead of providing adaptation strategies based on ecosystems management.

h. REGIONAL (SUB-NATIONAL) CLIMATE CHANGE NODES

Not really an institution but an array of local stakeholders, these Nodes have been created and supported by the MADS with the aim of implementing the national policy on climate change on a subnational level, incorporating the local vision of development. Within the Nodes there are representatives of local governments (departments and municipalities), regional environmental authorities, local branches of National Parks, universities, productive sectors and NGOs.

There are (or must be) Climate change Nodes in the Caribbean and Pacific Coasts, the Coffee Triangle, the North-eastern Andes, the Easter Plains and the Amazon Basin; all these nodes are in different stages of development, but it is foreseen that they will be the leading scenarios for adaptation actions implementation in more detailed scales.

3. Other institutions working on Climate Change

a. WORLD BANK ([www.bancomundial.org](http://www.bancomundial.org))

The World Bank has supported and funded the formulation and implementation of public and private initiatives related to GCC. In the former, World Bank has been providing additional funding for the Investment for Sustainable Development (IDS) project, related with the management of climate risks.

Even if some of the World Bank's areas of intervention/funding are not directly related to GCC – i.e. public transportation, sustainable cities, sustainable cattle ranching practices –, it would be key that

these areas could include very precise adaptation goals/components; it is not clear if these components have been considered.

b. INTER AMERICAN DEVELOPMENT BANK ([www.iadb.org](http://www.iadb.org))

IADB was the main funding source for the formulation of CONPES 3700, as well as for the study on economic impacts of climate change. It has co-funded and supported the implementation of projects such as the Adaptation of water supply and regulation services to GCC in the Chingaza-Sumapaz-Guerrero region, related with water provision in Bogota and its surrounding region in Colombia.

Just like the World Bank, IADB funds other kind of actions (in agriculture, transport, basic public services, health) that should have key adaptation components, considered in the national policies.

c. UNDP ([www.pnud.org.co](http://www.pnud.org.co))

UNDP has provided support and funding for adaptation pilot projects such as the Integrated National Adaptation Project – INAP, the Joint Adaptation Program in the Macizo Colombiano, and the Regional Comprehensive Program on Climate change for Colombia's Capital Region – PRICC.

UNDP's emphasis is on cross-cutting climate change in numerous development issues on those countries where it works.

d. ENVIRONMENTAL NGOs (Conservation Internacional, WWF, Fundación Natura, etc.)

A series of national organizations, or foreign ones with local branches, has been involved in the formulation and implementation of capacity strengthening, mitigation or adaptation programs, in several regions of the country.

Some of them have supported the Colombian central government and some local governments in the definition of their own policies or strategies, sometimes providing technical capacity and others providing the required funds.

These NGOs have been key in GCC management because they usually perform actions that should be executed by the public entities but are not because of the lack, or weakness, in capacity, resources and know-how.

## Climate and Development Knowledge Network

### **CDKN Project Ref: AAGL-0020 CDKN External Evaluation Review**

### **COUNTRY VISIT REPORTS: Bangladesh**

Submitted by



January 2013

## Acknowledgements

I would like to thank the various individuals listed in Annex 1 to this report, who gave generously of their time and were open and frank with their feedback on CDKN's work to date in Bangladesh. Thanks to them, it is to be hoped that this report offers useful constructive criticism and actionable recommendations that can help CDKN achieve its ambitious aims for its country work in Bangladesh and elsewhere. Thanks especially to Erin Roberts, Kashmala Kakakhel and Munjurul Khan, who helped organise and facilitate my visit to Bangladesh, in addition to offering valuable feedback and perspective.

## Introduction

The following findings and recommendations are based on interviews conducted with a diverse group of key informants in Bangladesh (see Annex 1) during the week of 13-18 January 2013, coupled with telephone interviews both before and after this trip and email exchanges regarding outstanding questions. This assessment was also based on a quick review of documentation produced for the three key CDKN Bangladesh projects, namely:

- Work Programme For Bangladesh On Loss And Damage - TAAS-0026
- Adaptation Policy Options And Interventions For Climate Change Induced Displaced People Of Bangladesh - RSAS-0014
- Participatory Monitoring And Evaluation Of Community Based Adaptation - TAAS-0008

Before summarising my findings, I wanted to recognise that CDKN Asia staff were working under great pressure to disseminate funding based on a rapid diagnosis of country-level demand. They were reasonably successful in identifying and elaborating priority projects and producing useful early outputs, based on the feedback received from stakeholder interviews.

Yet the goal of the present country-level evaluation was to critically examine the performance of CDKN Bangladesh against its stated objectives and impact pathways, then provide constructive criticism of ways that the programme could be improved during the remainder of its 5-year contract, and during any potential future extension of its contract. The following findings and recommendations are provided in this spirit, in the hope that they will help CDKN and its partners continue improving their work so as to better achieve their common objectives.

