

# Catalytic Impact of Ecosystem-based Adaptation Projects of the International Climate Initiative

Strategic Impact Evaluation



[info@arepo-consult.com](mailto:info@arepo-consult.com)  
[www.arepo-consult.com](http://www.arepo-consult.com)

August 31, 2021

**Project organisation:**

The project was carried out by:

Dr. Christine Wörlen  
Dr. Martina Greib  
Sven Morgen  
Arne Hennig  
Karolin Kölling  
Bianca Soares-Möckel  
Max Schmidt  
Koos Neefjes  
Leyana Romain  
Gabriela López Sotomayor

Arepo GmbH

Contact person: Dr. Martina Greib  
Albrechtstraße 22  
10117 Berlin  
Germany  
Tel.: +49 30 220 124 48  
E-Mail: [info@arepo-consult.com](mailto:info@arepo-consult.com)



AREPO GmbH | Registered Office: Berlin  
Managing Directors: Dr. C. Wörlen, C. Reineck, G. Holzhausen  
Registered at: Amtsgericht Charlottenburg, Berlin, Germany | Registration No.: HRB 219 349 B  
VAT ID No.: DE 332 314 373

**Contents**

- Executive Summary ..... 1
- 1 Introduction ..... 6
- 2 Concepts and definitions ..... 6
  - 2.1 Ecosystem-based adaptation ..... 6
  - 2.2 Catalytic impact..... 7
  - 2.3 Theory of Change for Catalytic Impact ..... 9
    - 2.3.1 The Multiplier Pathway ..... 9
    - 2.3.2 The Negotiation Pathway ..... 10
    - 2.3.3 Combining the pathways to an initial Theory of Change ..... 10
- 3 Design and Methodology..... 11
  - 3.1 Database ..... 11
    - 3.1.1 Project Data ..... 11
    - 3.1.2 Case studies ..... 11
    - 3.1.3 Other sources ..... 12
  - 3.2 Evaluation Methodology..... 12
  - 3.3 Challenges and Limitations ..... 13
- 4 Findings with respect to the Evaluation Questions ..... 14
  - 4.1 Negotiation Pathway..... 14
    - 4.1.1 To what extent and by what means can IKI EbA projects influence negotiations?  
(EQ 1)14
    - 4.1.2 How can IKI projects position and strengthen the topic of EbA at negotiations?  
(EQ 1.2) ..... 20
    - 4.1.3 To what extent do IKI’s EbA projects promote the pioneering role of partners  
during negotiations? (EQ 1.3)..... 23
    - 4.1.4 To what extent do practical demonstrations of EbA solutions (to proof their  
technical feasibility and affordability) play a role at international conferences? (EQ 1.4)  
24
  - 4.2 Multiplier Pathway – potentially catalytic results ..... 24
    - 4.2.1 To what extent are subordinate authorities familiar with the EbA concept and  
the application of EbA? (EQ 2.1) ..... 25

- 4.2.2 To what extent have EbA approaches promoted by the IKI been adopted in other sectors (e.g., agriculture)? (EQ 2.2)..... 26
- 4.2.3 To what extent does learning take place among EbA projects, e.g., at regional level? 27
- 4.2.4 To what extent was mainstreaming of EbA successful when using different methods?..... 28
- 4.2.5 To what extent do EbA projects produce co-benefits, e.g., socio-economic impacts and mitigation effects? ..... 29
- 4.2.6 To what degree and how have other results of IKI projects led to national, subnational and local implementation of EbA approaches? (1.1.4)..... 31
- 4.3 Catalytic Impact – Replication and proxies..... 32
  - 4.3.1 Catalytic Impact..... 32
  - 4.3.2 Proxy: Policies..... 33
  - 4.3.3 Proxy: Additional Funding ..... 34
- 5 Conclusions ..... 36
  - 5.1 Catalytic impact through the Negotiation Pathway ..... 36
    - 5.1.1 Not one but three pathways ..... 36
    - 5.1.2 Financial Mechanisms of the Convention as a magnifier of catalytic impact.. 38
    - 5.1.3 Nature-based Solutions vs. Ecosystem-based Adaptation ..... 38
    - 5.1.4 Other ways to mainstreaming EbA at international level – COPs, not COPs – Communities of Practice instead of Conference of the Parties ..... 38
    - 5.1.5 Particularly catalytic initiatives ..... 39
  - 5.2 Catalytic impact through the Multiplier Pathway..... 39
    - 5.2.1 Awareness and expertise with subordinate authorities ..... 40
    - 5.2.2 Awareness and expertise with the local population..... 41
    - 5.2.3 Transfer of lessons and experiences between EbA projects ..... 41
    - 5.2.4 Pathways for getting additional funding..... 41
    - 5.2.5 Adoption into other sectoral strategy..... 42
  - 5.3 Which elements of projects enabled the continuation of the EbA approach? ..... 42
    - 5.3.1 Synthesis of expert views ..... 42
    - 5.3.2 Qualitative comparative analysis (QCA)..... 43
    - 5.3.3 Catalytic impact – why not? ..... 44

- 6 Recommendations ..... 44
  - 6.1 Recommendations on IKI funding and the Criteria of Excellence ..... 44
    - 6.1.1 Recalibration of the Criteria of Excellence ..... 44
    - 6.1.2 Programmatic support intensifying the Multiplier Pathway ..... 45
  - 6.2 Recommendations on strengthening catalytic impact in IKI projects ..... 46
    - 6.2.1 Necessary and sufficient outcomes for catalytic impact ..... 46
    - 6.2.2 Replicate successful micro-strategies ..... 46
    - 6.2.3 Remedy the weaknesses in the portfolio ..... 47
    - 6.2.4 Plan projects systematically for generating sustainable and potentially catalytic outcomes ..... 48
    - 6.2.5 Expand and deepen the EbA implementation in the IKI portfolio ..... 49
  - 6.3 EbA at the negotiations ..... 49
    - 6.3.1 Keep the discussion going even without success in the Convention Guidance 49
    - 6.3.2 EbA versus NbS ..... 50
    - 6.3.3 Provide technical competence to the Conventions Community ..... 50
    - 6.3.4 Further ideas for intensifying the discussion on EbA at beyond the international level 50
    - 6.3.5 Financing for scaling up EbA – GEF, GCF and the private sector ..... 51
  - 6.4 Further research needs and opportunities ..... 51
    - 6.4.1 Further analysis of factors for success ..... 51
    - 6.4.2 Impact analysis of the platform projects ..... 52
    - 6.4.3 Private sector ..... 52
- Annex ..... 53
  - Annex I. List of projects ..... 53
  - Annex II. List of interviews ..... 62
  - Annex III. Evaluation Questions and Data Sources ..... 65
  - Annex IV. Annex on the Negotiation Pathway ..... 69
    - Annex IV.1 EQ 1 ..... 69
    - Annex IV.2 EQ 1.1 ..... 73
      - Annex IV.2.1 EQ 1.1.1 ..... 78

Annex IV.2.2 EQ 1.1.2..... 88

Annex IV.2.3 EQ 1.1.3..... 90

Annex IV.3 EQ 1.2..... 94

Annex IV.3.1 EQ 1.2.1..... 96

Annex IV.4 EQ 1.3..... 101

Annex IV.5 EQ 1.4..... 103

Annex IV.6 EQ 1.4..... 103

Annex V. Annex on the Multiplier Pathway..... 105

Annex V.1 5.2.1: Subordinate Authorities..... 105

Annex V.2 5.2.2: Adoption in other sectors ..... 106

Annex V.3 5.2.3: Learning among projects ..... 107

Annex V.4 5.2.4: Mainstreaming..... 109

Annex V.5 5.2.5: Additional funds..... 113

Annex V.5.1 Additional climate funds..... 114

Annex V.6 EQ 6.2.6: Co-benefits ..... 120

Annex V.7 Policies ..... 122

Annex VI. Methodology and process of the evaluation ..... 123

Annex VI.1 Evaluation process ..... 123

Annex VI.2 Adjustments to the TORs ..... 126

Annex VI.3 Theory of Change ..... 126

Annex VI.4 Workstreams..... 126

Annex VI.5 Portfolio Analysis, project component analysis and coding process..... 130

Annex VI.6 Case studies ..... 131

Annex VI.7 Methods..... 131

Annex VI.8 QCA ..... 133

Annex VII. Glossary ..... 135

Annex VIII. Results of the 4 case studies ..... 141

Annex IX. Terms of Reference ..... 148

Annex X. Bibliography..... 148

Annex XI. List of project documents..... 153

---

Annex XII. Project team ..... 156

Figures

Figure 1: Sustained and catalytic impact of an intervention ..... 7

Figure 2: Catalytic logical chain ..... 9

Figure 3: Theory of Change for Catalytic Impact along the Multiplier and Negotiation Pathways ..... 11

Figure 4: Revised Theory of Change for the Negotiation Pathway ..... 37

Figure 5: Revised Theory of Change for the Multiplier Pathway ..... 40

Figure 6: Model for an idealistic catalytic impact on the basis of expert advice ..... 43

Figure 7: Gantt Chart of Strategic Evaluation on Catalytic Impact of the IKI ..... 125

Figure 8: Theory of Change and Workstreams of this evaluation ..... 129

Figure 9: Case study Vietnam – timeline for catalytic impact ..... 143

Figure 10: Case study Grenada – timeline for catalytic impact ..... 144

Figure 11: Case study Peru – timeline for catalytic impact ..... 146

Tables

Table 1: Exemplary impact of IIED project 15\_II\_116\_Global\_A\_EbA Evidence and Policy .... 23

Table 2: Co-benefits and ecosystems in the portfolio ..... 31

List of acronyms

BMU	Bundesministerium für Umwelt, Naturschutz und nukleare Sicherheit
CARICOM	Caribbean Community and Common Market
CBD	Convention on Biological Diversity
COP	Conference of the Parties
EbA	Ecosystem-based Adaptation
EQ	Evaluation Question
FEBA	Friends of EbA
GCF	Green Climate Fund

---

GEF	Global Environment Facility
IIED	International Institute for Environment and Development
IKI	International Climate Initiative (Internationale Klimaschutzinitiative)
INDC	Intended Nationally Determined Contribution
IUCN	International Union for Conservation of Nature
IPCC	Intergovernmental Panel on Climate Change
NAP	National Adaptation Plan
NbS	Nature-based Solutions
NBSAP	National Biodiversity Strategies and Action Plan
NDC	Nationally Determined Contribution
NGO	Non-governmental organization
QCA	Qualitative Comparative Analysis
SBI	Subsidiary Body for Implementation (UNFCCC)
SBSTA	Subsidiary Body for Scientific and Technical Advice (UNFCCC)
SBSTTA	Subsidiary Body for Scientific and Technical and Technological Advice (CBD)
SCCF	Special Climate Change Fund
ToC	Theory of Change
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
ZUG	Zukunft-Umwelt-Gesellschaft gGmbH

## Executive Summary

Since 2008, the International Climate Initiative of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety has been financing climate and biodiversity projects in developing and emerging as well as in transition countries. This strategic evaluation of the catalytic impact of such projects in the area of ecosystem-based adaptation to climate change contributes to the three objectives of the evaluation system of the International Climate Initiative: Learning, accountability and steering. The evaluation analyzes “whether and how International Climate Initiative-funded projects on ecosystem-based adaptation play a catalytic role either at the national level of the partner countries and/or at the international level.” It provides insights into the underlying causal mechanisms, identifies their relative importance, and provides evidence-based lessons learned and recommendations for how the Ministry’s funding practice can be made even more impactful.

This theory-based mixed methods evaluation employs various synthesis techniques, process tracing, portfolio analysis and Qualitative Comparative Analysis for contribution analysis and understanding the strength of evidence. The evidence base consists of project reports from 33 International Climate Initiative ecosystem-based adaptation projects, all of which started between 2008 and 2017. They were complemented by interviews, three country case studies (Vietnam, Peru and Grenada), and an in-depth study of a global platform project.

### Definition of catalytic impact

Catalytic impact, for the purposes of this study is provided through self-sustaining and continuous or increasing activities utilizing ecosystem-based adaptation practices, that take place as a consequence of an intervention but not in its (temporal or geographic) realm. A project typically can provide “catalytic results” which serve as preconditions for replication of ecosystem-based adaptation practices, and this replication produces catalytic impact. Most projects work towards such catalytic results. Typically, the catalytic impact itself will only be observable after the termination of the project.

The evaluation questions focused on how catalytic impact can be evoked. They suggested two potential pathways to catalytic impact: A) The placement of the concept of ecosystem-based adaptation at the negotiation of Multilateral Environmental Agreements could lead to catalytic impact (Negotiation Pathway). B) Catalytic impact could be triggered by national multiplier effects (Multiplier Pathway). The evaluation was able to formulate very specific findings and provide a validated theory of change for both pathways. For this, various methods and specifically the Qualitative Comparative Analysis provided valuable insights.

### Findings regarding the Negotiation Pathway

For the Negotiation Pathway, evidence shows that International Climate Initiative projects were effective at introducing the concept of ecosystem-based adaptation into the negotiation

space. An outstanding contribution was facilitated through the participation of some International Climate Initiative ecosystem-based adaptation projects in the drafting of the Convention on Biological Diversity Voluntary Guidelines. This set of guidelines was the potentially catalytic outcome closest to formal Convention guidance that could be traced back to the International Climate Initiative projects. It did not lead to the inclusion of ecosystem-based adaptation into National Biodiversity Strategies and Action Plans but is expected to do so in the future. In the United Nations Framework Convention on Climate Change, no guidance around ecosystem-based adaptation has been formulated yet.

Yet, the evaluation shows that formal convention guidance was not necessary for the negotiation path to trigger more ecosystem-based adaptation action. International Climate Initiative projects contributed to discussions on ecosystem-based adaptation in working groups and Subsidiary Bodies in both Conventions, including the Nairobi Work Programme or United Nations Framework Convention on Climate Change Subsidiary Body for Scientific and Technical Advice. Thus, the negotiation meetings served as useful platforms to inform decision makers about benefits and technical aspects of the ecosystem-based adaptation approaches which triggered some replication.

Ecosystem-based adaptation features comparatively often in National Adaptation Plans and National Biodiversity Strategies and Action Plans. The analysis shows that promoting the concept at the international level and linking this to national governments and negotiators have contributed to the fact that the ecosystem-based adaptation concept remains on the national and international political agenda and is perceived as a meaningful option for action.

Bringing the practical implementation experience “from the ground” to the international negotiations was instrumental for that. National implementation experiences were a necessary ingredient for catalytic impact via the Negotiation Pathway.

### **Findings regarding the Multiplier Pathway**

All projects were working on awareness raising, capacity building and policy advice at various intensities, trying to exploit the Multiplier Pathway and lead to local replication without further project support. Especially sensitization of and awareness raising among stakeholders that play a role in the implementation of the ecosystem-based adaptation concept on the ground were important success factors.

Several projects were able to trigger local replication, through institutionalization or transfer of knowledge to other geographies within the same countries. Of particular significance for promoting and scaling up the ecosystem-based adaptation concept were local champions, with close links to other stakeholders. They were often able to bridge between sectors or governance levels. Many projects demonstrated co-benefits, like higher economic productivity. These co-benefits played a role in raising the interests of local politicians and populations in the concept. However, the Qualitative Comparative Analysis unexpectedly did not demonstrate that co-benefits led to catalytic impact. This implies a necessity to put more

emphasis on identifying and promoting co-benefits of ecosystem-based adaptation in future projects, which might lead to even higher uptake.

Some project outcomes like policies or continued funding streams are extremely likely to lead to the continued implementation of ecosystem-based adaptation measures. The analysis in the country case studies highlights that there is significant potential for leveraging such financial and other support for ecosystem-based adaptation by governments, but also national and international private sector stakeholders. Several projects had such outcomes. In addition, a few projects have tried to mainstream ecosystem-based adaptation into other government sectors like agriculture. Where they did this, it was often shown to be a catalytic strategy.

### **Recommendations on the Criteria of Excellence**

- It is recommended that the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety reviews the Criteria of Excellence for the International Climate Initiative in light of the evidence provided by this evaluation.
- The Negotiation Pathway should be recalibrated with respect to the relevance of the actual negotiation of legal text versus the utilization of the international gatherings as platforms for information exchange. The latter has been the more important avenue towards catalytic impact so far.
- Micro-strategies and other recommendations for the most catalytic outcomes, which were identified in the context of the Multiplier Pathway are formulated below and should be integrated in the design of each International Climate Initiative project.

### **Recommendations on the Negotiation Pathway**

- To maximize the impact of the Negotiation Pathway, International Climate Initiative projects should keep providing technical inputs to the Conventions – in particular to the Subsidiary Bodies and their working groups.
- Projects should put less focus on National Communications and more focus on implementing ecosystem-based adaptation approaches that are already embedded in Nationally Determined Contributions, National Adaptation Plans and National Biodiversity Strategies and Action Plans.
- All nine United Nations Framework Convention on Climate Change groups of constituencies should be systematically addressed.
- Beyond the negotiations, new tools can be used, for example webinars on accessing climate finance, systematic support to Operational Focal Points for the development of country allocation plans for Global Environment Facility and Adaptation Fund or technical aspects of the various approaches, to sustain the discussion between the Convention meetings.

### **Recommendations – leverage the Multiplier Pathway in a programmatic way**

For the Multiplier Pathway, funders should acknowledge that it takes considerable time to implement an approach like ecosystem-based adaptation across a country. The following recommendations support this thought:

- Fund programmes of different projects in one country over a long period of time (e.g., a decade) that build on each other systematically and sequentially.
- These programmes should apply a multi-level and multi-pronged approach on the national, subnational, and local level in parallel, combining various strategies, such as policy advice, capacity building and financing.
- To reduce risk to impact and continuity, projects or programs (i.e., implementing organizations) should identify and work with different ecosystems in the country, for which ecosystem-based adaptation might be relevant, and a range of different ecosystem-based adaptation opportunities/measures.
- Projects should integrate ecosystem-based adaptation approaches systematically into different sectors, including agricultural, natural resource management, infrastructure, economic cooperation to mainstream the approach into productive and commercial sectors.
- Projects and funders should keep in mind the link from the local implementation to the global platform projects and South-South exchanges.

### **Recommendations for Implementing Organizations**

The evaluation shows that combining practical implementation and international information exchange supports catalytic impact. Based on these results, future projects should continue to support and provide platforms for cross-project learning activities, and to support broad awareness raising activities. Furthermore, future projects should focus more on developing long-term funding mechanisms of ecosystem-based adaptation measures.

Projects should systematically integrate successful micro-strategies into new programming, for example:

- institutionalization (e.g., through regional and/or transnational institutions),
- support of proposal development and access to funding (e.g., Green Climate Fund project), and
- consideration of building up a supply chain for sustainable products from ecosystem-based adaptation projects (a case study example: shrimp fisheries in Vietnam).

A highly successful micro-strategy was the transfer to other sectors. This should be integrated systematically in most future projects.

### **Recommendations for future funding – overall**

While project design is highly context specific, it is possible to derive recommendations for project design that maximizes the likelihood for catalytic impact – these can be considered as requirements during project approval:

- Important **design details** for project success include: identify the relevant (local) languages for the communication of ecosystem-based adaptation content; connect to the global communities of practice; analyze what might counteract the wider adoption of ecosystem-based adaptation with a classical barrier analysis. In the stakeholder analysis, national as well as subnational decision makers need to be identified. A focus on institutions rather than individuals helps mitigate political changes.
- **Include the private sector**, for example food producers and farmers, commercial and Impact Investors, and other financiers, with corresponding offerings.
- **Expand the community of implementers** – a broader base of implementing organizations, including large multilateral organizations, is likely to reach a broader audience and broader adoption.
- Projects should be able to **react quickly to current issues** that can catch the attention of relevant audiences and place ecosystem-based adaptation as a possible solution.
- **It is recommended to start large projects that address specific sectors, like farmers, fishers, etc. in the current modality of the thematic call**, potentially including corresponding international organizations, like the Food and Agriculture Organisation of the United Nations or the World Health Organization.

## 1 Introduction

This strategic evaluation is tasked with understanding “whether and how IKI-funded EbA projects play a catalytic role either at the national level of the partner countries and/or at the international level.” It provides insights into the underlying causal mechanisms, identifies their relative importance, and provides evidence-based lessons learned and recommendations for how BMU’s funding practice can be made even more impactful. The International Climate Initiative (Internationale Klimaschutzinitiative (IKI)) has five Criteria of Excellence (“Exzellenzkriterien”, BMU 2016): transformational change, innovation, relevance for the negotiations, sustainability of project impacts and multiplier effect. The TORs for this evaluation proposed that multiplier effects and Negotiation Pathways could be the most relevant for catalytic impact as a starting hypothesis. Specifically, two starting hypotheses were formulated:

- IKI EbA projects are able to develop catalytic impact through influencing the multilateral negotiations in the context of the United Nations Framework Convention on Climate Change (UNFCCC) and the Convention on Biological Diversity (CBD).
- IKI EbA projects are able to develop catalytic impact by using a multiplier effect.

The authors collected evidence supporting these hypotheses and used mixed methods for determining to what extent these two pathways exist, how they interact and whether this provides lessons for enhancing catalytic impact. The team benefitted from regular interactions with the BMU, specifically Birte Derrix, the evaluation managers at Zukunft-Umwelt-Gesellschaft gGmbH (ZUG), Sigrun Meyer and Dr. Katrin Daedlow, as well as ZUG technical specialists Mareile Drechsler, Annika Lüdeking, Carmen Begerock, Dorothea Konstantinidis and Eric Philipp and the IKI Evaluation Management, represented by Dr. Andreas Obser, Leona Keyl and Britta Gentsch. The team is grateful for their inputs as well as that of many other specialists who were available for interviews or other forms of inputs.

## 2 Concepts and definitions

### 2.1 Ecosystem-based adaptation

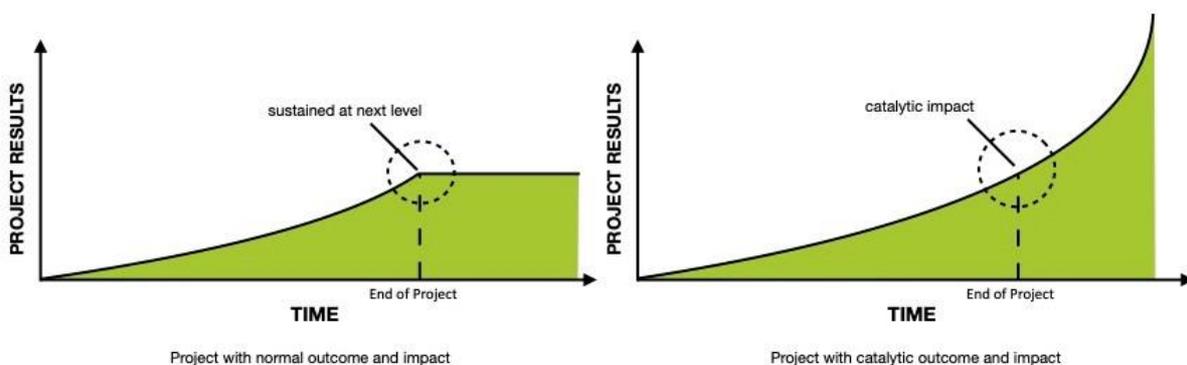
As highlighted on the IKI website (IKI n.d.), EbA is about enhancing peoples’ resilience to climate change by preserving the integrity of ecosystem functioning and ecosystem services. Examples for ecosystem services are water purification, retention of high waters, or soil preservation with respect to its fertility but also to erosion. These services are not only of high relevance for nature itself, but also for people. They mitigate the impacts of climate change on people’s wellbeing. The CBD defines that “Ecosystem-based adaptation is the use of biodiversity and ecosystem services as part of an overall adaptation strategy to help people to adapt to the adverse effects of climate change.” (IUCN n.d.)

The concept of EbA focuses on how biodiversity, natural resources, ecosystems, landscapes and ecosystem services can be utilized to enhance humankind’s adaptability to climate change and resilience to climate risks. It is important to note that the approach is centered around people and sees natural resources and specifically biodiversity complementing or substituting for other measures of adaptation to climate change. In contrast to classical natural resource management or biodiversity approaches, it is focusing on mitigating current or impending changes in climate and their impact on people and ecosystems. Often, EbA measures can reach the same adaptation ability (and possible adaptation levels) through restoring ecosystems as comparable technical solutions but often at lower costs (i.e., they are more cost effective than technical solutions) (Colls et al. 2009). EbA is a subset of the “Nature-based Solutions” (NbS) concept, as NbS is an umbrella concept for various approaches that use nature in addressing issues such as food security or disaster risk management. And EbA is the approach focusing on climate change adaptation under this umbrella (Pauleit et al. 2017).

## 2.2 Catalytic impact

Climate finance interventions strive to have catalytic impact (GEF Evaluation Office 2008). An individual project might be able to invest in and sustain climate action in a geographically and temporally confined space. With catalytic impact, the same funding might lead to a (potentially self-sustaining) adoption of the “good practice” on a larger scale, leading to much larger impact compared to the initial project. Based on the Evaluation of the Catalytic Role of the Global Environment Facility (GEF Evaluation Office 2008), Figure 1 defines catalytic impact as going beyond the mere sustainability of project with normal results, outcome and impact (first case). Catalytic impact (second case) should result in an accelerated diffusion of the best practice. This can also include qualitative improvements, but the main gist is the faster and wider application of an approach or implementation of climate action.

Figure 1: Sustained and catalytic impact of an intervention



Source: Arepo after GEF Evaluation Office (2008).

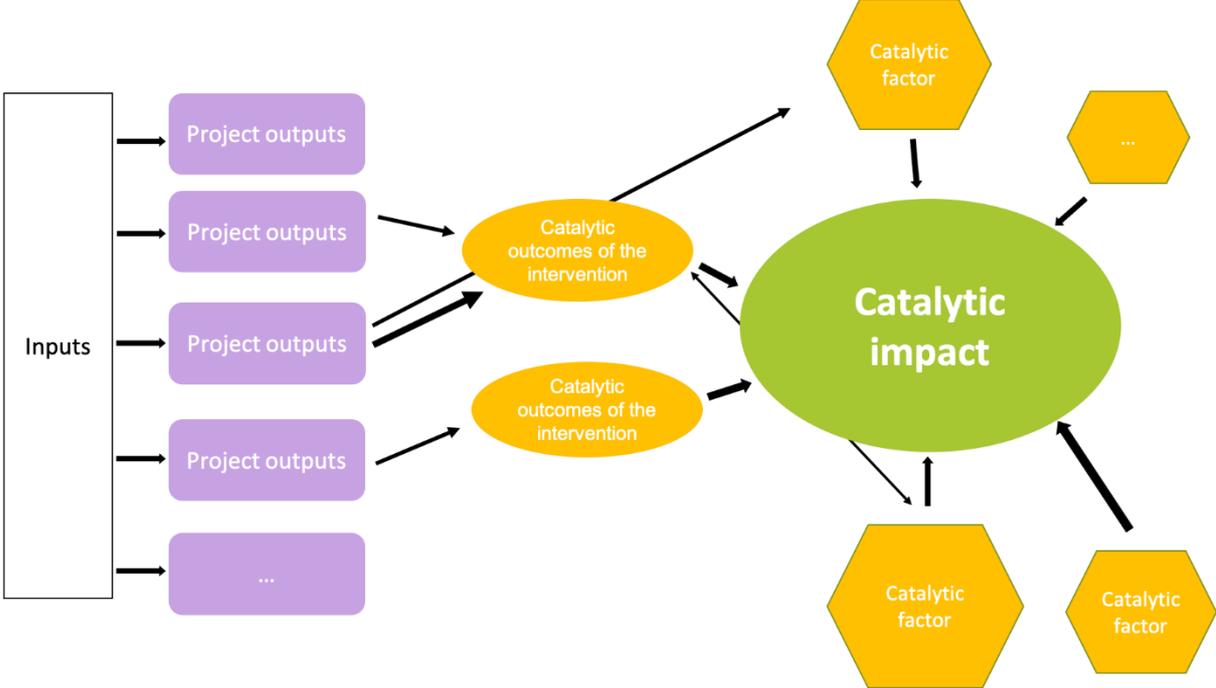
Catalytic impact is an impact that takes place outside of the interventions’ realm. Projects cannot reach catalytic impact directly, during the supervised project implementation period and within project activities. Instead, projects work towards outcomes that have the ability to

facilitate catalytic impact outside the direct (geographic or temporal) reach of the project. For example, projects might try to support the government in implementing a policy that makes climate action obligatory. If and when such a policy is effective, it will lead to much more implementation of the climate action than what the project could achieve directly. The policy can be a catalyst, and if this policy can be considered a project outcome, it shall be called a potentially catalytic outcome for the purpose of this evaluation. Potentially implies that within the project's documentation, the actual catalytic effects of a new policy will not and cannot be documented. The actual catalytic impact of such a policy might be measurable, but only later and with other means (e.g., a post-project evaluation).

In practice, where catalytic processes have been triggered that resemble Figure 1 (right), they will mostly be the results of several different (catalytic) factors colluding to reach the self-magnifying impact, whereby any factor can be catalytic. This means that in most cases there are catalytic factors at play that are not outcomes of projects. On this basis, it is obvious that catalytic impact is a matter of degrees – there can be strong and multiple catalytic impacts, and there can be weak replication. This definition also makes it clear that pinpointing contributions to a catalytic process and a wide-spread impact, e.g., of a reference to EbA in a national policy to a specific replication, will be very important but also very difficult.

Figure 2 illustrates the relationship between “standard” logical chains, and those of catalytic interventions. The intervention consists of several outputs that lead to a number of outcomes. Some of them might be catalytic outcomes. These might lead to catalytic impact, including a “support” by catalytic factors that have not been influenced by the intervention. Of course, it is always possible that a project does not have any catalytic impact, even though potentially catalytic outcomes have been produced by it, for example because of external factors, e.g., the circumstances were not amenable, necessary catalytic factors have been missing, or the situation has changed, or because the quality of the project's outcomes was not suited (e.g., not intense enough) to provoke catalytic impact.

Figure 2: Catalytic logical chain



Source: Arepo.

## 2.3 Theory of Change for Catalytic Impact

### 2.3.1 The Multiplier Pathway

The definition of the Criterion of Excellence ‘multiplier effect’ implies that by providing a model for replication and communicating about it, a project might have much higher impact than without it. Outreach and dissemination work and training of multipliers are seen as central, as explained in the pathways of the catalytic logical chain.

For the purposes of this evaluation, the Multiplier Pathway will include practically all potentially catalytic outcomes of IKI projects and their work in countries. These catalytic factors then might cause catalytic impacts, e.g., on building specific capacities and supporting stakeholders in adopting EbA approaches. Some IKI projects focus on the local level, and/or the national and subnational level with its administrative structures, institutions and (civil society) groups, but most focus on the national level. The predominant activities in IKI projects on EbA – as identified in an initial analysis of the portfolio and project component analysis in the course of this evaluation – are policy advice, mainstreaming of EbA concepts in politics, administrations and authorities, capacity building, development of financial mechanisms, as well as the development, support and delivery of methodologies and information and knowledge to various audiences.

Most of these activities are working towards becoming catalytic factors, for example when they lead directly to behavioral change, or provide preconditions for the replication of EbA approaches, e.g., in the form of heightened awareness or expertise. Some catalytic outcomes

do more for EbA than others. Examples of such potentially catalytic outcomes from EbA projects on the Multiplier Pathway are the integration of the EbA concept into action plans and policies like the National Biodiversity Strategies and Action Plans (NBSAPs), National Adaptation Plans (NAPs), (Intended) Nationally Determined Contribution ((I)NDCs), national sector policies, plans and strategies (e.g., agricultural policies), conservation laws as well as subnational sector policies, plans and strategies. They can attract further public and private funding from national or international funding sources for more EbA areas as another catalytic factor.

### 2.3.2 The Negotiation Pathway

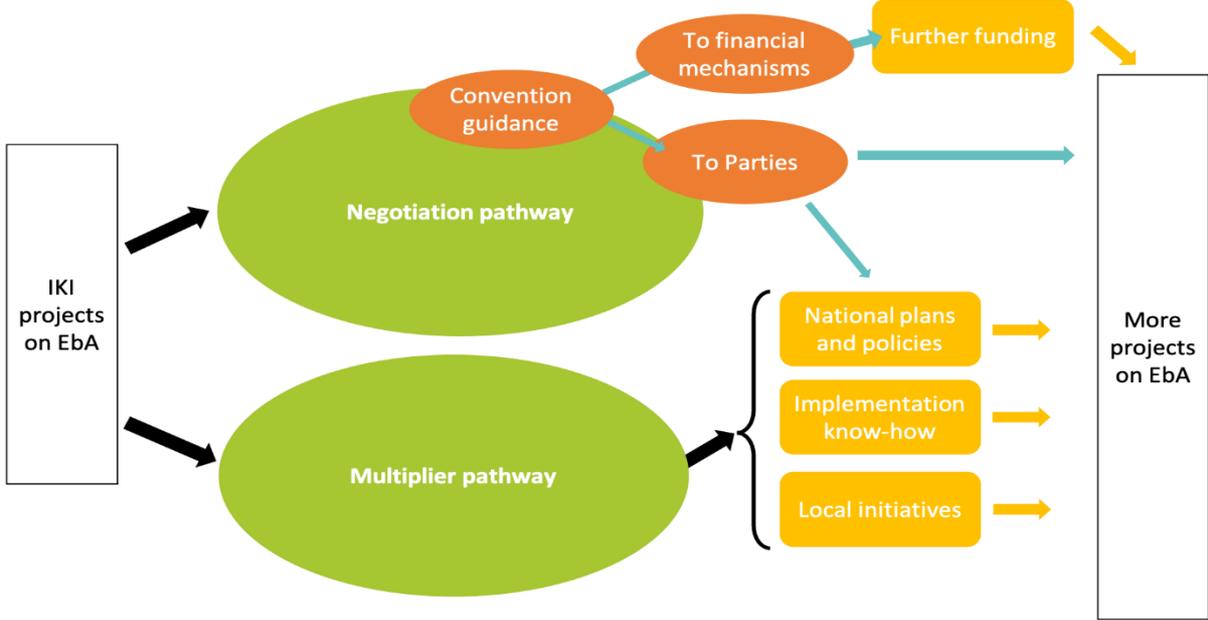
One of the stated aims of the IKI is to support the international negotiations and processes within the United Nations Framework Convention on Climate Change (UNFCCC) and Convention on Biodiversity (CBD). At the Conference of the Parties (COP) formal decisions are made that provide guidance to the Parties and the Financial Mechanisms of the conventions. These can act as strong catalytic factors. These conferences and the events that take place on the side also function as places and opportunities for the international community to meet and exchange ideas.

An important key word in the IKI Criteria of Excellence document is “Handeln und Verhandeln” – Act and Negotiate. IKI projects should provide the negotiation with action-based information and real-life (and thus realistic) experiences, facilitating evidence-based negotiation outcomes. Two groups of IKI projects support this – some with direct support of negotiation participation through IKI partner countries, others with more indirect support of various sorts – including technical input to the discussions. Promoting the pioneering role of partners, which is implemented by the two mentioned project groups, is an activity that promotes awareness with the negotiators – in this case, awareness with the negotiators is a catalytic factor that can lead to guidance by the COPs (demonstrating that catalytic outcomes and factors can also be staggered and have mutual influence). A main consequence of that guidance – in theory – is the integration of concepts like EbA into the national plans that structure national climate or biodiversity action of the parties, i.e., the NBSAPs, NAPs and (I)NDCs. Another main consequence is the provision of financing for EbA through the financial mechanisms of the Conventions (GEF and GCF) in the implementation of Convention Guidance.

### 2.3.3 Combining the pathways to an initial Theory of Change

Putting together these considerations, Figure 3 depicts the Theory of Change for this theory-based strategic evaluation. It simplifies the ToC to highlight the placement of a selected number of such catalytic outcomes (orange bubbles and yellow boxes) along the two main pathways (green bubbles). These “catalytic outcomes” are only partially under the direct influence of the IKI projects.

Figure 3: Theory of Change for Catalytic Impact along the Multiplier and Negotiation Pathways



Source: Arepo.

A drawback of this representation is that it does not clarify very well what geographic unit and which stakeholder groups are involved in the respective activities and outcomes.

### 3 Design and Methodology

#### 3.1 Database

##### 3.1.1 Project Data

Following the TORs and the guidance by the Reference Group, the evaluation was based on a sample of 33 projects (cf. Annex I). These projects were started between 2008 and 2017. Only 26 of them were completed and documented with a final implementation report. For only 18, terminal evaluations were available. For 15, the analysis had to be based on annual reports. Even though the latest annual reports were used, some projects’ implementation record was only one or two years long. The project reports were complemented by additional project-specific internet research.

##### 3.1.2 Case studies

Four in-depth case studies complemented the analysis. Three country case studies – Peru, Vietnam, and Grenada– were conducted between January and April 2021 by external consultants situated in the countries. Next to the analysis of the IKI projects, they also had the explicit mandate to capture the full discussion on the EbA concept in the respective countries. The results of these case studies are documented in Annex VIII.

The fourth case study focused on project “Ecosystem-based approaches to adaptation: strengthening the evidence and informing policy” (15\_II\_116 Global\_A\_EbA Evidence and Policy), which is a global project implemented in several countries (running till 12/2022). The project examines both the impact of the project at the national level in the project countries and at the international level in the context of the UNFCCC and CBD.

### 3.1.3 Other sources

In addition, internet research, document analysis and interviews were conducted as needed. The list of interviews can be found in Annex II. The list of other sources is also supplied in Annex III.

## 3.2 Evaluation Methodology

This theory-based evaluation used a mixed-methods approach. First, the Theory of Change was reconstructed, in order to validate it.<sup>1</sup> Case studies were conducted on the basis of the Evaluation Questions, with numerous interviews and desk research.<sup>2</sup> The portfolio of 33 IKI projects was subjected to multiple analyses: a portfolio analysis describing the geographic, thematic and temporal composition of the portfolio that was the basis for the inception report; a portfolio component analysis which was used for the support of the case studies and as the bases for validating the reconstructed Theory of Change; a project success assessment which was used for the identification of catalytic impacts and proxies for the catalytic impact.<sup>3</sup> In addition, there was an extensive reconstruction of the Convention Guidance for both relevant Multilateral Environmental Agreements, the UNFCCC and the CBD.

For analyzing the contribution of the IKI projects to the outcomes and impacts, as well as for the contribution analysis in the contexts of the case studies, important tools were included from process tracing. These encompassed the “smoking gun” – a necessary and sufficient piece of evidence –, the “hoop tests” – a necessary but not sufficient piece of evidence –, as well as the “straw in the wind” test – a weak indication, non-contradiction).<sup>4</sup> For example, a crucial hoop test consisted in reconstructing timelines for assessing the possible contributions of Convention Guidance and IKI projects to the catalytic impacts. Process tracing, by definition, is a method with limited external validity, but nevertheless appropriate for this assessment as it clearly identifies modes for the testing of the contribution of evidence to a conclusion. Specifically, the hoop test in form of timeline reconstruction was crucial to understand where influences have been exerted from one project on a general discussion, e.g., in the context of the Conventions, or national legislation.