## Key Findings and Recommendations

Category	Key findings	Recommendations
Relevance	Widespread support for the three projects reflects country-level demand for work in these areas	None.
	CDKN's willingness to address critical yet risky issues is widely appreciated	None.
	Solid evidence of linkages between CDKN components but poor synergies between projects	Establish mechanisms to ensure that projects within Bangladesh and elsewhere in the Asia region share lessons and build on each others' experience.
	Ongoing engagement with service providers	None.
Effectiveness	Model for ensuring contract delivery is not ideal	It would be preferable if enforcement mechanisms could be written into contracts instead, for instance via imposing strict time limits with fines attached for non-compliance.
	Process of project design is insufficiently inclusive	Take more time for project design. Ideally this should be done collaboratively by diverse local and overseas partners, in order to capture the most innovative ideas and ensure that project design reflects local demand and realities. Consultations could include relevant central and local government, NGOs, CBOs, research organisations and private firms. If consultations are not possible, at the very least key local stakeholders should be asked to comment on the proposed project design before it is finalised. This will help ensure that any issues are identified from the outset while also helping to build ownership.
	Questions about the allocation of funds	Ensure that CDKN's procedures for making regional funding allocation decisions are as transparent as possible. Hold a consultation with a range of Bangladeshi and interested overseas stakeholders to discuss related issues.
	Questions about country focus and capacity building	Explore the possibilities to rejig the balance of CDKN consortia over time to have stronger representation from local partners.
Efficiency & VFM	CDKN's emphasis on rapid delivery of outputs is problematic	CDKN could adopt an understanding of VFM that explicitly recognises that this involves both delivering genuine value for target beneficiaries and doing so as efficiently as possible.
	Inadequate resources to deliver on the potential of projects in some cases	Consult more widely during project design to ensure that agreed workplans are realistic and provide the needed resources to deliver target results and impact.
	Partnerships create scope for "over delivering"	Continue placing emphasis on building partnerships with other relevant stakeholders
Impact	Some early successes and good groundwork, but questions about the 'direction of travel'	Primary research should be prioritised and budgeted for, namely a few rapid pilots in selected hotspot areas. This should include consulting with communities re possible adaptation options as well as examining the local viability of adaptation options being tested by other projects. The project should also seek to further clarify the L&D concept among stakeholders.
Sustainability	Solid start, but design issues threaten sustainability	Revisit the question of project duration with CDKN senior management.
Learning	Mechanisms for learning lessons are not always clear	Require suppliers to elaborate a lessons learned plan that (1) ensures different members of each consortia share their impressions and learn from each other's' experience and (2) generates lessons for policy makers and other interested professionals. These lessons could be included in CDKN's monthly newsletter and/or posted on the CDKN website

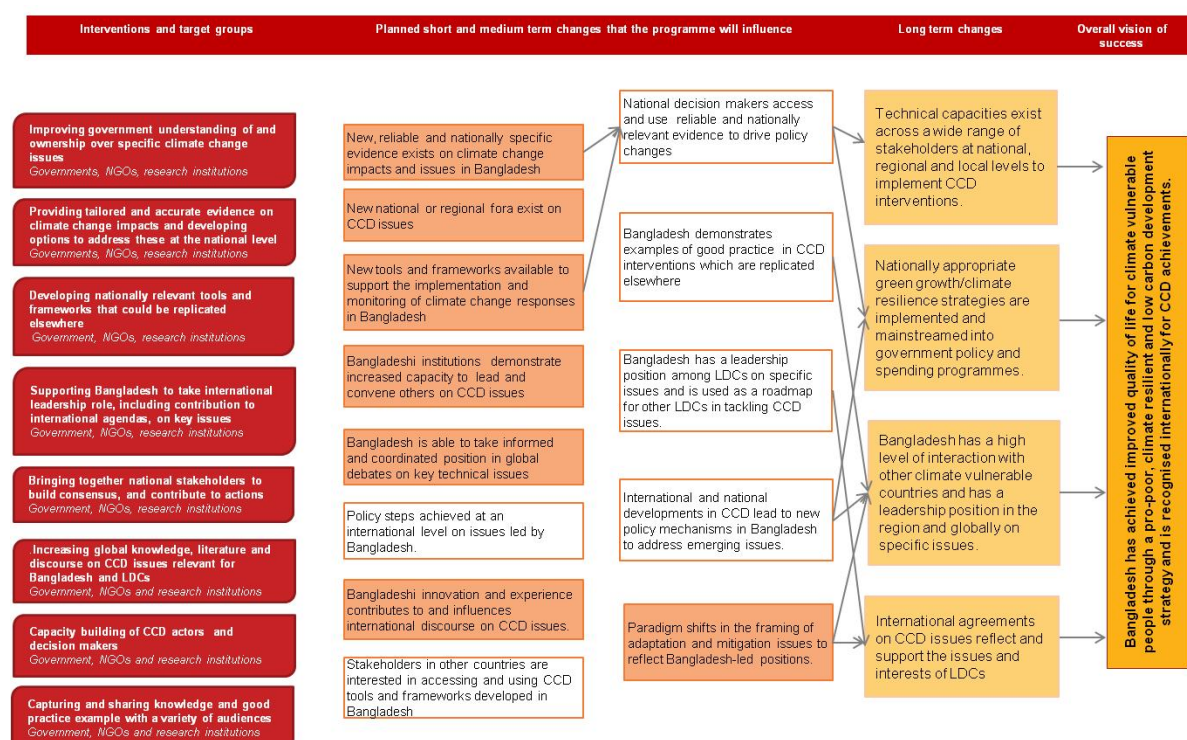
## Results and Impact – CDKN Claims

Based on the demand expressed by the GoB, CDKN support in Bangladesh to date has involved the following seven projects. Yet of these seven projects, only three were deemed to be significant (shaded in yellow) by the CDKN Asia team, so my country assessment focussed exclusively on these three projects.

	Project code	Title	Start Date	End Date
1	RSAS-0014	Adaptation policy options and interventions for the climate change induced displaced people of Bangladesh	Feb 2012	Jul 2013
2	TAAS-0026	Loss and Damage in Vulnerable Country Initiative	Nov 2011	Mar 2013
3	TAAS-0008	Action Research on Community Based Adaptation in Bangladesh (ARCAB)	June 2011	October 2012
4	AAAS-0002	Bangladesh Engagement and National Diagnostic	Aug 2010	Mar 2011
5	TAAS-0030	Support to the Climate Vulnerable Forum	Oct 2012	Jan 2012
6	KMAS-0008	Looking at CCD in Asia using film	Oct 2012	Dec 2013
7	KMAS-0003	Enhancing climate change awareness and understanding amongst journalists in South Asia	March 2012	March 2014

According to CDKN, the Bangladesh country programme targets the following areas of intervention as a means to deliver the following changes in the short-term, medium-term and long-term.

### CDKN Bangladesh Country Programme Impact Pathways (from Country Report)





The present evaluation found that the CDKN Bangladesh country programme was indeed active in all these various ‘areas of intervention’, and that it had made good progress towards delivering target outputs in all these areas. Yet the evaluation also raised numerous important questions about the current trajectory of the country programme, and whether it was really leading towards the changes anticipated. These arguments are detailed below, and examples from the three country projects are provided.

A quick summary of evidence to date that the country programme is delivering on the short-term and medium-term changes targeted is provided in the table below.

Anticipated change delivered by the country programme	Time-frame	Evaluator’s finding
New, reliable and nationally specific evidence exists on CC impacts and issues in BNG	ST	Evidence of some progress, but current trajectory raises concerns
New national or regional fora exist on CCD issues	ST	“ “
New tools and frameworks available to support the implementation and monitoring of CC responses in BNG	ST	Evidence of progress, though further work would lead to significantly greater change
BGD institutions demonstrate increased capacity to lead and convene others on CCD issues	ST	Evidence of progress
BGD is able to take informed and coordinated position in global debates on key technical issues	ST	Evidence of progress, but current trajectory raises concerns
Policy steps achieved at an international level on issues led by BGD	ST	“ “
BGD innovation and experience contributes to and influences international discourse on CCD issues	ST	“ “
Stakeholders in other countries are interested in accessing and using CCD and frameworks developed in BGD	ST	“ “
National decision makers access and use reliable and nationally relevant evidence to drive policy changes	MT	“ “
BGD demonstrates examples of good practice in CCD interventions which are replicated elsewhere	MT	“ “
BGD has a leadership position among LDCs on specific issues and is used as a roadmap for other LDCs in tackling CCD issues	MT	“ “
International and national developments in CCD lead to new policy mechanisms in BGD to address emerging issues	MT	“ “
Paradigm shifts in the framing of adaptation and mitigation issues to reflect BGD-led positions	MT	“ “

## Relevance

### *a. Widespread support for the three projects reflects country-level demand for work in these areas*

CDKN’s three current projects in Bangladesh enjoy widespread support among national stakeholders for the themes they are attempting to tackle, including strong interest from national policymakers. The projects clearly address emerging national priorities and respond to country-level demand. They are therefore poised to have clear policy impacts, provided they generate actionable outputs.

**Recommendation:** None

### *b. CDKN’s willingness to address critical yet risky issues is widely appreciated*

Many stakeholders voiced appreciation for the fact that CDKN is funding early research and knowledge generation on critical emerging themes, saying this is unusual for a donor, since it could be seen as risky. Yet they observed that such knowledge is needed to develop national thinking on

these critical issues and to serve as the basis for policy development and programmatic action. This work may also offer an opportunity for Bangladesh to provide thought leadership on certain issues facing developing countries, due to their particular vulnerability to climate change impacts.

As one key informant observed, “Climate change creates major knowledge gaps, because the frontiers of knowledge are changing rapidly, including both the threats faced by poor communities and the options for helping them. Many people are very confused about what this means and how to deal with it.”

**Recommendation:** None

*c. Solid evidence of linkages between CDKN components but poor synergies between projects*

The CDKN Bangladesh projects generally show good evidence of linkages between CDKN components. For instance, the L&D project generates research papers but also provides TA to Least Developed Country negotiators at the international CC talks, and TA to GoB policymakers is now getting underway. Targeting linkages across these activity areas is widely appreciated, but also places a premium on ensuring that the findings acted upon are rigorous and firmly based in evidence.

However, interviews did not find evidence of synergies between projects being captured. Also, no stakeholders mentioned meaningful engagement with CDKN international staff, with the exception of the Asia regional office.

**Recommendation:** Establish mechanisms to ensure that projects within Bangladesh and elsewhere in the Asia region share lessons and build on each others’ experience.

*d. Ongoing engagement with service providers*

CDKN has remained actively engaged with projects and generally been supportive, which is good. But this input can also sometimes mean imposing lots of reporting demands on suppliers.

**Recommendation:** None

## Effectiveness

*e. Model for ensuring delivery not ideal*

In some cases, project coordinators have had to chase up local subcontractors to ensure timely delivery of outputs (e.g., subcontracted L&D papers), which has been tiresome for all.

**Recommendation:** It would be preferable if enforcement mechanisms could be written into contracts instead, for instance via imposing strict time limits with fines attached for non-compliance.