---

<sup>1</sup> See Annex VI.3.

<sup>2</sup> See Annex VI.6.

<sup>3</sup> See Annex VI.7 and Annex VI.8.

<sup>4</sup> See Annex VI.7.

Furthermore, a crisp set QCA<sup>5</sup> was conducted that allowed a better understanding of factors that lead to change of interventions, in this case to catalytic impact, and for a more in-depth understanding of the strength of the evidence. QCA is a powerful method in understanding what aspects of projects lead to positive outcomes and which ones do not.

### 3.3 Challenges and Limitations

The evaluation was subject to a number of limitations, mainly with respect to the data base.

**Timing:** The evaluation was conducted between August 2020 and August 2021. Given the complexity of the topic and the sheer volume of potential evidence, as well as the innovative approach and high level of ambition of this evaluation this was rather little time. Further analysis could be done and the evidence base could be expanded, and more findings and recommendations could have been identified.

In addition, it was conducted during the COVID-19 pandemic. This meant that no international travel was possible. The evaluation team mitigated this challenge by close collaboration with experienced external local consultants who had good knowledge of and direct access to the relevant local stakeholders. Therefore, many interviews could be conducted via online conferencing without significant loss in evaluation quality. In most cases, triangulation was also possible through this modality.

**Sample:** The closed sample of 33 IKI projects consisted of comparatively young projects. Six projects are still ongoing in 2021, and 17 have not yet provided final reports. Therefore, project documentation was not consistent and of equal standard across the portfolio as annual reports are less comprehensive, while final reports might not include details of the implementation process anymore.<sup>6</sup> In addition, the focus of the evaluation is supposed to be on catalytic impacts, which will often arise after the project, and – if at all documented – are documented only in very late stages of the project. This resulted in a comparatively small portfolio as the basis of evidence for this portfolio, which limits the external validity of the conclusions in this evaluation. Therefore, the evaluation is not able to understand all the processes and catalytic mechanisms that took place.

This is specifically challenging for the Qualitative Comparative Analysis (QCA) that was conducted in the context of this evaluation. The QCA demands a consistent database, and – for example – clear cases of success and lack thereof, when success is the dependent variable of the QCA. As it is very hard to define success – and even more difficult to find cases of failure – on the basis of the sample, the QCA is limited in its power.

---

<sup>5</sup> See Annex VI.8.

<sup>6</sup> 18 projects with final reports, 15 projects with annual reports.

## 4 Findings with respect to the Evaluation Questions

This chapter will discuss the findings for each Evaluation Question. The discussion is in 2 parts: The Negotiation Pathway is supported by EQs 1 to 1.4 with 8 questions. The Multiplier Pathway is supported by EQs 2 to 2.6 with 11 questions. Annex III gives an overview of the Evaluation Questions and data sources.

### 4.1 Negotiation Pathway

#### 4.1.1 To what extent and by what means can IKI EbA projects influence negotiations? (EQ 1)

##### 4.1.1.1 To what extent has the IKI succeeded in positioning the EbA concept at the national (e.g., in NAPs), regional and/or international level? (EQ 1.1)

In the projects from the sample, the IKI has generally “succeeded” in positioning the EbA concept at various levels, although less evidence is found at the regional level. Cases are defined as successful when it is evident that the IKI project and/or implementing organization was causal or significantly contributed to getting EbA into outputs<sup>7</sup> at the international level.

#### National Level

The IKI projects have succeeded in several cases in positioning the EbA concept at the national level. The case studies Peru, Vietnam, Grenada and IIED as well as the evaluation of the IKI projects have shown that the IKI projects in several countries have managed to anchor EbA in NAPs, NDCs and/or NBSAPs (cf. Annex IV.2). As discussed further in the chapters for EQ 1.1.1 – 1.1.3., there are very prominent examples of EbA becoming part of national legislation, e.g., in Vietnam, or approaches being transferred from one province to another in Peru.

#### Regional Level

There are various cooperation formats with regional scope (e.g., projects, organizations) which are active in the adaptation context that use or promote the EbA approach.

The GEF project “EbA South”, funded through the Special Climate Change Fund,<sup>8</sup> seeks to deliver south-south-cooperation on EbA. There is no direct connection to IKI projects on EbA. China plays an important role in EbA South which is a project country in two IKI projects.<sup>9</sup> Nepal is a pilot country in EbA South and also part of numerous IKI EbA projects.<sup>10</sup> The IIED

<sup>7</sup> For example, reports, negotiation texts, on the political agenda, in workshops.

<sup>8</sup> Ecosystem-based Adaptation through South-South-Cooperation (n.d.).

<sup>9</sup> 12\_II+\_005 Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 15\_II\_116\_Global\_A\_EbA Evidence and Policy.

<sup>10</sup> 11\_II\_075\_NPL\_A\_watershed management, 12\_II+\_005 Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, 15\_II\_116\_Global\_A\_EbA Evidence and Policy.

case study reveals an intense cooperation between project 15\_II\_116\_Global\_A\_EbA Evidence and Policy and EbA South (sharing of methodology and contribution to “Ecosystem-based adaptation: a handbook for EbA in mountain, dryland and coastal ecosystems”).<sup>11</sup>

The IKI project PEBACC<sup>12</sup> is implemented by the Secretariat of the Pacific Regional Environment Programme (SPREP),<sup>13</sup> in partnership with the Governments of Fiji, Solomon Islands and Vanuatu<sup>14</sup> refer to knowledge products from Mountain EbA project.<sup>15</sup>

The ASEAN Environment Ministers have included some references to EbA in their statement for the Eleventh Meeting of the Conference of the Parties to the Convention on Biological Diversity of 2012.<sup>16</sup> Also, the Greater Mekong Subregion (GMS) has highlighted the relevance of mangrove-friendly shrimp farming in the Mekong Delta in two instances.<sup>17</sup> In both cases, these mentions come comparatively early for stating a direct influence of an IKI project, but on the other hand, they seem to relate to the influence of two important IKI project countries (Vietnam and the Philippines) in which IKI projects have left traces early on.<sup>18</sup>

The CBD lists 28 regional intergovernmental organizations and institutes which addresses biodiversity and 11 of them published a biodiversity strategy,<sup>19</sup> but only the Caribbean Community and Common Market (CARICOM) strategy makes reference to EbA.<sup>20</sup> There is no evidence that any IKI project was directly or indirectly involved in the development of CARICOM’s strategy or the implementation of EbA on the basis of that strategy.

## International Level

---

IKI projects were instrumental in positioning EbA at the international level, for example through the international platform projects. The international level was used by the projects to keep the EbA approach on the political agenda, to develop and disseminate the (technical) knowledge around EbA to the different forums, and to support countries in formulating and implementing their EbA approaches through the international level. Other funders (including

---

<sup>11</sup> Swiderska, K., King-Okumu, C., & Islam, M. M. (2018). Ecosystem-based adaptation: a handbook for EbA in mountain, dryland and coastal ecosystems.

<sup>12</sup> Internationale Klimaschutzinitiative (2021). Natürliche Ansätze für die Anpassung an den Klimawandel im Pazifik: Umsetzung von ökosystembasierten Ansätzen.

<sup>13</sup> The Pacific Ecosystems-based Adaptation to Climate Change project.

<sup>14</sup> Which are also project countries in the IKI projects 09\_II\_069\_Global\_A\_Pacific Mangroves and 14\_II\_109\_Pacific\_M\_Natural solutions to Climate change.

<sup>15</sup> 12\_II+\_012\_Global\_M\_EbA Mountain Flagship; Secretariat of the Pacific Regional Environment Programme (n.d.). Ecosystem-based Approaches (EbA).

<sup>16</sup> ASEAN (Association of Southeast Asian Nations) (2012). Joint Statement of ASEAN Environment Ministers for the Eleventh Meeting of the Conference of the Parties to the Convention on Biological Diversity

<sup>17</sup> Greater Mekong Subregion Core Environment Program Strategic Framework and Action Plan 2018-2022 and Greater Mekong Subregion (n.d.). How Mangrove-Friendly Shrimp Farming Is Protecting the Mekong Delta.

<sup>18</sup> Cf. VNM case study, 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_131\_Asien\_A\_Mekong WET, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>19</sup> Convention on Biological Diversity (n.d.). Regional Biodiversity Strategies and Action Plans.

<sup>20</sup> CARICOM (n.d.). The State of Biodiversity in the Caribbean Community: A Review of Progress Towards the Aichi Biodiversity Targets.

BMZ) also play a role. Different approaches for the positioning and dissemination of the concept were applied and are discussed further in the following sections.

#### 4.1.1.2 To what degree has the IKI succeeded in positioning the EbA concept in Convention guidance? (EQ 1.1.1)

##### **Strict definition: COP decisions and Convention Guidance**

Strictly speaking, Convention guidance is codified in COP decisions that advise or commit countries and financial mechanisms to take specific measures. The IKI was not successful in (directly) positioning the EbA concept in UNFCCC Convention guidance. In the CBD Convention Guidance EbA is recommended explicitly and there is evidence that IKI projects have been successful in contributing to EbA's strong role in the CBD.

##### **EbA in UNFCCC COP Decisions**

Within the UNFCCC COP Decisions, there are only two instances in the period under review (from 2008) where EbA is mentioned: At COP 17 (2011, Durban), it was decided that the Nairobi work programme should hold workshops, including a "technical workshop on ecosystem-based approaches for adaptation to climate change",<sup>21</sup> which was finally held in 2013.<sup>22</sup> At COP 24 (2018, Katowice), the report of the Adaptation Committee was considered and presented to the COP, which then adopted the decision, which "encourages Parties to take into consideration and utilize, as appropriate, [...] ecosystem-based adaptation."<sup>23</sup> Based on the project documents, there is no evidence of a direct contribution of any of the IKI EbA projects in our sample to these findings.

##### **EbA in CBD Decisions and Convention Guidance**

In the CBD Convention Guidance, EbA is mentioned regularly.<sup>24</sup> Potentially the most prominent outcome – and IKI activities have contributed to this significantly – are the "Voluntary guidelines for the design and effective implementation of ecosystem-based approaches to climate change adaptation and disaster risk reduction and supplementary information."<sup>25</sup> These guide the actions of Parties "especially in cases where countries are using external funding (bilateral or multilateral), use of the COP designated voluntary

<sup>21</sup> UNFCCC (2011). Report of the Conference of the Parties on its seventeenth session, held in Durban from 28 November to 11 December 2011.

<sup>22</sup> UNFCCC (2013). Technical workshop on ecosystem-based approaches for adaptation to climate change.

<sup>23</sup> UNFCCC (2018). Report of the Conference of the Parties on its twenty-fourth session, held in Katowice from 2 to 15 December 2018, p.38.

<sup>24</sup> For example at COP 12 2014: "Encourages Parties and invites other Governments and relevant organizations to promote and implement ecosystem-based approaches to climate change related activities and disaster risk reduction." UNFCCC (2006). Decisions adopted by the Conference of the Parties at its Twelfth Meeting; for further details refer to Annex IV.2.

<sup>25</sup> Convention on Biological Diversity (2019). "Voluntary guidelines for the design and effective implementation of ecosystem-based approaches to climate change adaptation and disaster risk reduction and supplementary information" adopted by the Conference of the Parties to the CBD at its fourteenth meeting (Sharm El-Sheikh, Egypt, 17–29 November 2018).

guidelines tend to become essential guidelines.”<sup>26</sup> There is strong evidence that IKI projects, for example the FEBA project (16\_II\_138\_Global\_A\_FEBA Koordination), the Global Mainstreaming project (15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming) and the IIED project (15\_II\_116\_Global\_A\_EbA Evidence and Policy), have directly contributed to the design of the Guidelines. The CBD Secretariat has also used (knowledge) products/outputs from the projects, among others, in the preparation of this guide.

### **Broader definition: positioning the concept within the negotiations**

---

Beyond the direct Guidance and COP decisions, negotiations can be extended to the discussions on Subsidiary Bodies level, which might not (yet) have resulted in a COP Decision.

In both Conventions (UNFCCC and CBD), EbA had a more consistent role on the “working level” of the ongoing negotiations. The following sections will give a detailed account on how IKI projects have contributed to this.

### **EbA at UNFCCC Negotiation Level (SBSTA; SBI; NWP; AP)**

---

EbA is more prominent at the subsidiary level (Subsidiary Body for Scientific and Technical Advice (SBSTA), SBI, NWP and AC) than at the COP level in UNFCCC. Among the reports and other documents that were written on UNFCCC subsidiary level during the period under review (2008 – 2019), some are directly devoted to the topic and some only refer to EbA. Mainstreaming of EbA through IKI projects at this level can be influential for the design, development and implementation of NAPs, NDCs, and NBSAPs and national policies of the Parties.

In some of the instances, a direct influence of IKI projects on the work and output of the individual Subsidiary Bodies regarding EbA can be verified.<sup>27</sup> For example, one project points out that the project partners, “have been using various for a to promote EbA such as UNFCCC and have been part of numerous technical workshops and facilitated sessions on EbA.”<sup>28</sup> The extent to which individual IKI activities have directly contributed to EbA being discussed in the negotiations cannot be determined exactly because there are many overlapping influences. The IKI projects as well as many other actors including Parties and NGOs contribute to a broader discourse on EbA at various levels in the UNFCCC negotiation context, which contributes to the overall mainstreaming of EbA at the international level. In particular, the work of the global platform projects<sup>29</sup> and their implementing organizations<sup>30</sup> should be mentioned here.

---

<sup>26</sup> Interview UNFCCC/CBD expert.

<sup>27</sup> For further details refer to Annex IV.2.

<sup>28</sup> Final report project 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, p. 6.

<sup>29</sup> 09\_II\_069\_Global\_A\_Pacific Mangroves, 11\_II\_084\_Global\_A\_EbA solutions, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, 15\_II\_116\_Global\_A\_EbA Evidence and Policy, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_128\_Global\_A\_Ecosystems Risk and Climate Adaptation, 16\_II\_138\_Global\_A\_FEBA Koordination.

<sup>30</sup> CI, GIZ, IUCN, IIED, UNEP and TNC.

### Box 1: Platform Projects

The project portfolio includes 8 projects with a global focus, the so-called platform projects. Their characteristic is that they are active in several countries and continents at the same time and pursue an overarching approach. 2 projects do not have a country focus. Platform projects are active at national, regional and international level.<sup>31</sup> With their activities at the international level, the respective implementing organizations contribute to the formation of a community of practice that mutually benefits from their work, keeps EbA on the political agenda at the negotiation level, and is available to both the UNFCCC and CBD bodies and the countries as a competent contact. In doing so, they use measures and activities that are also applied in the Multiplier Pathway and aim at sensitization, awareness raising, capacity-building and consultation at the international level to promote and mainstream EbA. The knowledge products they produce are proactively disseminated at the international level and the results and findings from the projects at national level are presented to the international audience to inspire their national adaptation policies.

### Guidelines for NDC and NAP documents and EbA

In addition to direct convention guidance through COP decisions, guidance for the preparation of NDCs and NAPs can also be used for the implementation of EbA. For example, the "Technical guidelines for the national adaptation plan process UNFCCC - LDC Expert Group"<sup>32</sup> recommend that EbA could be part of an implementation strategy for national adaptation plans. 10 out of 30 NAP supplementary documents for the preparation of NAPs refer to EbA (cf. Annex IV.2).

### EbA at CBD Negotiation Level (SBSTTA, SBI)

There are several findings, that EbA is integrated in documents of CBD Subsidiary Body for Scientific and Technical and Technological Advice (SBSTTA)<sup>33</sup> and Subsidiary Body for Implementation (SBI)<sup>34</sup> and there are some findings, which show that IKI projects were active in CBD context and promoted and/or supported the EbA concept (cf. Annex IV.2).<sup>35</sup>

#### 4.1.1.3 To what degree has the Convention guidance succeeded in positioning the EbA concept in NAPs, NBSAPs and NDCs? (EQ 1.1.2)

Overall, 24 countries submitted a NAP,<sup>36</sup> 192 countries submitted their first NDC and 9 countries submitted their second NDC,<sup>37</sup> and 176 countries<sup>38</sup> have submitted a NBSAP.<sup>39</sup>

<sup>31</sup> 2 projects do not have a country focus.

<sup>32</sup> UNFCCC (2012). National Adaptation Plans: Technical guidelines for the national adaptation plan process.

<sup>33</sup> For example: SBSTTA 20 -Twentieth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice Montreal, Canada, 25 - 30 April 2016.

<sup>34</sup> For example: SBI 1 Recommendations First meeting of the Subsidiary Body on Implementation, 2 - 6 May 2016 - Montreal, Canada.

<sup>35</sup> Especially 16\_II\_138\_Global\_A\_FEBA Koordination and 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming.

<sup>36</sup> UNFCCC (n.d.) National Adaptation Plans.

<sup>37</sup> UNFCCC (n.d.). NDC Registry.

<sup>38</sup> Since CBD COP 10.

<sup>39</sup> Convention on Biological Diversity (n.d.). Latest NBSAPs.

In the IKI EbA project countries, in 37% of INDCs and NDCs (20 out of 53), and in 51% of NBSAPs (21 out of 41) EbA approaches are incorporated. EbA has been integrated into the NAP in 7 out of 9 countries<sup>40</sup> where the IKI projects have been active, and the NAP processes have been completed.<sup>41</sup>

There is evidence for only one country, that the Convention Guidance was causal in positioning EbA in NAPs, NBSAPs, and NDCs: only Costa Rica included EbA as part of their Nationally Determined Contributions (NDCs) commitments during the Paris Conference of the Parties in 2015.<sup>42</sup> On the other hand, EbA is mentioned in several INDCs/NDCs, NAPs, NBSAPs- documents of the countries where IKI projects were active, and there are reports that IKI projects (instead of Convention guidance) have influenced this (cf. 0).

However, the activities of the IKI projects at the international level (cf. 0) have contributed to the fact that the EbA concept remains on the political agenda and is perceived as a meaningful option for action in the adaptation sector. The international negotiation context has therefore certainly indirectly contributed to the fact that EbA is now widely represented in NDCs, NAPs and NBSAPS. The international level is used by the IKI projects as a platform to convince countries to use EbA and to work with them on implementation of EbA approaches in or through their national adaptation policies.

### UNFCCC/NDCs and NAPs

---

As there was no formal Convention Guidance on EbA in the UNFCCC context, these instances are not due to commitments by the COP. An influence of the negotiations on the working level is possible but not directly evidenced by this evaluation. At the negotiation level, side events and workshops around meetings of the Subsidiary Bodies are an important place where NGOs but also implementing organizations work with countries and work towards integrating EbA approaches into NDCs or NAPs.<sup>43</sup> The research shows, that in at least 12 cases, the implementation of EbA in NAPs, NDCs or NBSAPs is attributable to the projects. For example, the IIED collaborated in this project<sup>44</sup> closely with Chile's Ministry of Environment and contributed to inclusion of EbA in Chile's NDC (cf. 0).

### CBD/NBSAPs

---

The majority of NBSAPs with EbA approaches were submitted between 2015 and 2017 (15 NBSAPs with EbA), before the Voluntary Guidelines. No evidence of a direct link between convention guidance and integration of EbA into NBSAPs can be found from the project documents.

---

<sup>40</sup> Not in Burkina Faso and Guatemala.

<sup>41</sup> Nepal and Senegal are still ongoing.

<sup>42</sup> 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming.

<sup>43</sup> Interview with IIED.

<sup>44</sup> 15\_II\_116\_Global\_A\_EbA Evidence and Policy.

#### 4.1.1.4 To what degree and how have the NAPs, NBSAPs and NDCs led to national policies that use EbA? (EQ 1.1.3)

There is no clear evidence in the project documents and in our research that NAPs, NBSAPs and NDCs were directly responsible for enacting certain national policies that use EbA. Rather, the research showed that in some cases EbA was already in the process of being integrated into national policies before the respective countries adopted their NAPs, NBSAPs and/or NDCs (with or without EbA).<sup>45</sup> NAPs, NBSAPs and NDCs are therefore not necessarily a prerequisite for the implementation of EbA in national policies (cf. 0).

The interviews as well the project documents nevertheless point out that the pathway is possible, i.e., that the inclusion of EbA in NAPs, NBSAPs and NDCs can lead to the inclusion of EbA in national legislation and catalyze the mainstreaming process. The IIED case study also shows that when EbA is “mentioned in the NDCs, then in-country work become easier”<sup>46</sup> because then it is concretely about the implementation and realization of the EbA approach.

On the other hand, it was mentioned in the interviews and identified in the case studies, that existing national policies that mention EbA make it more likely for the concept to feature prominently in the national communications to the Conventions.

#### 4.1.2 How can IKI projects position and strengthen the topic of EbA at negotiations? (EQ 1.2)

##### 4.1.2.1 What approaches did IKI projects use to position and strengthen the topic of EbA at the negotiations?

IKI projects used a variety of approaches and measures to strengthen EbA in international negotiations, and specifically at UNFCCC and CBD which were the main foci of this evaluation. Basically, two different approaches of IKI projects to influence the international negotiations can be identified. The first approach had the explicit mandate to influence the outcomes of the negotiations and negotiated text committing to the use of EbA approaches would have been the success. The second approach was less explicit and used the negotiation sessions as an arena to raise awareness on EbA more generally. This strategy used the international negotiations as a platform and convening place, but rather than focusing on the content of the intergovernmental negotiations, it intended to influence the international agenda and the actions of national actors and to support them in the implementation and realization of EbA in their national laws and strategies. For example, this has been the approach of IIED, which uses NDC workshops to introduce EbA to LDCs and offer capacity building in the EbA field.<sup>47</sup>

Interviewees have questioned to what extent these activities around the UNFCCC and CBD events are effective in influencing the negotiations. Typically, the negotiators usually have

---

<sup>45</sup> 6 out of 22 IKI EbA Project Countries, cf. 0.

<sup>46</sup> Interview with IIED.

<sup>47</sup> Interview with IIED.

little time to attend such events and most activities do not succeed in including the negotiators as participants. Interviewees suggested that direct contact and exchange of the IKI project or the implementing organizations with the negotiators might be more promising.<sup>48</sup> In some cases, representatives of the implementing organizations partake in Convention-organized Technical Working Groups or Expert Groups,<sup>49</sup> where the opportunities for exerting influence on negotiation contents are considered to be higher.<sup>50</sup>

Interestingly, both approaches used the same activities and tools. The most frequent forms of engagement were the presentation of project results (21 of 33 projects) and the organization of international conferences or side-events at international conferences (13 of 33 projects).<sup>51</sup> Another important set of tools were the provision of best-practice studies, guidelines and other types of analytical reports that were also discussed in side events or workshops at the convention negotiation sites, and sometimes – like in the case of the Voluntary Guidelines – developed into a significant Convention product with significant catalytic potential.

#### 4.1.2.2 What were success factors that determined whether and to what degree the project was influencing the negotiations? (EQ 1.2.1)

Success factors for influencing the negotiations have to be different, regarding the context and aim of the influencing-activities at international level.

To influence Convention Guidance, negotiations text or official guidelines it is helpful to establish a working relation with the relevant secretariat or Bodies as it happened in the FEBA or IIED project.<sup>52</sup> Knowledge products also help to influence the design of guidelines and reports.

For the broader negotiation context, it is difficult to identify clear success factors because, while there are some (potential) catalytic outcomes here, they cannot be clearly and solely attributed to the activities of the IKI EbA projects (see above). Nevertheless, some general success factors can be identified (mainly based on the interviews conducted) that should help to influence the negotiations. For example, it is important to continuously keep the EbA topic on the agenda and elevate the visibility, e.g., through own events, conferences, workshops or reports. Projects and implementing organizations can position and strengthen EbA in negotiations if they are well positioned at the international level and have experience with international processes.<sup>53</sup> In this regard, engagement with the fora such as the Intergovernmental Panel on Climate Change (IPCC), Nairobi work programme (cf. Annex IV.3) and Global Commission on Adaptation (cf. Annex IV.3), which feed directly into negotiations, is also important<sup>54</sup> and can contribute to success. It is also useful to respond to calls for

---

<sup>48</sup> Interview UNFCCC/CBD expert.

<sup>49</sup> Interview with IIED and UNFCCC; cf. Annex IV.3.

<sup>50</sup> Interview with IIED.

<sup>51</sup> For further details and findings for IKI EbA projects Annex IV.3.

<sup>52</sup> Interview with IIED, 16\_II\_138\_Global\_A\_FEBA Koordination.

<sup>53</sup> For example implementation organizations like GIZ, IUCN, IIED etc.

<sup>54</sup> Interview with IIED.

submissions from the Subsidiary Bodies to bring EbA approaches and experiences into the process.<sup>55</sup> Participation in technical working groups or expert groups in the Subsidiary Bodies is also very important and can be influential. Events, workshop and “EbA Days” elevates the visibility and helps to inform the international community and the broader discourse at the negotiations – IKI project are an important part of this.<sup>56</sup>

Another success factor at the international level is coalition building between different actors. Such coalitions have been built between some of the individual projects.<sup>57</sup> It is also interesting to note that the implementing organizations of IKI projects are collaborating with each other in various constellations on a very large number of platform and collaboration projects.<sup>58</sup> The FEBA project and the IIED project are good examples of intensive networking and cooperation between the various IKI projects and their implementing organizations in an international context.

For the IIED case study, among other things, all activities at the international level of the implementing organization within the project were mapped to a logic model<sup>59</sup> in order to classify the activities in terms of their potential impact. A comparison of IIED activities at the international level shows that where IIED has been successful (especially in CBD and UNFCCC subsidiary bodies), the activities of the project at the international level have led to outcomes with potential catalytic impact (see Table 1). The dominant approach of disseminating information and knowledge products (studies, projects, and research presentations, etc.) in the UNFCCC context seem to be successful to directly influence the formulation and/or implementation of policies, strategies or plans (Level 6) regarding the integration of EbA. At the UNFCCC COP level, these kinds of activities were not sufficient to achieve outcome levels. This is an indication that activities must be selected and applied in a context-specific manner. As already discussed in section 4.1.1.2, a distinction must be made at the international level between COP level (convention guidance in the strict definition) and negotiation level (broader definition). These different contexts also require different means and strategies from the IKI projects.

---

<sup>55</sup> Interview with UNFCCC.

<sup>56</sup> For example through platform projects like 15\_II\_116\_Global\_A\_EbA Evidence and Policy and 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming.

<sup>57</sup> For example between 15\_II\_116\_Global\_A\_EbA Evidence and Policy (project “Ecosystem-based approaches to adaptation: strengthening the evidence and informing policy” carried out by IIED) and 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming (project “Coordination of the Friends of EbA (FEBA)”).

<sup>58</sup> For example, there is intensive cooperation between 15\_II\_116\_Global\_A\_EbA Evidence and Policy and 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, see Annex IV.3.

<sup>59</sup> The PHINEO logic model was used.

Table 1: Exemplary impact of IIED project 15\_II\_116\_Global\_A\_EbA Evidence and Policy

	UNFCCC COP	UNFCCC SBSTA, NWP, AC	CBD	IPCC	CBA	IUCN	EbA Community of Practice
Level 7 – Impact (Collective global action increased)							
Level 6 – Outcome (Policies, strategies or plans are formulated or implemented)							
Level 5 – Outcome (Behavior and actions of target audience changes)							
Level 4 – Outcome (Awareness and skills of target audience changes)							
Level 3 – Output (Services/products meet the needs of target audience and are accepted by them)							
Level 2 – Output (Target audience is reached and uses services/products)							
Level 1 – Output (Services/products of IKI projects are implemented as planned)							

Source: Arepo.

A green box in Table 1 indicates that there were activities in the IIED project in the specific context (column) which reached a certain level on a spectrum from output – outcome – impact. The higher the level of activity, the greater the catalytic potential of these activities.

**4.1.3 To what extent do IKI’s EbA projects promote the pioneering role of partners during negotiations? (EQ 1.3)**

IKI’s EbA projects promoted the pioneering role of the projects at international level. An important avenue for that were awareness-raising activities at the convention meetings (e.g., project presentations etc.). They also brought their partners to provide them with opportunities to gain practical knowledge and share lessons learned.<sup>60</sup>

This was sometimes done through or together with other IKI projects. For example, the IIED project “provided opportunities for [local or national representatives] to speak in the COP side events and parallel events [IIED] had arranged, and [IIED] also supported them with their events.”<sup>61</sup> Another project supported the Tajik delegation in COP 25 in Madrid and organized meetings with GCF and the NDC-Partnership.<sup>62</sup>

In other situations, IKI projects were active in countries that hosted COPs and were able to use this as a platform. For example, the International Union for Conservation of Nature (IUCN)

<sup>60</sup> Interview with IIED.  
<sup>61</sup> Interview with IIED.  
<sup>62</sup> 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, p. 16.

worked in a project in Peru with national project staff on analyzing lessons from the field initiatives and launched a synthesis document at the Lima COP in 2014.<sup>63</sup> Here, timing was well suited to promote the pioneering role of partners.

Many IKI projects have been very active in presenting the experiences and results of pioneering projects at the international level and specifically at the negotiations (see section 4.1.1.4). The focus of national and subnational stakeholders is usually not to outreach to the international level. They concentrate more on improvement of national policies and implementing EbA in their contexts. IKI projects are supporting national stakeholders to broaden their views and are thus providing a necessary service to the global community.

#### 4.1.4 To what extent do practical demonstrations of EbA solutions (to proof their technical feasibility and affordability) play a role at international conferences? (EQ 1.4)

In 21 of 33 projects, there were measures aimed at the transfer of application-oriented information ("practical demonstrations"). The main activities for bringing practical demonstrations of EbA solutions to the international negotiations were presentations and sharing of knowledge (cf. 0). To what extent the "technical feasibility and affordability" of the projects and the EbA approach were in the foreground of these measures could not be read from the data, but this does not mean that "technical feasibility and affordability" did not play a role at all. In particular, the IIED project sought to gather and communicate application knowledge on concepts, methods, tools, and success criteria of ecosystem-based adaptation strategies across countries and projects at both national and international levels.

Projects like FEBA try to build an international community of EbA. Events like EbA Knowledge Day (a yearly meeting for EbA policymakers, practitioners, donors and researchers) which deal also with technical and practical questions are a permanent part of the international level and the UNFCCC events.<sup>64</sup>

While there is no formal evidence for this, it is conforming with the experience of the evaluators that practical demonstrations and well-illustrated firsthand reports from successful solutions can be very convincing. If they reach the relevant stakeholders at the negotiation venue, this can help to convince countries of the effectiveness and efficiency of EbA and serve as a catalytic result. The research did not result in a report of a specific instance in which replication and scale up was triggered by a practical demonstration or storytelling about a practical success at an international negotiation.

## 4.2 Multiplier Pathway – potentially catalytic results

The following part will discuss potentially catalytic results of the IKI projects, i.e., results of the interventions that potentially act as mechanisms that can lead to a catalytic impact. The core

---

<sup>63</sup> 12\_II+\_12; „Ecosystem based Adaptation: Building on No Regret Adaptation Measures“; quoted after SB 12\_II+\_12, p. 7.

<sup>64</sup> For example: IUCN (2021). 7th Ecosystem-based Adaptation (EbA) Knowledge Day. 0.

of this analysis is the question: Were IKI projects generating results that led to a replication of EbA measures outside of the direct scope of the project? Put differently, did IKI projects achieve catalytic outcomes on the Multiplier Pathway.

#### 4.2.1 To what extent are subordinate authorities familiar with the EbA concept and the application of EbA? (EQ 2.1)

Subordinate authorities play a significant role in implementing projects and policies in the context of the EbA concept on the ground.<sup>65</sup> Therefore, IKI projects often, as part of capacity building strategies, aim to increase expertise on the EbA concept and the application of the approach in subordinate authorities.

Based on the findings, authorities on the subnational level are moderately familiar with the EbA concept and the application of it. In 22 projects, subordinate authorities have been familiarized with the EbA concept and its applications.<sup>66</sup>

For the purpose of this evaluation, subordinate authorities have been considered “familiar” with the EbA concept and the application of EbA when representatives participated in or had been targets of activities which go beyond raising awareness for EbA and impart knowledge of action. Relevant activities from the project documents include trainings and workshops, and the establishment of a working group that includes stakeholders from local politics.

The effectiveness of the familiarization, however, is a matter of degrees. Only two projects explicitly claim in their reports that stakeholders in subordinate authorities were sufficiently sensitized and familiarized with the EbA concept through the project, so that they were able to identify opportunities for further application of EbA.<sup>67</sup> The case studies revealed that there was a large difference in the degree of familiarity of the subordinate authorities between the three countries. In Peru, the current level of knowledge on EbA can be considered high. It has been increasing since 2013, when the first activities were conducted. IKI’s EbA projects are perceived to have had an immense impact on the dissemination of the concept in the country through the activities on the local and regional levels. In Vietnam, it was found that there was limited knowledge on the EbA concept outside of the capital. The expertise in subordinate authorities was mostly limited to specific groups such as project partners and local decision-makers, and the limited number of people that came into contact with the EbA projects.

<sup>65</sup> Subordinate authorities here are defined as authorities below the national level.

<sup>66</sup> 09\_II\_069\_Global\_A\_Pacific Mangroves, 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 11\_II\_084, 11\_II\_085\_PHL\_G\_Anpassung Küstenbereiche, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, 13\_II\_098\_PER\_M\_Communal Reserves, 13\_II\_099\_THA\_G\_Extremereignismanagement, 13\_II\_102\_Africa\_A\_WISE-UP, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 14\_II\_095\_Pazifik\_A\_Enabling EbA, 14\_II\_109\_Pacific\_M\_Natural solutions to Climate change, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA, 15\_II\_108\_COL\_A\_Magdalena River Basin, 15\_II\_116\_Global\_A\_EbA Evidence and Policy, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA, 16\_II\_130\_IDN\_A\_EbA Building with Nature, 16\_II\_131\_Asien\_A\_Mekong WET, 17\_II\_133\_PER\_A\_Adapting Water Resource Management, 17\_II\_140\_MEX\_G\_EbA Privatwirtschaft.

<sup>67</sup> 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 15\_II\_116\_Global\_A\_EbA Evidence and Policy.

A widely spread perception among representatives of subordinate authorities and others was that the EbA concept was not a new concept, but merely a new and “more academic” (case study report Vietnam, p. 23) term for approaches that have been implemented in the country for decades. And in Grenada, the knowledge on the EbA concept was identified to be highly limited. Only groups that were in direct contact with EbA projects had some expertise on the EbA concept. However, the small number of EbA projects and the implementation delay are likely a reason for this low degree of familiarization in Grenada.

#### 4.2.2 To what extent have EbA approaches promoted by the IKI been adopted in other sectors (e.g., agriculture)? (EQ 2.2)

Based on the analysis of the portfolio projects as well as the case study reports, EbA approaches promoted by the IKI have not been extensively adopted in other sectors. Adopted meaning that an EbA measure was originally designed to be implemented in a specific sector, yet stakeholders identified the applicability of the measure in other sectors, which consequently led to the implementation of the EbA measure in a further sector.

Only two IKI projects led to the validated adoption of the EbA approach. One reported that their EbA measure was upscaled and commercialized to a degree that it significantly contributes to the economic sector in the regional context.<sup>68</sup> Furthermore, another project contributed to the design of the Law on Planning in Vietnam, which gives guidelines on the planning processes.<sup>69</sup> The potential (but not verified) adoption of EbA approaches promoted by the IKI in other sectors was identified in three projects and in eight different sectors. The EbA approach will potentially be adopted in the agriculture sector in two projects.<sup>70</sup> In another case, a risk analysis tool developed for land use purposes was transferred to the transport and tourism sector in Kyrgyzstan.<sup>71</sup> The learnings that focused on identifying EbA measures were communicated to the relevant decision-makers, in particular to the Ministry for Economy, and to the local communities through inter-ministerial working groups.

The case studies underlined the limited adoption of EbA approach into other sectors – generally, little transfer took place. Still, there were some indicators that the IKI EbA projects were important in distributing the knowledge about EbA across sectors. For instance, the EbA Amazonia project was an important vehicle for a local champion,<sup>72</sup> the Presidency of the Council of Ministers Deputy Minister of Territorial Governance, to link different sectors and to promote the EbA approach, whose activities ultimately lead to the dissemination of the approach.<sup>73</sup>

---

<sup>68</sup> 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>69</sup> 13\_II+\_010\_VNM\_G\_Mainstreaming EbA.

<sup>70</sup> 15\_II\_116\_Global\_A\_EbA Evidence and Policy, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming.

<sup>71</sup> 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen.

<sup>72</sup> A champion promotes the adoption of an innovative approach by educating others or by influencing action and change through policy or other activities (Devlin-Foltz a. Molinaro (2010)). Champions thereby mobilize various stakeholders around the issue of EbA approaches.

<sup>73</sup> Case Study Report Peru, p. 20.

#### 4.2.3 To what extent does learning take place among EbA projects, e.g., at regional level?

Learning among EbA projects was frequent, particularly through the exchange of information and knowledge between projects including internationally. Only five projects did not list any element of mutual learning.<sup>74</sup>

Learning among EbA projects takes place via a number of ways, including the production and/or provision of studies, meetings and mutual visits, or through the institutionalized exchange of experiences, e.g., via platforms.

At the national level, five projects reported of learning among different EbA projects. At least two of these cases include the integration of learnings from one IKI project into the proposal for a new IKI project. One project contributed to the IKI-funded project “Scaling-up Eco-system based Adaptation Measures in rural Latin America” and GCF-funded project “Building livelihood resilience to climate change in the upper basins of Guatemala’s highlands”.<sup>75</sup> And learnings from another were integrated into the proposal of BMU-IKI project “Conserving and restoring threatened highland peatlands as vital water towers, biodiversity hotspots and carbon stores in Central and Northeast Asia”.<sup>76</sup> In the case studies, the transfer of lessons learned from one project to another was evidenced in four projects and in all three countries investigated.

At the international level, an exchange of experience and lessons learned was documented in the majority of projects. An important activity is the participation in and/or the organization of international events to share project results and insights (19 projects<sup>77</sup>). Other examples of learning among projects are seen when one takes over elements of other projects.<sup>78</sup> An example is the adoption of the guidelines and techniques to identify suitable plants and planting methods, developed within one of the IKI projects, by the German-Australian Integrated Coastal Management Programme.<sup>79</sup> At least 14 projects facilitated learning through their contribution, creation or participation in international platforms (cf. Box 1).<sup>80</sup>

<sup>74</sup> 09\_II\_069\_Global\_A\_Pacific Mangroves, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 11\_II\_085\_PHL\_G\_Anpassung Küstenbereiche, 14\_II\_095\_Pazifik\_A\_Enabling EbA, 16\_II\_156\_Karibik\_K\_Climate Adaptation in the Caribbean.

<sup>75</sup> 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen.

<sup>76</sup> Status of proposal could not be found with further research; 16\_II\_131\_Asien\_A\_Mekong WET.