*f. Process of project design is insufficiently inclusive*

Consultations with local partners during project design seem to be inadequate in some cases. The L&D project was designed primarily by overseas partners without substantive input from local partners, which meant that they didn’t realise the full scope of the project and the relevant project needs given the Bangladeshi context. While the ARCAB concept came from INGOs in developing countries, there seems to have been limited consultation with local partners during project design. One local partner commented, “These are new things, so we need to think them through together. In this, no one knows better, since we are all on the same learning curve.” He also noted that CDKN seems to be in a great hurry, which is understandable for project management but is counterproductive in the design phase when it is important to take time to consult with partners. The climate-induced migration project provides a counterexample. Its local partners feel their collaboration with their overseas partners are on a relatively equal footing, citing the example of

draft reports being sent back and forth between partners, with each making comments and being open to change (case study 1).

**Recommendation:** Take more time for project design. Ideally this should be done collaboratively by diverse local and overseas partners, in order to capture the most innovative ideas and ensure that project design reflects local demand and realities. Consultations could include relevant central and local government, NGOs, CBOs, research organisations and private firms. If consultations are not possible, at the very least key local stakeholders should be asked to comment on the proposed project design before it is finalised. This will help ensure that any issues are identified from the outset while also helping to build ownership.

**Case study 1:** The CIM project on climate-induced migration focuses on gathering and analysing primary data from affected communities to better understand an emerging phenomenon of critical importance to Bangladesh. Its data and analysis appear to be solid, but basic questions could be raised about the fundamental research design, which underlines the importance of taking greater time when designing projects and ensuring that the design process includes substantive input from a range of local stakeholders.

The project focuses on understanding why climate-induced migrants leave their homes and maps out livelihood options for migrants, based on the idea that migration can be a viable adaptation option. This is a hopeful and important perspective with strong policy relevance in Bangladesh. Notably, it can help Bangladesh plan for its anticipated migration flows, helping all stakeholders to recognise and capture the positive opportunities they offer. Simply put, this work can help develop climate-induced migration as a safe and positive adaptation option for Bangladesh. However, this work also neglects a key policy relevant question, namely whether there may be viable adaptation options available to these people within their communities that remain unexplored. These alternative options could involve developing irrigation systems, exploring new cropping systems and natural fertilisation options, facilitating access to drought-tolerant seed varieties, and developing local energy sources. The point is that these options represent possible alternative to climate-induced migration, and hence should really be examined at the same time to assess the best possible options for communities and the country. The project currently accepts the fact that communities are struggling to adapt as a given instead of problematising this point. An example is that some farming communities shifted to shrimp cultivation due to increasing salinisation and its greater profitability, but now the shrimp in some areas are being affected by a virus, which is reducing production and causing some to migrate. A possible adaptation in such areas would be to take measures to address this virus problem and support sustainable shrimp production.

#### *g. Questions about the allocation of funds*

Some stakeholders cited a perception that a large proportion of the CDKN funds allocated to projects for Bangladesh was in fact being captured by overseas partners. Others cited a perception that a large proportion of the funds distributed within Bangladesh were being captured by a small number of elite climate change professionals. A third perception was that the criteria used by CDKN to select its service providers strongly prioritised the academic publishing record of individuals while placing relatively little weight on professional experience working in the target communities or strong familiarity with the Bangladeshi context. Needless to say, all the key informants who voiced these concerns believed that they represented problems with CDKN.

It is unclear whether such perceptions are grounded in fact, but they are worth reporting nonetheless, since these issues were raised by various key informants. Both observations suggest a need to ensure that CDKN's procedures for making regional funding allocation decisions are as transparent as possible, and that this transparency is abundantly clear to its regional stakeholders.

These observations also suggest that it may be useful to hold a consultation with a range of Bangladeshi and interested overseas stakeholders on two questions: (1) desirable selection criteria for CDKN service providers working in Bangladesh, and (2) any potential downsides to allocating a larger proportion of country funds to local suppliers and how best to mitigate these risks.

**Recommendation:** Ensure that CDKN's procedures for making regional funding allocation decisions are as transparent as possible. Hold a consultation with a range of Bangladeshi and interested overseas stakeholders to discuss related issues.

#### *h. Questions about country focus and capacity building*

While most of the local experts consulted were happy to be collaborating with overseas partners as part of CDKN consortia, some also raised questions about the balance of these partnerships. They complained that the overseas partners had too much influence, saying more balanced partnerships would be preferable. Reasons offered included ensuring that projects are as grounded as possible in local realities, fostering local ownership, and building the capacity of Bangladeshi professionals.

**Recommendation:** Explore the possibilities to rejig the balance of CDKN consortia over time to have stronger representation from local partners.

## Efficiency and VfM

#### *i. CDKN's emphasis on rapid delivery of outputs is problematic*

While stakeholders are broadly happy with the three current Bangladesh projects, many said CDKN's current emphasis on rapid delivery of outputs is problematic. Some complained that CDKN did not allow adequate time for projects to reach their potential (case study 2), while others argued that CDKN's emphasis on rapid delivery of outputs is actually counterproductive (case study 3).

**Case study 2:** ARCAB addresses a key knowledge gap, namely how to conduct M&E for a grassroots adaptation project, yet this work doesn't go far enough due to CDKN's emphasis on short-term funding to deliver rapid outputs. Climate change is now a huge issue and adaptation is an imperative, but many practitioners and donors still don't know what an adaptation project looks like. How do you distinguish an adaptation project from something else, and how do you measure its adaptation effect? ARCAB has addressed these questions by developing an M&E tool thanks to support from CDKN. This tool can be used to identify the determinants of long-term climate resilience for communities. It shows what to measure (e.g., access to information regarding viable adaptation options and their benefits) and how, so it should be very useful to practitioners working at the grassroots level. This tool has already been taken up by ActionAid in Bangladesh and ARCAB in Kenya and Ethiopia, and CDKN is sponsoring presentations about the tool at workshops in Asia and Europe this spring.

While all this is a good start, the work is only half done. We now have a generic tool, but what's missing is how to apply in different places facing different types of adaptation challenges. In BNG, only ActionAid has used the tool, and they've only done so in one area, so we don't know how it would work in the various other hotspots. Another gap is to disseminate this tool and inform target users how to use it, so that it doesn't just sit on the shelf. Simply put, the ARCAB work requires significantly more than the one year of funding provided by CDKN. "It's risky to just provide short-term funding then rely on others to ensure projects deliver. In future, CDKN should consider providing funding for long enough to cover the key steps of the process."

**Case study 3:** The L&D project has an unrealistically short timeframe to obtain solid results. Notably, gathering empirical evidence on vulnerable communities was seemingly not possible, and the project had to rely on key informant interviews with experts in the capital instead. These interviews allowed the project to frame key issues and raise relevant questions, but could not provide evidence-based answers. Yet at the same time CDKN is pushing for using this project to influence the international negotiations and policy. Several stakeholders cautioned that while it is exciting for the country to have this opportunity for high-level engagement and leadership, doing this without firm evidence is worrisome. Other stakeholders noted that the work on L&D is still at an early stage, with different key stakeholders in Bangladesh having very different understandings of this term. While these stakeholders applauded CDKN's willingness to take on this difficult topic, they worried about it proceeding without addressing the problem of missing empirical evidence.

**Recommendation:** CDKN could adopt an understanding of VFM that explicitly recognises that this involves both delivering genuine value for target beneficiaries and doing so as efficiently as possible.  
*j. Inadequate resources to deliver on the potential of projects in some cases*

Some stakeholders complained that CDKN failed to provide adequate resources to realise the potential of its projects, an issue that was linked to problems with project design (see case studies 4 and 5).

**Case study 4:** The original workplan for the L&D project was skeletal, so project implementation began with attending workshops and building partnerships with diverse stakeholders and then following up with these people, which was effective. Only via these consultations did the full scope of the project become clear. But this value has been achieved largely by committed staff putting in countless unpaid hours, which isn't a viable or generalisable model. Also, the resulting project still falls short of what is needed to realise its potential. An example is that local contractors complain strongly about being underpaid, and it is notable that these modest payments have corresponded with outputs of uncertain quality in some cases. This raises the question of whether it might not be better to pay somewhat more while specifying better in contracts the different elements that must be included in outputs to ensure they reach the requisite level of quality.

**Case study 5:** The CIM project used 15 young Bangladeshis to conduct field interviews after training them. It then kept them on to help with data analysis, which has proven both effective and efficient. The precise use of the funds managed by the local partner is also fairly flexible, which has allowed them to allocate these resources on an 'as needed' basis, and has helped reduce expenditures.

**Recommendation:** Consult more widely during project design to ensure that agreed workplans are realistic and provide the needed resources to deliver target results and impact.

*k. Partnerships create scope for "over delivering"*

Some stakeholders mentioned how they had struck up partnerships with key communities of practice in order to 'over deliver' on their original workplans. For instance, the L&D project is serving as an input to important new work on harmonising DRR and CC adaptation in BNG. Another example is how ARCAB partnered with ActionAid to field test its new M&E tool for community-based adaptation in a vulnerable region of Bangladesh.

**Recommendation:** Continue placing emphasis on building partnerships with other relevant stakeholders

## Impact

### *l. Some early successes and good groundwork, but questions about the ‘direction of travel’*

All three of the Bangladesh projects have been successful at delivering useful early outputs. For instance, ARCAB developed a generic M&E tool for assessing community-based adaptation, while CIM has generated primary data and analysis of climate-induced migration. Despite their successes, these three projects have had minimal beneficial impact on vulnerable communities in Bangladesh to date. This is not a criticism, since it is only to be expected given the relatively short time since these projects got underway. The relevant question, however, is whether the current direction of travel of these projects inspires confidence that such impact is forthcoming in the near future. By this measure, the stakeholder interviews and document review raised numerous questions, as detailed in this report. It is hoped that the feedback presented in this report can help ensure that these promising projects fully deliver on their excellent potential (case study 6).

**Case study 6:** The L&D project has been highly effective at spurring dialogue on L&D both within Bangladesh and internationally regarding the L&D concept, and this is a major success for which the project proponents and CDKN can only be applauded. The project has also delivered various research papers on different aspects of L&D. On all this, stakeholders agreed that progress was “so far, so good”. Yet various stakeholders also argued that better evidence is now urgently needed to ensure that the anticipated impact of this project is achieved, and that its potential is not wasted.

As things stand, no primary research has been being conducted for L&D, with all its findings coming from the existing literature or from consultations with experts living in Dhaka (the Bangladeshi capital). Because no consultations have been conducted with vulnerable communities or those working directly with them, the project’s work lacks grounding in a basic sense. Notably, project partners lack firm evidence on key questions such as, “Which adaptation options are available to vulnerable communities in key hotspot areas?”, “How much do they cost, and how effective are they?” and “What are the remaining losses suffered?”