<sup>77</sup> 11\_II\_075\_NPL\_A\_watershed management, 11\_II\_084\_Global\_A\_EbA solutions, 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 13\_II\_098\_PER\_M\_Communal Reserves, 13\_II\_099\_THA\_G\_Extremereignismanagement, 13\_II\_102\_Africa\_A\_WISE-UP, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 14\_II\_109\_Pacific\_M\_Natural solutions to Climate change, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA, 15\_II\_108\_COL\_A\_Magdalena River Basin, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 15\_II\_116\_Global\_A\_EbA Evidence and Policy, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_128\_Global\_A\_Ecosystems Risk and Climate Adaptation, 16\_II\_130\_IDN\_A\_EbA Building with Nature, 16\_II\_131\_Asien\_A\_Mekong WET, 17\_II\_140\_MEX\_G\_EbA Privatwirtschaft, 17\_II\_147\_Caribbean\_A\_Resilient Islands via EbA.

<sup>78</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming.

<sup>79</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung.

<sup>80</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 16\_II\_138\_Global\_A\_FEBA Koordination, 17\_II\_139\_PHL\_A\_EbA Financing Instruments.

Project members mainly shared the project findings, the approaches they developed during the projects and lessons learned through their experiences.<sup>81</sup> A concerted effort to systematically exchange lessons between different IKI projects in the same country was undertaken in Peru in form of a field trip to the project region in Cusco.<sup>82</sup> This gave 25 representatives of project partners as well as funders and implementing organizations an opportunity for in-depth discussions and the establishment of lasting communication channels.

Some projects reported that the integration of their learnings was useful for improving the design of other projects. For example, one project reported that their findings were utilized for the improvement of the designs of the projects “Catalysing Ecosystem Restoration for Climate Resilient Natural Capital and Rural Livelihoods in Degraded Forests and Rangelands of Nepal”, implemented by UN Environment and funded by GEF, and the International Fund for Agricultural Development-funded project ASHA: Adaptation for Smallholders in Hilly Areas Project, which is implemented by the Nepalese Ministry of Forest and Environment.<sup>83</sup>

#### 4.2.4 To what extent was mainstreaming of EbA successful when using different methods?

In the context of the IKI EbA projects, mainstreaming can range from adopting EbA concepts and practices into school and university curricula, developing funding programs, public relation activities, and workshops with diverse stakeholders to the adoption of elements of the EbA concept into policies, plans, and regulations.

Mainstreaming was a concept pursued by the projects in the portfolio in form of various methods. At least nine projects achieved that EbA measures were adopted in policies, strategies, and plans on the national as well as on the subnational level.<sup>84</sup> Therefore, the conducted mainstreaming methods of these nine projects are taken as the indicator for assessing which methods were successful.

The mainstreaming methods that were most often conducted by these projects encompass the conduction of trainings and workshops and the creation and provision of studies. Both methods were implemented by all nine projects. Unfortunately, it was not possible to identify the addressees of these measures in all projects due to unclear formulations in the project documentations. However, some projects allowed a further differentiation. At least five of the projects addressed representatives of government authorities on the national level<sup>85</sup> and no

<sup>81</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 16\_II\_131\_Asien\_A\_Mekong WET, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 17\_II\_139\_PHL\_A\_EbA Financing Instruments.

<sup>82</sup> 17\_II\_133\_PER\_A\_Adapting Water Resource Management.

<sup>83</sup> 15\_II\_116\_Global\_A\_EbA Evidence and Policy.

<sup>84</sup> 11\_II\_084\_Global\_A\_EbA solutions, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 12\_II+005, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA, 16\_II\_130\_IDN\_A\_EbA Building with Nature.

<sup>85</sup> 11\_II\_084\_Global\_A\_EbA solutions, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 16\_II\_130\_IDN\_A\_EbA Building with Nature.

less than three addressed representatives of local authorities<sup>86</sup> with trainings and workshops. Other addressed stakeholders were farmers<sup>87</sup> and technicians.<sup>88</sup> In the context of the studies, four projects addressed representatives of government authorities on the national level<sup>89</sup> and three the representatives of local authorities.<sup>90</sup> The third most conducted mainstreaming method were the implementation of pilot projects, which was done by at least four of the projects.

Further methods that were implemented by the projects include the following: Funds and funding programs were developed with stakeholders from the government as well as private actors in at least five cases.<sup>91</sup> Mainstreaming in the education sector took place in at least eleven cases. In no less than seven projects, it was reported that universities included EbA in their curricula,<sup>92</sup> and one project stated that EbA was integrated into vocational trainings.<sup>93</sup> The inclusion of EbA in national agricultural extension is registered at least three times in the project documentations.<sup>94</sup> Two projects supported the establishment of environmental education in schools.<sup>95</sup> Furthermore, a project contributed to the development of the Bachelor of Science course “Remote Sensing and Environmental Database – ESI-231” at the Walailak University.<sup>96</sup> In another one, an adoption in the education sector is likely to occur in the future.<sup>97</sup>

#### 4.2.5 To what extent do EbA projects produce co-benefits, e.g., socio-economic impacts and mitigation effects?

Co-benefits are understood as the benefits that arise as a side effect from a targeted policy (Pearce 2000). Both intended as well as ancillary, i.e., unintended co-benefits are understood as co-benefits in the following.

The EbA projects were moderately successful in documenting their co-benefits – 13 projects did so even though potentially more EbA implementations actually achieved some. The

<sup>86</sup> 11\_II\_084\_Global\_A\_EbA solutions, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities.

<sup>87</sup> 11\_II\_084\_Global\_A\_EbA solutions, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 15\_II\_110\_Zentralasien\_G\_EbA\_Hochgebirgsregionen, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>88</sup> 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities.

<sup>89</sup> 11\_II\_084\_Global\_A\_EbA solutions, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 15\_II+\_110, 16\_II\_130\_IDN\_A\_EbA Building with Nature.

<sup>90</sup> 11\_II\_084\_Global\_A\_EbA solutions, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 15\_II\_110\_Zentralasien\_G\_EbA\_Hochgebirgsregionen.

<sup>91</sup> 08\_II\_018\_ASIA\_A\_TNC Schutzgebiete, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 12\_II+, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA, 16\_II\_130\_IDN\_A\_EbA Building with Nature.

<sup>92</sup> 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 13\_II\_099\_THA\_G\_Extremereignismanagement, 15\_II\_116\_Global\_A\_EbA Evidence and Policy, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_130\_IDN\_A\_EbA Building with Nature, 16\_II\_131\_Asien\_A\_Mekong WET, 17\_II\_139\_PHL\_A\_EbA Financing Instruments.

<sup>93</sup> 11\_II\_080\_MEX\_A\_adaptation in watersheds.

<sup>94</sup> 11\_II\_080\_MEX\_A\_adaptation in watersheds, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>95</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming.

<sup>96</sup> 13\_II\_099\_THA\_G\_Extremereignismanagement.

<sup>97</sup> 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance.

identified co-benefits included socio-economic effects, mitigation effects, digitalization and technological innovations, impacts on human health, and the preservation of genetic diversity. One project was able to produce three different co-benefits,<sup>98</sup> while six projects produced two co-benefits.<sup>99</sup> The other projects produced one co-benefit. Other co-benefits might exist (see Annex V.6).

Socio-economic effects were observed in eleven EbA projects as a co-benefit of the activities.<sup>100</sup> The projects implemented EbA approaches that had long lasting positive impacts on the incomes of the local communities. As a result, communities were able to diversify their income sources and thereby improve the livelihoods of community members. In six projects, mitigation effects were identified as a co-benefit of the project activities.<sup>101</sup> The mitigation effects encompassed the rehabilitation of mangrove forests<sup>102</sup> and afforestation of other coastal vegetation<sup>103</sup> as well as reforestation of former ranch land.<sup>104</sup> Digitalization and technological innovation was identified as a co-benefit in three projects.<sup>105</sup> One project contributed to improving human health,<sup>106</sup> another to the preservation of genetic diversity.<sup>107</sup>

The co-benefits were associated with the following ecosystems:<sup>108</sup> agriculture (11), oceans and coasts (6), forest and forestry (4). One of the co-benefits could not be ascribed to an ecosystem. Table 2 illustrates that agriculture is also the ecosystem with the highest diversity of co-benefits.

<sup>98</sup> 14\_II\_095\_Pazifik\_A\_Enabling EbA.

<sup>99</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 13\_II\_010, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>100</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_075\_NPL\_A\_watershed management, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, 13\_II\_098\_PER\_M\_Communal Reserves, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 14\_II\_095\_Pazifik\_A\_Enabling EbA, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>101</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>102</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>103</sup> 13\_II+\_010\_VNM\_G\_Mainstreaming EbA.

<sup>104</sup> 11\_II\_080\_MEX\_A\_adaptation in watersheds.

<sup>105</sup> 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance, 13\_II\_099\_THA\_G\_Extremereignismanagement, 14\_II\_095\_Pazifik\_A\_Enabling EbA.

<sup>106</sup> 14\_II\_095\_Pazifik\_A\_Enabling EbA.

<sup>107</sup> 14\_II\_111\_Lateinamerika\_A\_Governance for EbA.

<sup>108</sup> According to the IKI systemization. Co-benefits were often associated with more than one ecosystem. Other ecosystems were not associated with a co-benefit.

Table 2: Co-benefits and ecosystems in the portfolio

	Agriculture	Forest and Forestry	Freshwater	Oceans and Coasts	Unclear
Digitilization and technological innovation	1		1		1
Mitigation effects	2	2	2	4	
Impacts on human health	1				
Preservation of genetic diversity	1				
Socio-economic effects	6	2	2	2	



Source: Arepo.

**4.2.6 To what degree and how have other results of IKI projects led to national, subnational and local implementation of EbA approaches? (1.1.4)**

An important activity of the projects also aimed at the private sector as well as the banking/finance sector, which was seen in four cases.<sup>109</sup> One important activity was the establishment of financial mechanisms to support private stakeholders that are interested in implementing EbA measures. One example for this is the FONDESURCO savings and credit cooperative, which was established in Arequipa/Peru.<sup>110</sup> Other activities included training and workshops, the production and distribution of studies for diverse stakeholders, as well as study trips, summer schools, consulting, and public relation activities.

At least two projects provided an impetus for a digitization and innovation initiative through their activities. One achieved far-reaching positive impacts with the introduction of drones in the context of remote sensing in Thailand.<sup>111</sup> The project members collaborated with partners in Nakhon Si Thammarat (Tha Di Sub-River Basin) and used drones to conduct interactive modeling in two watersheds. Importantly, the data from the drone overflights were also partially integrated into vulnerability studies and action planning. Furthermore, the data will likely be used by state-owned gas and oil company PTT Public Company Limited to implement EbA measures with the aim to ensure sustainable supply of water resources required for the

<sup>109</sup> 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance, 13\_II\_099\_THA\_G\_Extremereignismangement, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA, 17\_II\_139\_PHL\_A\_EbA Financing Instruments.

<sup>110</sup> 12\_II+\_012\_Global\_M\_EbA Mountain Flagship.

<sup>111</sup> 13\_II\_099\_THA\_G\_Extremereignismangement.

production processes. The project's inputs were furthermore used to develop the course "Remote Sensing and Environmental Database – ESI-231", which is part of the Bachelor of Science Program in Environmental Science and Technology at the Walailak University.

A project constructed 3D models of the island in Melekeok, Palau and utilized these models in community planning. The benefits of these models were assessed as so valuable that TNC was asked to replicate the project. In consequence, TNC has created three 3D models in Micronesia, which are now utilized for community planning purposes and were created in collaboration with community members.<sup>112</sup>

Furthermore, the IKI EbA projects motivated local champions to implement their plans and visions. In Brazil, several private landowners got involved in the Municipal Planning process in order to create further private protected areas in their region in cooperation with the Ministry of Environment and the project implementer, Conservation International.<sup>113</sup> In Peru, the case study identified a number of local champions that facilitated the broader adoption of the EbA concept in the country, including the Presidency of the Council of Ministers Deputy Minister of Territorial Governance. Together with the project "EbA Amazonia" he was able to cross sector limitations, that emerged due to hostile relationships among stakeholders, that had held back innovative adaptation approaches such as the EbA concept. Through a stronger participatory management approach and constant dialogue, the relationships between the state and the private sectors were improved. In another case, a local champion was a specific project site that established itself as a pilot learning center. At the project site, San Pedro de Casta, hydrological monitoring of the canals was carried out. Due to these activities that were of interest to others, the site was visited by other projects and private organizations like PepsiCo and Backus.

### 4.3 Catalytic Impact – Replication and proxies

The following part describes to what degree catalytic outcomes have led to further implementation of EbA projects. Some of these were identifiable in the information available for this evaluation. These are discussed in section 4.3.1. But it is highly likely that there are other instances of catalytic impact. Many projects have documented policies or financial resources that are likely to facilitate or require additional EbA activities. This will be discussed and used for this evaluation as proxies or indicators for catalytic impact and discussed in sections 4.3.2 and 4.3.3, respectively.

#### 4.3.1 Catalytic Impact

For at least six projects catalytic impact in the sense that the project activities and approaches were implemented beyond the project's lifetime is documented. In some cases, these

---

<sup>112</sup> 14\_II\_095\_Pazifik\_A\_Enabling EbA.

<sup>113</sup> 11\_II\_084\_Global\_A\_EbA solutions.

activities were supported by new projects of IKI or other funders, in others they were financed by national sources.<sup>114</sup>

In the Federal States of Micronesia, Marshall Islands, and Palau, partners continued after the project to identify their priority conservation sites and worked to build consensus among state and local governments to establish nationwide, resilient networks of protected areas.<sup>115</sup> Furthermore, the project was successful regarding the further institutionalization of the regional conservation initiative, the Micronesia Challenge. The initiative is now supported by a GEF International Waters project.<sup>116</sup>

In Vietnam, project activities regarding the sustainable development of coastal protection forests with a focus on rice cultivation, aquaculture, and ecosystem-based coastal protection were continued by the provincial authorities. The approach was furthermore disseminated in neighboring provinces, and in the policy dialogue at the national level.<sup>117</sup> Also in Vietnam, the integrated mangrove-shrimp interventions applying the Mangroves and Markets project approach, developed in an IKI project, were continued by the new GIZ Integrated Mekong Delta Climate Resilience Programme after the completion of the project.<sup>118</sup>

In Columbia, an education program that was developed in the context of a project was integrated into the school curriculum by the foundation Fundación Serena del Mar and taught in municipalities that were not part of the project.<sup>119</sup> Furthermore, farm-based EbA measures implemented in a project were replicated in Costa Rica and Panama by securing donor funding through a binational entity.<sup>120</sup>

And lastly, in Peru, the measures implemented in the Nor-Yauyos Cochas Landscape Reserve (RPNYC) were scaled up to the national level (SERNANP) and replicated at the regional level.<sup>121</sup>

#### 4.3.2 Proxy: Policies

Policies that were clearly identifiable and assessed to be very likely to have influence on the future implementation of the EbA concept are discussed in the following as they can constitute proxies for catalytic impact. In at least eight projects, such policies were adopted. Other projects gave indications of policies, which were not verifiable.

In the Philippines, an IKI project worked with the national government among other things on the National Coastal Greenbelt Act of 2014, which provides guidelines and rules on how to protect lives and property from the impacts of natural events in coastal areas through intact and biodiverse ecosystems.<sup>122</sup> Among other stakeholders, a project helped convince the

---

<sup>114</sup> However, no patterns could be found to better understand what types of programs lead to a catalytic impact.

<sup>115</sup> 08\_II\_018\_ASIA\_A\_TNC Schutzgebiete.

<sup>116</sup> "Strengthening and enabling the 2030 Micronesia Challenge"; <http://www.micronesiachallenge.org/>.

<sup>117</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung.

<sup>118</sup> 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>119</sup> 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU.

<sup>120</sup> 14\_II\_111\_Lateinamerika\_A\_Governance for EbA.

<sup>121</sup> Case Study Report Peru, p. 29.

<sup>122</sup> 11\_II\_084\_Global\_A\_EbA solutions.

Department of Environment and Natural Resources (DENR) to employ the EbA concept in the Strategic Environmental Assessment (SEA) & Resilience Frameworks, which are binding by decree.<sup>123</sup>

Another project provided input into an executive decree of the Costa Rican Ministry of Environment which announced the National Adaptation Policy 2018-2030 in 2018, and, importantly, stated that EbA strategies are of public interest in 2018.<sup>124</sup>

In Vietnam, one project gave direct input into the Law on Planning, which regulates the country's planning processes and is initiated by the Ministry of Planning. By providing their expertise to the ministry, the project was able to mainstream the ecosystem-based concept, the value of ecosystems, and climate change adaptation into the Article 21 of the law.<sup>125</sup> Also in Vietnam, another project had significant influence on the Government's Forestry Decree 156/2018/ND-CP, which provides a specific legal framework for coastal provinces to apply the Payment for Environmental Services mechanism in mangrove forests. It became effective in January 2019. The project contributed to the formulation and the passing of the decree by piloting the mechanisms in a province. This example demonstrated among other things the willingness of companies to pay for environmental integrity. Furthermore, the project supported the Provincial People Committee of Ca Mau to issue Decision 111 on Payment for Environmental Services, which provides guidelines for the payment amounts, benefit distribution mechanisms, and the requirements on farmers.<sup>126</sup>

Aside from formal policies, there are also numerous implementation-oriented plans and strategies that can be traced back to IKI projects and have a high probability of leading to scale-up of EbA activities (cf. Annex V.7).

### 4.3.3 Proxy: Additional Funding

There are several instances in which additional funding was leveraged from governments, but also from private sector sources. In addition, further funding from the financial mechanisms of the UNFCCC as a major avenue for replication and upscaling of IKI projects was leveraged.

#### 4.3.3.1 To what extent are EbA projects supported by the IKI able to mobilize additional funds, e.g., from private donors or the private sector? (EQ 2.5)

The EbA projects supported by the IKI were moderately successful in mobilizing additional funds. All in all, 10 projects were able to mobilize additional funds, either through the national, district, and municipal budget or through a donor.<sup>127</sup> In five projects, additional funding for

<sup>123</sup> 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming.

<sup>124</sup> 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming.

<sup>125</sup> 13\_II+\_010\_VNM\_G\_Mainstreaming EbA.

<sup>126</sup> 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>127</sup> 08\_II\_018\_ASIA\_A\_TNC Schutzgebiete, 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_084\_Global\_A\_EbA solutions, 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA,

EbA measures through budgets were identified: from the national, district, and municipal budget.<sup>128</sup> Furthermore, additional funding from donors was mentioned in seven projects. In Colombia, Fundacion Alma recently received a donation of €160,000 from Acting for Life, a French organization, to continue working in Zapatos wetland for 3 years.<sup>129</sup> A rehabilitation of mangroves is being financially supported by two organizations from the private sector, Fundación Mamonal and Agros, in the long run.<sup>130</sup> In Vietnam, an EbA application was supported by Munich Re, and the World Bank co-financed activities in Burkina Faso.<sup>131</sup> Also, in Grenada, the Caribbean Biodiversity Fund was identified to be a funding source for upscaling other EbA project plans.<sup>132</sup>

#### 4.3.3.2 Additional climate funds

At the international level, there are various funds that can be used to finance EbA-related projects. For example, the GCF has its own EbA thematic focus<sup>133</sup> and Technical Guidelines on "Ecosystems and Ecosystem Services"<sup>134</sup> that explicitly recommend EbA. The GCF is funding at least 12 EbA-related projects in the project countries in the present portfolio, with a total volume of \$ 733.8 million.

Within the GEF, EbA also plays a role. For example, the 2014 "GEF Programming Strategy on Adaptation to Climate Change, LDCF, SCCF"<sup>135</sup> and the 2016 "GEF-6 PROGRAMMING DIRECTIONS"<sup>136</sup> refer to EbA without any direct guidance from the Parties to the GEF.<sup>137</sup> There are at least 9 GEF projects related to EbA,<sup>138</sup> 8 of which are funded through the Least Developed Countries Fund and 1 through the Special Climate Change Fund (SCCF) (cf. Annex V.5.1).

One of them is the SCCF-project "Enhancing Capacity, Knowledge and Technology Support to Build Climate Resilience of Vulnerable Developing Countries", also known under the name "Ecosystem-based Adaptation through South-South Cooperation (EbA South)". EbA South is implemented by UN Environment. The execution of the program is performed by the National Development and Reform Commission of China (NDRC), and through the Institute of Geographic Sciences and Natural Resources Research (IGSNRR) of the Chinese Academy of

15\_II\_108\_COL\_A\_Magdalena River Basin, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming,

16\_II\_130\_IDN\_A\_EbA Building with Nature.

<sup>128</sup> National: 11\_II\_084\_Global\_A\_EbA solutions; District: 16\_II\_130\_IDN\_A\_EbA Building with Nature,

10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_084\_Global\_A\_EbA solutions; Municipal:

14\_II\_111\_Lateinamerika\_A\_Governance for EbA.

<sup>129</sup> 15\_II\_108\_COL\_A\_Magdalena River Basin.

<sup>130</sup> 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU.

<sup>131</sup> 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities.

<sup>132</sup> Case Study Report Grenada, p. 15.

<sup>133</sup> Green Climate Fund (n.d.). Ecosystems and ecosystem services.

<sup>134</sup> Green Climate Fund (n.d.). Simplified Approval Process (SAP) Technical Guidelines: Ecosystems and Ecosystem Services.

<sup>135</sup> Global Environment Facility (2014). GEF Programming Strategy on Adaptation to Climate Change, LDCF, SCCF.

<sup>136</sup> Global Environment Facility (2014). GEF-6 Programming Directions.

<sup>137</sup> At least until 2017: Global Environment Facility (2017). United Nations Framework Convention on Climate Change: Guidance from the Conference of the Parties and Responses by the Global Environment Facility – COP 1 – COP 23.

<sup>138</sup> Mention of EbA in project name.

Sciences (CAS). The project states to be a “‘first mover’ in catalyzing global and regional collaboration on EbA under GEF guidelines, in particular within the framework of South-South cooperation.”<sup>139</sup>

In at least 7 cases, the IKI EbA project has participated in the application process for a GEF or GCF project. For more details see Annex V.5.1.

## 5 Conclusions

### 5.1 Catalytic impact through the Negotiation Pathway

#### 5.1.1 Not one but three pathways

The findings around the Negotiation Pathway demonstrate that explicit COP decisions, i.e., binding international law are not the only and not even the main pathway through which the international negotiations impact the adoption of natural resource management concepts like EbA.

COP guidance always remains at a very high level and the nature of the negotiations requires it to be brief, general in tone, and recommending rather than binding. Even if very specific guidance would have been given to the Parties to implement EbA, it would have been framed as a recommendation (e.g., as “encourages Parties to consider...”) and as one option among many. In COP decisions, the EbA concept is almost always mentioned in one sentence with many other concepts from the natural resource management or resilience field. Its implementation will be voluntary and mostly conditional on additional funding.

Irrespective of whether formal guidance is partially present (CBD) or almost absent (UNFCCC), EbA features comparatively often in NAPs and NBSAPs, implying that Convention Focal Points value the approach and see significant potential for its application in their countries. It is likely that they have learned about the concept at the Convention (among other loci), and specifically through one of two possible pathways: There is a possibility that they have learned about it in the negotiations around SBSTTA, SBI or SBSTA, where a lot more technical detail can be conveyed than in the actual COP negotiations (“International Community” cf. Figure 4), or they might have learned about it in the temporal and geographic context of the negotiations but at a non-negotiation-related opportunity, like the Side Events, Theme Days or conferences that are usually organized in the immediate proximity of the UNFCCC- or CBD-negotiation meetings (“Community of Practice” cf. Figure 4). The analysis has shown that the activities of the IKI EbA projects at the international level as well as the interlinkage between the national implementation level and the international discussions have contributed to the

---

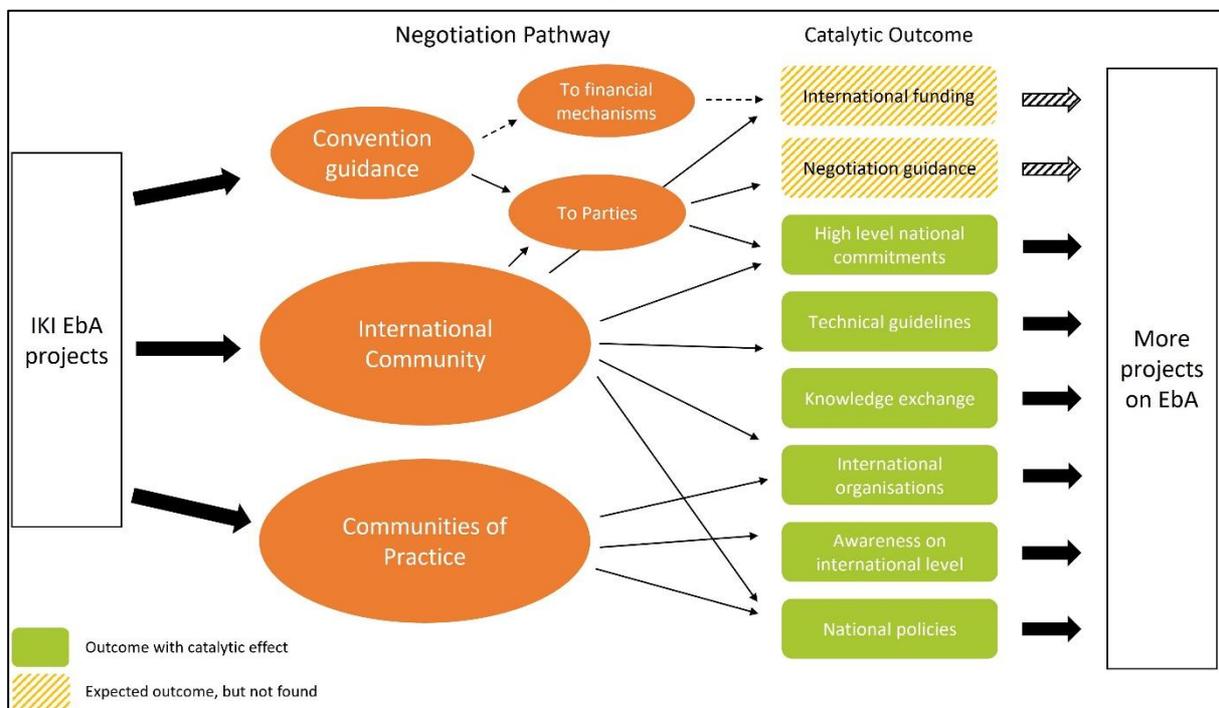
<sup>139</sup> Ecosystem-based Adaptation through South-South-Cooperation (n.d.).

fact that the EbA concept remains on the political agenda and is perceived as a meaningful option for action in the adaptation sector.

Therefore, it is the evaluators conclusion that direct Convention Guidance or actual negotiation results are not necessary for catalytic impact through the international level, and also maybe not necessarily the most effective catalytic outcome. Figure 4 provides a revised Theory of Change diagram for the Negotiation Pathway including these two new pathways and reflecting their relative relevance through the color scheme’s depth.

Another factor that may explain the slightly greater success in the CBD arena is that the thematic and technical resonance of the EbA concept is greater with CBD negotiators.<sup>140</sup> The CBD context might be less politicized and more technical than the UNFCCC context, and the biologist and ecologists who are the main participants have more conceptual access to the approach. Similarly, the CBD Secretariat process appears to be more inclusive or open, which allowed for intensive participation and input from FEBA and IIED. The resulting working relationship between the CBD Secretariat and IKI implementing organizations (especially for IUCN, United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), IIED) may be influential in the medium and long term. Evidence of a similar working relationship between IKI implementing organizations and the UNFCCC Secretariat was not found during the evaluation.

Figure 4: Revised Theory of Change for the Negotiation Pathway



Source: Arepo.

<sup>140</sup> Interview with Bundesamt für Naturschutz (BfN).

### 5.1.2 Financial Mechanisms of the Convention as a magnifier of catalytic impact

As the evaluation made clear, the negotiation level in particular is important as a platform on which the IKI EbA projects (especially the platform projects, cf. Box 1) can disseminate the EbA approach. A strong presence and continuous work in parallel with and through the Subsidiary Bodies (UNFCCC and CBD) allows to influence the NDCs, NAPs and NBSAPs as well as the national policies of the states. This top-down approach, coupled with international funding, makes it possible to anchor and advance the EbA approach in the countries.

Working through the negotiation process itself is one avenue; but there are also other possibilities of influencing, e.g., through IPCC and the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services, work through expert groups at international levels. Once written down they become active through success stories that sustain livelihoods and show more effective tangible effects. The communities of practice supported through the different IKI EbA projects were also able to sustain the technical discussion process during negotiation breaks, through additional events and (virtual) conferences.

### 5.1.3 Nature-based Solutions vs. Ecosystem-based Adaptation

Even without direct Convention Guidance to the Financing Mechanisms, GCF, GEF and other international funding related to EbA are committed and funding catalytic impact through replication and scale-up. International funding is still an important driver for new EbA projects outside the IKI context.

While guidance from the Conventions was notably absent, the mechanism themselves had identified EbA as a valuable option. The GEF has proposed EbA as a funding stream within GEF-6, recognizing it as an avenue to link the global benefit of preserving biodiversity and the local benefit of enhancing climate resilience and thus speaking to its main audiences. Funding is also provided through the LDCF and Special Climate Change Fund. The GCF has own technical guidelines which recommend the use of EbA.<sup>141</sup>

The main link to and conclusion for the IKI projects is that, again, **Convention guidance proper might be less catalytic than a technical dialogue among scientist and the community that participates in the negotiations.**

### 5.1.4 Other ways to mainstreaming EbA at international level – COPs, not COPs – Communities of Practice instead of Conference of the Parties

In the negotiation context, terminology often gets loaded with political subtext. This is in particular the case in the UNFCCC, and with the notion of EbA vs. NbS. Generally, the latter term is considered broader and does not automatically include a focus on biodiversity. NbS as a term is gaining momentum in the UNFCCC context more rapidly than EbA. The impression of a “competition” between the concepts of EbA and NbS has come up. NbS as the broader

---

<sup>141</sup> Green Climate Fund (n.d.). Simplified Approval Process (SAP) Technical Guidelines: Ecosystems and Ecosystem Services.

concept, includes EbA and other measures, but some interviewees perceived the NbS concept as too unspecific and poorly defined, while EbA is an existing concept for which clear metrics and definitions exist.

It is hard to assess the relevance of this “terminology conflict” for the catalytic impact of IKI’s work on EbA. Some interviewees fear that **the parallel use of both terms seems to lead mainly to confusion and thus stagnation**. Other interviewees assume that the EbA concept could be adopted in the upcoming COP under a Nature based Solutions-discussion stream.

### 5.1.5 Particularly catalytic initiatives

At the international level, an important catalytic outcome are the CBD Voluntary Guidelines, created with the active contribution of several IKI EbA projects. In addition, particularly catalytic initiatives of IKI projects have led to the mainstreaming of EbA in high-level national commitments (NDCs, NAPs and NBSAPs), and the generation of evidence on the implementability and effectiveness of EbA, as described in 4.1.4.<sup>142</sup>

## 5.2 Catalytic impact through the Multiplier Pathway

The analysis along the Evaluation Questions and the Reconstructed Theory of Change allowed to pinpoint the catalytic outcomes on the national level, and possible levers that can enable future EbA projects to be more impactful, by strengthening those potentially catalytic outcomes. Figure 5 summarizes the individual aspects, illustrating the strength of the evidence found in this evaluation with the color code included in the legend.

For achieving catalytic impact, three levers were particularly important (highlighted as green boxes in the figure): Key was that the evidence of a positive cost-benefit ratio was able to generate interest in the EbA concept with various stakeholders. By demonstrating the advantages – economic as well as environmental – of the EbA approach in pilot projects, various stakeholders, from politicians to company owners, understood the potential of the approach and were consequently motivated to replicate the approach. This sometimes led to the second lever, namely, instances in which projects were able to receive additional funding, either from the government or from private donors. Additional funding for EbA measures allowed either the project to continue or increase their EbA activities or to implement EbA measures outside of the realm of projects. Thirdly, in cases where the EbA approach was integrated into national as well as subnational policies, the EbA approach was fully and legally established, which increased the acceptance of the approach and the willingness to implement it.

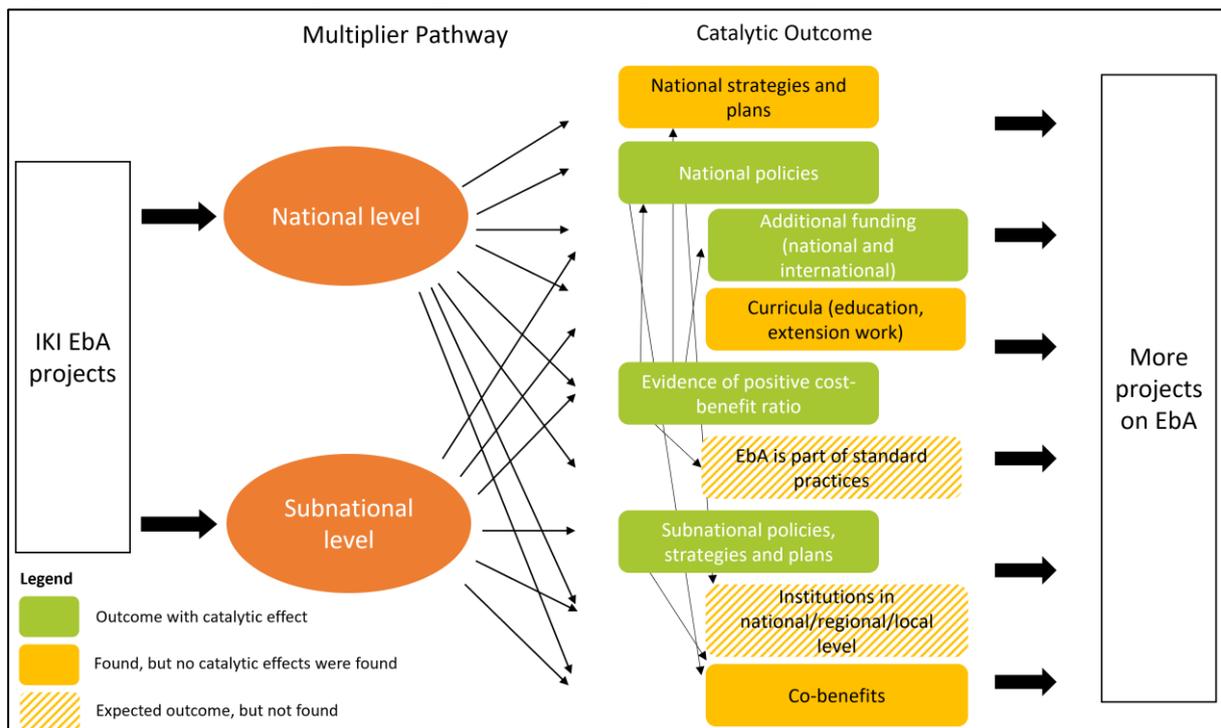
Several elements that were conjectured in Figure 3 in section 2.3.3 were validated in their high relevance but are now considered parts of various catalytic outcomes in the revised

---

<sup>142</sup> For example 15\_II\_116\_Global\_A\_EbA Evidence and Policy and 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming.

version of the Theory of Change for the Multiplier Pathway (Figure 5). For example, local initiatives can be considered as one element of the demonstration of positive cost-benefit ratios but also constitute additional funding (national and international). The same is true for implementation know-how, which can be seen as part of curricula (education, extension work), or national strategies and plans, or subnational policies, strategies and plans. Other important elements leading to catalytic impact such as learning are also embedded in the catalytic outcomes described in Figure 5, including curricula (education, extension work), as well as subnational policies, strategies, and plans.

Figure 5: Revised Theory of Change for the Multiplier Pathway



Source: Arepo.

### 5.2.1 Awareness and expertise with subordinate authorities

**Sensitization of and awareness raising among stakeholders that play a role in the implementation of the EbA concept on the ground was an important success factor.** EbA happens on the ground, and the case studies identified that in particular local and subordinate authorities have significant influence on the replication of EbA approaches. Specifically, it was found that various subordinate authorities that were not directly involved with an IKI project were more open towards the implementation of EbA approaches after being familiarized with the EbA concept by an IKI project, and then started to replicate the approach. This is already recognized in the portfolio – the investigation revealed that in two-thirds of the projects, subordinate authorities were included in the project activities such as trainings and workshops, consulting, conferences or working groups among various other activities.

Of particular significance for raising interest in the EbA concept were local champions.<sup>143</sup> The local champions were able to bridge the divide between sectors and between the governance levels through their close links to other involved stakeholders. Thereby they contributed to increased awareness of the concept also in subordinate authorities.

### 5.2.2 Awareness and expertise with the local population

Many projects have built capacity on the project level, for example through the trainings of farmers, or raising awareness in the general population, by integrating the EbA concept into curricula, or the establishment of working groups that involved different kinds of stakeholders. From the available documentation, the catalytic impact of these activities is hard to assess. But it is obvious that integration into curricula or training trainers is more catalytic than direct training of farmers – at least as long as these farmers are then not able to function as messengers to other target groups.

Central to successfully embedding the EbA concept in the population was the implementation of participatory (management) strategies and by directly involving the local population in the implementation of the EbA measures.

Furthermore, co-benefits of EbA approaches that provided direct economic benefits played an important role in raising the local populations' interests in the concept. Consequently, there is potential for the spreading of the EbA concept across communities due to the development possibilities EbA measures provide for the local populations.

### 5.2.3 Transfer of lessons and experiences between EbA projects

Learning across projects was identified as one of the most catalytic results, regularly leading directly to replicating EbA experiences or developing funding proposals. Mutual learning between EbA projects was identified as an important enabling factor for catalytic impact – nationally and internationally. The international platforms, such as Panorama Solutions or FEBA (cf. Box 1), were particularly important and frequently used by IKI projects for that purpose – but there is also an evidence multiplier effect beyond IKI projects.

### 5.2.4 Pathways for getting additional funding

The analysis of the projects furthermore indicates that there is large potential to receive financial and other support for the implementation of the EbA approach, for government stakeholders as well as national and international businesses as well as other private sector stakeholders. Several projects in the portfolio demonstrated that there is large potential to receive funds to continue or even replicate the EbA concept through budgets – from municipal to state budgets – as well as through international and domestic donors. It is not clear from

---

<sup>143</sup> The basis of evidence does not provide hints on approaches how champions can be identified.

the evidence that all IKI projects exploited this avenue in the most strategic and systematic manner.

### 5.2.5 Adoption into other sectoral strategy

The analysis of the projects demonstrated that projects were rarely able to transfer the EbA approach into other sectors. This points to a significant **potential for large scale replication that goes unleveraged so far.**

On one hand, this finding might be caused by the fact that adoption to other sectors is a gradual process and thus unaccounted for in the documentation that was available for this review – which mainly related to the period of project implementation. But potentially projects do not put enough effort into demonstrating to policy makers in the agriculture, water, forestry, fishery, or rural and urban development sectors that the EbA concept provides a convincing business case with many co-benefits and sustainable practices that would offer solutions to a number of challenges that they are facing.

## 5.3 Which elements of projects enabled the continuation of the EbA approach?

Beyond the direct responses to the Evaluation Questions, two other avenues were used to identify the most promising and catalytic outcomes. Firstly, the interviews pointed to a number of principles that stakeholders pointed to as particularly relevant to achieve a self-perpetuating, self-scaling or replicable situation. These thoughts could not be fully triangulated and evidenced but are summarized here as these valuable insights from long-term experts converged quite well with the findings of the evaluation. Secondly, the evidence from the project component analyses was subjected to a Qualitative Comparative Analysis to identify the factors that best predict whether a project would lead to catalytic impact. This analysis is presented in section 5.2. Last but not least, a couple of significant barriers to catalytic impact were also identified and are summarized in section 5.3.

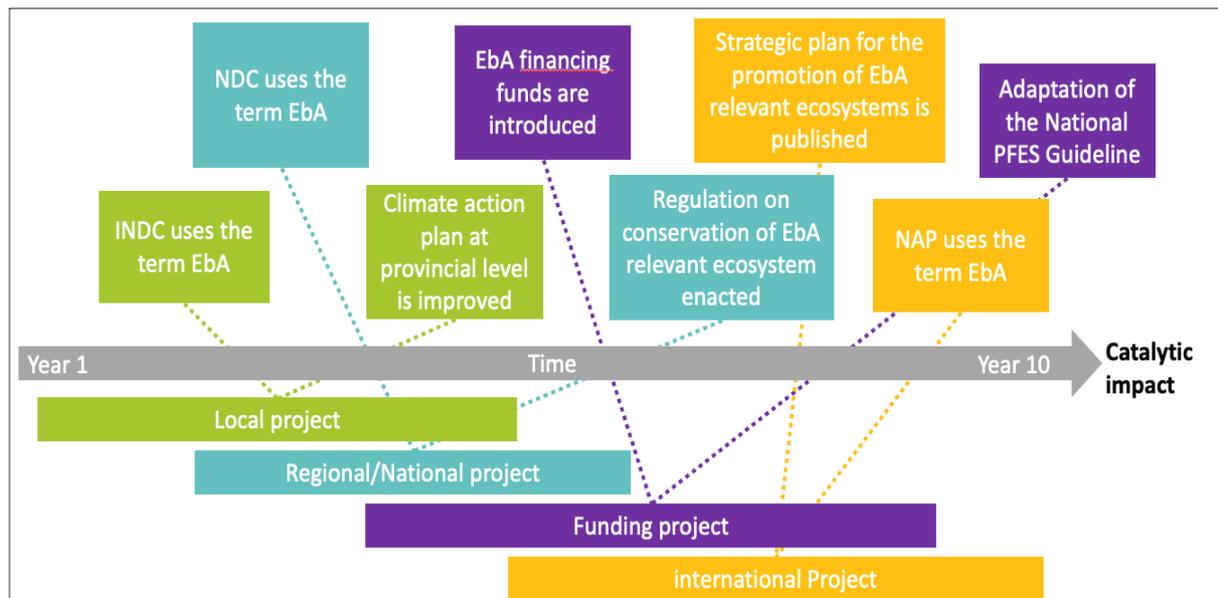
### 5.3.1 Synthesis of expert views

The case studies and interviews converged into a number of factors favoring catalytic impact that seemed plausible to most stakeholders. Figure 6 summarizes and visualizes this “model” for catalytic impact on the basis of expert advice. These are not fully triangulated as the evidence base was too small in the current evaluation, but they are in line with the evidence.

Generally, catalytic impact seems more likely if projects can be effective over about a decade, and different phases can build on each other systematically and sequentially. A phased approach allows to tailor the projects’ activities to the current needs of the countries and accompany the period of “diffusion” of the knowledge in the most appropriate manner – as demonstrated by the upper half of Figure 6. Experts also emphasized that projects should take on multi-pronged strategies, and combine, for example, capacity building, financing, and

policy advice as well as opportunities for international exchange so as to work on multiple barriers and leverage all relevant “potentially catalytic outcomes”. Experts also recommended to apply multi-level approaches, i.e., work on the national, subnational, and local levels simultaneously, which is shown by the lower half of Figure 6. It also seems to be helpful to work on several typical ecosystems in parallel, probably to avoid downtimes when specific local situations prevent certain progress.

Figure 6: Model for an idealistic catalytic impact on the basis of expert advice



Source: Arepo.

### 5.3.2 Qualitative comparative analysis (QCA)

Derived from the Theory of Change, conditions were identified whose presence or absence may lead to a project to have a catalytic impact. The results of the crisp set qualitative comparative analysis (QCA) can be summarized as follows:

- The factors “access to sufficient financial resources” and “learning activities between projects” are the main implicants, i.e., the presence of these factors is highly important for projects to have a catalytic impact. Without these factors, projects did not have catalytic impact.
- Learning activities between projects on a bilateral level or through exchange platforms was shown in the evaluation to be very effective in enabling projects to learn from best practices from other projects or to learn from mistakes of others.

Nevertheless, it is important to note that other project activities are also highly important but could not be scrutinized by utilizing the QCA. For example, all projects implemented mainstreaming activities and can therefore be seen as a basic prerequisite for projects to have catalytic impact. However, this could not be demonstrated in the QCA. One reason for that, however, is that all projects in the sample did this, no matter whether or not they were

classified as “successful” with respect to catalytic impact. In this situation, the QCA cannot interpret the “signal” of this type of activity.

Further information on the QCA is included in Annex VI.8.

### 5.3.3 Catalytic impact – why not?

A number of factors typically reduced the likelihood for catalytic impacts. Stakeholders mentioned that very short project durations often impede the ability to establish trustful relationships, and also to generate lessons from practical experience that can then be shared and replicated. The case study for Grenada has shown that project activities sometimes exert impact long after the fact; for example, in a corresponding project calls for submission were made only recently.<sup>144</sup>

Generally, the nature of project-based work is that it has an end point – but rather than an abrupt termination of all activities, a phase-out period could provide a smoother transition into self-perpetuation. Where exit strategies were not designed in time, this is obviously less likely. Here, global platform projects can provide some continuity of support to local EbA implementers as well.

## 6 Recommendations

The evaluation findings and conclusions lead to a number of recommendations for BMU, ZUG and the IKI project implementors on how the catalytic impact could be magnified.

### 6.1 Recommendations on IKI funding and the Criteria of Excellence

#### 6.1.1 Recalibration of the Criteria of Excellence

The Negotiation and Multiplier Pathways are part of the IKI concept of Criteria of Excellence. Together with three other criteria – transformational change, sustainability, and innovation – they have been a cornerstone of the IKI funding paradigm since the beginning of the program, serving as an orientation in the selection of IKI projects. The current evaluation systematically assesses the degree to which these two selection criteria for IKI projects represent pathways to catalytic impact.

It shows that these two Criteria of Excellence in fact describe possible and mutually reinforcing pathways to catalytic impact. Including them as a basis for IKI funding early on has allowed to explore their potential. Yet, it is recommended that **BMU and ZUG develop the Criteria of Excellence further** in the light of the evidence presented in this evaluation. In more detail:

---

<sup>144</sup> 16\_II\_156\_Karibik\_K\_Climate Adaptation in the Caribbean.

- The Multiplier Pathway is not a selection criterion but a design principle. Most micro-strategies and recommendations for the potentially most catalytic outcomes are parts of the Multiplier Pathway and are discussed in more detail below. **These should be included in the review and optimization process for each project.**
- **The Negotiation Pathway should be recalibrated.** In the current guidance, the negotiations are rather prominent. In the evaluation, however, the negotiation outcomes have not demonstrated catalytic impact (yet), while the use of the negotiation venues and arenas was quite important for “spreading the word” on EbA as a useful approach. So far, thus, the use of the international gatherings as platforms for information exchange has been the more important avenue towards catalytic impact. It is possible that the evidence for negotiations to be effective in this respect might accrue over the next five years, but currently it does not yet exist. **IKI projects should keep providing technical inputs to the Conventions – and in particular also to the Subsidiary Bodies.** This has been a clear trigger for catalytic impact.

### 6.1.2 Programmatic support intensifying the Multiplier Pathway

Overall, the evaluation shows that a systematic and quasi-programmatic support, i.e., a longer-term and coherent series of projects, can deliver significant catalytic impact, as it supports continuity.

For optimally leveraging the Multiplier Pathway, the funders need to acknowledge that it takes considerable time – and certainly longer than a typical project length of three years - to have an approach like EbA become established in the practices of a country. Keeping this in mind the funders should embrace the following aspects leading to more programmatic approaches in countries:

- Fund programmes of different projects in one country over a long period of time (e.g., a decade) that build on each other systematically and sequentially.
- **Identify a range of different ecosystems in the country or region** for which EbA might be relevant and a range of different EbA opportunities and suitable measures that are able to address the challenges at hand, to hedge against political and uptake risks.
- **Follow a multi-level and multi-pronged approach.** Implementing project elements on the national, subnational, and local level at the same time and combining various strategies, such as policy advice, capacity building and financing proved to lead to successful outcomes.
- Projects should integrate ecosystem-based adaptation approaches systematically into different sectors, including agricultural, natural resource management, infrastructure, economic cooperation to mainstream the approach into productive and commercial sectors.

- Keep promoting the link from the local implementation to the global platform projects and South-South exchanges.

## 6.2 Recommendations on strengthening catalytic impact in IKI projects

The evaluation allows to formulate a number of recommendations for project design, to be implemented by the implementing organizations and observed in the design of funding strategies by BMU and ZUG.

### 6.2.1 Necessary and sufficient outcomes for catalytic impact

The evaluation has clearly shown that the combination of practical implementation and international information exchange has helped to achieve catalytic impact. The QCA in particular has highlighted that two typical IKI project outcomes were particularly catalytic: Firstly, projects have to develop long-term strategies to secure the funding of EbA measures. And secondly, cross-project learning activities, such as the sharing of lessons learned, were identified to be important. In the portfolio under investigation, these two aspects were necessary conditions for catalytic impact.

**Based on these results, the recommendation for future projects is to focus on developing long-term funding mechanisms for local EbA measures, support and provide platforms for cross-project learning activities, and lastly to support broad awareness raising activities.** Nevertheless, other activities were also identified as highly relevant, most importantly awareness raising among stakeholders on the various levels.

### 6.2.2 Replicate successful micro-strategies

It is recommended that projects **systematically integrate successful “micro-strategies”, i.e., tricks that have been tested in other projects, into new programming.** The portfolio review<sup>145</sup> has highlighted several specific project components that were particularly good catalysts. These included **institutionalization** (e.g., through the Micronesia Challenge), **supporting proposal development and access to funding** (e.g., GCF project), including and specifically to scale up IKI projects’ pilots and demonstrations, and as an exit strategy for the IKI project, and **building up a market and supply chain for products** from EbA projects (among the case studies, for example, shrimp fisheries in Vietnam). Implementing organizations should include these micro-strategies into their projects.

Timing can also be more systematically exploited, for example by targeting creeping crises like coral bleaching or pollinator dearth with a timely, systematic and global initiative that includes resilience and adaptation, as well as the sustainable use of these natural biodiversity resources. When a related topic surfaces in the media, these projects can present feasible and

---

<sup>145</sup> The QCA was not yet able to confirm these findings as the evidence base was too coarse and the time was insufficient for further analysis and data gathering.

tested solutions. **Projects should be given the mandate and the flexibility to react quickly to trends and issues that can catch the attention of relevant audience and place EbA as a possible solution.**

The most important successful micro-strategy was the transfer to other sectors. Where it was done, it was extremely catalytic. Here, a systematic approach could be targeting specific types of ministries in multiple countries, including for example the respective UN programs (e.g., Food and Agriculture Organisation of the United Nations) and funds (e.g., International Fund for Agricultural Development).

### 6.2.3 Remedy the weaknesses in the portfolio

The evaluation also identified weaknesses in the portfolio with respect to integrating the private sector, with respect to the systematic support to making EbA a standard practice, and with respect to ensuring sustainability and catalytic impact. The following recommendations can be formulated:

- **Identify (and include in future IKI projects' impact logic) approaches for systematic inclusion of the private sector**, for example, by integrating EbA approaches into supply chains, for funding EbA by commercial and Impact Investors, and for making EbA bankable, and provide this information to all new projects. There were a number of examples for this in the portfolio, but they seemed to have “happened” rather than being systematically targeted by the projects (see Annex V.4).
- **Establish a global EbA academy through an IKI project that facilitates cross-project learning on an operational level** but also trains local decision makers, engineers, technicians, agronomists, farmers, foresters, and fishers the relevant skills to “do” EbA, offering systematic courses, on the basis of structured curricula as well as train-the-trainer offerings for these stakeholder groups.
- **Expand the community of implementers.** The 33 projects in the sample have been implemented by only 14 different implementing organizations. There is a notable absence of national implementing organizations and financial institutions. On the other hand, EbA projects at, for example, GEF are implemented through UNDP, which does not play a significant role in the IKI portfolio.<sup>146</sup> A broader implementing organization-base is likely to ensure a broader audience and broader adoption. Specifically, large multilateral project-oriented organizations like UNDP or Food and Agriculture Organisation of the United Nations can have a significant platform-effect, reach many more countries than IKI projects and reach new groups of audiences in the countries beyond the environment and climate communities.

---

<sup>146</sup> UNDP was only involved as implementing organization or implementing partner in two projects in the portfolio (13\_II\_098\_PER\_M\_Communal Reserves, 12\_II+\_012\_Global\_M\_EbA Mountain Flagship).

- **It is recommended to better leverage the convincing co-benefits of EbA for replication and impact.** For many stakeholder groups, the co-benefits alone would already be a good reason to use the approach. Projects should formulate specific outreach and dissemination strategies focusing on the economic and environmental co-benefits. They should be a standard element in project reporting. The reporting on co-benefits could be improved by providing a list of required information, such as the type and beneficiaries of the co-benefit.

#### 6.2.4 Plan projects systematically for generating sustainable and potentially catalytic outcomes

While project success is never predictable and project design is highly context specific, it is strongly recommended to start early on – in the phase of project development or the call for proposals – to focus on potentially catalytic outcomes. Projects should be designed in such a way that potentially catalytic outcomes are achieved with the highest possible likelihood. Specific recommendations that can be formulated for project proponents on this basis are:

- **In the stakeholder analysis, include the national as well as subnational policymakers.** A focus on institutions rather than individuals helps mitigate political changes. In politically unstable situations, sometimes continuity is greater on subnational levels.
- **A multi-level approach is recommended, as it is most resilient against delays and implementation challenges.** Typically, the subnational levels are less affected by national level political changes. Operationally, the recommended multi-level approach is more intensive as many more partners have to be engaged. This might lead to dilution of project focus, a risk to be avoided.

Subnational stakeholders are important for the implementation. Their upskilling and participation need to be leveraged to achieve actual impact. For the catalytic impact, however, they might not be the most powerful dissemination agents.

- Identify the relevant languages in which EbA content needs to be communicated.
- Identify how to connect projects with national implementation focus to the global communities of practice.

Once the stakeholders are identified, their position towards EbA should be closely analyzed, for example with respect to their motivation and potential mobilization through co-benefits on one side, or climate risk resilience and biodiversity benefit on the other, or with respect to their current level of awareness, expertise, and access to technology. A **classical barrier analysis** (for example following the methodology of the Theory of No Change (Wörten et al. 2016)) with respect to wider adoption of the practice should be the basis of each project design.

### 6.2.5 Expand and deepen the EbA implementation in the IKI portfolio

Many people criticize EbA because they find the concept “abstract” or too narrow. The collections of case studies brought forward by numerous EbA initiatives and in particular the communities of practice, have filled the concept with life. But the wide range of EbA approaches, in different ecosystems, habitats and climate zones, still provide a lot of room for further exploration. Even the IKI portfolio does not yet cover all EbA approaches, habitats, or relevant ecosystems, and it is recommended to expand that coverage.

In addition, it is highly recommended to leverage all opportunities to broaden the EbA community and catalyzing more impact by deepening and intensifying the work with international platforms, and more specifically by catering to more well-defined audiences around specific ecosystems. Fishing industries and ministries, agricultural ministries and farmers, and financiers all have their specific languages, fora and EbA practices, and the platforms should try to cater to them through building on their channels and their specific needs, for example by operating more specialized communities of practice. **It is recommended to start large projects that specifically address these communities, in the current modality of the thematic call**, i.e., where international knowledge partners provide a thematic umbrella and national implementation partners benefit from funds for national sectoral implementation. It is important that these national implementation arms are dominated by the respective sectoral line ministries and associated strands of the national and local administrations. It is worth considering to include corresponding international organizations (like Food and Agriculture Organisation of the United Nations, World Meteorological Organization, World Health Organization, Food and Agriculture Organization) into these efforts.

## 6.3 EbA at the negotiations

### 6.3.1 Keep the discussion going even without success in the Convention Guidance

EbA has been put on the negotiation map through IKI. Many IKI stakeholders have talked about EbA at the various Convention loci. This was an important advantage for the concept as one main objective of these negotiations is the search for solutions and the Conventions are an important venue that bring a specific community together on a regular basis. The evaluation shows, that this discussion is the main pathway to impact so far, even without formal Convention Guidance.

In order to capitalize on the investments on EbA so far, **BMU should provide the resources that ensure that the concept keeps surfacing at this venue**, and the discussion stays afloat, through the negotiators and all IKI projects that have the negotiations as part of their impact chain. This can and should be done through IKI projects implemented by different organizations. In addition, the help of other Parties that promote the concept (for example Costa Rica, the Scandinavian countries, the Netherlands, and Bangladesh) as well as intergovernmental

organizations and NGOs should be enlisted for that endeavor, e.g., through their own projects, or through the influence of German stakeholders in their respective governance mechanisms.

### 6.3.2 EbA versus NbS

To the evaluators, it seems useful to **support NbS as well and emphasize that EbA** measures are an important subgroup of NbS measures with additional benefits, and an established base of practical experiences and followers. Thus, and a parallel use of both terms (cf. section 5.1.4) should not be considered detrimental but rather exploited for leveraging the momentum behind NbS for the promotion of EbA.

### 6.3.3 Provide technical competence to the Conventions Community

The evaluation has shown clearly that formal Convention Guidance is not necessary to unleash a catalytic effect but that appropriate technical documents (such as the Voluntary Guidelines) and contributions to the discussions (as provided under the Nairobi work programme) are very helpful for the Convention Process – as well as directly to the Parties. It is recommended to the IKI projects that by promoting the concept and its co-benefit there and through their technical products, they **use the negotiations to reach new audiences and strengthen the demand for EbA concepts**.

For example, UNFCCC has 9 constituencies that include environmental NGOs, Indigenous Peoples Organizations and local government and municipal authorities. These could be systematically addressed, by introducing the concept, taking time for preparatory work within this bodies and to discuss the concept with the constituencies, instead of simply relying on the pathway to influence the individual parties.

On this basis they and others can develop projects in new countries. It is not documented to what degree this avenue is already systematically explored. It can be supported with additional tools like webinars for accessing climate funding at GEF, GCF or AF, or systematic support to Operational Focal Points for the development of country allocation plans for GEF and Adaptation Fund funding.

### 6.3.4 Further ideas for intensifying the discussion on EbA at beyond the international level

So far, the IKI platform projects have a clear bias to influence the negotiation parties at the COP venue, thereby potentially discounting the effect that other forms of partnerships might be equally effective to bring EbA more into the international discussion. It is recommended that the projects do a systematic stock-take of opportunities to “break out of their bubble”. **Leveraging these as well as negotiation streams** can provide new leads for putting the discussion on EbA on a broader footing.

In order to sustain the discussions between the Convention meetings, continuous series of events could achieve greater impact. Several communication channels through which EbA could be promoted have moved on to other current trends and ideas but could also pick up

on established concepts like EbA. For example, UNDP's NBSAP Forum with its e-learning platform "Learning for Nature" has hosted only 5 EbA events, and all are outdated. The latest entry is from FAO from the year 2018. IKI platform projects could well use this for approaching new audiences.

**Less focus should be put on national communications** – at least on NAPs and NBSAPs, as they typically are a result of national decision-making processes and not of international negotiations. **There should be more focus on helping to implement EbA approaches** that are already embedded in NDCs, NAPs and NBSAPs etc.

### 6.3.5 Financing for scaling up EbA – GEF, GCF and the private sector

Apart from the continued financing through IKI, GEF, GCF and the AF, there is the option to **make an EbA business case to other public and private funders**. Several EbA options are very well suited for that. Specifically, EbA options that enhance the sustainability or productivity of agriculture or fisheries can be attractive for enterprises, investors, and consumers of these products. Making the business case in these situations seems to have been neglected in the portfolio.

In addition, there are financial designs to sustain EbA measures locally that could be used more widely. Such examples have already been promoted under different terms, including Payment for Environmental Services. Yet, the potential has not yet been fully exploited. Here, public, and private designs can provide large-scale investment opportunities that is then sustained through locally sustainable payment models. This should be explored systematically.

## 6.4 Further research needs and opportunities

### 6.4.1 Further analysis of factors for success

Using Qualitative Comparative Analysis (QCA) for this investigation was an innovative approach and has demonstrated that QCA is very helpful to understand what conditions that are present or absent in projects lead to catalytic impacts. Yet, this was only a first step in exploring this tool. QCA can be a much more powerful tool for understanding causalities and differentiating between crucial and less crucial factors. Unfortunately, the application of the QCA in this study (again) demonstrated the main challenges of this method: it takes time and a very clean database.

Specifically, the QCA was limited here by several factors that can be traced back to the evidence base. The sample size and composition was very appropriate, although some more completed projects would have been even better. For future QCAs, it would be a recommendation to have final project evaluations of around 30 projects. But the bigger limitation was that not all projects were reporting on all potential factors of influence to the same degree. One step in that direction would be standardized final project reports, with

precise information on several factors to enable higher comparability (discussed in the context of co-benefits in section 6.2.3).

But it would be even better, and a very specific recommendation at this point, to expand on the analysis that has been done in this evaluation by conducting an iterative round of project reviews with the specific objective of putting together a programmatic QCA for the current research question. By this structured and targeted approach, the initial QCA from this project could be expanded, and pinpoint more clearly the catalytic factors of projects. Ultimately, QCA could be used to answer individual evaluation questions and thereby allowing more precise answers to what activities by what stakeholders lead to catalytic impacts, but more time is needed for this iterative process.

#### 6.4.2 Impact analysis of the platform projects

The platform projects and communities of practice are long-term efforts that require quite some time to mature in terms of the content that they can provide, and even longer to unfold their full potential in leveraging catalytic impact. It would be advisable to do an impact analysis in 3 to 4 years from now, comparing the impact, scope and reach with today's, potentially in a quasi-experimental approach. One specific focus of that evaluation should be the analysis to what degree they have succeeded to expand the community beyond the "closed world of the IKI" and the current set of implementing organizations.

#### 6.4.3 Private sector

An important avenue for sustainability and replication is the private sector. In this evaluation, this was highlighted in specific instances, but it was not possible to do a systematic analysis of the role of the private sector for sustaining and replicating EbA. There are a number of pathways and it would be very interesting to identify them clearly and trace them in the IKI portfolio. This would be very helpful to give more specific recommendations on how to integrate the private sector into EbA. In addition, it would also be a contribution to a long-standing discussion on the Convention level, on how to integrate private enterprises and private funding into socio-economic transformation process that preserves the global goods.

## Annex

## Annex I. List of projects

Project ID	Long name	Short name	Countries	Project-executing organization	Project start	Project end	Financial volume	Type of implementation*
08_II_018_ASIA_A_TNC Schutzgebiete	Advancing The Micronesia Challenge through new protected areas: Reducing ecosystem vulnerability to climate change and sea-level rise through a new network of resilient, locally-managed conservation areas across the islands of Micronesia (the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau)	Fortschritte der Micronesia Challenge durch neue Schutzgebiete	Marshall Islands, Micronesia, Palau	The Micronesia Conservation Trust (MCT)	01.12.2008	31.12.2010	1.551.738,97 €	K
09_II_069_Global_A_Pacific Mangroves	Pacific Mangroves Initiative	Pacific Mangroves Initiative für Klimaschutz und Klimaanpassung	Fiji, Solomon Islands, Samoa, Tonga, Vanuatu	International Union for Conservation of Nature and Natural Resources (IUCN) - Fiji	07.12.2009	30.06.2014	2.274.557,06 €	K

10_II_086_VNM_G_Anpassung Küstenbevölkerung	Anpassung an den Klimawandel durch Förderung der Biodiversität in der Provinz Bac Lieu, Vietnam	Anpassung an den Klimawandel durch Förderung der Biodiversität in der Provinz Bac Lieu, Vietnam	Vietnam	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	01.12.2010	31.12.2014	3.551.437,24 €	N
11_II_075_NPL_A_watershed management	Increasing climate change resilience of vulnerable communities in Humla district, Nepal	Stärkung der Widerstandsfähigkeit gefährdeter Bevölkerungsgruppen im Humla Distrikt, Nepal gegenüber dem Klimawandel	Nepal	The Mountain Institute (TMI) - USA Headquarters	01.02.2011	30.04.2014	190.478,92 €	N
11_II_080_MEX_A_adaptation in watersheds	Innovative Mechanisms for a Cooperative Climate Change Adaptation Program in Sierra Madre and the Coast of Chiapas, Mexico	Kooperationsprogramm zur Anpassung an den Klimawandel in Sierra Madre und der Küste von Chiapas	Mexico	The Nature Conservancy (TNC) - International	01.07.2011	31.12.2015	1.499.888,00 €	N
11_II_084_Global_A_EbA solutions	Ecosystem-based adaptation in marine, terrestrial and coastal regions as a means of improving livelihoods and conserving biodiversity in the face of climate change	Ökosystembasierte Anpassung in Meeres-, Landes- und Küstenregionen	Brazil, Philippines, South Africa	Conservation International Foundation	03.05.2011	31.07.2015	4.317.538,00 €	K

11_II_085_PHL_G_Anpassung Küstenbereiche	Schutz und Rehabilitierung von Küstenökosystemen zur verbesserten Anpassung an den Klimawandel in den Philippinen und im Coral Triangle	Schutz und Rehabilitierung von Küstenökosystemen zur verbesserten Anpassung an den Klimawandel in den Philippinen und im Coral Triangle	Philippines	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	11.03.2011	30.06.2014	4.412.403,70 €	N
11_II+_001_Lateinamerika_A_EbA_Smallholder Farming	Ecosystem-based Adaptation for Smallholder Subsistence and Coffee Farming Communities in Central America	Ökosystembasierte Anpassung für Subsistenz-, Klein- und Kaffeebauern in zentralamerikanischen Gemeinden	Costa Rica, Guatemala, Honduras	Conservation International - Europe, Conservation International Foundation	01.04.2012	30.06.2018	3.129.488,00 €	K
11_II+_002_Lateinamerika_M_MEbA_Microfinance	Microfinance for Ecosystem-Based Adaptation to Climate Change - MEbA	Mikrofinanzsysteme zur ökosystem-basierten Anpassung an den Klimawandel (MEbA)	Benin, Costa Rica, Dominican Republic, El Salvador, Columbia, Madagascar, Peru, Senegal	United Nations Environment Programme (UN Environment) - Panama	01.01.2012	31.12.2020	4.882.952,45 €	K
12_II+_003_Lateinamerika_G_EbA_COL_ECU	Ecosystem-based Adaptation strategies to climate change in Colombia and Ecuador	Strategien ökosystembasierter Anpassung an den Klimawandel in Kolumbien und Ecuador	Ecuador, Columbia	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	01.09.2014	30.09.2018	3.276.261,85 €	K

12_II+_005 Global_A_EPIC: Ecosystems Protecting Infrastructure and Communities	Ecosystems Protecting Infrastructure and Communities (EPIC)	Ökosysteme – Schutz für Infrastruktur und Gemeinschaften	Burkina Faso, Chile, China, Nepal, Senegal, Thailand		01.09.12	31.08.17	4004645,08 €	K
12_II+_012_Global_M_EbA Mountain Flagship	Ecosystem Based Adaptation in Mountain Ecosystems	Ökosystembasierte Anpassung in Bergökosystemen	Nepal, Peru, Uganda	United Nations Environment Programme (UN Environment) - Kenya	01.12.2010	30.06.2016	11.500.000,00 €	K
13_II_098_PER_M_Communal Reserves	Integrated Climate Change Management in Communal Reserves in the Amazon Rainforest	Integriertes Klimawandelmanagement in Gemeindereservaten im Regenwald Amazoniens	Peru	United Nations Development Programme (UNDP) - Peru	30.04.2013	31.12.2020	7.300.000,00 €	N
13_II_099_THA_G_Extremereignismanagement	Wassermanagement Pilotprojekt: Verbessertes Extremereignis-Management durch ökosystemare Anpassung in Wassereinzugsgebieten	Wassermanagement Pilotprojekt: Verbessertes Extremereignis-Management durch ökosystemare Anpassung in Wassereinzugsgebieten	Thailand	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	01.06.2013	31.12.2017	3.348.000,00 €	N

13_II_102_Africa_A_WISE-UP	Wasserinfrastrukturlösungen aus ökosystemaren Dienstleistungen zur Unterstützung von Klimastrategien und -programmen (WISE-UP to Climate)	Wasserinfrastrukturlösungen aus ökosystemaren Dienstleistungen zur Unterstützung von Klimastrategien und -programmen (WISE-UP to Climate)	Burkina Faso, Ghana, Kenya	International Union for Conservation of Nature and Natural Resources (IUCN) - Switzerland	01.08.2013	31.12.2017	5.312.063,94 €	K
13_II+_010_VNM_G_Mainstreaming EbA	Mainstreaming des Konzepts der ökosystembasierten Anpassung in die nationale Klimaanpassungsstrategie sowie in die Landnutzungs- und die Entwicklungsplanung von Vietnam	Mainstreaming des Konzepts der ökosystembasierten Anpassung in die nationale Klimaanpassungsstrategie sowie in die Landnutzungs- und die Entwicklungsplanung von Vietnam	Vietnam	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	01.04.2014	31.03.2018	4.000.000,00 €	N
14_II_095_Pazifik_A_Enabling EbA	Building the resilience of communities and their ecosystems to climate change impacts in Micronesia and Melanesia	Stärkung der Resilienz gegenüber den Folgen des Klimawandels in Gemeinden und ihren Ökosystemen in Mikronesien und Melanesien	Marshall Islands, Micronesia, Palau, Papua New Guinea	The Nature Conservancy (TNC) - International	01.01.2015	31.12.2018	3.921.560,67 €	K
14_II_109_Pacific_M_Natural solutions to Climate change	Natural solutions to climate change in the Pacific Islands region: Implementing Ecosystem-based Adaptation	Natürliche Ansätze für die Anpassung an den Klimawandel im Pazifik: Umsetzung von ökosystembasierten Ansätzen	Fiji, Solomon Islands, Vanuatu	Secretariat of the Pacific Regional Environment Programme (SPREP) - Samoa	01.08.2014	30.09.2020	4.945.625,00 €	K

14_II_111_Lateinamerika_A_Governance for EbA	Transforming Evidence into Change: a Holistic Approach to Governance for EbA - GO4EbA	Transformation von Tatsachen in Wandel - ein ganzheitlicher Ansatz zur Einführung ökosystembasierter Anpassung (EbA)	Costa Rica, El Salvador, Guatemala, Honduras, Mexico, Panama	International Union for Conservation of Nature and Natural Resources (IUCN) - Germany	01.11.2014	31.10.2019	5.685.799,94 €	K
15_II_108_COL_A_Magdalena River Basin	Ecosystem-Based Adaptation to Climate Change in the Magdalena River Basin	Ökosystembasierte Anpassung an den Klimawandel im Einzugsgebiet des Magdalena-Flusses	Columbia	The Nature Conservancy (TNC) - International	01.07.2015	30.06.2019	2.000.000,25 €	N
15_II_110_Zentralasien_G_EbA Hochgebirgsregionen	Ökosystembasierte Anpassung an den Klimawandel in Hochgebirgsregionen Zentralasiens	Ökosystem-basierte Anpassung an den Klimawandel in Hochgebirgsregionen Zentralasiens	Kazakhstan, Kyrgyzstan, Tajikistan	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	01.05.2015	31.12.2020	6.500.000,00 €	K
15_II_116_Global_A_EbA Evidence and Policy	Ecosystem-based approaches to adaptation: strengthening the evidence and informing policy	Ökosystembasierte Ansätze zur Klimaanpassung: Stärkung der Evidenz und der Informationsgrundlage für politische Entscheidungen	Bangladesh, Burkina Faso, Chile, China, Costa Rica, El Salvador, Kenya, Nepal, Peru, Senegal, South Africa, Uganda	International Institute for Environment and Development (IIED)	01.07.2015	31.12.2022	2.215.355,14 €	P

15_II_117_Global_G_Wissensnetzwerk EbA Mainstreaming	Mainstreaming EbA – Stärkung ökosystembasierter Anpassung in Planungs- und Entscheidungsprozessen	Mainstreaming EbA – Stärkung ökosystembasierter Anpassung in Planungs- und Entscheidungsprozessen	Brazil, Colombia, Ecuador, Grenada, India, Indonesia, Kazakhstan, Kyrgyzstan, Mali, Mexico, Peru, Philippines, South Africa, Tajikistan, Thailand, Vietnam	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	01.07.2015	31.05.2022	8.000.000,00 €	P
16_II_127_VNM_A_Scaling Up Mangrove EbA	Scaling Up Mangrove EbA in the Mekong Delta	Ausweitung von Mangroven-EbA im Mekong-Delta	Vietnam	SNV Netherlands Development Organisation - Netherlands, SNV Netherlands Development Organisation - Vietnam	01.04.2016	29.02.2020	1.492.384,00 €	N
16_II_128_Global_A_Ecosystems Risk and Climate Adaptation	Ökosysteme, Risiko und Klima Anpassung	Ökosysteme, Risiko und Klima Anpassung	Project without concrete country reference	The Nature Conservancy (TNC) Europe gGmbH	01.03.2016	31.12.2020	985.935,15 €	P
16_II_130_IDN_A_EbA Building with Nature	Ecosystem-based adaptation at scale through Building with Nature - Towards resilient coasts in Indonesia	Naturleistungen effektiv nutzen: Ökosystembasierte Anpassung in Küstenregionen Indonesiens	Indonesia	Wetlands International (WI) - Netherlands	01.09.2015	31.12.2020	3.043.648,00 €	N

16_II_131_Asien_A_Mekong WET	Mekong WET: Stärkung der Resilienz von Feuchtgebieten durch eine Ramsar Regionalinitiative in der Mekong-Gegend	Stärkung der Resilienz von Feuchtgebieten durch eine Ramsar-Regionalinitiative in der Mekong-Gegend	Cambodia, Laos, Thailand, Vietnam	International Union for Conservation of Nature and Natural Resources (IUCN) - Asia Regional Office (ARO) - Thailand	01.01.2017	31.12.2020	2.530.000,00 €	K
16_II_138_Global_A_FEBA Koordination	Coordination of the Friends of EbA (FEBA)	Förderung von ökosystembasierter Anpassung durch Friends of EbA (FEBA)	Project without concrete country reference	International Union for Conservation of Nature and Natural Resources (IUCN) - USA	01.10.2016	31.03.2023	963.337,00 €	P
16_II_156_Karibik_K_Climate Adaptation in the Caribbean	Anpassung für SIDS in der Karibik: Die EbA-Fazilität	Anpassung an den Klimawandel in der Karibik: Die EbA-Fazilität	Antigua and Barbuda, Cuba, Dominica, Dominican Republic, Grenada, Haiti, Jamaica, Montserrat, St Lucia, St Vincent and the Grenadines	KfW Entwicklungsbank	15.12.2016	31.12.2025	45.000.000,00 €	K
17_II_133_PER_A_Adapting Water Resource Management	Adaptation of Water Resource Management to Climate Change: development of management tools and sustainable financing mechanisms in three representative ecoregions of Peru	Nachhaltige Finanzierung und Unterstützung des Wasserressourcenmanagements in Peru	Peru	The Nature Conservancy (TNC) - International	01.03.2017	31.10.2021	2.099.691,00 €	K

17_II_139_PHL_A_EbA Financing Instruments	Facilitating the private sector engagement and dialogue for the financing of ecosystem-based adaptation in support of the Climate Change Action Plan of the Philippines	Einbindung des Privatsektors bei der Finanzierung von ökosystembasierter Anpassung an den Klimawandel im Rahmen des philippinischen Klimaaktionsplans	Philippines	Earth Security Partnerships C.I.C.	01.03.2017	31.08.2022	1.434.801,00 €	N
17_II_140_MEX_G_EbA Privatwirtschaft	Ecosystem-based Adaptation to Climate Change in cooperation with the private sector in Mexico	Ökosystembasierte Anpassung an den Klimawandel mit der Privatwirtschaft in Mexiko	Mexico	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH - Mexico	01.09.2017	31.08.2021	4.000.000,00 €	N
17_II_147_Caribbean_A_Resilient Islands via EbA	Resilient Islands by Design: Integrating Ecosystem- and Community-based Approaches to Enhance Climate Change Adaptation in the Caribbean	Resilient Islands by Design: Integration von Ökosystem- und Gemeinde-basierten Ansätzen zur verbesserten Anpassung an den Klimawandel in der Karibik	Dominican Republic, Grenada, Jamaica	The Nature Conservancy (TNC) - International	15.07.2017	14.07.2021	5.000.000,00 €	K

\*: International platform project (P), transnational cooperation (K) or purely national implementation (N)).

## Annex II. List of interviews

### List of interviews<sup>147</sup>

Name	Affiliation	Date
Nana Künkel	GIZ	October 2020
Michael Kracht	ZUG	October 2020
Norbert Gorissen	UAL BMU	October 2020
Ali Raza Rizvi	IUCN	October 2020
Felix Ries	GIZ	02.10.2020
Ravi Scharma	Resource person/expert with many years of experience in CBD and UNFCCC	12.10.2020
		27.05.2021
Chad Tudenggongbu	UNFCCC Secretariat	06.07.2021
Lukas Hach und Mathias Bertram	BMU und GIZ	07.06.2021
Xiaoting Hou Jones	IIED	08.07.2021
Lennart Kümper-Schlake	BfN	11.07.2021

### List of Interviewees – Case study Grenada

Name	Affiliation
Dr. Joth Singh	Caribbean Biodiversity Fund
Dr. Spencer Thomas	Climate Change Negotiator
Aria St. Louis	Head of Environment Division
Andre Witzig	Former Technical Officer in the Ministry of Environment
Anthony Jerimiah	Head of Forestry Division
Raheem Smith	Caribbean Youth Environment Network
Curlan Bhola	GIZ GCREWS Project
Tara Francis	Climate Readiness GCF Project
Nealla Frederick	TNC Main Office Grenada

<sup>147</sup> Interviews were conducted as „among two“. Statements may only be used as they are stated in the main text.