Various stakeholders also noted that basic questions such as the definition of the term “loss and damage” have not yet been resolved in Bangladesh. Notably, some see L&D as the final residual need after communities have strained every nerve to find workable adaptation options, while others view any losses from CC impacts or adaptation costs incurred as instances of L&D, and a basis for demanding compensation from the international community. Clearly, such questions must be resolved before Bangladesh can lead on this issue effectively on the international stage.

## Sustainability

### *m. Solid start, but design issues threaten sustainability*

The three Bangladesh projects have started well, but all three face issues concerning their sustainability. This follows from the fact that all three require follow-up funding in one form or another in order to fulfil their promise.

For instance, the L&D project has helped elaborate some key concepts and generated a buzz both within Bangladesh and internationally, thanks to bringing together different partners working on this topic. Critically, the Bangladeshi government is committed to developing a national mechanism on L&D, so the project has official buy-in, though details remain vague. Despite all this, the potential of this work to deliver sustainable outcomes and benefit vulnerable communities is at risk due to the design issues discussed above, notably the short timeframe of CDKN funding.

It is understandable to begin funding for risky projects with a short timeframe grant, but in order to secure sustainability this should then be followed up by a longer-term grant in order to deliver on the project's potential. One interviewee argued, "CDKN needs clearer thinking on funding, and a funding model that is conducive to optimal performance and longer-term planning."

**Recommendation:** Revisit the question of project duration with CDKN senior management

## Learning

### *n. Mechanisms for learning lessons are not always clear*

Stakeholders suggested that mechanisms for learning lessons – whether by staff or others – were not a strong point of the three Bangladesh projects, and didn't seem to be a key focus of CDKN. One key informant reflected, "It's not clear who the project is sharing lessons with and why". For instance, the learning mechanism currently used by the L&D project focuses on conducting surveys among participants at workshops. This is an important weakness, since projects need evaluation mechanisms to ensure they learn from their mistakes.

**Recommendation:** Require suppliers to elaborate a lessons learned plan that (1) ensures different members of each consortia share their impressions and learn from each other's experience and (2) generates lessons for policy makers and other interested professionals. These lessons could be included in CDKN's monthly newsletter and/or posted on the CDKN website.

## Annex 5 – Summary of Findings from Additional Output reviews

### Partnerships

- The Partnerships output has met or (greatly) exceeded its 2012 and 2013 milestones as defined by the CDKN logframe.
- The primarily simplistic and quantitative nature of the Partnerships output indicators (based on the self-reported aggregation of activities) may not appropriately reflect and capture the nature of the strategy and outcomes CDKN is endeavouring to deliver under the output. Based on this, there is a need to revise and enhance both the Partnerships output strategy and the logframe to more explicitly set out the strategy and more appropriately capture the outcomes.
- CDKN requires a more detailed elaboration of the Partnerships impact pathway and where this fits within / contributes to the overall CDKN Theory of Change – specifically setting out how Partnerships activities and projects feed into CDKN's other four outcome areas through the DoC, as well as more broadly, how the Partnerships output is geared to supporting CDKN change overall.
- The Action Lab successfully brought together a dynamic and innovative group of CCD experts across government, academia, the NGO sector, and the private sector. It 'announced' CDKN's arrival on the scene as an organisation that is willing:
  - To be demand-led with the CCD marketplace;
  - To both work in, and convene, partnerships across a wide spectrum of stakeholders;
  - To invest in innovate but risky concepts and ideas that have the potential to deliver impressive outcomes and impact; and,
  - To build relationships over time and through multiple stages as demonstrated by the Research Innovation Fund that came out of the Action Lab and the two subsequent Innovation Fund Rounds which have supported partnerships established and catalysed at the Action Lab.
- CDKN have added considerable value to the LEDS GP:
  - The LEDS Global Partnership is effectively convened. The LEDS Global Partnership has subsequently instituted a steering committee and CDKN was elected as its chair.
  - The makeup of the LEDS Global Partnership is substantially different following a membership drive through the LEDS Collaboration in Action workshop and the resulting regional LEDS network events.
  - The LEDS Global Partnership work programme was developed building on the outputs of the workshop. The work programme includes more than 10 topical working groups.
  - The LEDS regional networks were effectively convened and formed at the LEDS Collaboration workshop.
  - The workshop and engagement approach (interactive and action and learning focused) which CDKN had promoted was appreciated and embraced by the LEDS Global Partnership and the format has been replicated and built upon for the regional workshops.



- There is also evidence that CDKN have considered what LEDS GP success would look like in terms of outcomes over time through the creation of a strategic vision, theory of change, and an appropriate set of outcome statements.
- Through their work on Partnerships, CDKN can credibly claim to have made a significant contribution to Dimension 6 of their DoC “Changes in coordination, collaboration and mobilisation amongst key stakeholders.”
- CDKN needs to explicitly explain the rationale behind shifting Partnerships from a stand-alone to a cross-cutting output, and detail how CDKN’s cross-cutting output approach is operationalised.
- The process and mechanisms which ensure that the Partnerships output adds value to a CDKN programme that is ‘greater than the sum of its parts’ is under-developed. Synergies between outputs and interactions between CDKN output team members (predominantly based in London) and their Regional and Country counterparts appear to be unsystematic and sub-optimal, resulting in potential missed opportunities which could be realised with minimal additional resources. There is no formalised and systematic CDKN-wide approach across outputs and between Country and Regional programmes to ensure that opportunities are not missed. This issue of cross-output synergy and linkage with the Regional and Country programmes is revisited throughout the MTR.
- An area where the Partnerships output (and CDKN more generally) may not be optimally efficient relates to their ability to formalise partnerships with service providers through the contracting of services. Several Partnerships stakeholders interviewed by the MTR team indicated that the transactions costs of formally engaging with CDKN in a contractual relationship were prohibitively high.