Name	Affiliation
Marion Geiss	GIZ Mainstreaming Project

## List of Interviewees – Case study Vietnam

Name	Organization IKI project nr if applicable	Date
Tim McGrath	GIZ [Mekong Delta IKI & BMZ projects]	02.03.2021
Nguyễn Hữu Thiện	Independent [Many Mekong Delta projects]	08.03.2021
Andrew Wyatt	IUCN 16_II_131_Asien_A_Mekong WET, also 16_II_127	08.03.2021
Nguyen Thi Bich Thuy	SNV 16_II_127_VNM_A_Scaling Up Mangrove EbA	08.03.2021 & follow up calls
Anja Barth	GIZ 15_II_117_Global_G_Wissensnetzwerk EbA Mainstreaming	09.03.2021
Le Anh Tuan	CTU [Many Mekong Delta projects]	10.03.2021 & follow up calls
Richard Rastall	SNV 16_II_127_VNM_A_Scaling Up Mangrove EbA	10.03.2021
Nguyen Lanh	ISPONRE 13_II+_010_VNM_G_Mainstreaming EbA & 15_II_117_Global_G_Wissensnetzwerk EbA Mainstreaming	10.03.2021
Patric Schlager	GIZ 15_II_117_Global_G_Wissensnetzwerk EbA Mainstreaming	11.03.2021
Nguyen Thi Ngoc Anh	GIZ 13_II+_010_VNM_G_Mainstreaming EbA & 15_II_117_Global_G_Wissensnetzwerk EbA Mainstreaming	11.03.2021

## List of Interviewees – Case study Peru

Name	Affiliation	Date
Ex funcionarios: Eduardo Durand- Ex Director General de CC, Desertificación y RRHH- MINAM	MINAM- Dirección General de Cambio Climático	February 24
Funcionarios actuales: Rosa Morales- Directora general de CC y Desertificación	MINAM- Dirección General de Cambio Climático	March 1
Cristina Rodríguez srodriguez@minam.gob.pe, Directora de Adaptación al CC y Desertificación	MINAM- Dirección General de Cambio Climático	March 1
Madeleine Montoya Márquez- Analista de Investigación Desarrollo e Innovación.	Fondesturco	Contacted. They prefer to answer a questionnaire
Edith Fernández Baca - Project coordinator	UNDP Peru	February 25
James Leslie- Technical Advisor Ecosystems and Climate Change	UNDP Peru	March 11
Jorge Recharte		March 4
Florencia Zapata	UNDP Peru	March 10
Mirella Gallardo	UNDP Peru	March 16
Karen Podvin- Oficial de Programa de Cambio Climático	UNDP Peru	March 29
Walter López- Ex gerente de RRNN Gobierno Regional Junín-	UNDP Peru	March 1
Jorge Herrera - Project manager	UNDP Peru	March 17
Marco Arenas- responsable de la UOF de Gestión Participativa-DGANP	MINAM	March 1
José Carlos Nieto- Director de Gestión de Áreas Naturales Protegidas	SERNANP	March 1
Pro Ambiente: Ursula Fernandez Baca- ursula.fernandez@proambiente2.org.pe	GIZ- IPACC project. ProAmbiente II	March 22
Holger Treidel	GIZ	March 22
Lizzy Johana Kanashiro Diaz - Especilsita EbA	MINAM	February 26
Aldo Cárdenas	TNC	March 8
Marcia Toledo, IKI focal point	TNC	March 8
Carlos Calle- Consejo de Recursos Hídricos de la Cuenca del Chira Piura.		March 19

## Annex III. Evaluation Questions and Data Sources

<i>Overarching evaluation question for criterion</i>	<i>Specific impact hypotheses</i>	<i>Sub-questions</i>	<i>Work stream(s)</i>	<i>Operational question</i>	<i>Methods and data sources</i>
<p><i>To what extent and by what means can IKI EbA projects influence negotiations?</i></p>	<p>The catalytic role of the IKI builds upon its negotiation relevance through direct and indirect negotiation support services to progressive actors.</p>	<p>1.1 To what extent has the IKI succeeded in positioning the EbA concept at the national (e.g., in NAPs), regional and/or international level?</p>	1 (Negotiation Pathway)	1.1.1 To what degree has the IKI succeeded in positioning the EbA concept in Convention guidance?	<p>Project component analysis</p> <p>Project success assessment (determination of project success on the basis of project documents like Terminal evaluations, final report)</p> <p>Realist synthesis for triangulation with reports from COP, interviews with stakeholders, convention guidance</p> <p>Will also provide answers to Subquestions 1.3 and 1.4</p>
			2	1.1.2 To what degree has the Convention guidance succeeded in positioning the EbA concept in NAPs, NBSAPs and NDCs?	ICMO / realist synthesis. Evidence base: convention guidance for UNFCCC and CBD; NDCs, NAPs and NBSAPs; potentially interviews with stakeholders (e.g., country governments, support teams for national communications at UNDP and UNEP)
			3 (Negotiation Pathway)	1.1.3 To what degree and how have the NAPs, NBSAPs and NDCs led to national policies that use EbA?	Outcome harvesting and formulation of impact hypotheses in the context of the country studies;

<i>Overarching evaluation question for criterion</i>	<i>Specific hypotheses</i>	<i>impact</i>	<i>Sub-questions</i>	<i>Work stream(s)</i>	<i>Operational question</i>	<i>Methods and data sources</i>
				3 (Multiplier Pathway)	1.1.4 To what degree and how have other results of IKI projects led to national, subnational and local implementation of EbA approaches?	Validation of these income hypotheses through ICMO and/or process tracing.  Evidence base: project documents, national documents, country studies
			1.2 How can IKI projects position and strengthen the topic of EbA at negotiations?	1 (Negotiation Pathway)	1.2.1 What were success factors that determined whether and to what degree the project was influencing the negotiations?	Identification of success factors through QCA-pattern recognition, if possible; data base: project component analysis, project success assessment (did the project influence negotiations?);  Validation through interviews with negotiators and convention staff in the context of the country studies or separately
			1.3 To what extent do IKI's EbA projects promote the pioneering role of partners during negotiations?	1 (Negotiation Pathway)	1.1.1.	See 1.1.1
			1.4 To what extent do practical demonstrations of EbA solutions (to proof their technical feasibility and affordability) play a	1 (Negotiation Pathway)	1.1.1	See 1.1.1

<i>Overarching evaluation question for criterion</i>	<i>Specific impact hypotheses</i>	<i>Sub-questions</i>	<i>Work stream(s)</i>	<i>Operational question</i>	<i>Methods and data sources</i>
		role at international conferences?			
<p><i>Which factors influence the replication and scaling up of EbA project experiences?</i></p>	<p>The catalytic role of the IKI achieved through multiplier effects is realized in EbA projects when EbA knowledge products are disseminated, actors acknowledge EbA benefits such as mitigation and socio-economic effects, and additional funding is available.</p>	2.1 To what extent are subordinate authorities familiar with the EbA concept and the application of EbA?	1 and 3	Was the familiarization of subordinate authorities with the EbA concept and EbA applications a “catalytic result”?	<p>Identification of success factors through QCA-pattern recognition, if possible; data base: project component analysis, project success assessment</p> <p>Validation through interviews with negotiators and convention staff in the context of the country studies or separately</p>
		2.2 To what extent have EbA approaches promoted by the IKI been adopted in other sectors (e.g., agriculture)?	1 and 3	Was the adoption of EbA approaches by other sectors a “catalytic result”?	See 2.1
		2.3 To what extent does learning take place among EbA projects, e.g., at regional level?	1 and 3	Was learning between projects, e.g., at regional level a “catalytic result”?	See 2.1
		2.4 To what extent was mainstreaming of EbA successful when using different methods?	1 and 3	Was mainstreaming a “catalytic result”?	See 2.1

<i>Overarching evaluation question for criterion</i>	<i>Specific impact hypotheses</i>	<i>Sub-questions</i>	<i>Work stream(s)</i>	<i>Operational question</i>	<i>Methods and data sources</i>
		2.5 To what extent are EbA projects supported by the IKI able to mobilize additional funds, e.g., from private donors or the private sector?	1		Project success assessment
		2.6 To what extent do EbA projects produce co-benefits, e.g., socio-economic impacts and mitigation effects?	1		Project success assessment

Source: Arepo.

## Annex IV. Annex on the Negotiation Pathway

### Annex IV.1 EQ 1

EQ 1 asked “to what extent and by what means can IKI EbA projects influence negotiations”. The answer to this question is composed of the answers for EQ 1.1, EQ 1.1.1 – 1.1.3, EQ 1.2, EQ 1.2.1, EQ 1.3, and EQ 1.4.

For a first overview, below are some tables showing the activities of the IKI projects at the international level.

Annex IV table 1: activities carried out at UNFCCC or CBD level<sup>148</sup>

Activities carried out at UNFCCC or CBD level	total	15_II_116	15_II_117	16_II_138	12_II+_012	11_II_084	14_II_111	16_II_130	11_II+_001	17_II_139	08_II_018	13_II_102	13_II+_010	15_II_110	16_II_128	17_II_147	11_II+_002	15_II_108
Anzahl Codes	44	6	6	6	5	3	3	3	2	2	1	1	1	1	1	1	1	1
Presentation of the project in UNFCCC context	14	1	1	0	1	1	1	1	0	1	0	1	1	1	1	1	1	1
Organisation and execution of side event in UNFCCC context	7	1	1	1	1	0	0	1	1	1	0	0	0	0	0	0	0	0
C / P of studies for undefined SH in UNFCCC context	6	1	1	1	1	0	1	0	1	0	0	0	0	0	0	0	0	0
EoE / LL with undefined SH in UNFCCC context	5	1	1	0	0	1	1	1	0	0	0	0	0	0	0	0	0	0
dev of methodologies and tools for UNFCCC	4	1	1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0
dev of methodologies and tool for CBD	3	0	1	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0
C / P of studies for CBD	2	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
T / W with SH in UNFCCC context	1	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
Organisation and execution of events in CBD context	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Consulting for UNFCCC-SH	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0

Source: Arepo.

<sup>148</sup> Legend: the green "1" indicates, that these projects (column) carried out the corresponding activities at UNFCCC or CBD level. In these contexts 17 of 33 projects were active here.

# Strategic Evaluation of IKI Catalytic Impact

Annex IV table 2: activities carried out at international level<sup>149</sup> (Source: Arepo.)

Activities carried out at international level	total	16_II_1	15_II_1	11_II_0	15_II_1	16_II_1	12_II+	15_II_1	11_II+	14_II_1	12_II+	16_II_1	17_II_1	11_II+	13_II_1	13_II+	14_II_1	16_II_1	13_II_0	15_II_1	12_II+	10_II_0	17_II_1	17_II_1	08_II_0	16_II_1	13_II_0	11_II_0	11_II_0	
Number of Codes	167	21	14	13	13	13	8	8	7	7	5	5	5	5	4	4	4	4	4	4	4	3	3	2	2	2	2	1	1	1
Presentation / Participation at international conference	19	0	1	1	1	1	0	1	0	1	1	1	1	0	1	1	1	1	1	1	1	0	0	1	1	0	0	1	1	0
Presentation of the project in UNFCCC context	14	0	1	1	1	1	1	1	0	1	0	0	1	1	1	1	0	1	0	1	0	0	1	0	0	0	0	0	0	0
Creation/participation/contribution to Network with intern. SH	9	1	0	0	0	1	1	1	0	1	0	1	1	0	0	0	0	0	0	0	0	1	0	0	1	0	0	0	0	0
EoE / LL with undefined stakeholder on international level	8	1	1	1	0	0	0	1	0	1	0	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	1
T / W with undefined SH	8	1	1	0	1	1	0	1	0	0	0	0	0	0	1	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0
Organisation and execution of side event in UNFCCC context	7	1	1	0	1	1	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
C / P of studies for undefined SH in international context	7	0	0	1	1	0	1	0	1	0	0	0	0	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0
C / P of studies for undefined SH in UNFCCC context	6	1	1	0	1	0	1	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Publication for international audience/stakeholder	6	1	1	0	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0
dev of methodologies and tools for undefined stakeholder	6	1	1	1	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0
EoE / LL with undefined SH in UNFCCC context	5	0	1	1	1	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
C / P of studies for partner in international context	5	1	1	1	0	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
Organisation and execution of side events on intern. conference	5	1	1	0	0	0	0	1	0	0	0	0	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0
dev of methodologies and tools for UNFCCC	4	1	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
EoE / LL with national representatives on international level	3	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	1	0	0	0
dev of methodologies and tool for CBD	3	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0
Consulting for undefined SH in international context	3	0	0	0	1	0	0	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Consulting for international stakeholder	3	0	1	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
consulting for national SH in negotiations	3	1	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
NDCs	3	0	0	0	0	1	0	0	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
C / P of studies for CBD	2	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
C / P of studies for practitioners in international context	2	0	0	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Conferences with/for representatives from national politics	2	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0
Creation / provision of studies	2	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Conferences with/for undefined stakeholder / target group	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	0
co-financing / additional funding by other organisations / NGOs	2	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
NAPs	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0
EoE / LL through platforms	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
T / W with SH in UNFCCC context	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
EoE / LL with national ministries	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0
Organisation and execution of events in CBD context	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Consulting for UNFCCC-SH	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
C / P of studies for national SH in international context	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
C / P of studies for multiple SH in international context	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sharing/implementation of project elements by other organisation	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0
study trip with international stakeholder	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
T / W with international actors	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Adoption of project elements in other countries	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
T / W with local politicians from different countries	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Organisation and execution of international events/conferences	1	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
transnational consulting of national actors	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Consulting for other IKI-Projects	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
bi- and multilat. provision of funding by/through undefined SH	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
dev of methodologies and tools with UN-Agency	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
bi- and multilat. provision of funding by/through intern. Orga	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
development of methodologies and tools for national ministries	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
undefined SH or Convention	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Ramsar COP	1	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
CBD	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
UNFCCC COP	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
IPCC	1	1	0	0																										

Annex IV table 2 shows that 28 out of 33 IKI projects were internationally active. The international level was a heavily used playing field and the projects carried out a variety of activities. The most used activities were:

- meetings,
- dissemination,<sup>150</sup>
- project presentation and research presentation,<sup>151</sup>
- events and side events,
- policy briefs and reports,
- cooperations,<sup>152</sup>
- consultation.<sup>153</sup>

Annex IV table 3 gives an impression to what extent and by what means IKI EbA projects tried to influence the negotiations at the UNFCCC and CBD level. Project presentation was the most common activity carried out. The creation and provision of studies in UNFCCC context (especially for NWP or UNFCCC SBSTA meetings and/or reports), the organization and execution of side events in UNFCCC context through the implementation organizations and the exchange of experience and lessons learned in UNFCCC context.

Annex IV table 3: Activities used for “International replication by the exchange of knowledge and experience” in UNFCCC and CBD contexts

Codes “International replication is facilitated by the exchange of knowledge and experience...” for UNFCCC and CBD	Number of findings in all projects
Presentation of the project at the UNFCCC context	37
Creation/Provision of studies for undefined SH in UNFCCC context	13
Organization and execution of side event in UNFCCC context	10
EoE/LL with undefined SH in UNFCCC context	8
dev of methodologies and tools for UNFCCC	4
dev of methodologies and tools for CBD	3
Creation/Provision of studies for CBD	3
Organization and execution of events in CBD context	2
Consulting for UNFCCC-Stakeholder	1
Training/workshops with Stakeholder in UNFCCC context	1

<sup>150</sup> Spreading of information in oral (participation in events, workshops, etc.) or written form (publications - digital or hard copies) - e.g., distribution of publications and/or hard copies.

<sup>151</sup> The IIED project has accompanied several EbA projects and studied them with a unified research question and approach.

<sup>152</sup> Cooperation with other EbA-projects (e.g., EbA South; GIZ EbA Community of Practice).

<sup>153</sup> Consultation and provision of technical expertise in the development of content, e.g., Contribution to texts/guidelines (e.g., for CBD) or development of working themes (e.g., for Global Adaptation Commission).

Source: Arepo.

## Annex IV.2 EQ 1.1

EQ 1.1 asks „to what extent has the IKI succeeded in positioning the EbA concept at the national (e.g., in NAPs), regional and/or international level?“

### National level

To answer this question for the national level an inventory of all national communications (INDCs/NDCs, NAPs and NBSAPs) of the countries involved in the projects was conducted and checked whether these national communications include the EbA approach (cf. Annex IV table 7). The national communication act in the analysis as a starting point for the successful positioning of EbA through the international level/Negotiation Pathway.

The following tables (Annex IV table 4 - 6) are showing the respective share of national communications with EbA reference in the total number of national communications in the respective year. Annex IV table 4 shows, for example, that in 2015 26 project countries published an INDC or NDC and in 10 of them EbA was mentioned.

These analysis shows that EbA plays a rather minor role in INDCs/NDCs (37% of them relating to EbA), a much bigger role in the NAPs of the project countries (78% contains references to EbA) and a mixed role in NBSAPs (51% refer to EbA).

Annex IV table 4: EbA in INDCs/NDCs

INDC / NDCs						
2015	2016	2017	2019	2020	2021	total
10 out of 26	1 out of 7	0 out of 2	0 out of 1	9 out of 17	0 out of 1	20 von 54
38%	14%	0%	0%	53%	0%	37%

Source: Arepo.

Annex IV table 5: EbA in NAPs

NAPs					
2015	2016	2017	2018	2019	total
0 out of 1	1 out of 1	2 out of 2	3 out of 3	1 out of 1	7 out of 9
0%	100%	100%	100%	50%	78%

Source: Arepo.

Annex IV table 6: EbA in NBSAPs

NBSAPs											
2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	total
0 out of 1	0 out of 1	-	1 out of 1	2 out of 9	7 out of 11	5 out of 9	3 out of 4	1 out of 2	0 out of 1	2 out of 2	21 out of 41
0%	0%	-	100%	22%	63%	56%	75%	50%	0%	100%	51%

Source: Arepo.

Annex IV table 7: Overview EbA in INDCs/NDCs, NAPs, NBSAPs<sup>154</sup>

Project countries	INDC						NDC					NAP					NBSAP									
	2015	2016	2017	2019	2020	2021	2015	2016	2017	2018	2019	2015	2016	2017	2018	2019	2010	2011	2013	2014	2015	2016	2017	2018	2019	2020
Antigua and Barbuda	0																				0					
Bangladesch	X				0																	X				
Brasil	0				0								X										X			
Burkina Faso	0						0										0									
Cambodia			0		X																	X				
Chile	0				X				X														X			
China		0														0										
Columbia	X				X					X													X			
Costa Rica	X				X																		X			
Cuba	0				0																	0				
Dominican Rep.	X																		0							
Ecuador	0			0																		X				
El Salvador	0																X									
Fiji	0				X					X																X
Grenada	X				0						X											0				
Guatemala	0											0							0							
Haiti	0																									X
Honduras		0																					0			
India		0																							0	
Jamaica	X																					X				
Kazakhstan		0																		0						
Kenya	0								X																	
Kyrgyzstan					0															0						
Laos	X																						X			
Mali		0																			0					
Mexico	X				X																	X				
Nepal		X			X																					
Panama					X																				0	
Peru	X				X																0					
Philippines	0					0															X					
Salomonen		0																				0				
Senegal					0																	0				
South Africa	0									X											X					
Tajikistan			0																			0				
Thailand	0				X																	X				
Tonga	0				0																					
Uganda	0																					0				
Vanuatu					0																			X		
Viet Nam	X				X																	X				

Source: Arepo.

<sup>154</sup> Legend: a green “1” shows a finding of a national communication (INDC/NDC, NAPs and NBSAPs) with EbA reference and a red “0” shows a finding without a reference to EbA.

To answer the question to what extent the IKI has succeeded in positioning the EbA concept at the national level the initial general assessment was completed by findings from the case studies. In the Vietnam and Peru case studies there were some evidences, that IKI projects contributed to implementation of EbA on national level:

#### Case Study Vietnam:

- “EbA has found its way into all climate change related policies of Vietnam, including the Updated NDC. This was not due to IKI funded projects only, but they contributed.”<sup>155</sup>

#### Case Study Peru:

- “Besides, these officers point out that it was important and timely that during the period in which the MINAM team worked internally with the NDCs, EbA projects were underway or had just finished and they were aware of their scope and achievements. Having this important information on its results allowed the NDC to incorporate the ecosystem dimension and address the issue in public investments.”<sup>156</sup>

The **IIED case study** showed clearer finding regarding to the EQ. Following quotes are from the analysis of the reports:

- “Project contributed to EbA integration in **Chile’s** National Action Plan on Climate Change, 2017-2022” + “It contributed to the inclusion of EbA in Chile’s revised National Climate Change Adaptation Plan and Nationally Determined Contributions”
- “In **Costa Rica** the project continued to support the inclusion of EbA as a strategic objective in NAP in collaboration with MINAE and its Climate Change Directorate”
- Nepal: “Project is also actively engaged in NAP formulation processes and have been advocating for EbA mainstreaming in NAP” + “In Nepal, contributed to the formulation of National Adaptation Plan (NAP) which includes EbA as a priority area.”
- **Peru**: “project activities was referenced in a section of Peru’s NDCs” + “In Peru the project contributed to string EbA inclusion in Peru’s NDC”
- “In **Senegal**, the project is supporting the integration of EbA in NAP through collaborations with the Climate Change Focal Point under Ministry of Environment” + “hosted two national workshops on National Adaptation Plan (NAP) in March 2019 and shared project findings with key policy makers. Following those workshops, Ministry of Environment decided to train officials developing the NAP to integrate ecosystem-based approaches.”

---

<sup>155</sup> Case study Vietnam, p. V.

<sup>156</sup> Case study Peru, p. 12.

The **Global Mountain project (12\_II+\_012\_Global\_M\_EbA Mountain Flagship)** showed more evidence for the hypothesis, that IKI projects are able to implement EbA in national communications:

- “The Peru Intended Nationally Determined Contribution (INDC) was recently developed, with the project team asked to contribute by reviewing the draft and providing recommendations on how to integrate EbA (Peru 2015). The scope and objectives for achieving Peru’s adaptation goals in the prioritized sectors of water and forestry include EbA-relevant elements. [...] The INDC even refers to the Mountain EbA Programme specifically in the context of results and practical experiences provided by key projects, which have informed the INDC adaptation proposal. The project team also hopes to be included in the consultations on the development of the National Adaptation Plan (NAP), which will be developed following the INDC (J Leslie & E Fernandez-Baca 2015, pers. comm.).”<sup>157</sup>
- Uganda: “The NBSAP is also in the process of being reviewed and the incorporation of EbA is already being discussed. UNDP has been engaged in the working groups for the development of the Intended Nationally Determined Contribution and National Adaptation Plan, providing a means to feed in opportunities for policy change in support of EbA (P Nteza 2015, pers. comm.).”<sup>158</sup>

In 12 of 33 projects, evidences were found that the implementation organization/project was able to demonstrate that the IKI project had influence on the implementation of EbA in NAPs, NDCs, and/or NBSAPs. Here the IKI succeeded in positioning at the national level.

Annex IV table 8: projects with influence on NDCs; NAPs or NBSAPs.

Project with influence on NDCs; NAPs or NBSAPs	
08_II_018	X
11_II+_001	X
11_II_084	X
12_II+_012	X
13_II_099	X
14_II_111	X
15_II_110	X
15_II_116	X
15_II_117	X
16_II_130	X
16_II_131	X
16_II_138	X

Source: Arepo.

<sup>157</sup> Making the Case for Ecosystem-Based Adaptation: The Global Mountain EbA Programme in Nepal, Peru and Uganda. New York, p.. 90f.

<sup>158</sup> Making the Case for Ecosystem-Based Adaptation: The Global Mountain EbA Programme in Nepal, Peru and Uganda. New York, p. 96.

## Regional level

---

For the implementation of EbA at the regional level through the IKI projects in addition to the qualitative content analysis, an (internet-based) additional general research was done.

The GEF project EbA South, funded through the Special Climate Change Fund,<sup>159</sup> seeks to deliver south-south-cooperation on EbA. There is no direct connection to IKI projects on EbA. The IIED case study reveals an intense cooperation between project 15\_II\_116 and EbA South (sharing of methodology and contribution to “Ecosystem-based adaptation: a handbook for EbA in mountain, dryland and coastal ecosystems”<sup>160</sup>).

The IKI project PEBACC<sup>161</sup> is implemented by the Secretariat of the Pacific Regional Environment Programme (SPREP),<sup>162</sup> in partnership with the Governments of Fiji, Solomon Islands and Vanuatu,<sup>163</sup> and refer to knowledge products from Mountain EbA project.<sup>164</sup>

The ASEAN Environment Ministers have included some references to EbA in their statement for the Eleventh Meeting of the Conference of the Parties to the Convention on Biological Diversity of 2012.<sup>165</sup> Also, the Greater Mekong Subregion (GMS) has highlighted the relevance of mangrove-friendly shrimp farming in the Mekong Delta in two instances.<sup>166</sup> In both cases, these mentions come comparatively early for stating a direct influence of an IKI project, but on the other hand, they seem to relate to the influence of two important IKI project countries (Vietnam and the Philippines) in which IKI projects have left traces early on.<sup>167</sup>

It was found that CBD-decision X/2 (Strategic Plan for Biodiversity 2011-2020) "urges regional organizations to consider the development or updating of regional biodiversity strategies, as appropriate, including agreeing on regional targets, as a means of complementing and supporting national actions and of contributing to the implementation of the Strategic Plan for Biodiversity 2011-2020". The CBD lists 28 regional intergovernmental organizations and institutes addressing biodiversity to date, 11 biodiversity strategies have also been published

---

<sup>159</sup> Ecosystem-based Adaptation through South-South-Cooperation (n.d.).

<sup>160</sup> Swiderska, K., King-Okumu, C., & Islam, M. M. (2018). Ecosystem-based adaptation: a handbook for EbA in mountain, dryland and coastal ecosystems.

<sup>161</sup> Internationale Klimaschutzinitiative (2021). Natürliche Ansätze für die Anpassung an den Klimawandel im Pazifik: Umsetzung von ökosystembasierten Ansätzen.

<sup>162</sup> The Pacific Ecosystems-based Adaptation to Climate Change project.

<sup>163</sup> Which are also project countries in the IKI projects 09\_II\_069 and 14\_II\_109\_Pacific\_M\_Natural solutions to Climate change.

<sup>164</sup> 12\_II+\_012\_Global\_M\_EbA Mountain Flagship; Secretariat of the Pacific Regional Environment Programme (n.d.). Ecosystem-based Approaches (EbA).

<sup>165</sup> ASEAN (Association of Southeast Asian Nations) (2012). Joint Statement of ASEAN Environment Ministers for the Eleventh Meeting of the Conference of the Parties to the Convention on Biological Diversity.

<sup>166</sup> Greater Mekong Subregion Core Environment Program Strategic Framework and Action Plan 2018-2022 and Greater Mekong Subregion (n.d.). How Mangrove-Friendly Shrimp Farming Is Protecting the Mekong Delta.

<sup>167</sup> Cf. VNM case study, 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_131\_Asien\_A\_Mekong WET, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

by regional organizations,<sup>168</sup> but only the Caribbean Community and Common Market strategy makes reference to EbA.<sup>169</sup>

## International Level

---

IKI projects were instrumental in positioning EbA at the international level, for example through the international platform projects. Other funders (including BMZ) also play a role. Different approaches for the positioning of the concept were applied and are discussed further in the following sections. The extended analysis for the international level was carried out in EQ 1.1.1, EQ 1.1.2 and EQ 1.1.3 (cf. Annex IV.2.1, Annex IV.2.2 and Annex IV.2.3).

### Annex IV.2.1 EQ 1.1.1

For EQ 1.1.1 “To what degree has the IKI succeeded in positioning the EbA concept in Convention guidance?” we conducted a qualitative content analysis. Therefore, we coded with MaxQDA all available final reports and – where final reports were missing – the most recent annual reports. With this, we aimed to find evidence of whether any positioning of EbA in Convention Guidance was done by the projects.

To broaden the context and catch all possible impacts and “successes” of the IKI projects at the international level and in the negotiations, we extended the term “Convention Guidance” to UNFCCC or CBD COP Decisions (strict sense) and negotiations in the UNFCCC and CBD context (wider sense).

## COP Decisions

---

Coding did not yield findings regarding an attempt or “success in positioning the EbA Convention Guidance” through the IKI projects.

## EbA in UNFCCC COP Decisions

---

A comprehensive research was conducted and a keyword search was performed for all UNFCCC COP Decision related documents (from 2008 to 2019) and all Earth Negotiations Bulletins for the corresponding sessions. The keywords to find EbA references were:

“ecosystem”, “EbA”, “nature”, “NbS”, “adaptation”.

The research showed that within the UNFCCC COP Decisions, there are only two instances in the period under review (from 2008) where EbA is directly mentioned: At COP 17 (2011, Durban), it was decided that the Nairobi Work Programme should hold workshops, including

---

<sup>168</sup> <https://www.cbd.int/nbsap/related-info/region-bsap/>.

<sup>169</sup> [https://caricom.org/documents/16630-un\\_environment\\_-\\_the\\_state\\_of\\_biodiversity\\_in\\_the\\_caribbean\\_community\\_b5....pdf](https://caricom.org/documents/16630-un_environment_-_the_state_of_biodiversity_in_the_caribbean_community_b5....pdf).

a "technical workshop on ecosystem-based approaches for adaptation to climate change",<sup>170</sup> which was finally held in 2013.<sup>171</sup> At COP 24 (2018, Katowice), the report of the Adaptation Committee<sup>172</sup> was considered and presented to the COP, which then adopted the decision, which "encourages Parties to take into consideration and utilize, as appropriate, [...] ecosystem-based adaptation." Based on the project documents, there is no evidence of a direct contribution of any of the IKI EbA projects in our sample to these findings.

### **EbA in CBD COP Decision**

---

A direct link between IKI activities and entrenchment of EbA and CBD COP Decisions was not directly demonstrable from the data and interviews. Individual IKI projects, however, had strong influence on formulation of the CBD "Voluntary guidelines for the design and effective implementation of ecosystem-based approaches to climate change adaptation and disaster risk reduction and supplementary information." initiated by Decision at CBD COP 13 (2016), adopted at CBD COP 14 in 2018 and published in 2019.<sup>173</sup>

### **Findings from project reports and coding**

#### **Project 16\_II\_138\_Global\_A\_FEBA Koordination**

In Decision 14/5 the CBD COP14 "invites organizations, including the Friends of Ecosystem-based Adaptation and the Partnership for Environment and Disaster Risk Reduction, and their respective members, to continue to support Parties in their efforts to promote ecosystem-based approaches to climate change adaptation and disaster risk reduction and the approaches to climate change adaptation and disaster risk reduction of indigenous peoples and local communities".

- "FEBA and its members worked closely in 2019 with the CBD Secretariat in consultations on both the development of the Post-2020 Global Biodiversity Framework as well as the operationalization of the CBD voluntary guidelines on EbA and Eco-DRR adopted in 2018."<sup>174</sup>

**Project 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming** „Support of the CBD Secretariat in the finalization, layout and publication of the CBD Voluntary Guidelines for EbA

---

<sup>170</sup> UNFCCC (2011). Report of the Conference of the Parties on its seventeenth session, held in Durban from 28 November to 11 December 2011.

<sup>171</sup> UNFCCC (2013). Technical workshop on ecosystem-based approaches for adaptation to climate change.

<sup>172</sup> UNFCCC (2018). Report of the Conference of the Parties on its twenty-fourth session, held in Katowice from 2 to 15 December 2018.

<sup>173</sup> Convention on Biological Diversity (2019). "Voluntary guidelines for the design and effective implementation of ecosystem-based approaches to climate change adaptation and disaster risk reduction and supplementary information" adopted by the Conference of the Parties to the CBD at its fourteenth meeting (Sharm El-Sheikh, Egypt, 17–29 November 2018).

<sup>174</sup> Report 2019 project 16\_II\_138\_Global\_A\_FEBA Koordination, p. 2.

and Eco-DRR, e.g. preparation of charts and three information documents for the sectors agriculture, spatial planning and public financial planning.<sup>175</sup>

- „The CBD Secretariat uses a number of knowledge products from the project in the Voluntary Guidelines for Ecosystem-based Adaptation and Disaster Risk Reduction (including EbA Solutions from PANORAMA, overview graphics on governance and mainstreaming, EbA Training, M&E Learning Brief, etc.).“<sup>176</sup>
- „Preparation and revision of 3 Sector Briefs within the framework of the CBD Voluntary Guidelines as information documents for the sectors of agriculture, spatial planning and financial planning.“<sup>177</sup>

The research in the **IIED Case Study** showed, that the project 15\_II\_116\_Global\_A\_EbA Evidence and Policy managed to have „direct inputs into CBD’s draft guidelines for Ecosystem-based Approaches to Climate Change Adaptation and Disaster Risk Reduction“<sup>178</sup> IIED (the implementation organization of this project) “contributed to the development of CBD voluntary guidelines for the design and effective implementation of EbA and Eco-DRR [...] the guidelines were adopted at CBD SBSTTA in July 2018 and endorsed by the CBD COP in December 2018.”<sup>179</sup>

Other IKI projects had little to no interaction with the CBD decision process and CBD COP outputs. There were no findings/codes in our qualitative content analysis.

### **EbA in negotiations**

---

Beyond the direct Guidance and COP decisions, negotiations can be extended to the discussions on Subsidiary Bodies level which might not (yet) have resulted in a COP Decision.

In both Conventions (UNFCCC and CBD), EbA had a more consistent role on the “working level” of the ongoing negotiations. As will be described in the following sections, the IKI projects have contributed to this.

#### **EbA at UNFCCC Negotiation level (SBSTA; NWP; AP)**

EbA plays an important role in the UNFCCC Subsidiary Bodies and is mentioned and considered in various reports, studies, workshops during the period under review (2008 - 2019). Examples:

- 2011: The SBSTA requested the secretariat to undertake the following interim activities under the Nairobi work programme, subject to the availability of resources,

---

<sup>175</sup> Report 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, p. 8; translated from german.

<sup>176</sup> Report 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, p. 5; translated from german.

<sup>177</sup> Report 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, p. 12; translated from german.

<sup>178</sup> IIED report 2017.

<sup>179</sup> IIED report 2018.

until SBSTA 35: [...] (b) Compile information on ecosystem-based approaches to adaptation<sup>180</sup>

- 2011 NWP-Report for SBSTA: “Ecosystem-based approaches to adaptation: Compilation of information. Note by the secretariat“ (FCCC/SBSTA/2011/INF.8)<sup>181</sup>
- 2013: NWP conducts a “Technical workshop on ecosystem-based approaches for adaptation to climate change”<sup>182</sup> at the request of COP 17<sup>183</sup> → Report zum Workshop<sup>184</sup> was welcomed by SBSTA 38 (2013)<sup>185</sup>
- 2014: SBSTA 43 Document “Good practices and lessons learned in adaptation planning processes addressing ecosystems, human settlements, water resources and health, and in processes and structures for linking national and local adaptation planning: a synthesis of case studies”<sup>186</sup>
- 2016 SBSTA/NWP: “The AC agreed to prepare a report, in 2017, on various approaches to adaptation, such as community- and ecosystem-based adaptation [...]”<sup>187</sup>
- 2017 SBSTA/NWP: “Adaptation planning, implementation and evaluation addressing ecosystems and areas such as water resources – Synthesis report by the secretariat”<sup>188</sup>
- 2018 Report of the Adaptation Committee in which the AC formulate the recommendation to the Conference of Parties: “Encourage Parties to take into consideration and utilize, as appropriate, various approaches to adaptation planning, including community-based adaptation, ecosystem-based adaptation.”<sup>189</sup> This recommendation was adopted by the COP 24 (2018 in Katowice) in Decision 9/CP.24

The findings of EbA mentioned in UNFCCC documents at the negotiation level are summarized in Annex IV table 9.

Annex IV table 9: EbA findings in documents/decisions in the UNFCCC context<sup>190</sup>

<sup>180</sup> <https://unfccc.int/resource/docs/2011/sbsta/eng/113.pdf>.

<sup>181</sup> <https://unfccc.int/sites/default/files/resource/docs/2011/sbsta/eng/inf08.pdf>.

<sup>182</sup> UNFCCC (2013). Technical workshop on ecosystem-based approaches for adaptation to climate change.

<sup>183</sup> <https://unfccc.int/sites/default/files/resource/docs/2012/sbsta/eng/inf01.pdf>.

<sup>184</sup> <https://unfccc.int/sites/default/files/resource/docs/2013/sbsta/eng/02.pdf>.

<sup>185</sup> <https://unfccc.int/resource/docs/2013/sbsta/eng/03.pdf>.

<sup>186</sup> <https://unfccc.int/resource/docs/2015/sbsta/eng/04.pdf>.

<sup>187</sup> <https://unfccc.int/sites/default/files/resource/docs/2016/sbsta/eng/inf04.pdf>.

<sup>188</sup> <https://unfccc.int/sites/default/files/resource/docs/2017/sbsta/eng/03.pdf>.

<sup>189</sup> [https://unfccc.int/sites/default/files/resource/3e\\_0.pdf](https://unfccc.int/sites/default/files/resource/3e_0.pdf).

<sup>190</sup> X indicates a mention of EbA; X with green indicates a relevant finding or a (potentially) catalytic result.

UNFCCC process and catalytic results					
	COP	UNFCCC SBSTA	UNFCCC SBI	Nairobi Work Programme	Adaptation Committee
2008	X				
2009		X		X	
2010		X	X	X	
2011	X	X	X	X	
2012	X	X	X	X	
2013	X	X	X	X	X
2014		X	X	X	
2015	X	X	X	X	
2016	X	X	X	X	X
2017	X	X	X	X	X
2018	X	X	X	X	X
2019		X	X		X

Source: Arepo.

Annex IV table 10 presents the findings from the coding for the qualitative content analysis and shows with which activities the IKI projects were active at the negotiation level and thus potentially influenced the negotiations and/or the work of the Subsidiary Bodies.

Annex IV table 10: role of IKI projects in UNFCCC negotiations context

Type of activity	Number of projects with finding
Presentation of the project at the UNFCCC context	14
Organization and execution of side event in UNFCCC context	7
Creation/Provision of studies for undefined SH in UNFCCC-Context	6
EoE/LL with undefined SH in UNFCCC context	5
dev of methodologies and tools for UNFCCC	4
Consulting for UNFCCC-Stakeholder	1
Training/workshops with Stakeholder in UNFCCC context	1

Source: Arepo.

IKI projects or implementing agencies are broadly represented with various activities at the UNFCCC negotiation level, for example:

**EbA Mountain (12\_II+\_012\_Global\_M\_EbA Mountain Flagship):**

- „At the global level, all partners have been actively promoting EbA both internally and externally. The partners have been using various fora to promote EbA such as UNFCCC and have been part of numerous technical workshops and facilitated sessions on EbA. They have also been providing feedback on technical papers being produced under the Nairobi Programme of Work that deals with EbA. This has also contributed towards integration of ecosystem based approaches for adaptation into UNFCCC reports [...].”<sup>191</sup>
- “IUCN worked closely with the UNFCCC Nairobi Work Programme for taking forward EbA. UNFCCC Nairobi Work Programme report, “Good practices and lessons learned in adaptation planning...” was presented to the Parties at the SBSTA 43 held on Dec 1-4, 2015; which had a major focus on ecosystems-adaptation nexus. IUCN was part of the Technical Review Group which guided this process from design to final product.”<sup>192</sup>
- “The United Nations Environment Assembly, the governing body of UNEP, has the mandate to take strategic decisions, provide political guidance on the work of UNEP and promote a strong science-policy interface.<sup>29</sup> At its first session in 2014, the UNEA adopted a resolution on ecosystem-based adaptation. The resolution was
- advocated for by Uganda, who brought in its experience of implementing EbA in practice through the Mountain EbA Programme (K Alverson 2015, pers. comm.). This helped make the case on the value of EbA to other countries and, together with Zimbabwe, proposed the resolution that was adopted. The UNEA Resolution 1/8 requests UNEP, in partnership with Governments and other stakeholders, to develop and implement ecosystem-based adaptation programmes, and encourages all countries to include ecosystem-based adaptation in their policies. The UNEA experience shows how, through a government partner and based on national level experience on implementing EbA in practice, the Mountain EbA Programme managed to make the policy case for EbA to an intergovernmental governing body of the UN, thereby prioritizing EbA as a key topic in UNEP’s global agenda from now on, in addition to empowering governments to include EbA in their national plans and policies.”<sup>193</sup>
- “The Mountain EbA partners were actively involved in organizing the UNFCCC Nairobi Work Programme technical workshop on ecosystem-based approaches to adaptation, which had been requested by the UNFCCC COP (Decision 6/CP.17; UNFCCC 2013). [...] The report of the workshop was included in the conclusions of the UNFCCC Subsidiary Body for Scientific and Technological Advice at its 38th Session (FCCC/SBSTA/2013/3).”<sup>194</sup>

<sup>191</sup> Report 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, p. 6.

<sup>192</sup> Report 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, p. 8.

<sup>193</sup> United Nations Development Programme (2015) Making the Case for Ecosystem-Based Adaptation: The Global Mountain EbA Programme in Nepal, Peru and Uganda, p. 83.

<sup>194</sup> United Nations Development Programme (2015) Making the Case for Ecosystem-Based Adaptation: The Global Mountain EbA Programme in Nepal, Peru and Uganda, p. 84.

- “The Nairobi Work Programme has provided an ideal platform for outreach on making the case for EbA. The programme has played an important role in including EbA in future work of the Nairobi Work Programme, where the range of stakeholders involved can jointly further understanding on this approach to adaptation.”
- “Research carried out by the project identified future opportunities for integrating EbA into national policies and strategies in Nepal (Gurung et al. 2015). This includes considering the relevance of EbA for the National Adaptation Plan (NAP) and Intended Nationally Determined Contributions (INDC) developed as part of national commitments under the UNFCCC. The case could be made for mainstreaming EbA into the Vision 2030 document being developed by the National Planning Commission, which would increase the weight given to EbA in national level, cross-sectoral development planning.”<sup>195</sup>

#### **FEBA project (16\_II\_138\_Global\_A\_FEBA Koordination):**

- “At UNFCCC COP 25, the FEBA Secretariat as part of the NWP Specialized Expert Group in the thematic area of the ocean, coastal areas and ecosystems, including contributed to the drafting of the Scoping Paper on the topic of Adaptation Knowledge and Knowledge Gaps on the Ocean, Coastal Areas and Ecosystems.”<sup>196</sup>
- “FEBA contributes to the achievement of the adaptation communication component of NDCs, as described in the UNFCCC COP 24 Decision, especially towards “enhanced learning and understanding of adaptation needs and actions” and “good practices, lessons learned, and information sharing” (FCCC/CP/2018/L.21).”<sup>197</sup>
- The “report, Adaptation planning, implementation and evaluation addressing ecosystems and areas such as water resources, was prepared under the Nairobi Work Programme (NWP) on impacts, vulnerability and adaptation to climate change in collaboration with members of Friends of EbA. Information in 45 submissions served as primary inputs.”<sup>198</sup>

#### **Global Mainstreaming project (15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming):**

- “Das UNFCCC Nairobi Work Programme nutzt u.a. Methoden und Beispiele (EbA Solutions, Mainstreaming Methoden) der PANORAMA und AdaptationCommunity.net Plattformen für den Wissensaustausch zu Klimaanpassung.”<sup>199</sup>

<sup>195</sup> United Nations Development Programme (2015) Making the Case for Ecosystem-Based Adaptation: The Global Mountain EbA Programme in Nepal, Peru and Uganda, p. 88.

<sup>196</sup> Report 16\_II\_138\_Global\_A\_FEBA Koordination, p. 11.

<sup>197</sup> Report 16\_II\_138\_Global\_A\_FEBA Koordination, p. 17.

<sup>198</sup> <https://friendsofeba.com/knowledge-products-2/>.

<sup>199</sup> Report 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, p. 5.

It can thus be assumed that the IKI projects have contributed to EbA being dealt with and discussed at the level of the UNFCCC negotiations. In some places, a direct influence on the individual Subsidiary Bodies and a contribution to reports can be demonstrated.

### Findings IIED Case Study

IIED project was active on two levels: country level and international level

- At the country level, there were mostly no direct activities to support partners/countries to promote EbA at the international level
- except for Chile and Uganda:
- Chile: „The project collaborated closely with Ministry of Environment in the preparation of COP 25 and ensured EbA was integrated into the government-led activities around COP 25.“<sup>200</sup>
- Uganda: “In Uganda in collaboration with the Climate Action Network-Uganda (CAN-U) the project convened a two-day National Dialogue on Climate Resilience in November 2018. The dialogue generated a CSO position paper with key recommendations and a common position for Uganda to take to COP 24.”<sup>201</sup>

At the international level, one of the goals of the IIED project was to achieve outreach through the NWP, the UNFCCC Adaptation Committee, and important international events. Here it can be noted that the AC and NWP worked with the EbA approach during the period of the IIED project and there were different outputs (workshops, reports, studies, etc.) from these Subsidiary Bodies that worked with and used EbA.<sup>202</sup> For example, the 2017 UNFCCC SBSTA Synthesis Report "Adaptation planning, implementation and evaluation addressing ecosystems and areas such as water resources" in which the NWP participated in the drafting. In the Report of the Adaptation Committee 2018, the AC in its recommendations to the COP advocated for EbA to be considered in adaptation planning: „Encourage Parties to take into consideration and utilize, as appropriate, various approaches to adaptation planning, including community-based adaptation, ecosystem-based adaptation.“<sup>203</sup>

Influence and impact at subsidiary level (SBSTA; SBI; NWP; AC etc.) by IIED is conceivable and evident in findings (IIED has conducted/organized various side events, made Project and Research presentation etc.). Examples:

- 2016: Disseminated project results at UNFCCC SBSTA, Bonn in May 2016 through 2 official side-events, the Adaptation Knowledge Day and the FEBA meeting

---

<sup>200</sup> IIED report 2019.

<sup>201</sup> IIED report 2018.

<sup>202</sup> See IIED case study.

<sup>203</sup> [https://unfccc.int/sites/default/files/resource/3e\\_0.pdf](https://unfccc.int/sites/default/files/resource/3e_0.pdf).

- 2017: Presented, organized events and/or shared research findings at UNFCCC SBSTA 47
- 2019: Organized a project meeting during UNFCCC SBSTA 50 where participants from 12 countries shared learnings from the project

### Findings from Case Studies:

Peru:

- “Another interesting aspect that is mentioned for a better positioning of the EbA issue in the negotiations is that “it would be important to open the convention to NGOs, indigenous communities, the private sector, etc.”<sup>204</sup> → NGOs (und damit auch IKI-Projekte die durch DO vertreten werden) sind im UNFCCC-Prozess unterrepräsentiert und deswegen wirkungslos

Vietnam:

- “[Manager 16\_II\_131\_Asien\_A\_Mekong WET] IUCN has played a key role in getting NbS and EbA into the international convention language, the CBD and UNFCCC negotiations, also Ramsar Convention, partly as it received IKI support for relevant projects (see also section 1.1).”<sup>205</sup>

The extent to which individual IKI activities have directly contributed to EbA being addressed in the negotiations cannot be inferred from the data. The IKI projects contribute to a broader discourse on EbA, but this discourse is also shaped by other actors such as nation states and NGOs.

### **EbA at CBD Negotiation level (SBSTTA; SBI)**

---

There are several findings, that EbA is integrated in documents of CBD SBSTTA and SBI and there are some findings, which show that IKI projects were active in CBD context and promoted the EbA concept and supported its implementation in these documents.<sup>206</sup> Compared to the IKI project activities in the UNFCCC context, the subsidiary context of CBD is less addressed (cf. Annex IV table 11).

Annex IV table 11: EbA findings in documents and decisions in the CBD context<sup>207</sup>

---

<sup>204</sup> Case study Peru, p. 37.

<sup>205</sup> Case study Vietnam, p. 25.

<sup>206</sup> See in particular findings on CBD in project „16\_II\_138 FEBA“ and “15\_II\_117 Global Mainstreaming“.

<sup>207</sup> X indicates a mention of EbA; X with green indicates a relevant finding or a (potentially) catalytic result.

CBD process and catalytic results			
	COP	SBSTTA	SBI
2008			
2009			
2010	X		
2011			
2012	X	X	
2013		X	
2014	X	X	
2015		X	
2016	X	X	X
2017		X	
2018	X	X	X
2019	X	X	

Source: Arepo.

Only few projects interacted with the CBD context, especially the project 16\_II\_138\_Global\_A\_FEBA Koordination and the project 15\_II\_116\_Global\_A\_EbA Evidence and Policy from the IIED case study. For example, the project 16\_II\_138\_Global\_A\_FEBA Koordination stated in his report, that his knowledge products from the project helped the CBD Secretariat to implement EbA: „The CBD Secretariat, in a Note by the Executive Secretary (CBD/SBSTTA/22/8) acknowledged that in developing the first criteria and standards for EbA, FEBA has ‘improved the outcome potential of EbA interventions worldwide’.” Following this, FEBA was invited in 2019 by the CBD Secretariat to contribute to the drafting of the “CBD/SBSTTA/23/3 Note by the Executive Secretary on Biodiversity & Climate Change”. This was also reflected in the qualitative content analysis and the coding, in which we found only findings that the “development of methodologies and tools” (e.g., collaboration with the CBD Secretariat), the “creation and provision of studies for CBD” and the “organization and execution of events in CBD context” (cf. Annex IV table 12).

Annex IV table 12: Findings for codes “International replication is facilitated by the exchange of knowledge and experience...” for the CBD context

Codes “International replication is facilitated by the exchange of knowledge and experience...” for CBD	Number of projects with finding
Development of methodologies and tools for CBD	3
Creation/Provision of studies for CBD	3
Organization and execution of events in CBD context	2

Source: Arepo.

**Annex IV.2.2 EQ 1.1.2**

To answer EQ 1.1.2 “To what degree has the Convention guidance succeeded in positioning the EbA concept in NAPs, NBSAPs and NDCs?” we were looking for evidences or hints where the international level (Convention Guidance and negotiations as for EQ 1.1.1 discussed) and/or stakeholder on the international level (primarily the IKI projects respectively the implementation organizations) had succeeded in positioning EbA in national communication. We tried also to evaluate the importance of the international level for the design and formulation of the national communications (INDC/NDC, NAP, NBSAP). For that we used the case studies, the qualitative content analysis of the project reports and interviews.

We have not found any proof that the international level was direct responsible for the implementation of EbA in a national communication. However, the activities of the IKI projects at the international level (cf. Annex IV table 1 and 2) have contributed to the fact that the EbA concept remains on the political agenda and is perceived as a meaningful option for action in the adaptation sector. The international negotiation context has therefore certainly indirectly contributed to the fact that EbA is now widely represented in NDCs, NAPs and NBSAPS (see Annex IV tables 4, 5, 6 and 7). The international level is used by the IKI projects as a platform to convince countries to use EbA and to work with them on implementation of EbA approaches in or through their national adaptation policies.

In the interview in context with the **IIED case study**<sup>208</sup> following statements were made:

- „We are looking to working through NWP-process to push the EbA perspective into NDCs and NAPs.”
- “If low technical expertise in country (LDCs) extern/international consultation is important which help them to put NDCs together” → “SBSTA-advice can be then helpful”
- “For implementation of the NDCs and adaptation plans the NWP has specific workshop to get countries together to support countries to do their adaptation plans and discuss them. This is an opportunity for organizations like IIED to meet these countries and help them and to present EbA as a viable option.
- “Implementing measures goes through NDCs and this is what really matters.”
- “Subsidiary bodies and technical advisory group become really important, because they give technical assistant to countries to implement and translate their NDCs into action. This is where we want to focus our energy.”

The **Peru case study** shows that there a no immediate results of discussing EbA on international level:

---

<sup>208</sup> Interviewee no. 9.

- „Regarding international level negotiations, the representatives of the institutions of the evaluated projects acknowledge that these do not generate effects on the short term, the ideas "trickle" towards decision makers and high-level officials, who are internalizing an idea of the issues little by little.“<sup>209</sup>

A report in context of the **Global Mountain project** (12\_II+\_012\_Global\_M\_EbA Mountain Flagship) discussed how important on international level a high-level commitment (e.g., UNFCCC COP Decision) would be:

- “Global level policy guidance on EbA has a direct impact on how certain types of national plans, such as NAPs, INDCs and NBSAPs are developed. Such guidance can provide needed policy support in designing and drafting national policies that mainstream EbA. The programme has applied a range of approaches for making the case for EbA to global policy audiences, thereby increasing acceptance of EbA discourse at the global policy level. Programme partners, supported by the Government of Germany, have engaged in dialogues; presented experiences and lessons learned on planning and implementing EbA; provided technical advice; and carried out policy advocacy at global level, including through events at the UNFCCC and CBD meetings.”<sup>210</sup>

This is supported by the statement of Interviewee no. 10:

- „A UNFCCC COP-Decision would be a breakthrough as long as there is no formal decision, states can ignore the issue or the approach is not sufficiently legitimized.“<sup>211</sup>

There are many guidelines for NAPs. This is an option to implement EbA in these national communications. There is the “Technical guidelines for the national adaptation plan process UNFCCC - LDC Expert Group, DECEMBER 2012”<sup>212</sup> which refers to and recommends EbA. In addition, there are other so-called “supplementary-documents” as guidance for countries to formulate their NAPs. 10 out of 30 of these supplementary documents refer to EbA:

1. CBD (2014) “Promoting synergies in addressing biodiversity and climate change adaptation issues: linking national adaptation plans and national biodiversity strategies and action plans”<sup>213</sup>
2. CI (2015) “Tool for integration of ecosystems into climate change adaptation planning processes”<sup>214</sup>
3. WMO (2015) “Climate Services for Supporting Climate Change Adaptation: Supplement to the Technical Guidelines for the National Adaptation Plan Process”<sup>215</sup>

<sup>209</sup> Case study Peru, p. 36.

<sup>210</sup> Making the Case for Ecosystem-Based Adaptation: The Global Mountain EbA Programme in Nepal, Peru and Uganda. New York, p. 98.

<sup>211</sup> Quote translated from German.

<sup>212</sup> UNFCCC (2012). National Adaptation Plans: Technical guidelines for the national adaptation plan process, p. 65 and 94.

<sup>213</sup> <https://www4.unfccc.int/sites/NAPC/Documents/Supplements/CBD%20NAP%20biodiversity%202014.pdf>.

<sup>214</sup> [https://www4.unfccc.int/sites/NAPC/Documents%20NAP/Supplements/Ecosystems\\_Tool\\_NAPs.pdf](https://www4.unfccc.int/sites/NAPC/Documents%20NAP/Supplements/Ecosystems_Tool_NAPs.pdf).

<sup>215</sup> <https://www4.unfccc.int/sites/NAPC/Documents/Supplements/Climate%20services.pdf>.

4. IPACC (2016) “An Introduction to integrating African Indigenous & Traditional Knowledge in National Adaptation Plans, Programmes of Action, Platforms and Policies”<sup>216</sup>
5. IIED (2017) “National adaptation plans: understanding mandates and sharing experiences”<sup>217</sup>
6. FAO (2017) “Addressing Agriculture, Forestry and Fisheries in National Adaptation Plans”<sup>218</sup>
7. UN HABITAT (2018) “Addressing Urban and Human Settlements Issues in National Adaptation Plans”<sup>219</sup>
8. UNCDF (2019) “Financing Local Adaptation to Climate Change”<sup>220</sup>
9. FAO (2020) “Addressing fisheries and aquaculture in National Adaptation Plans (Supplement to the UNFCCC NAP Technical Guidelines)”<sup>221</sup>
10. FAO (2020) “Addressing forestry and agroforestry in National Adaptation Plans (Supplementary Guidelines)”<sup>222</sup>

### Annex IV.2.3 EQ 1.1.3

The EQ 1.1.3 “To what degree and how have the NAPs, NBSAPs and NDCs led to national policies that use EbA?” was examined in the context of the higher-level question EQ 1.1 which asks “to what extent has the IKI succeeded in positioning the EbA concept at the national [...] level?”

There is no clear evidence in the project documents and in our research that NAPs, NBSAPs and NDCs were directly responsible for enacting certain national policies that use EbA.

We found some indirect evidences that INDCs/NDCs, NAPs and NBSAPS can play an role regarding to national policies which use EbA. Some findings are listed below:

#### **Findings from research of gray literature or accompanying studies of the global platform project 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming:**

##### **Peru**

- „Integrate EbA principles and criteria across the four stages of NAP process. The NAP is a means to promote more long-term programmatic approaches, beyond projects

<sup>216</sup> <https://www4.unfccc.int/sites/NAPC/Documents/Supplements/IPACC%20Jan%202016.pdf>.

<sup>217</sup> [https://www4.unfccc.int/sites/NAPC/Documents/Supplements/IIED\\_NAP\\_mandates\\_2017.pdf](https://www4.unfccc.int/sites/NAPC/Documents/Supplements/IIED_NAP_mandates_2017.pdf).

<sup>218</sup>

[https://www4.unfccc.int/sites/NAPC/Documents%20NAP/Supplements/FAO\\_Addressung%20Agriculture%2c%20Forestry%20and%20Fisheries%20in%20NAPs.pdf](https://www4.unfccc.int/sites/NAPC/Documents%20NAP/Supplements/FAO_Addressung%20Agriculture%2c%20Forestry%20and%20Fisheries%20in%20NAPs.pdf).

<sup>219</sup> <https://www4.unfccc.int/sites/NAPC/Documents/Supplements/NAP-Human%20Settlement.pdf>.

<sup>220</sup>

[https://www4.unfccc.int/sites/NAPC/Documents/Supplements/Financing\\_local\\_adaptation\\_to\\_climate\\_change\\_UNCDF.pdf](https://www4.unfccc.int/sites/NAPC/Documents/Supplements/Financing_local_adaptation_to_climate_change_UNCDF.pdf).

<sup>221</sup> [https://www4.unfccc.int/sites/NAPC/Documents/Supplements/FAO\\_Fisheries%20and%20aquaculture\\_ca2215en.pdf](https://www4.unfccc.int/sites/NAPC/Documents/Supplements/FAO_Fisheries%20and%20aquaculture_ca2215en.pdf).

<sup>222</sup> [https://www4.unfccc.int/sites/NAPC/Documents/Supplements/FAO\\_Forestry%20and%20agroforestry\\_CB1203EN.pdf](https://www4.unfccc.int/sites/NAPC/Documents/Supplements/FAO_Forestry%20and%20agroforestry_CB1203EN.pdf).

and initiatives and therefore it is a key entry point for EbA mainstreaming. Given that the National Adaptation Plan will be the implementation mechanism of the NDC for adaptation, new policy opportunities will arise and it is therefore pivotal that the EbA approach is integrated as a crosscutting element.”<sup>223</sup>

- “A common EbA roadmap as an integral part of the elaboration of the National Adaptation Plan and thus the NDCs would contribute to making ecosystem services a central component of climate adaptation efforts in Peru.”<sup>224</sup>

### Mexico

- “Most recently, the country’s most outstanding milestone with regards to mainstreaming EbA was the development of the Nationally Determined Contributions (NDCs) presented to the United Nations Framework Convention on Climate Change (UNFCCC) in 2015. This document defines EbA and determines a series of actions to be implemented between 2020 and 2030, including deforestation targets, watershed management, ecological connectivity, and protected area management and conservation (Cuevas & Echaniz 2017; Gobierno de la República 2015).<sup>225</sup>
- EbA already prominently anchored in national legislation prior to this (e.g., 2012 General Law for Climate Change)
- For future steps, it can be built on the fact that EbA is prominently integrated into the NDC

### South Africa

- extensive „EbA related policy and strategies” existed before NAP 2018 and NBSAP 2015<sup>226</sup>

### Philippines

- „Five entry points were identified that pose immediate opportunity for mainstreaming EbA: [...] the 5) National Adaptation Plan (NAP) process including the revision of the National Climate Change Adaptation Plan.”<sup>227</sup>
- “However, the Climate Change Commission recognized the importance of EbA as a cross-cutting concept, integrating this in the updated plan 2011-2028 and linking the National Adaptation Plan and Nationally Determined Contribution processes.”<sup>228</sup>

These quotes show the potential importance of NDCs and NAPs for the overall policy process on national level. From the perspective of the implementation organization NAPs functions as

<sup>223</sup> Entry Points for Mainstreaming Ecosystem-based Adaptation - The Case of Peru, p. 14.

<sup>224</sup> Entry Points for Mainstreaming Ecosystem-based Adaptation - The Case of Peru, p. 35.

<sup>225</sup> Entry Points for Mainstreaming Ecosystem-based Adaptation - The Case of Mexico, p. 9 .

<sup>226</sup> Entry Points for Mainstreaming Ecosystem-based Adaptation - The Case of South Africa, p. 8.

<sup>227</sup> Entry Points for Mainstreaming Ecosystem-based Adaptation - The Case of Philippines, p. 5.

<sup>228</sup> Entry Points for Mainstreaming Ecosystem-based Adaptation - The Case of Philippines, p. 6.

“specific entry point” and NDC/NAP are “key policy instrument”. This is also supported by interview statements made in the IIED case study: “If we get EbA mentioned in the NDCs, then in-country work become easier.”<sup>229</sup>

Further research showed that in six cases EbA was already in the process of being integrated into national policies before the respective countries (22 countries) adopted their NAPs, NBSAPs and/or NDCs (with or without EbA). NAPs, NBSAPs and NDCs are therefore not necessarily a prerequisite for the implementation of EbA in national policies (cf. Annex table 13).

---

<sup>229</sup> Interviewee no. 9.

Annex IV table 13: countries where EbA was already being integrated into national policies before the respective countries adopted their NAPs, NBSAPs and/or NDCs (with or without EbA)

Country	Name of Policy	Year	Category	EbA finding	INDC/NDC or NAP or NBSAP with EbA
Dom. Rep.	National Strategy to Strengthen Human Resources and Skills to Advance Green, Low Emissions, and Climate Resilient Development	2012	Energy Supply, REDD+ and LULUCF, Adaptation, Research and Development, Institutions / Administrative arrangements	yes	2015 (INDC)
Kambodscha	Cambodia Climate Change Action Plan (CCCAP)	2013	Cambodia develops towards a green, low carbon, climate resilient, equitable, sustainable and knowledge-based society	yes	2020 (NDC)
Kenia	National Environment Policy 2013	2013	Carbon Pricing, Adaptation, Research and Development, Institutions / Administrative arrangements	yes	2017 (NAP)
	National Climate Change Response Strategy 2010 As implemented by 2013-2017 Climate Change Action Plan	2010	Adaptation, Research and Development, Institutions / Administrative arrangements	yes	
Nepal	Climate Change Policy	2011	Adaptation, Research and Development, Institutions / Administrative arrangements	yes	2014 (NBSAP); 2016 (INDC); 2020 (NDC)
Philippinen	National Climate Change Action Plan	2011	Energy Supply, Energy Demand, REDD+ and LULUCF, Adaptation, Institutions / Administrative arrangements	yes	2016 (NBSAP)
Südafrika	National Climate Change Response Policy White Paper (NCCRP)	2011	Carbon Pricing, Energy Supply, Transportation, Adaptation, Research and Development, Institutions / Administrative arrangements	yes	2015 (NBSAP); 2018 (NAP)

Source: Arepo.

**Annex IV.3 EQ 1.2**

To answer EQ 1.2 “How can IKI projects position and strengthen the topic of EbA at negotiations?” In order to answer the question, the status quo or the inventory of the measures implemented by the projects is presented below:

- Most of the projects have carried out "Participation in and presentation at international conferences" as an activity to position and strengthen EbA in the negotiations.
- About one third of the projects have organized their own conferences, events, and side events at international conferences.
- 12 out of 33 projects have sought to share experiences and lessons learned at the international level or in the context of negotiations
- 12 out of 33 projects have prepared studies (reports, papers, etc.) for international context/stake holder and/or brought/disseminated already prepared studies in international context/negotiations
- 11 out of 33 projects have conducted or participated in trainings and workshops at international level and/or in the context of negotiations (e.g., UNFCCC LEG training, EbA Community of Practice Workshop , EbA Knowledge Day workshops )
- 10 out of 33 have conducted consulting at the international level/for international stakeholders
- Similarly, there have been networking activities at the international level (9 out of 33)
- Publications for the international context have been produced by 6 out of 33 projects
- Only 1 project has conducted study trips for international stakeholders

Annex IV table 14: Activities used by projects to position and strengthen EbA on international level

Findings EQ 1.2	
Number of projects with findings	28 out of 33
Activities	Number of projects which used this activity
Participation in and presentation at international conferences	21

Findings EQ 1.2	
Conferences (organization and execution)	13
Exchange of experience and lessons learned	12
Creation and provision of studies	12
Training/Workshop at international level	11
Development of methods and tools at international level	11
Consulting at international level	10
Creation/participation/contribution to Network at international Level	9
Publication for international context	6
Study trip with/for international stakeholder	1

Source: Arepo.

This general overview is supplemented by statements from various interviews:

Interviewee no. 9:

- „Possibilities [to influence] are strong if organizations are well-positioned, experienced and engaged.”
- “Opportunities exist through many avenues, for example: involvement through NGO groupings such as Climate Action Network (CAN); running side events and parallel events to connect negotiators to wider NGO community, share knowledge and raise awareness; provision of training and support to government actors; sometimes acting as pink badges (country representatives with negotiator status); providing research to inform evidence-based decision-making, and contributing to convention processes to gather this information and shape it into useful forms.”
- “Sharing evidence on what works (and doesn’t work) and sharing examples of how to integrate EbA into national and international policy processes to scale up impact. Broader awareness raising and information sharing on this to keep EbA in the spotlight.”

- “Capacity building and training on EbA – helping actors understand what it is and how to apply it and scale up application.”
- “Engagement in key fora such as the IPCC, Nairobi Work Programme, and Global Commission on Adaptation, which feed directly into negotiations, and also fora such as Friends of Ecosystem-Based Adaptation (FEBA) and EbA for Food Security Assembly (EBAFOSA) which are less directly connected to the negotiations process but have broader influence than single organizations at times because they are coalitions.”

Interviewee no. 7 said there are various options for implementing organizations to influence the negotiations. Especially calls for submission are a good opportunity. A “reaction to these calls with EbA-data is important to implement EbA in process and generate follow up benefits”. It is also helpful to “bring in people which are in contact with ecosystems (indigenous people; practitioners).” Other statements/recommendations were:

- “Connect EbA with other perspectives and areas like livelihood and culture.”
- “Events, workshops, EbA-Days elevates the visibility and helps to inform NAPs.”
- “Participation in technical working groups or expert groups in the Subsidiary Bodies is very important and influential.”

### Annex IV.3.1 EQ 1.2.1

To answer EQ 1.2.1 “What were success factors that determined whether and to what degree the project was influencing the negotiations?” we conducted in-depth research of these projects which were successful in influencing the negotiations (e.g., project 16\_II\_138 “FEBA”) projects and complemented this with findings from the interviews and the IIED case study.

Findings from FEBA project was successful by creating knowledge products that CBD, NWP, and other international bodies has used in its work. This has created a link that has allowed FEBA to further influence the work of international bodies on EbA.

#### 2017

- „At informal consultations on the Nairobi Work Programme, held on 9 May 2017 at SBSTA 46, Parties welcomed the NWP synthesis report on ecosystems and related water resources. The SBSTA co-chair invited IUCN to make an intervention during this consultation.”<sup>230</sup>

<sup>230</sup> Report (2018) for 16\_II\_138\_Global\_A\_FEBA Koordination, p. 5.

- “established partnership with FEBA experts to collaborate on a synthesis report on human health and adaptation planning, implementation and evaluation addressing ecosystems and areas such as water resources”
- “The [NWP]secretariat established a partnership with key experts (in this case, members of Friends of Ecosystem-based Adaptation (FEBA)) to collaborate in the preparation of the synthesis report.”
- “FEBA is mentioned [...] as the joint organizer of the NWP side event on ecosystems and ecosystem-based adaptation at SBSTA 46 and the secretariat’s collaboration with FEBA on the role of healthy ecosystems in climate change adaptation.”
- “The draft version of the CBD voluntary guidelines for the design and effective implementation of ecosystem-based approaches to climate change adaptation and disaster risk reduction, finalized during the reporting period, encourage Parties to join FEBA and follow FEBA guidance on EbA policy and implementation.”
- “FEBA has contributed directly to multilateral policy processes by facilitating the preparation of reports and guidelines requested by Parties to the CBD and UNFCCC, including the synthesis report “Adaptation planning, implementation and evaluation addressing ecosystems and areas such as water resources” and the (draft) “Voluntary guidelines for the design and effective implementation of eco-system-based approaches to climate change adaptation and disaster risk reduction.””
- “FEBA facilitated the development, review, and finalization of UNFCCC Synthesis Report on the lessons learned from adaptation activities and initiatives around the world: United Nations, Framework Convention on Climate Change, Adaptation planning, implementation and evaluation addressing eco-systems and areas such as water resources: Synthesis report by the secretariat, FCCC/SBSTA/2017/3 (27 March 2017). This SBSTA official document acknowledges FEBA on its first page.”<sup>231</sup>
- FEBA has “Contributed directly to multilateral processes by facilitating the preparation of reports and guidelines requested by Parties to the CBD and UNFCCC, including the synthesis report “Adaptation planning, implementation and evaluation addressing ecosystems and areas such as water resources” and the “Voluntary guidelines for the design and effective implementation of ecosystem-based approaches to climate change adaptation and disaster risk reduction.”
- “FEBA’s political outreach has focused mostly at the international level and the organizations that interact more often those which attend international policy fora at UNFCCC and COP. Now, we could look into the possibility of going more regional also

---

<sup>231</sup> Report (2018) for 16\_II\_138\_Global\_A\_FEBA Koordination, p. 10.

to increase the political outreach to influence and inform regional/national EbA policy and practice through members and regional alliances.”

## 2018

- “Adoption of CBD-guidelines presents an entry point for FEBA to engage with CBD focal points on mainstreaming EbA.”
- “FEBA secretariat produced a brief overview of COP 24 proceedings with an EbA perspective.”
- “FEBA partnered directly with the Secretariats of the UNFCCC and the CBD to contribute to, respectively, the synthesis report “Adaptation planning, implementation and evaluation addressing ecosystems and areas such as water resources”, and the voluntary guidelines for the design and effective implementation of ecosystem-based approaches to climate change adaptation and disaster risk reduction.”
- “Through minister-level events at UNFCCC COP 23 and COP 24, EbA Knowledge day workshops [...] FEBA is raising awareness and understanding of EbA among the adaptation and sustainable development communities and within multilateral policy frameworks. This increased awareness and understanding is illustrated in the IPCC Special Report 2018, where EbA is recognized as an option to reduce the risks to natural and managed ecosystems.”
- „The CBD Secretariat, in a Note by the Executive Secretary (CBD/SBSTTA/22/8) acknowledged that in developing the first criteria and standards for EbA, FEBA has “improved the outcome potential of EbA interventions worldwide”. Following this, FEBA was invited in 2019 by the CBD Secretariat to contribute to the drafting of the CBD/SBSTTA/23/3 Note by the Executive Secretary on Biodiversity & Climate Change. Section D, Nature-based Solutions for climate change adaptation, mitigation, and disaster risk reduction, underlines the importance of EbA as a “flexible, cost-effective, and broadly applicable approach for reducing the impacts of climate change for biodiversity conservation, poverty reduction, sustainable development, climate change mitigation, and disaster risk management”, as well as referencing the broad work led by IUCN in this area, including FEBA.“
- “Through scientific work (“developing criteria and standards for EbA”) the FEBA project was invited to participate in the work of the CBD.”
- “The adoption by Parties in November 2018 of the CBD voluntary guidelines [...] presents an entry point for FEBA (in cooperation with FEBA member SCBD) to engage with CBD focal points on mainstreaming EbA.”

## Findings from interviews

### Interviewee no. 6:

- „Coalition-Building is important.“
- „Countries are the most important actors.“
- “Side events (from organizations like IIED) have ‘some influence’ on the negotiators and countries. But most of the time important key negotiators have no time or not always the time to attend these events”
- “A presentation in regional groups on negotiation-days promise more success.”
- “Countries look at recommendations, not really at background information”
- “The UNFCCC COP is an intergovernmental process. IIED has to prove, with which countries it worked with, to influence COP process or to claim potential influence. IIED cannot directly influence the process or a COP decision.”

### Interviewees no. 8:<sup>232</sup>

- “IKI projects should also be designed to influence negotiations with/through them as well.” → influencing the negotiations is therefore generally intended and applied in projects.

Factors that hinder success:

- „In partner countries, high staff turnover is an aggravating factor. Continuous work with local partners and further development of EbA approaches is therefore difficult.“
- Potential challenges to mainstream EbA projects include:
  - EbA as a cross-sectoral concept requires cooperation of a multitude of different actors. To connect all of these actors is difficult.
  - EbA not (yet) part of education (e.g., of engineers)
  - Cost-benefits/economic advantages not yet sufficiently proven.
  - Language barrier.”

### Interviewee no. 9:

- “Sharing evidence on what works (and doesn’t work) and sharing examples of how to integrate EbA into national and international policy processes to scale up impact.

---

<sup>232</sup> Translated from German.

Broader awareness raising and information sharing on this to keep EbA in the spotlight.”

- “Capacity building and training on EbA – helping actors understand what it is and how to apply it and scale up application.”
- “Engagement in key fora such as the IPCC, Nairobi Work Programme, and Global Commission on Adaptation, which feed directly into negotiations, and also fora such as Friends of Ecosystem-Based Adaptation (FEBA) and EbA for Food Security Assembly (EBAFOSA) which are less directly connected to the negotiations process but have broader influence than single organizations at times because they are coalitions.”

#### **Interviewee no. 10:<sup>233</sup>**

- “In order for IKI to function as a strategically important program, it would be helpful to empower countries or partners within the projects (at least from project mid-term) to advocate for EbA also on an international dimension. In particular, the national focal points should be specifically addressed and a tool box should be made available to them.”

#### **Findings from IIED case study**

- IIED contributed „to the development of CBD voluntary guidelines for the design and effective implementation of EbA and Eco-DRR“

Comparison of IIED activities at the international level with the logic model<sup>234</sup> approach shows that where IIED has been successful (CBD and UNFCCC Subsidiary Bodies), activities have reached the outcome level. A green box in Table 1 indicates that there were activities in the IIED project in the specific context (column) which reached a certain level on a spectrum from output – outcome – impact. The higher the level of activity, the greater the catalytic potential of these activities.

Annex IV table 15: Exemplary impact of IIED project 15\_II\_116\_Global\_A\_EbA Evidence and Policy

---

<sup>233</sup> Translated from German.

<sup>234</sup> The PHINEO approach was used.

	UNFCCC COP	UNFCCC SBSTA, NWP, AC	CBD	IPCC	CBA	IUCN	EbA Community of Practice
Level 7 – Impact (Collective global action increased)							
Level 6 – Outcome (Policies, strategies or plans are formulated or implemented)							
Level 5 – Outcome (Behavior and actions of target audience changes)							
Level 4 – Outcome (Awareness and skills of target audience changes)							
Level 3 – Output (Services/products meet the needs of target audience and are accepted by them)							
Level 2 – Output (Target audience is reached and uses services/products)							
Level 1 – Output (Services/products of IKI projects are implemented as planned)							

Source: Arepo.

**Annex IV.4 EQ 1.3**

For EQ 1.3 “To what extent do IKI’s EbA projects promote the pioneering role of partners during negotiations?” we used findings from the qualitative content analysis and coding, and the interviews. IKI projects only sporadically support partners during international negotiations. There is an intensive cooperation of the projects or the implementing organizations with the relevant national actors and partners (ministries of environment, etc.) in the elaboration of national, regional, and local policies as well as - with reference to the international level - NAPs/NDCs/NBSAPs, etc. Thus, cooperation mainly takes place on the technical dimension/level.

**Findings from the projects:**

The **FEBA project (16\_II\_138\_Global\_A\_FEBA Koordination)** used an approach to bring together different stakeholders at the international level and/or in the context of negotiations and to support them by providing knowledge products.

- „FEBA comprises 79 government ministries and sub-agencies, UN bodies and conventions, NGOs, research centers, and other institutions. About half of these institutions (i.e., 40 members) are actively involved in FEBA functioning and knowledge

sharing, through FEBA member meetings, Working Groups, and joint events such as EbA Knowledge Days and COP seminar series.”<sup>235</sup>

- “FEBA has produced 12 working groups to date framed around thematic areas and knowledge gaps of EbA, to share information and collaborate as well as synthesize knowledge across organizations to produce joint technical products and follow with **a joint policy influencing agenda.**”<sup>236</sup>

**Project 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen** states that the project supported the Tajik delegation “to participate in COP 25 in Madrid and meetings with e.g. GCF, NDC-P were organized.”<sup>237</sup>

### Findings from interview

Interviewee no. 9:

- “In order to keep the project budget within what we thought BMU would be most likely to support, we included very little support for bringing our national level partners to global policy fora. [...] Our developing country partners had less opportunity to ‘piggy-back’ outreach/international policy influence activities on other project activities than international project partners (IIED, IUCN and WCMC). Some did, however, and whenever this happened, IIED provided opportunities for them to speak in the COP side events and parallel events we had arranged, and we also supported them with their events. BMU/ICI reporting forms don’t provide quite enough space to provide details on this, which is perhaps why it went un-noticed.”

Interviewee no. 8:

- „In early hours of EbA, it was mainly non-state actors that brought EbA on the international agenda; e.g. IUCN, UNEP, UNDP important as pushing actors.“

Interviewee no. 10:

- „Negotiators in the CBD context are socialized differently than negotiators in the UNFCCC context (e.g., study/training). The CBD is more technical, the UNFCCC more political.“
- „In order for IKI to function as a strategically important program (for the BMU), it would be helpful to enable the countries within the projects (at least from project mid-term) to advocate for EbA also on an international dimension - in particular, to

<sup>235</sup> ZB 16\_II\_138\_Global\_A\_FEBA Koordination, p. 5

<sup>236</sup> ZB 16\_II\_138\_Global\_A\_FEBA Koordination, p. 13.

<sup>237</sup> ZB 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, p. 16, translated from German.

address national focal points in a targeted manner and to make the tool box available.“

#### Annex IV.5 EQ 1.4

#### Annex IV.6 EQ 1.4

To answer EQ 1.4 “To what extent do practical demonstrations of EbA solutions (to proof their technical feasibility and affordability) play a role at international conferences?” different codes were combined to catch “practical demonstrations”. Following codes were used:

- Presentation of experience
- Presentation of the approach
- Presentation of project components
- Presentation of study results, which evaluate experiences and findings from projects
- Sharing expertise and learning from practitioners
- Presentation of specific measures implemented
- Side-Events / Events with specific and practical references (e.g., EbA Knowledge Days)
- Presentation of good practices
- Sharing knowledge and lessons learned.