## Knowledge Management

The Knowledge Management output is meeting its objectives and producing good quality work. Its contribution in combination with other outputs such as Research and Technical Assistance can be seen in events such as the S-REX events and country activities such as Kenya.

However, it is suffering from having a very broad mandate and multiple roles internally and externally. KM activities are also working at a global level, which brings the challenge of interpreting abstract, de-contextualised results. Where KM has worked within a country setting, in combination with other outputs, its contribution is more tangible, especially in the area of supporting an *enabling environment* for CCD. This is an outcome area that would merit further exploration.

KM has evolved as CDKN has evolved. Now that the programme is maturing and has a better understanding of its drivers of effectiveness, the KM output would benefit from developing a framework of clear strategic concepts and a sense of its impact pathway, or theory of change.

The lack of one makes understanding KM’s different contributions and the outcomes it supports difficult. This can be seen in the assumptions made about ‘use’ of CDKN information when activities are mainly geared to support ‘access to information’, not ‘use’. (This is a common challenge for knowledge programmes.)

KM’s main links to the DoC is to ‘Changes in the usability of the evidence base’, closer to outputs than outcome. The results that are being reported are focused mainly on the knowledge broker support, and the projects focused on online information. The M&E report recognises that ‘use’ is not being tracked for KM projects, although our assessment shows that evidence of ‘reach’ is being

tracked, which could be a useful progress marker to track more systematically. However, there are no clear indicators for ‘capacity’, which is the focus of the knowledge broker and journalist support work.

KM has a lot overlap with aspects of the Research output, for example in policy influencing and supporting research use and uptake. In recognition of this, KM and Research have been brought together under the Director of Policy and Programmes to coordinate between the two and to link to the new Clusters. This coordination could be further improved by developing a theory of change that makes explicit assumptions about impact pathways and stages of change – a recommendation for the whole of CDKN.

KM has a strong contribution to make to CDKN’s emerging strategic learning agenda, but this needs to be thought through more robustly in terms of an impact pathway or theory of change, and structured learning questions that encompass *process*, *capacity* and *enabling environment* questions, as well as thematic issues.

KM has an explicit aim to work closely with country and regional teams on learning, and there is evidence that is in place in some countries, e.g. Kenya. This could be strengthened. Learning needs to draw from countries and regions and feed back to these.

Structured learning questions and an impact pathway would strengthen KM’s ability to make strategic choices about where and how it links with other Deep Engagement countries, for example Colombia.

Finally, KM sits at the nexus of corporate communications, strategic communications for the sector and communication about learning. This means that the reporting of ‘stories of change’ could be prey to capture by PR-style reporting of successes, rather than more challenging ‘stories of results and learning’.

To ensure a clear separation of these messages, ‘results and learning stories’ should be framed by the impact pathway and learning questions, and use a format that includes reference to context and other actors, descriptions of the challenge and task at hand, critical reflection on unintended results, and the contribution CDKN made in context. A similar model to the STAR interview technique could be developed (see the Colombia country report for a more detailed explanation).

## Advocacy Fund

1. Virtually all interviewees highlighted the critical requirement to build trust with recipient countries, that this takes time and that CDKN had achieved this.
2. In terms of moving from Output to Outcome (via the DoC) we concur with the following key findings reported by the AR 2012-13:
  - Most change was observed amongst groups of negotiators from the poorest and most climate vulnerable countries in their capacity to influence negotiations. Evidence included making a greater number of relevant interventions, and agreeing priorities for desired outcomes in advance of meetings.
  - Significant changes were also observed in groups’ coordination, collaboration and mobilisation. Evidence included meeting in advance of negotiations to discuss strategy, and joining appropriate groups and cross-group coalitions based on shared progressive interests.
  - There was also evidence that this increased capacity to influence and to coordinate with other like-minded groups is already helping these groups influence final decision texts as well as increasing their press coverage during negotiations.

- So far there is little evidence of changes in the quality of knowledge and skills to support negotiators beyond fundamental support, such as technical briefing of delegates before and during negotiations, and little evidence that the poorest and most climate vulnerable countries are better able to leverage and channel climate change-related resources, such as international climate finance, strategically.
- 3. CDKN needs to make a huge effort to restrict their claims to building developing country capacity in negotiations as distinct from the results of that negotiating capacity. For example, DECC believe that CDKN has become too closely associated with Loss and Damage and the LDC group felt that one publication suggested adoption of the 2C position. Whether or not these are actually true is debatable. However, *CDKN should formalise a quality assurance process* by which relevant publications are reviewed to confirm this could not be easily misinterpreted as endorsing a particular negotiating position.
- 4. In order to improve CDKN communications with DECC, CDKN should establish *regular systematic discussion* in place of ad hoc discussion.
- 5. Going forward the AF should be less about building relationships (that are now in place) and more about strategy for COP 2015. *CDKN will need to consider how best to draw on DECC/DFID capacity for this.*
- 6. CDKN have developed a very useful “outcome mapping-inspired” approach for identifying progress towards the Logframe Outcome “Poorest and most climate vulnerable countries have improved influence over international climate change negotiations”. The “Expect to see”, “Like to see” and “Love to see” indicators do a good job of allowing for multiple impact pathways in a stochastic environment. *CDKN should review and justify whether the appropriate quantitative targets for these indicators remain:*
  - *Observations apply to 1-2 groups*
  - *Observations apply to 3-4 groups*
  - *Observations apply to 5 or more groups*
- 7. There is a strong case for the AF to run until after the 2015 COP to give LDC negotiators security. This would require an extension to the CDKN contract as it is scheduled to end 6 months before the 2015 COP.
- 8. The strict interpretation of DFID contract conditions by PwC means that suppliers face higher transactions costs of working with CDKN than with other funders (including those working directly for DFID). This reflects designing projects down to activities and detailed reporting requirements as well as the interpretation of procurement rules. There is a widespread feeling that CDKN procurement do not understand the realities of developing countries in the way that CDKN project managers do. For example, a request for a better copy of a receipt held up payment for 2 months. Also Example, African researchers having to pay hotel expenses and reclaim when they do not have the cash. *There is a need to lower the costs of doing business with CDKN.*
- 9. There is potentially a large added value by forming partnerships with donors in advance to enable constraints such as requiring LDC government ministers to fly economy to be overcome.
- 10. Our assessment of two side events held at COP 18 was that while these provided good networking they represented a lost opportunity in terms of thought leadership. Rather than using short presentations of existing material from panel members why not use the

opportunity to present significant CDKN research or KM results and change the way that listeners look at a particular CCD issue?

11. Many interviewees complained that high turnover within PwC meant that people are unfamiliar with the project and are overloaded as well. We understand that there has been an element of bad luck here and that staff are asked to commit for a year to work on the AF. *Staff turnover could be monitored and reported annually.*
12. There is considerable demand for negotiations support from middle income countries that share a progressive agenda. While this is likely to lie outside DFID's area of operation, lessons from the AF could be used in establishing a separate, potentially multi-donor version of the AF for middle income countries.

## Research

Category	Key findings	Recommendations
Relevance	Good at supporting innovative and risky work	None.
	A broader strategy for eliciting country-level demand is needed, one that captures views from diverse stakeholders to ensure that demand spans key aspects	Examine the scope for applying a broader understanding of eliciting country-level demand across CDKN.
Effectiveness	Programme design failed to appreciate the practical constraints faced, notably the time required to conduct quality research	Re-examine the fundamental design issue of programme and project duration.
	Good at responding rapidly to the emerging policy literature, thanks to keeping track of developments and use of streamlined funding mechanisms	None.
	Communications focus can sometimes outweigh content, given the strong emphasis on delivering outputs rapidly	Ensure that all CDKN communications and policy advice are firmly grounded in evidence in order to maximise the chances that CDKN delivers strong outcomes for vulnerable people.
	A rigorous and impartial research commissioning process, but room for greater transparency and a more systematic approach encompassing all prospective bidders	Revisit the options available for research commissioning.
Efficiency & VFM	Strict application of contractual regulations imposes large administrative costs that are seen as unreasonable and problematic by various stakeholders	DFID should review these requirements and consider loosening some of them, if it can be shown that these create inefficiencies in the form of excessive administrative costs
	CDKN is good at administrative sides of contracting, e.g., verifying deliverables before issuing payment	Re-examine both the benefits and potential downsides of CDKN's administrative practices
	No-cost extensions would be useful, given the short timeframe of contracts	Consider the possibility of allowing short no-cost extensions, as needed
	CDKN's interpretation of VFM raises important questions, notably whether there is not a need to think more about the 'value' side of this equation	While the interpretation of VFM expressed by CDKN research staff is understandable, it might be useful to revisit these questions in light of the other observations made in this report

Category	Key findings	Recommendations
Impact	It's too early to properly assess research impacts, since research takes time	None.
	Questions about the types of impacts targeted, notably whether CDKN might focus less on traditional indicators of academic excellence given its policy focus	Revisit the question of the types of impacts that should be targeted by CDKN research, in light of a possible reframing of CDKN's niche
	Tension between building Southern research capacity and focus on excellence, with questions about whether CDKN has this balance right	Revisit these competing objectives to assess whether CDKN's approach to delivering them should be adjusted
Sustainability	Building capacity of researchers in the global South is important to sustainability, and hence should perhaps be a stronger priority for CDKN	Review possible ways to maximise CDKN's capacity to build capacity of researchers in the global South, within the context of maintaining a focus on research excellence.
Learning	The need to commission research rapidly early on was far from ideal, obliging CDKN to assess demand and develop proposals rapidly	If CDKN is extended, consider taking more time for research commissioning.
	Tension between responding to country-level demand vs. a more strategic approach, with reframing CDKN's understanding of thought leadership as a potential solution	Consider the possibility of reframing CDKN's conception of thought leadership. Potentially, CDKN could produce two distinct papers on each research topic, one for an academic audience and firmly rooted in the literature, the other for practitioners in partner countries and firmly rooted in the practical challenges of delivering CCD to vulnerable communities.