Findings for these codes have been summarized under the code “Practical demonstrations at international conferences”. We found, that in 21 of 33 IKI projects there were different activities and measures which can be subsumed as “practical demonstrations in the context of international conferences” (cf. Annex IV table 16). In all these 21 projects, a total of 55 activities were carried out.

Annex IV table 16: Projects with activities for practical demonstration at international conferences

Project	Practical demonstration at international conferences
11_II+_002 ZB	1
11_II_075 SB	1
11_II_084 SB	1
11_II+_001 SB	1
12_II+_003 SB	1
12_II+_005 SB	1
12_II+_012 SB	1

Project	Practical demonstration at international conferences
13_II_098 ZB	1
13_II_099 SB	1
13_II_102 SB	1
13_II+_010 SB	1
14_II_109 ZB	1
14_II_111 SB	1
15_II_108 SB	1
15_II_110 ZB	1
15_II_116 ZB	1
15_II_117 ZB	1
16_II_131 ZB	1
16_II_128 ZB	1
16_II_130 ZB	1
16_II_138 ZB	1

Source: Arepo.

We looked also for findings regarding to “technical feasibility” and “affordability” in the project reports.

#### **Findings for „technical feasibility“ (in total 6 projects):**

In project 11\_II\_084\_Global\_A\_EbA solutions technical project staff was sent to international conferences in total five times:

- “Technical project staff participated in international policy events to share expertise and learn from practitioners at the global scale.”<sup>238</sup>

16\_II\_130\_IDN\_A\_EbA Building with Nature:

- “Side event #19 SBSTA50: EcoShape participated in the Expert Dialogue on technologies for averting, minimizing, and addressing loss and damage in coastal zones at the UNFCCC SBSTA in Bonn (June 2019), co-organized by the UNFCCC Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with the adverse impacts of climate change (WIM Excom) and the Technology Executive Committee (TEC).

#### **Findings for „affordability“ (in total 2 projects):**

---

<sup>238</sup> 11\_II\_084\_Global\_A\_EbA solutions, p. 10.

#### 11\_II\_084\_Global\_A\_EbA solutions:

- „Cost Effectiveness Study report [...] show that among the 3 adaptation options, it is still best to prioritize investment on mangrove protection and mangrove rehabilitation rather than building a seawall [...]. The results of the study were presented during two side events at the UNFCCC COP in Paris, December 2015.”<sup>239</sup>

#### 15\_II\_108\_COL\_A\_Magdalena River Basin:

- “We developed different publications to share important results and promote EbA: [...] 4) Cost-benefit analysis of EbA measures. Additionally, we presented papers in the 12th International Symposium on Ecohydraulics in Tokyo (2018) and the American Geophysical Union -AGU- Fall Meeting in San Francisco (2016).

It can be assumed that more was done in the projects on the two topics “technical feasibility” and “affordability”, but this is not noted in the project reports.

## Annex V. Annex on the Multiplier Pathway

### Annex V.1 5.2.1: Subordinate Authorities

Subordinate authorities can be considered as familiar with the EbA concept and the application of EbA when representatives participated in or had been targets of activities which go beyond raising awareness for EbA and impart knowledge of action. Examples for such activities from the project documentations were the participation of representatives of subordinate authorities in trainings and workshops, the establishment of a working group that includes stakeholders from local politics, consulting, conferences, and that subordinate authorities were provided with methodologies and tools. An unsurpassable sign for EbA familiarization is the implementation of EbA measures as well as the inclusion of EbA in local or national plans and politics.

Based on the findings, subordinate authorities are moderately familiar with the EbA concept and the application of it. In 22 projects, subordinate authorities can be considered familiar with the EbA concept and the application of these. In addition, in the documentation of at least two projects, explicit claims that stakeholders in subordinate authorities were sensitized and familiar with the EbA concept and the application of EbA were identified. The case studies furthermore revealed that there was a large difference in the degree of familiarization of subordinate authorities in the three countries. In Peru, the level of knowledge on EbA has been increasing since 2013, when the first activities were conducted. The current degree of

---

<sup>239</sup> 11\_II\_084\_Global\_A\_EbA solutions, p. 8.

familiarization can be considered as high. In Vietnam, it was found that there was limited knowledge on the EbA concept. The expertise in subordinate authorities was mostly limited to groups, such as project partners, and local decision-makers, that came into contact with the EbA projects. And on Grenada, the knowledge on the EbA concept was identified to be highly limited. Only groups that were in direct contact with EbA projects had some expertise on the EbA concept.

## Annex V.2 5.2.2: Adoption in other sectors

Based on the analysis of the portfolio projects as well as the case study reports, only two IKI projects led to adoption of the EbA approach in other sectors. In the context of shrimp production in Vietnam (16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA), the project reported that it was upscaled and commercialized to a degree that it significantly contributes to the economic sector in the regional context. Furthermore, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA contributed to the design of the Law on Planning in Vietnam, which gives guidelines on the planning processes.

In most projects, the information is insufficient to fully assess whether the approach has been adopted in other sectors.<sup>240</sup> On the basis of the available project reports, three projects seem to offer potential for the adoption of EbA approaches promoted by the IKI in eight different sectors. In Burkina Faso (15\_II\_116\_Global\_A\_EbA Evidence and Policy), due to the project's contributions, the National Council on Sustainable Development formally endorsed EbA as an important approach that should be implemented by the ministries responsible for agriculture, livestock, and water. In project 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, guidelines were created that enable stakeholders in agriculture, spatial and financial planning to adopt the EbA approach. And lastly, the project 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen enabled the adoption of the risk analysis tool that they developed for the analysis of land use issues to the transport and tourism sector. Experiences on transferring the methodology to non-land use contexts have been communicated to decision makers as well as local communities through working groups. A report based on these experiences furthermore includes recommendations on how to integrate the analysis and results into the current Green Economy (GE) modeling process.

The case studies demonstrated that the IKI EbA projects were important in distributing the knowledge about EbA across sectors. In Peru for instance, one site that is part of the Adaptation of Water Resource Management to Climate Change Project, San Pedro de Casta, had established itself as a pilot learning center. The site was important in distributing

---

<sup>240</sup> Mainly because the projects are still ongoing or have not yet completed their final reports. Terminal evaluations would have been very helpful for this assessment but had not yet been conducted.

knowledge and information about the projects EbA features to other institutions and the private sector (Case Study Report Peru: 222). In another instance, the EbA Amazonia project was an important vehicle for a local champion, the PCM Deputy Minister of Territorial Governance, to link different sectors with each other and to promote the EbA approach (Case Study Report Peru: 203).

### Annex V.3 5.2.3: Learning among projects

Aspects of learning between projects was seen in most projects. Only five projects do not list any element of learning among projects in their project documents. According to the project documentation, learning among EbA projects was seen at the national level and across countries. Learning among EbA projects takes place via manifold ways, including the production and/or provision of studies or publications, consulting, at conferences or through practical demonstrations through the exchange of experiences and lessons learned among projects, e.g., via platforms.

At the national level, the possibility of learning among projects was given in at least three projects through meetings and workshops with other IKI projects. In two Peru projects (13\_II\_098\_PER\_M\_Communal Reserves, 17\_II\_133\_PER\_A\_Adapting Water Resource Management), the second IKI Peru meeting in October 2019 with the participation of more than 25 representatives of bilateral and regional IKI projects is mentioned and can be seen as an event for mutual learning, which can be considered as South-South learning. Insights from the project effectiveness framework of project 15\_II\_116\_Global\_A\_EbA Evidence and Policy were integrated into the design of indicators for the Upscaling Mountain EbA project. An interesting and noteworthy approach to cross-country learning are those instances in which the same IKI project facilitates learning between countries. The EbA Mountain project played an important role as a role model in this respect, and the approach allowed it to identify those lessons that can be transferred in contrast to experiences that have to be made locally.

At least two further examples include the integration of learnings from one IKI project into the proposal for a new IKI project. The project 16\_II\_131\_Asien\_A\_Mekong WET worked with stakeholders such as UNEP, IUCN, and the governments of China, Kirghizstan, and Magnolia to develop a new proposal for IKI on “Conserving and restoring threatened highland peatlands as vital water towers, biodiversity hotspots and carbon stores in Central and Northeast Asia”. Also, learnings from project 15\_II\_116\_Global\_A\_EbA Evidence and Policy were integrated to inform the design of the IKI-funded project “Scaling-up Ecosystem based Adaptation Measures in rural Latin America” as well as a GCF-funded project.

The case studies provided some more detailed information on how IKI EbA projects enabled the adoption of the EbA concepts by others by demonstrating that the EbA approach was a convincing way to address the issues at hand. Various IKI projects have encouraged other

projects to implement EbA approaches due to the experience they have brought into the region. In more detail, the evaluation was able to trace the influence of IKI projects as follows: In Peru, one project that was implementing an EbA approach as a result of IKI projects in the country was the GEF-project "Conservation, management and rehabilitation of fragile ecosystems of lomas in Lima", which is implemented by the UNDP (Case Study Report Peru). Similarly, a local organization in Grenada, WIDRERF, was motivated to write a proposal to the Caribbean Biodiversity Fund (CBF) that included EbA measures based on the knowledge they collected through the lessons learned from the Project "Resilient Islands: Advancing Caribbean Climate Adaptation through Natural Solutions" (Case Study Report Grenada). In Vietnam, the UNIQUE company in Le Thuy district in Quang Tri province took advantage of the lessons of the IKI project "Mainstreaming of ecosystem based adaptation into the national climate change adaptation strategy and into land use and development of Vietnam" (13\_II+\_010\_VNM\_G\_Mainstreaming EbA), which were both focused on coastal adaptation issues (Case Study Report Vietnam). Another example from Vietnam, where the approach of the IKI projects have motivated the project planners to use lessons about EbA from the IKI projects is the project Integrated Mekong Delta Climate Resilience Programme, which is funded but not yet approved by the BMZ (Case Study Report Vietnam). These links have been confirmed in the local case studies through interviews and triangulation.

An exchange of experience and lessons learned across countries through events and meetings was documented in the majority of projects. A total of 19 projects have participated in or organized international events to talk about their own experiences and project insights. But in a more targeted mode, an exchange of experience has been to organize a joint knowledge sharing event with a project from a neighboring country (13\_II\_099\_THA\_G\_Extremereignismanagement).

The outcome of learning project-to-project is evidenced when projects take over elements of other projects. This is the case in at least two projects. For example, the project 15\_II\_116\_Global\_A\_EbA Evidence and Policy contributed input to enhance the designs of two other projects: Firstly, the International Fund for Agricultural Development-funded project ASHA: Adaptation for Smallholders in Hilly Areas Project, which is implemented by the Ministry of Forest and Environment in Nepal as well as the project "Catalysing Ecosystem Restoration for Climate Resilient Natural Capital and Rural Livelihoods in Degraded Forests and Rangelands of Nepal", which is funded by GEF and implemented by UN Environment.

A more institutionalized way of sharing lessons and learning from other projects is the contribution, creation or participation in international networks and platforms which is documented for at least 14 projects. IKI projects had platforms and the facilitation of learning as the project approach. Prominent here is project 12\_II+\_012\_Global\_M\_EbA Mountain Flagship as it established a consortium of organizations, taking the EbA discourse to the higher

political level: the Friends of Ecosystem-based Adaptation (FEBA). At least five projects reported that they have participated in FEBA events or have shared knowledge through the FEBA network. FEBA was continued with project 16\_II\_138\_Global\_A\_FEBA Koordination which developed a digital exchange platform on the FEBA webpage to member projects, a clearing house for FEBA outputs (technical briefs, Working Group products, meeting reports, newsletters, etc.), and a record of past, ongoing, and upcoming FEBA activities. Another important platform was the international EbA community of practice (CoP) and the national CoPs. At least six projects either took part in a meeting or conference of a EbA community of practice or gained knowledge through the platform. Other projects took advantage of platforms such as Blue Solutions, or the Partnership for Environment and Disaster Risk Reduction.

For nine out of the 33 projects, project results were published on Panorama Solutions, which can contribute to learning at all geographical levels and specifically addresses practitioners of EbA and related approaches.

No correlation between the project type and learning was found, as learning is found at projects of all project types. It can be concluded that learning is not bound to a specific project type, neither is it more likely with a certain project type.

#### Annex V.4 5.2.4: Mainstreaming

Mainstreaming can be defined as the process of making something start to be considered normal.<sup>241</sup> In the context of the IKI EbA projects, mainstreaming activities can range from activities such as the adoption of EbA activities in school and university curricula, public relation activities, and training and workshops with diverse stakeholders to the adoption of elements of the EbA concept into policies, plans, and regulations.

Mainstreaming was widely implemented by the portfolio projects in form of various methods. Following mainstreaming activities were conducted on the national, subnational, and local levels. EbA approaches have been adopted into policy documents as well as into plans and guidelines on the national and regional level in at least twelve of the 33 portfolio projects.<sup>242</sup> The EPIC project (12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities) achieved to support the inclusion of EbA approaches in several policy documents in Chile. Similar achievements were registered in Colombia and Ecuador

<sup>241</sup> <https://dictionary.cambridge.org/dictionary/english/mainstreaming>.

<sup>242</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 11\_II\_085\_PHL\_G\_Anpassung Küstenbereiche, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 15\_II\_110\_Zentralasien\_G\_EbA\_Hochgebirgsregionen, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_130\_IDN\_A\_EbA\_Building with Nature, 16\_II\_131\_Asien\_A\_Mekong WET.

(12\_II+\_003), Costa Rica (11\_II+\_001), the Philippines (11\_II\_085), Vietnam (10\_II\_086), Mexico (11\_II\_080), Indonesia (16\_II\_130\_IDN\_A\_EbA Building with Nature), Mexico and Peru (15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming\_Global\_G\_Wissensnetzwerk EbA Mainstreaming), Tajikistan (15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen), Solomon Islands (09\_II\_069\_Global\_A\_Pacific Mangroves), Philippines and South Africa (11\_II\_084\_Global\_A\_EbA solutions), as well as the five countries of the Lower Mekong Basin (16\_II\_131\_Asien\_A\_Mekong WET). In these cases, the EbA approach has been incorporated through the projects' advisory work into diverse national and regional plans and guidelines.

Mainstreaming in the **education sector** took place in at least eleven cases. In no less than seven projects, it was reported that **universities** included EbA in their curricula,<sup>243</sup> and one project stated that EbA was integrated into **vocational trainings**.<sup>244</sup> The inclusion of EbA in national **agricultural extension** is registered at least three times in the project documentations.<sup>245</sup> Two projects supported the establishment of environmental education in **schools**.<sup>246</sup> In one project, an adoption in the education sector is very likely to happen in the future: according to their interim report 2019, the still ongoing MEbA project (11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance) achieved to sign a small-scale financial agreement with the University UEAN to develop an online course that will be available to at least 500 MFI staff members in the main areas in which MEbA provides training to staff (e.g., climate change basics, EbA, risk management, green financing, MEbA tools, among others).

Mainstreaming in the **private sector** including the banking/finance sector is seen in four cases.<sup>247</sup> In Vietnam (16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA), interested shrimp companies adopted the payment-for-environmental-services approach and started applying it on their shrimp suppliers. Furthermore, successful scaling of the project was demonstrated during the lifetime of the project. By the end of the project the approaches were being replicated in over 5,000 ha of mangrove by other shrimp companies, which used the same or an adapted approach to Payment for Environmental Services financing as in the project's sites.

In the Philippines (17\_II\_139\_PHL\_A\_EbA Financing Instruments), preparatory steps have been taken for the scaling of EbA via the creation of three public-private sector collaboration platforms. These aim to support the private sector and governments in making wider use of EbA concepts. As this project is still ongoing, to potential to achieve the scaling of EbA in the

<sup>243</sup> 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 13\_II\_099\_THA\_G\_Extremereignismanagement, 15\_II\_116\_Global\_A\_EbA Evidence and Policy, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_130\_IDN\_A\_EbA Building with Nature, 16\_II\_131\_Asien\_A\_Mekong WET, 17\_II\_139\_PHL\_A\_EbA Financing Instruments.

<sup>244</sup> 11\_II\_080\_MEX\_A\_adaptation in watersheds.

<sup>245</sup> 11\_II\_080\_MEX\_A\_adaptation in watersheds, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>246</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming.

<sup>247</sup> 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance, 13\_II\_099\_THA\_G\_Extremereignismanagement, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA, 17\_II\_139\_PHL\_A\_EbA Financing Instruments.

Philippines is not yet fully tested. In the context of the MEbA project (11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance), potential for the adoption of EbA approaches within the MFI/banking sector was likely, as MFIs showed keen interest to include and promote sustainable adaptation products in their portfolio.

The potential for scaling is also given in Thailand (13\_II\_099\_THA\_G\_Extremereignismmanagement) where cooperation and regular exchanges were initiated between the project and with one of the largest state-owned companies in Thailand, the gas and oil company PTT Public Company Limited, and opportunities for cooperation were discussed at events. During the lifetime of the project, PTT expressed interest in the implementation of EbA approaches and the corresponding experience from the project in order to secure the water resources required for the production processes in the long term and on a sustainable basis. Concrete cooperation is to be examined within the framework of the succeeding IKI project.

Further mainstreaming activities were reported by the projects, too many in fact to be fully listed here. **Training and workshops** to build capacity were the most frequent and were conducted for several stakeholders: for representatives of the government and ministries on the national level (19 cases),<sup>248</sup> for representatives from local authorities (15 cases),<sup>249</sup> as well as for representatives from subnational authorities (three cases)<sup>250</sup>. Training and workshops were also conducted for farmers (eight cases)<sup>251</sup>, representatives from university/academia

---

<sup>248</sup> 08\_II\_018\_ASIA\_A\_TNC Schutzgebiete, 09\_II\_069\_Global\_A\_Pacific Mangroves, 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 11\_II\_084\_Global\_A\_EbA solutions, 11\_II\_085\_PHL\_G\_Anpassung Küstenbereiche, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 13\_II\_099\_THA\_G\_Extremereignismmanagement, 14\_II\_095\_Pazifik\_A\_Enabling EbA, 15\_II\_108\_COL\_A\_Magdalena River Basin, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 15\_II\_116\_Global\_A\_EbA Evidence and Policy\_Global\_A\_EbA Evidence and Policy, 16\_II\_130\_IDN\_A\_EbA Building with Nature, 16\_II\_131\_Asien\_A\_Mekong WET, 17\_II\_133\_PER\_A\_Adapting Water Resource Management, 17\_II\_139\_PHL\_A\_EbA Financing Instruments, 17\_II\_140\_MEX\_G\_EbA Privatwirtschaft, 17\_II\_147\_Caribbean\_A\_Resilient Islands via EbA.

<sup>249</sup> 08\_II\_018\_ASIA\_A\_TNC Schutzgebiete, 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_075\_NPL\_A\_watershed management, 11\_II\_084\_Global\_A\_EbA solutions -, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, 13\_II\_099\_THA\_G\_Extremereignismmanagement, 14\_II\_095\_Pazifik\_A\_Enabling EbA, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA, 15\_II\_108\_COL\_A\_Magdalena River Basin, 15\_II\_116\_Global\_A\_EbA Evidence and Policy\_Global\_A\_EbA Evidence and Policy, 16\_II\_131\_Asien\_A\_Mekong WET, 17\_II\_133\_PER\_A\_Adapting Water Resource Management, 17\_II\_140\_MEX\_G\_EbA Privatwirtschaft.

<sup>250</sup> 08\_II\_018\_ASIA\_A\_TNC Schutzgebiete, 11\_II\_084\_Global\_A\_EbA solutions, 13\_II\_102\_Africa\_A\_WISE-UP.

<sup>251</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 11\_II\_084\_Global\_A\_EbA solutions, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 14\_II\_109\_Pacific\_M\_Natural solutions to Climate change, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 15\_II\_116\_Global\_A\_EbA Evidence and Policy\_Global\_A\_EbA Evidence and Policy, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

(six cases),<sup>252</sup> as well as in a vast number of projects for other stakeholders, such as technicians or business representatives (28 cases).<sup>253</sup>

**Studies** were written and distributed to representatives of national ministries and authorities (four cases)<sup>254</sup> as well as local ministries and authorities (11\_II\_084\_Global\_A\_EbA solutions), for representatives from national politics (13\_II\_102\_Africa\_A\_WISE-UP), for universities/academia (eight cases).<sup>255</sup> Almost all projects (31 cases) reported to have written and distributed studies, but often the target group of the studies was not clearly defined. Only two projects did not produce any studies.<sup>256</sup> Nevertheless, these two projects are still ongoing, and it is still possible that all IKI projects from the sample might ultimately have produced one or more studies.

Other mainstreaming activities included study trips, summer schools, consulting, and public relation activities with diverse stakeholders.

The case study reports have revealed that mainstreaming activities led to catalytic outcomes.

In a number of instances, the reports clearly linked mainstreaming outcomes to IKI projects that led to the replication or the scaling-up of EbA approaches. Firstly, TNC reported to have upscaled their AWE project by expanding their project to other communities and countries (Case Study Report Grenada 14: 1181). Secondly, a case was identified in the context of the project 12\_II+\_012 in the Huaytapallana ACR (in Huancayo and Concepción provinces, and Rio Shullcas sub-basin), where the Junín Regional Government has formulated and executed

---

<sup>252</sup> 08\_II\_018\_ASIA\_A\_TNC Schutzgebiete, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 16\_II\_131\_Asien\_A\_Mekong WET, 17\_II\_133\_PER\_A\_Adapting Water Resource Management, 17\_II\_139\_PHL\_A\_EbA Financing Instruments, 17\_II\_140\_MEX\_G\_EbA Privatwirtschaft.

<sup>253</sup> 08\_II\_018\_ASIA\_A\_TNC Schutzgebiete, 09\_II\_069\_Global\_A\_Pacific Mangroves, 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_075\_NPL\_A\_watershed management, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 11\_II\_084\_Global\_A\_EbA solutions, 11\_II\_085\_PHL\_G\_Anpassung Küstenbereiche, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, 13\_II\_102\_Africa\_A\_WISE-UP, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 14\_II\_109\_Pacific\_M\_Natural solutions to Climate change, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA, 15\_II\_108\_COL\_A\_Magdalena River Basin, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 15\_II\_116\_Global\_A\_EbA Evidence and Policy\_Global\_A\_EbA Evidence and Policy, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_128\_Global\_A\_Ecosystems Risk and Climate Adaptation, 16\_II\_130\_IDN\_A\_EbA Building with Nature, 16\_II\_131\_Asien\_A\_Mekong WET, 17\_II\_133\_PER\_A\_Adapting Water Resource Management, 17\_II\_140\_MEX\_G\_EbA Privatwirtschaft, 14\_II\_095\_Pazifik\_A\_Enabling EbA, 17\_II\_139\_PHL\_A\_EbA Financing Instruments, 17\_II\_147\_Caribbean\_A\_Resilient Islands via EbA.

<sup>254</sup> 11\_II\_084\_Global\_A\_EbA solutions, 13\_II\_098\_PER\_M\_Communal Reserves, 13\_II\_099\_THA\_G\_Extremereignismanagement, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen.

<sup>255</sup> 11\_II\_084\_Global\_A\_EbA solutions, 11\_II+\_001\_Lateinamerika\_A\_EbA\_Smallholder Farming, 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance, 13\_II\_102\_Africa\_A\_WISE-UP, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 15\_II\_116\_Global\_A\_EbA Evidence and Policy\_Global\_A\_EbA Evidence and Policy, 16\_II\_130\_IDN\_A\_EbA Building with Nature.

<sup>256</sup> 16\_II\_156\_Karibik\_K\_Climate Adaptation in the Caribbean, 17\_II\_133\_PER\_A\_Adapting Water Resource Management.

projects for the recovery of water regulation ecosystem services through the Natural Resources management based on the EbA concept with public investment funds from MINAM (Case Study Report Peru).

Other evidence from the case studies shows indirect evidence that mainstreaming was a catalytic result of the IKI projects. For instance, based on the EbA Amazonia project, a Gap Closure Plan was approved in 2020 in Peru that aimed to improve the living conditions of the local population according to EbA-relevant features, i.e., by meeting social and environmental demands of the population (Case Study Report Peru). Another case in Peru was that the project implemented by TNC has been contributing to the consolidation of water funds as financial mechanisms in Piura, Lima, and Cusco (Case Study Report Peru). In Vietnam, it was found that EbA-related aspects were integrated into various policy documents, where it is expected to influence follow-up projects: On one side, the Mainstreaming Ecosystem project was integrated into the National Forest Development Strategy of 2021 (Case Study Report Vietnam). On the other side, the IKI projects have shown to shape provincial regulations which are understood to allow for domestic financial support for future EbA applications. Furthermore, it was established that the IKI projects have led to the required integration of EbA approaches into all plans or master plans (Case Study Report Vietnam).

### Annex V.5 5.2.5: Additional funds

Additional funding allows the implementation of EbA concepts outside the original scope of the IKI projects. Furthermore, additional funding indicates that the EbA approach was assessed as a promising adaptation strategy by the donor.

All in all, 10 projects were able to mobilize additional funds, either through the national, district, and municipal budget or through a donor<sup>257</sup>.

In five projects, additional funding for EbA measures through budgets were identified: from the national, district, and municipal budget. In Guatemala and El Salvador, municipalities assigned financial resources for further implementation of EbA approaches (14\_II\_111\_Lateinamerika\_A\_Governance for EbA). On the district level, three cases were identified where the district allocated funds for EbA measures: in Indonesia for coastal protection measures (16\_II\_130\_IDN\_A\_EbA Building with Nature), in Vietnam for innovative approaches to rice cultivation, aquaculture and coastal protection (10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung), and in South Africa, USD 1,7 million

<sup>257</sup> 08\_II\_018\_ASIA\_A\_TNC Schutzgebiete, 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_084\_Global\_A\_EbA solutions, 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA, 15\_II\_108\_COL\_A\_Magdalena River Basin, 15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming, 16\_II\_130\_IDN\_A\_EbA Building with Nature.

were allocated for wetland restoration, climate friendly housing, among others (11\_II\_084\_Global\_A\_EbA solutions). Also, in South Africa, budget allocations were identified on the national level (11\_II\_084\_Global\_A\_EbA solutions).

In the project 08\_II\_018, there were successful efforts to receive substantial funding for the Micronesia Challenge and other activities. The efforts included the enactment of the Green-Fee, which is associated with the Palau PAN Act, which amounted to USD 1 million. Furthermore, a SFP was developed by RMI consultants, which resulted in a first donation of USD 200,000. On top of these funds, about USD 1 million is donated by undefined donors on an annual basis.

Also, in Grenada, the Caribbean Biodiversity Fund was identified to be a funding source for upscaling other EbA project plans (Case Study Report Grenada: 15: 1834).

Furthermore, additional funding from donors were identified in seven projects. In Colombia, Fundacion Alma recently received a donation of €160,000 from Acting for Life, a French organization, to continue working in Zapatosa wetland for 3 years with (15\_II\_108\_COL\_A\_Magdalena River Basin). A rehabilitation of mangroves in the project 12\_II+\_003 is being financially supported by two organizations from the private sector, Fundación Mamonal and Agros, in the long run. In Vietnam, an EbA application was supported by Munich Re (15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming) and the World Bank co-financed activities in Burkina Faso (12\_II+\_005 Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities).

In two projects, the donors remained undefined (14\_II\_111\_Lateinamerika\_A\_Governance for EbA).

### Annex V.5.1 Additional climate funds

#### Adaptation Fund<sup>258</sup>

2020 → 30 US\$ Million in EbA-Sector<sup>259</sup>

2019 → 16,4 US\$ Million in EbA-Sector<sup>260</sup>

2018 → EbA not shown separately

<sup>258</sup> Weitere Infos hier: <https://www.adaptation-fund.org/documents-publications/meeting-reports/>.

<sup>259</sup> <https://www.adaptation-fund.org/wp-content/uploads/2021/01/AF-APR-2020-Graphic-version-final.pdf>.

<sup>260</sup> [https://www.adaptation-fund.org/wp-content/uploads/2020/01/AF-APR-2019-11.27.2019\\_final\\_.pdf](https://www.adaptation-fund.org/wp-content/uploads/2020/01/AF-APR-2019-11.27.2019_final_.pdf).

- Mekong EbA South: Enhancing Climate Resilience in the Greater Mekong Sub-region through Ecosystem-based Adaptation in the Context of South-South Cooperation (Thailand, Vietnam)<sup>261</sup>
- Ecosystem-Based Adaptation at Communities of the Central Forest Corridor in Tegucigalpa (Honduras)<sup>262</sup>
- Reduction of Vulnerability to Coastal Flooding through Ecosystem-based Adaptation in the South of Artemisa and Mayabeque Provinces (Cuba)<sup>263</sup>
- Ecosystem Based Adaptation to Climate Change in Seychelles<sup>264</sup>
- Reducing the Vulnerability by Focusing on Critical Sectors (Agriculture, Water Resources and Coastlines) in order to Reduce the Negative Impacts of Climate Change and Improve the Resilience of these Sectors. (Costa Rica)<sup>265</sup>
- Ecosystem Based Adaptation Approach to Maintaining Water Security in Critical Water Catchments in Mongolia<sup>266</sup>

## GCF

---

At the international level, there are various funds that can be used to finance EbA-related projects. For example, the GCF has its own EbA thematic focus<sup>267</sup> and Technical Guidelines on "Ecosystems and Ecosystem Services"<sup>268</sup> that explicitly recommend EbA. The GCF is funding at least 12 EbA-related projects in the project countries in the present portfolio, with a total volume of \$733.8m, see Annex V table 1:

---

<sup>261</sup> <https://www.adaptation-fund.org/project/mekong-eba-south-enhancing-climate-resilience-in-the-greater-mekong-sub-region-through-ecosystem-based-adaptation-in-the-context-of-south-south-cooperation-thailand-viet-nam/>.

<sup>262</sup> <https://www.adaptation-fund.org/project/ecosystem-based-adaptation-communities-central-forest-corridor-tegucigalpa/>.

<sup>263</sup> <https://www.adaptation-fund.org/project/reduction-of-vulnerability-to-coastal-flooding-through-ecosystem-based-adaptation-in-the-south-of-artemisa-and-mayabeque-provinces/>.

<sup>264</sup> <https://www.adaptation-fund.org/project/ecosystem-based-adaptation-to-climate-change-in-seychelles/>.

<sup>265</sup> <https://www.adaptation-fund.org/project/reducing-the-vulnerability-by-focusing-on-critical-sectors-agriculture-water-resources-and-coastlines-in-order-to-reduce-the-negative-impacts-of-climate-change-and-improve-the-resilience-of-these/>.

<sup>266</sup> <https://www.adaptation-fund.org/project/ecosystem-based-adaptation-approach-to-maintaining-water-security-in-critical-water-catchments-in-mongolia/>.

<sup>267</sup> <https://www.greenclimate.fund/results/ecosystems-ecosystem-services>.

<sup>268</sup> <https://www.greenclimate.fund/sites/default/files/document/sap-technical-guidelines-ecosystems-and-ecosystem-services.pdf>.

Annex V table 1: GCF funded projects with EbA reference

Project	Country	EbA?	Source	Project value in millions	Date approved
FP034 - Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda	Uganda	yes	<a href="https://www.greenclimate.fund/project/fp034">https://www.greenclimate.fund/project/fp034</a>	44,3	2016
FP056 - Scaling up climate resilient water management practices for vulnerable communities in La Mojana	Kolumbien	yes	<a href="https://www.greenclimate.fund/project/fp056">https://www.greenclimate.fund/project/fp056</a>	117,2	2017
FP061 - Integrated physical adaptation and community resilience through an enhanced direct access pilot in the public, private, and civil society sectors of three Eastern Caribbean small island developing states	Antigua and Barbuda; Grenada; Dominica	yes	<a href="https://www.greenclimate.fund/project/fp061">https://www.greenclimate.fund/project/fp061</a>	22,6	2018
FP067 - Building climate resilience of vulnerable and food insecure communities through capacity strengthening and livelihood diversification in mountainous regions of Tajikistan	Tajikistan	yes	<a href="https://www.greenclimate.fund/project/fp067">https://www.greenclimate.fund/project/fp067</a>	10	2018
FP087 - Building livelihood resilience to climate change in the upper basins of Guatemala's highlands	Guatemala	yes	<a href="https://www.greenclimate.fund/project/fp087">https://www.greenclimate.fund/project/fp087</a>	37,7	2018
FP092 – Programme for integrated development and adaptation to climate change in the Niger Basin (PIDACC/NB)	u.a. Burkina Faso	yes	<a href="https://www.greenclimate.fund/project/fp092">https://www.greenclimate.fund/project/fp092</a>	209,9	2018
FP097 – Productive Investment Initiative for Adaptation to Climate Change (CAMBio II)	Guatemala, Honduras, Costa Rica, Dominica, El Salvador, Panama	yes	<a href="https://www.greenclimate.fund/project/fp097">https://www.greenclimate.fund/project/fp097</a>	28	2018
FP113 – TWENDE: Towards Ending Drought Emergencies: Ecosystem Based Adaptation in Kenya's Arid and Semi-Arid Rangelands	Kenya	yes	<a href="https://www.greenclimate.fund/project/fp113">https://www.greenclimate.fund/project/fp113</a>	34,5	2019
FP116 – Carbon Sequestration through Climate Investment in Forests and Rangelands in Kyrgyz Republic (CS-FOR)	Kyrgyzstan	yes	<a href="https://www.greenclimate.fund/project/fp116">https://www.greenclimate.fund/project/fp116</a>	50	2019
FP118 – Building a Resilient Churia Region in Nepal (BRCRN)	Nepal	yes	<a href="https://www.greenclimate.fund/project/fp118">https://www.greenclimate.fund/project/fp118</a>	47,3	2019
FP 122 - Blue Action Fund (BAF): GCF Ecosystem Based Adaptation Programme in the Western Indian Ocean	u.a. Sout Africa	yes	<a href="https://www.greenclimate.fund/project/fp122">https://www.greenclimate.fund/project/fp122</a>	65,6	2019
FP145 - RELIVE – REsilient LIVelihoods of vulnerable smallholder farmers in the Mayan landscapes and the Dry Corridor of Guatemala	Guatemala	yes	<a href="https://www.greenclimate.fund/project/fp145#investment">https://www.greenclimate.fund/project/fp145#investment</a>	66,7	2020
			total	733,8	

Source: Arepo.

## GEF

---

Within the GEF, EbA also plays a role. For example, the 2014 "GEF Programming Strategy on Adaptation to Climate Change, LDCF, SCCF"<sup>269</sup> and the 2016 "GEF-6 PROGRAMMING DIRECTIONS"<sup>270</sup> refer to EbA without any direct guidance from the Parties to the GEF.<sup>271</sup> There are at least 9 GEF projects related to EbA,<sup>272</sup> 8 of which are funded through the LDCF and 1 through the SCCF. See table Annex V table 2:

---

<sup>269</sup> <https://www.thegef.org/documents/gef-programming-strategy-adaptation-climate-change-ldcf-sccf>.

<sup>270</sup> <https://www.thegef.org/sites/default/files/documents/GEF-6%20Programming%20Directions.pdf>.

<sup>271</sup> Until at least 2017

[https://www.thegef.org/sites/default/files/publications/GEF\\_UNFCCC%20COP%20Guidance2018\\_CRA.pdf](https://www.thegef.org/sites/default/files/publications/GEF_UNFCCC%20COP%20Guidance2018_CRA.pdf).

<sup>272</sup> Nennung von EbA im Projektnamen.

Annex V table 2: GEF funded projects with EbA reference

ID	Title	Focal Areas	Grant and Cofinancing	Implementing Agencies	Countries	Fund Source	Period	Status
10691	Ecosystem-based Adaptation (EbA) for resilient natural resources and agro-pastoral communities in the Ferlo Biosphere Reserve and Plateau of Thies	Climate Change	\$8,949,533 \$26,450,000	United Nations Development Programme	Senegal	Least Developed Countries Fund	GEF-7	Concept Approved
10514	Integrated Water Resource Management and Ecosystem-based Adaptation (EbA) in the Xe Bang Hieng River Basin and Luang Prabang City	Climate Change	\$5,329,452 \$20,000,000	United Nations Development Programme	Lao PDR	Least Developed Countries Fund	GEF-7	Concept Approved
8034	Building the Resilience of Local Communities in Zambia through the Introduction of Ecosystem-based Adaptation (EbA) into Priority Ecosystems, including Wetlands and Forests	Climate Change	\$6,185,000 \$15,389,400	United Nations Environment Programme	Zambia	Least Developed Countries Fund	GEF-6	Project Approved
8009	Ecosystem-Based Adaptation for Climate-resilient Development in the Kathmandu Valley, Nepal	Climate Change	\$6,242,700 \$32,460,000	United Nations Environment Programme	Nepal	Least Developed Countries Fund	GEF-6	Project Approved
5815	Building Climate Resilience of Urban Systems through Ecosystem-based Adaptation (EbA) in the Asia-Pacific Region	Climate Change	\$6,000,000 \$88,190,417	United Nations Environment Programme	Regional, Bhutan, Cambodia, Lao PDR, Myanmar	Least Developed Countries Fund	GEF-5	Project Approved
5695	Ecosystem-Based Adaptation for Rural Resilience	Climate Change	\$7,571,233 \$20,750,000	United Nations Environment Programme	Tanzania	Least Developed Countries Fund	GEF-5	Project Approved
5681	Building Climate Resilience of Urban Systems through Ecosystem-based Adaptation (EbA) in Latin America and the Caribbean.	Climate Change	\$6,000,000 \$29,734,000	United Nations Environment Programme	Regional, Jamaica, Mexico, El Salvador	Special Climate Change Fund	GEF-5	Project Approved
5456	Ecosystem-based Approaches to Adaptation (EbA) in the Drought-prone Barind Tract and Haor "Wetland" Area	Climate Change	\$5,200,000 \$55,032,617	United Nations Environment Programme	Bangladesh	Least Developed Countries Fund	GEF-5	Project Approved
5382	Ecosystem-Based Adaptation Targeting Vulnerable Communities of the Upper Guinea Region	Climate Change	\$8,000,000 \$114,180,000	United Nations Development Programme	Guinea	Least Developed Countries Fund	GEF-5	Project Approved

Source: Arepo

## Findings from IKI EbA projects

---

In at least 7 cases, the IKI EbA project has participated in the application process for a GEF or GCF project.

- 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance Develop and submit funding proposals to multilateral funds, such as the Green Climate Fund, the Global Environment Facility, and the Adaptation Fund to assist country governments, national development banks or multilateral development banks in increasing financing opportunities towards MEbA replication and scale-up.
- Funds for project proposal development, complementing those of the BMU, have been committed by the GCF and transferred to partner Bancóldex. However there has been slow execution by Bancóldex of these funds. It is expected that the full funding proposal will be formulated and submitted to the GCF after project's end.

### 13\_II\_099\_THA\_G\_Extremereignismanagement

- Die Erfahrungen des Projekts wurden Ende 2016 zur Entwicklung eines Projektkonzeptes zu Anpassung im Wassersektor für den Green Climate Fund (GCF) genutzt. Die Tatsache, dass das Projektteam von RID und UNDP gebeten wurde, die Ausrichtung des GCF Konzepts in Bezug auf ökosystembasierte Anpassung zu unterstützen und entsprechende Investitionen vorzunehmen, unterstreicht das neue politische Interesse an ökosystembasierten Anpassungen in Thailand.
- 13\_II\_102\_Africa\_A\_WISE-UP The VBA are now about to execute a GEF project using material from WISE-UP to improve the design of the project.
- 13\_II\_098\_PER\_M\_Communal Reserves Management of new institutional projects with the focus of catalyzing sustainable territorial development developed from the EBA Amazon project, which has involved contributing to proposal development of the following projects and initiatives:
  - "Building human well-being and resilience in the forests of the Amazon through the conservation of biodiversity, food security and the implementation of sustainable activities, in a context of climate change" (GEF 7).
  - "Restoration and ecological connectivity in Andean-coastal ecosystems" (GEF 7).

### 14\_II\_111\_Lateinamerika\_A\_Governance for EbA

- The experiences of EbA implementation in water resource management can be successfully used to obtain political support for developing large-scale funding

opportunities, as has been the case of the GCF projects approved for Guatemala. → Project “Building livelihood resilience to climate change in the upper basins of Guatemala’s highlands” FP087

- Finally, the project has directly or indirectly contributed to increase investments on EbA on different scales: at the national level with Ministries of Environment presenting EbA projects to the Green Climate Fund valued at \$35 million (Guatemala) and designing a SAP project valued at \$10 million (Honduras) as well as channelling forestry incentives to community-based restoration efforts (Mexico and Guatemala).
- 15\_II\_108\_COL\_A\_Magdalena River Basin Mojana Project: In 2013 the government of Colombia with UNDP initiated a 5-year project funded by the Adaptation Fund of Kyoto Protocol to implement adaptation measures in 3 municipalities of Cordoba and Sucre in the Mojana Region (Lower Magdalena Basin). In January 2019, this project got additional funding from GCF for an 8-year second phase.
- 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen Die tadschikische Delegation wurde bei der Teilnahme an der COP 25 in Madrid unterstützt und Treffen mit z.B. GCF, NDC-P organisiert.

## Annex V.6 EQ 6.2.6: Co-benefits

The IKI EbA projects have demonstrated to have produced various kinds of co-benefits. All in all, 13 project produced co-benefits. The identified co-benefits include: socio-economic effects (eleven projects<sup>273</sup>), mitigation effects (six projects<sup>274</sup>), digitalization and technological innovations (three projects<sup>275</sup>), impacts on human health (14\_II\_095\_Pazifik\_A\_Enabling EbA), and preservation of genetic diversity (14\_II\_111\_Lateinamerika\_A\_Governance for EbA).

**Socio-economic effects** were observed in eleven EbA projects as a co-benefit of the activities. The projects implemented EbA approaches that had long lasting positive impacts on the incomes of the local communities. As a result, communities were able to diversify their income

<sup>273</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_075\_NPL\_A\_watershed management, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 12\_II+\_012\_Global\_M\_EbA Mountain Flagship, 13\_II\_098\_PER\_M\_Communal Reserves, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 14\_II\_095\_Pazifik\_A\_Enabling EbA, 14\_II\_111\_Lateinamerika\_A\_Governance for EbA, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>274</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>275</sup> 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance, 13\_II\_099\_THA\_G\_Extremereignismanagement, 14\_II\_095\_Pazifik\_A\_Enabling EbA.

sources and thereby improve the livelihoods of community members. One interesting example was in Vietnam, where certified organic shrimp farming demonstrated to remain stable in prices and demand during an international price drop and thereby provided financial security to the shrimp producers involved in the project (16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA). The project, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen\_ZB, introduced EbA measures, such as reforestation and improved pasture management that contributed to ecosystem protection and rehabilitation, as well as biodiversity conservation. Consequently, livelihoods of community members were secured and the potential for tourism in the region was increased. By implementing an innovative change management system for silvofishery, the project 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung was able to contribute to a reduction of the input costs and the risk of “factory farming”. An increase in profit of 250 euros per hectare and year was demonstrated.

In six projects, **mitigation effects** were identified as a co-benefit of the project activities. The main mitigation effects were the rehabilitation of mangrove forests (10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung SB, 12\_II+\_003\_SB, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA) and afforestation of other coastal vegetation (13\_II+\_010\_VNM\_G\_Mainstreaming EbA) as well as reforestation of former ranch land (11\_II\_080\_MEX\_A\_adaptation in watersheds). Another mitigation effect of the project 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA was mitigation through reduced emission from avoiding deforestation and conversion of mangrove for aquaculture (15,600 ha protected mangroves) in Vietnam.

**Digitalization and technological innovation** were identified as a co-benefit in three projects. The project 13\_II\_099\_THA\_G\_Extremereignismanagement utilized drones in order to create data that was used for vulnerability studies and spatial planning. The projects know how on using drones in the context of remote sensing was also disseminated in trainings at the Walailak University. Similarly, in Palau, 3D models were created for community planning purposes. The results were so highly regarded that TNC was subsequently asked to replicate the project. To date, TNC has completed three 3D models in Micronesia (one in Palau and two in Pohnpei), all of which were created with the assistance of the community elders, working class, and youth. All three models are currently being used for community planning purposes.

One project contributed to improving human health by implementing a healthy food program that influenced the national food program in Micronesia (14\_II\_095\_Pazifik\_A\_Enabling EbA). Another co-benefit was the preservation of genetic diversity in Central America (14\_II\_111\_Lateinamerika\_A\_Governance for EbA).

The co-benefits were associated with the following ecosystems according to the IKI systemization (co-benefits were often associated with more than one ecosystem): agriculture

(11), oceans and coasts (6), forest and forestry (4). One of the co-benefits could not be ascribed to an ecosystem.

Focusing on the projects, the following list gives an overview of the produced co-benefits: In the context of 14\_II\_095\_Pazifik\_A\_Enabling EbA, which produced three identified co-benefits, socio-economic impacts, impacts on human health and digitalization and technological innovation were identified. Two co-benefits were produced by six projects. In five projects, socio-economic impacts and mitigation effects were found<sup>276</sup>. 14\_II\_111\_Lateinamerika\_A\_Governance for EbA led to the co-benefits socio-economic impacts and preservation of genetical diversity. And lastly, six projects produced one co-benefit: socio-economic impacts<sup>277</sup>, digitalization and technological innovation<sup>278</sup>, mitigation (12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU).

## Annex V.7 Policies

The EbA concept was also introduced to various national strategies and plans in Indonesia through 16\_II\_130\_IDN\_A\_EbA Building with Nature. The policies include the National Mid-term Development Plans 2015-2019 and 2020-24, as well as the National Mangrove Ecosystem Management Strategy. Regarding the latter, the project's grantee, Wetlands International, has influenced the strategy's endorser, the Coordinating Ministry of Economic Affairs, since 2012 and was thereby successful in contributing their knowledge on the EbA concept. Furthermore, the project's grantee, Wetlands International, also contributed their input into provincial mangrove strategies in Banten, Demak, and and Central Java through policy and stakeholder dialogues and participation in the provincial Mangrove Working Groups.

12\_II+\_003\_Lateinamerika\_G\_EbA\_COL\_ECU provided input into various adaptation plans in Columbia and in Ecuador on national and regional level. On the national level, the project influenced various plans in Columbia, including the National Climate Change Adaptation Plan (PNACC), the Strategic Plan for Macro Catchment Areas (Planes Estratégicos de Macrocuencas), and the Plan for the Management of Catchment Areas (Planes de Ordenación y Manejo de Cuencas Hidrográficas). In Ecuador, the project successfully gave input regarding EbA into the National Climate Change Adaptation Plan (Plan Nacional de Cambio Climático). At the regional level in Columbia, the project worked with the Directorate of Climate Adaptation in Cartagena and thereby influenced the Land Use Plan, the Urban Forest Plan,

<sup>276</sup> 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung, 11\_II\_080\_MEX\_A\_adaptation in watersheds, 13\_II+\_010\_VNM\_G\_Mainstreaming EbA, 15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen, 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA.

<sup>277</sup> 11\_II\_075\_NPL\_A\_watershed management, 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities, 12\_II+\_012\_Global\_M\_EbA Mountain Flagship.

<sup>278</sup> 11\_II+\_002\_Lateinamerika\_M\_MEbA\_Microfinance, 13\_II\_099\_THA\_G\_Extremereignismanagement.

and the Monitoring Plan for Rainwater Discharge of the city. In Ecuador, the project provided their input into the Land Use Plan (Plan Nacional de Cambio Climático) at the regional level.

12\_II+\_005 Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities influenced various plans and strategies of the Ministry of Environment and the National Forest Corporation on the national level in Chile. Important plans that were influenced by the project include the National Climate Change Plan 2014, the Adaptation Plan to Climate Change in Biodiversity 2014, the Adaptation Plan to Climate Change in Agriculture 2014, and the National Strategy for Climate Change and Vegetation Resources 2016.

13\_II+\_010\_VNM\_G\_Mainstreaming EbA contributed to the embedding of the EbA concept into the Climate Change Response Action Plans (CCRAPs) by the provincial governments in Vietnam. These plans were passed by the People's Committees of the provinces in Ha Tinh and Quang Binh.

15\_II\_110\_Zentralasien\_G\_EbA Hochgebirgsregionen contributed to the National Disaster Risk Strategy for 2019-2030 in Tajikistan. The project's role was to highlight the importance of considering the EbA approach and nature in disaster risk management. These considerations were transmitted to disaster risk management coordination working group, which consequently included them in the strategy.

15\_II\_117\_Global\_G\_Wissensnetzwerk EbA Mainstreaming furthermore contributed to the revised National Climate Action (NCAP) in the Philippines, which provides the outlines for the strategic direction when responding to the projected impact of climate change on the country. The input of the project was also utilized for the development of provincial Climate Action Plans in Vietnam. The provincial governments specifically referred to case studies on the Panorama platform to inform the EbA approaches in these plans.

## Annex VI. Methodology and process of the evaluation

-

### Annex VI.1 Evaluation process

The Evaluation process started with the kick-off meeting between the Evaluation Team, BMU, ZUG, and the Evaluation Management Team (the Reference Group, as defined in the TORs). The Evaluation Team gave a presentation on the concept. In the discussion, the expectations regarding the evaluation were clarified. The meeting was documented with a protocol.

At a meeting of the same group on 29. October 2020, the inception report was presented and discussed. The discussions are documented with a protocol. Another version of the inception

report was discussed in a further meeting of the Reference Group on 14. December 2020. The Inception Report was approved in December 2020.

Further meetings of the Reference Group on 11 February 2021 and 30 April, were used for updates and discussions of first findings. On 25 June 2021, a brief meeting between the Evaluation Team, ZUG and EM updated on the current findings and the outlook for the final phase.

On July 30, the draft evaluation report was submitted to ZUG and EM.



## Annex VI.2 Adjustments to the TORs

In the following points, the team and the evaluation managers agreed on deviations from the TORs:

- Case studies. Due to the Corona Pandemic, no travel to the regions was possible. The case studies were conducted by evaluators placed in the case study countries instead.
- Evaluation team: The evaluation team was adjusted accordingly. In line with the three case studies, three national evaluators were included. In Germany, the role of Team Leader and International Evaluator was jointly filled by two senior evaluators from Arepo GmbH, both with the necessary qualifications for both roles. The role of Junior Evaluator was filled most of the time by two Junior Evaluators. When the first two Junior Evaluators went on maternity leaves, two more experienced Evaluators were included and a Junior Evaluator took on the supporting efforts. The team was complemented by other company resources as needed, including back office.
- Project duration: The TORs specify that the project duration is 12 months after the signing of the contract. The project contract was signed by ZUG on 13. August 2020 and by Arepo on 20. August 2020. With an extension of the project duration, the project will end on 31. August 2021.

## Annex VI.3 Theory of Change

The theory of change was initially reconstructed drawing on several resources and then improved for the inception report in an iterative way, leading to a representation of complex processes for the inception meeting. This representation was too complex to effectively support a discussion, although it might have been useful for the evaluation.

To support the external discussion better, the theory of change was re-simplified and coarser hypotheses and representations have been chosen to actually support the evaluation. In addition to the visual representations that are included in figures in the main part of this report, the team used tabular representations as well as coding trees to support the evaluation process. Ultimately, the refined and evidenced theory of change was again reflected in diagrams.

## Annex VI.4 Workstreams

In order to organize the work and align work streams with data sources, three work packages were defined: Work package 3 identified to what degree the concept of EbA was in fact widely used and implemented, in order to provide an empirical basis for claiming catalytic impact of

projects. Work package 2 analyzed the Convention processes around UNFCCC and CBD to understand the role that EbA played at the negotiations. Work package 1 took stock of potentially analytic outcomes of the projects.

### Peru case study

---

In Peru, it can be said that a catalytic effect is observed in all the six projects that were analyzed for the case study. This effect is evidenced in the legal framework and management instruments, in which the concept has been included after an intense work of implementation in the territory and capacity-building in local, regional, and national decision-makers. It has been a process that after 2011, with the start of the Flagship EbA Mountain project, has progressed and triggered multiple effects.

The six projects have had a catalytic effect that has been accumulated and capitalized. Each one has had and still has its own characteristics. It is at the national level that the cumulative effect that has been generated with the implementation of several of them is particularly significant. A temporal analysis reveals that it is towards the year 2013 that the Ministry of Environment of Peru commits itself to the EbA approach, participating in capacity-building processes promoted by projects that would later generate the inclusion of the approach in policies and regulations at the national level: Policy guidelines for public investment in matters of biological diversity and ecosystem services 2015-2021, Framework Law on Climate Change (2018), Regulation of the Framework Law on Climate Change (2019), National Adaptation Plan (2020), and also at the MEF. This ministry integrated explicit requirements for considering natural infrastructure in public investment projects (2015), thanks to the joint effort of the ongoing projects but basically to the Adapting Public Investment to Climate Change project implemented by GIZ between 2012 and 2015.

At the regional level, the most evident impact is in the Junín region, the area of action of the EbA Mountain project, where there is an explicit incorporation of the EbA approach in the vision of the Regional Climate Change Strategy (2015), which is still ongoing. In addition, the Regional Council on Climate Change was created to promote the implementation of the climate change strategy (2017).

IKI's EbA projects have been an explicit trigger for knowledge management in these ten years since the beginning of the EbA Mountain project, integrating new concepts in learning from the territory. There has been a lot of two-way information flow along with the ability to demonstrate the application of the concept and support to public policies. There was a constant interaction between the experiences in the field in support of the strengthening of public policies so that they guide replication and escalation. Peruvian national authorities acknowledge that the projects have allowed a learning process in the country, generating the updating of development visions. This has been a catalyst process: achieve to strengthen

leadership, give permanence to things done, advance in good training at the technical level, and motivate a willingness to work across sectors. However, there is still no capacity to articulate the sectoral work with the territorial one. There are articulation efforts, but the challenges of how populations benefit from ecosystems and that the money remains in local areas persist. It is recognized that the essence of EbA is landscape sustainability, so it is crucial to give an important role to protected areas, something which has been advanced with the coordinated work between the projects (EbA Mountain, EbA Amazonia) and SERNANP.

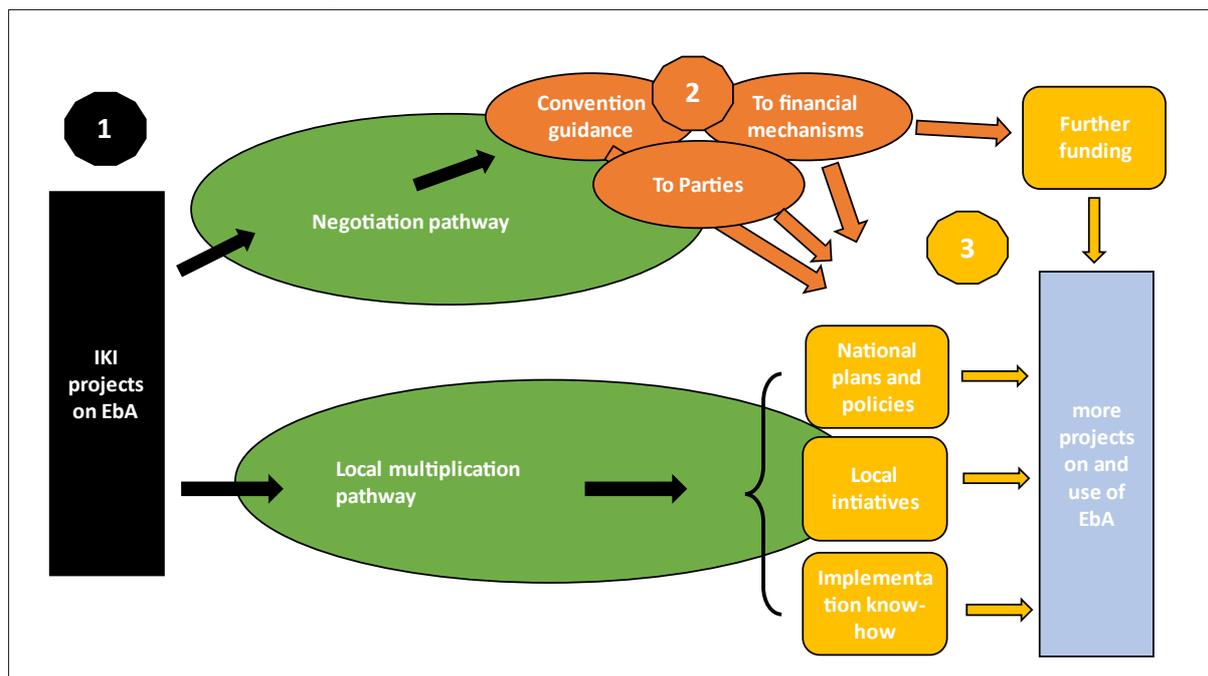
For current national authorities, EbA issues have been worked on for several years and a noticeable effect has been generated. Thus, there is now a broad concept of SBN in which the EbA approach is embedded. However, there is also an understanding that the projects have not yet generated enough information on the measurement of results, since the projects finish before they can demonstrate their effects in a quantifiable way.

Regarding international level negotiations, the representatives of the institutions of the evaluated projects acknowledge that these do not generate effects on the short term, the ideas "trickle" towards decision makers and high-level officials, who are internalizing an idea of the issues little by little. They say that many times the highest official is not quite aware, and the specialists do not always convey the information. When it works best is when there has been a previous joint work in the country based on concrete experiences, which is an aspect that has advanced a lot in recent years in Peru. The representatives agree that a bottom-up scaling is more sustainable and solid, based on real experiences that have made possible a favorable change in the lives of populations and territories. Although international negotiations should not be neglected, these are longer-term processes to generate concrete impacts.

Even with the progress made, it is still a challenge to implement the EbA approach. NDC measures have been defined, but they are pending to land at the local and regional level with a planning process that is understandable at a technical and operational level. To influence management, it is necessary to further strengthen human capacities. EbA is not only a technical issue. Although there has been more acceptance of EbA in the Ministry of Economy and Finance, which is an important actor, there is still work to be done so that it does not continue to finance mainly hard infrastructure.

Figure 11: Figure 8 maps the work packages onto the theory of change. This figure also highlights that the work packages do not fully align with the two pathways. While work stream 2 seems to map fully to the Negotiation Pathway, workstreams 1 and 3 include elements of both, the negotiation, and the multiplication pathway. Over the course of the evaluation, work stream 2 also linked back to the multiplication pathway.

Figure 8: Theory of Change and Workstreams of this evaluation



Source: Arepo.

Workstream 1 (black arrows) evaluated whether projects led to outcomes that could be able to deliver additional results after the project has ended (“potentially catalytic outcomes”). Some of these outcomes are included in the diagram in orange bubbles and yellow boxes. Workstream 1 conducted impact and contribution analyses on the project portfolio and case studies to that effect. The core of this analysis was the question “did IKI projects achieve catalytic outcomes”, i.e., were IKI projects generating results that led to a replication of EbA measures outside of the direct scope of the project.

Workstream 2 (orange arrows) evaluated a part of the Negotiation Pathway. Specifically, the workstream centered on the question whether, when and to what degree convention guidance to Parties or to the (operating entities of the) financial mechanisms has actually led to the provision of additional funding, and whether, when and to what degree convention guidance to adopt EbA approaches into NDCs, NAPs and NBSAPs has actually been implemented by the Parties to the Convention(s). To that end, the workstream conducted a desk review of convention guidance, funding priorities of GEF, Adaptation Fund and Green Climate Fund (GCF), and NDCs, NBSAPs and NAPs, and was complemented by interviews with key stakeholders. The work stream was complemented with the case study of the IIED project.

Workstream 3 (yellow arrows) assessed to what degree these catalytic outcomes have led to further implementation of EbA projects, which were not supported by IKI or to a lesser degree than the “original” projects. This was done mainly by country studies and literature research.

The links between the workstreams are the catalytic results that have been achieved through the projects, and that lie “on” the accountability barrier. It is important to note at this point that the diagram is a significant simplification of the large ToC diagram, and this affects specifically the definition of these catalytic results. For the illustration, a significant number of such outcomes of IKI projects have been lumped into “implementation know-how” or left out completely from the diagram, in order to illustrate the principles according to which the workstreams will be structured. The details regarding the selection and description of the catalytic outcome will be part of the workflow within each workstream, and part of the evaluative task is to arrive at clear-cut definitions for such catalytic (intermediate) outcomes. All workstreams will work towards refining the descriptions of these results, while building on the reconstructed ToC diagram. Workstream 1 will also provide insights on how to “create” these catalytic results in the optimal fashion. Workstream 3 (and to some degree 2) will provide insights on which ones of these catalytic results are the most relevant for catalytic impacts, and what are the conditions for maximizing that impact.

### **Annex VI.5 Portfolio Analysis, project component analysis and coding process**

The final and interim project reports were used as the basis for the investigation. A portfolio analysis was conducted that allowed a better understanding of the projects. The projects were classified using following criteria: regional type, geographic region, budget per region, budget per country category, addressed ecosystems and budget, project types and budget, project amount per country and implementer per country, and climate risks according to the IPCC. For the analysis of project components, the projects of the sample were deconstructed, meaning that all project activities and their target groups were identified in a detailed manner. This provided a systematic overview of the prevalence of specific activities (including dissemination of knowledge, international and regional collaboration, research and analysis, as well as pilot implementation) and the respective funding volumes invested and allowed to identify “typical” IKI approaches.

To get a more detailed understanding of the projects, the software MaxQDA was utilized for structuring, coding, as well as to analyze the data from the project reports. A content analysis, which is a systematic process of analysis, and which follows several pre-determined steps, including the systemization and structuring of the data, the extraction, and the summarization of the data, was utilized for the coding process and to dissect the collected data (see Mayring 2015). The structuring of the data followed a deductive-inductive approach. In a first step, data was systematically extracted based on the ToC and coded. In the second step, the extracted information was classified and subcodes were defined in an inductive approach. Due to various researchers working on the coding process, two work-intensive coding rounds had to be conducted to guarantee a high-quality analysis of the data.

## Annex VI.6 Case studies

### Country case studies

For the country case studies (Peru, Vietnam, Grenada) each of the experts gathered in-country in-depth qualitative and quantitative information and evidence by carrying out a literature and internet research and triangulated the results. This included documents in local language. The expert established contact and conducted numerous interviews with at least the national and local governments, local champions, and local and international observers.<sup>279</sup> The expert conducted interviews with representatives of the local population, the private sector, the scientific community, civil society organizations (CSOs) as well as international NGOs. The findings of the research and interviews were evaluated and analyzed along the ToC and reviewed and discussed in a joint workshop with Arepo.<sup>280</sup>

### IIED study

For the IIED study, a comprehensive document analysis was conducted regarding EbA of all COP Decisions of UNFCCC and CBD from 2009 to 2020. In addition, the documents of UNFCCC SBSTA, SBI, NWP and AC as well as CBD SBSTA and SBI (2009 to 2020) were analyzed. Likewise, all interim reports of the IIED project were analyzed and all measures carried out by IIED on national as well as international level were logged and categorized. The findings of this document analysis were complemented by interviews with representatives of UNFCCC, CBD, IIED, BMU, GIZ and BfN.<sup>281</sup> An extensive internet research completed the process. The result of the research and analysis were matched with an impact logic (PHINEO) to identify potential catalytic impact.

## Annex VI.7 Methods

In addition to the methods that are discussed separately in other sections of this document (case studies, QCA, reconstruction and validation of Theory of Change), the following methodologies were used:

### Portfolio analysis

At the beginning of the project, a comprehensive portfolio analysis was prepared, which was successively expanded in the further course. The portfolio analysis has provided a

---

<sup>279</sup> See list of interviews

<sup>280</sup> The workshop took place on 8/04/2021 and was conducted via Zoom.

<sup>281</sup> See list of interviews

comprehensive overview of the projects. It also enabled sub-case groups for individual EQs to be identified and examined in more detail.

### **Project component analysis**

---

Here, the individual components of the projects were intensively analyzed and evaluated. This allowed us to better understand and assess the relevance of the individual projects and their significance for any catalytic outcomes.

An important step for a number of analyses (i.e., the reconstructed ToC-Analysis, and the Qualitative Comparative Analysis (QCA),) was the project component analysis.

The projects in the sample were deconstructed and for each activity, the project component analysis analyzed in detail the project activities and their target groups. This provided us a systematic overview of the prevalence of specific activities (like for example, dissemination, international and regional collaboration or research and analysis as well as pilot implementation) and identify “typical” IKI approaches.

All work programs depend on an analysis of the results, which can serve as catalytic results. The project final reports (or where not available, the interim reports) were used as the basis for an identification of catalytic outcomes. It started with the existing catalogue of potentially catalytic outcomes and expanded this catalogue by other potentially catalytic outcomes that are observed within the project portfolio. This served as an input to all workstreams.

### **Project success assessment**

---

In these assessments, it needs to be documented not only to what degree the project reached its own objectives but also what “catalytic outcomes” have been created. This provides answers to some of the evaluation subquestions (section 4.3) and serves to identify the dependent variables for the QCA. Benchmarks and definitions apply.

### **Contribution analysis**

---

Contribution analysis is a method for determining the contribution that the project as a whole, or individual measures within the project, has led or contributed to catalytic outcomes. The goal is to produce a credible, evidence-based account of the contribution that can be used to answer the EQs and the hypotheses.

### **Tests from process tracing**

---

Using process tracing, we used a deductive approach (starting from the TOC) to test the projects and case studies to determine whether the assumed causal mechanisms can explain

the observed outcomes and impacts. For this purpose, the Straw-in-the-wind test (a weak indication, non-contradiction), the Hoop test (a necessary but not sufficient piece of evidence) and the Smoking gun test (a necessary and sufficient piece of evidence were applied). In the further course of the evaluation, the TOCs were adjusted in an inductive procedure and the process tracing was repeated in order to test the adjusted ToC for its validity.

### Reconstruction of timelines

In order to assign outcomes and impacts to the activities of the projects, a reconstruction of timelines was carried out to estimate the extent to which there is a temporal relationship between project activity, output, outcome and impact. If a clear temporal sequence could be identified that placed project activities ahead of specific outcomes and impacts in time, then this was a first clue to assume that the project may have had an influence on the outcomes and impacts. This finding was attempted to be triangulated using further methods.

## Annex VI.8 QCA

A crisp set QCA was conducted with the *QCA Add-in* for Microsoft Excel developed by L. Cronqvist. QCA is a methodology which allows the understanding of change among a small or medium-sized number of cases and provides information on why some interventions had a positive result and others did not.

The cases that were analyzed in the QCA were limited to the 18 projects of which the final project reports were available for. The remaining projects were not included in the QCA due to the less extensive information available in the annual reports, which would have reduced the comparability as well as the explanatory power of the QCA.

For the QCA, the Theory of Change that was developed for the investigation was used as the backdrop. The theory is used as it clearly identifies the change that the investigators are interested in as well as the factors that lead to the change. The change, or *outcome* as it is called in the context of the QCA, that was investigated in this study was the catalytic impact of projects. For a QCA, it is important that some of the cases have an outcome, i.e., a catalytic impact, and some do not. In six out of the 18 projects investigated in the context of the QCA catalytic impact was identified in the investigation.

Furthermore, conditions that are assumed to influence the outcome have to be identified. This identification was based on the factors developed for the Theory of Change. The following factors were chosen for the QCA: Expertise/Knowledge of action, access to sufficient financial resources, co-benefits, and learning between projects. Mainstreaming activities were also taken into consideration. However, all 18 projects conducted mainstreaming activities. Consequently, this condition would have tampered with the results of the QCA. One limitation

that has to be noted here is that not all factors of the Theory of Change could be included due to incomplete data in the final project reports, which likely reduces the explanatory power of the QCA to a degree.

In a further step, the above-named conditions were given binary scores that indicate in which projects the conditions were present ('1') or absent ('0'), which was noted in a truth table. Finally, the data was analyzed via the *QCA Add-in* in Microsoft Excel, which presents a set of solutions. The solutions provided by the program were that the access to sufficient financial resources as well as learning between projects are the central conditions that must be present in projects for them to have a catalytic impact.

## Annex VII. Glossary

Glossary of terms	Definition
<b>Adaptation</b>	<p>The process of adjustment to actual or expected climate and its effects. In human systems, adaptation seeks to moderate or avoid harm or exploit beneficial opportunities. In some natural systems, human intervention may facilitate adjustment to expected climate and its effects. Adaptation needs: The circumstances requiring action to ensure safety of populations and security of assets in response to climate impacts.</p> <p>Adaptation opportunity: Factors that make it easier to plan and implement adaptation actions, that expand adaptation options, or that provide ancillary co-benefits.</p> <p>Adaptation options: The array of strategies and measures that are available and appropriate for addressing adaptation needs. They include a wide range of actions that can be categorized as structural, institutional, or social (McGray et al. 2007).</p>
<b>Adaptation (co-) benefits</b>	<p>The positive effects that a policy or measure aimed at one objective might have on other objectives, irrespective of the net effect on overall social welfare. Co-benefits are often subject to uncertainty and depend on local circumstances and implementation practices, among other factors. Co-benefits are also referred to as ancillary benefits. (IPCC 2014).</p> <p>Different definitions exist in the literature with co-benefits either being addressed intentionally (character of an opportunity) or gained unintentionally (character of a windfall profit). The term co-impact is more generic in covering both benefits and costs (IPCC 2011).</p>
<b>Biodiversity</b>	<p>The variability among living organisms from all sources, including terrestrial, marine, and other aquatic ecosystems, and the ecological complexes of which they are part. This includes diversity within species (genetic diversity), between species and of ecosystems, with corresponding elements, functions, and structures. The different levels and aspects of biodiversity directly and indirectly contribute to ecosystem goods and services (CBD 1992).</p>

Glossary of terms	Definition
<b>Catalytic factor</b>	A condition or situation outside of the project that might lead to a broader application of the project's impact.
<b>Catalytic impact</b>	With catalytic impact, the same funding might lead to a (potentially self-perpetuating and self-scaling) adoption of the “good practice” on a larger scale, leading to much larger impact (i.e., the "catalytic impact") compared to the initial project. Based on the Evaluation of the Catalytic Role of the Global Environment Facility (GEF Evaluation Office 2008), catalytic impact can be defined as going beyond the mere sustainability of project with normal results, outcome and impact, resulting in an accelerated diffusion of the best practice.
<b>Catalytic outcome</b>	A project outcome that might lead to catalytic impact outside of the geographic or temporal scope of the project.
<b>Champion</b>	A champion promotes the adoption of an innovative approach by educating others or by influencing action and change through policy or other activities (Devlin-Foltz a. Molinaro (2010)). Champions thereby mobilize various stakeholders around the issue of EbA approaches.
<b>Climate change</b>	Climate change refers to a change in the state of the climate that can be identified (e.g., by using statistical tests) by changes in the mean and/or the variability of its properties, and that persists for an extended period, typically decades or longer. Climate change may be due to natural internal processes or external forcings such as modulations of the solar cycles, volcanic eruptions, and persistent anthropogenic changes in the composition of the atmosphere or in land use. Note that the Framework Convention on Climate Change (UNFCCC), in its Article 1, defines climate change as: “a change of climate which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and which is in addition to natural climate variability observed over comparable time periods.” The UNFCCC thus makes a distinction between climate change attributable to human activities altering the atmospheric composition, and climate variability attributable to natural causes (IPCC 2014).

Glossary of terms	Definition
<b>Co-benefit</b>	<p>The term 'co-benefits' refers to the non-climate benefits of GHG mitigation policies that are explicitly incorporated into the initial creation of mitigation policies. Thus, the term co-benefits reflects that most policies designed to address GHG mitigation also have other, often at least equally important, rationales involved at the inception of these policies (e.g., related to objectives of development, sustainability, and equity). In contrast, the term ancillary benefit connotes those secondary or side effects of climate change mitigation policies on problems that arise subsequent to any proposed GHG mitigation policies (IPCC 2014b).</p>
<b>Convention on Biological Diversity (CBD)</b>	<p>Signed by 150 government leaders at the 1992 Rio Earth Summit, the CBD is dedicated to promoting sustainable development. Conceived as a practical tool for translating the principles of Agenda 21 into reality, the Convention recognizes that biological diversity is about more than plants, animals and micro-organisms and their ecosystems – it is about people and our need for food security, medicines, fresh air and water, shelter, and a clean and healthy environment in which to live.</p> <p>The CBD entered into force on 29 December 1993. It has 3 main objectives:</p> <ul style="list-style-type: none"> <li>The conservation of biological diversity</li> <li>The sustainable use of the components of biological diversity</li> <li>The fair and equitable sharing of the benefits arising out of the utilization of genetic resources (Secretariat of the CBD 2011).</li> </ul>
<b>Community-based adaptation</b>	<p>Local, community-driven adaptation. Community-based adaptation focuses attention on empowering and promoting the adaptive capacity of communities. It is an approach that takes context, culture, knowledge, agency, and preferences of communities as strengths.</p>
<b>Cost-benefit Analysis (CBA)</b>	<p>Monetary measurement of all negative and positive impacts associated with a given action. Costs and benefits are compared in terms of their difference and / or ratio as an indicator of how a given investment or other policy effort pays off seen from the society's point of view (IPCC 2014b).</p>

Glossary of terms	Definition
<b>Ecosystem</b>	A community of plants, animals and smaller organisms that live, feed, reproduce and interact in the same area or environment (IUCN 2010). It is a dynamic complex of animals, plants and microorganisms and their non-living environment interacting as a functional unit and depending on one another (Alcamo and Benett 2003). If one part is damaged it can have an impact on the whole system. Humans are an integral part of ecosystems. Ecosystems can be terrestrial or marine, inland, or coastal, rural or urban. They can also vary in scale from global to local. Examples of ecosystems include forests, wetlands, marine/open ocean, coastal, inland water, drylands, desert, cultivated (cropland, pasture, e.g.) and urban ecosystems.
<b>Ecosystem based Adaptation (EbA)</b>	The use of biodiversity and ecosystem services as part of an overall adaptation strategy to help people to adapt to the adverse effects of climate change. As one of the possible elements of an overall adaptation strategy, ecosystem-based adaptation uses the sustainable management, conservation, and restoration of ecosystems to provide services that enable people to adapt to the impacts of climate change (CBD 2009).
<b>Ecosystem-based approach</b>	Ecosystem-based approaches to adaptation use biodiversity and ecosystem services as part of an overall adaptation strategy to help people adapt to the adverse effects of climate change. Ecosystem-based approaches to adaptation use the range of opportunities for the sustainable management, conservation, and restoration of ecosystems to provide services that enable people to adapt to the impacts of climate change (UNEP/CBD/SBSTTA 2010).
<b>Ecosystem restoration</b>	The process of assisting the recovery of an ecosystem that has been degraded damaged or destroyed. (SER 2004).
<b>Ecosystem services</b>	The benefits people obtain from nature. These services come from natural (e.g., tropical forests) and modified ecosystems (e.g., agricultural landscapes). While there is no single, agreed method of categorizing all ecosystem services, the Millennium Ecosystem Assessment (MEA) framework of provisioning, regulating, supporting and cultural services is widely accepted and seen as a useful starting point.

Glossary of terms	Definition
<b>International Climate Initiative (IKI)</b>	<p>Since 2008, the International Climate Initiative (IKI) of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) has been financing climate and biodiversity projects in developing and newly industrialising countries, as well as in countries in transition. In the early years of the programme, its financial resources came from the proceeds of auctioning allowances under the emissions trading scheme. To ensure financial continuity, further funds were made available through the Special Energy and Climate Fund. Both funding mechanisms are now part of the Federal Environment Ministry's regular budget.</p> <p>The IKI is a key element of Germany's climate financing and the funding commitments in the framework of the Convention on Biological Diversity. The Initiative places clear emphasis on climate change mitigation, adaption to the impacts of climate change and the protection of biological diversity. These efforts provide various co-benefits, particularly the improvement of living conditions in partner countries (BMU-IKI 2019).</p>
<b>Mainstreaming EbA*</b>	<p>Mainstreaming in the broadest sense is when something (in this case EbA) starts to be considered normal. In the context of the IKI EbA projects, mainstreaming can range from adopting EbA concepts and practices into school and university curricula, developing funding programs, public relation activities, and workshops with diverse stakeholders to the adoption of elements of the EbA concept into policies, plans, and regulations.</p>
<b>Mitigation (of climate change)</b>	<p>A human intervention to reduce the sources or enhance the sinks of greenhouse gases (IPCC 2014).</p>

Glossary of terms	Definition
<p><b>Nature-based solution</b></p>	<p>Nature-based solutions aim to help societies address a variety of environmental, social, and economic challenges in sustainable ways. They are actions which are inspired by, supported by, or copied from nature. Some involve using and enhancing existing natural solutions to challenges, while others are exploring more novel solutions, for example mimicking how non-human organisms and communities cope with environmental extremes. Nature-based solutions use the features and complex system processes of nature, such as its ability to store carbon and regulate water flow, in order to achieve desired outcomes, such as reduced disaster risk, improved human well-being and socially inclusive green growth. Maintaining and enhancing natural capital, therefore, is of crucial importance, as it forms the basis for implementing solutions. These naturebased solutions ideally are energy and resource-efficient, and resilient to change, but to be successful they must be adapted to local conditions (European Commission 2015).</p>
<p><b>Policy/policies</b></p>	<p>Has a contextual dimension and considers the different fields of politics as e.g., economic policy, social policy, and environmental policy. Each policy looks at the actual situation of a field, the tasks it contains the goals of the policy to be passed, the realization of it and the expected and achieved results. A course or principle of action adopted or proposed by an organization or individual (Oxford dictionaries).</p>
<p><b>Resilience</b></p>	<p>The capacity of social, economic, and environmental systems to cope with a hazardous event or trend or disturbance, responding or reorganizing in ways that maintain their essential function, identity, and structure, while also maintaining the capacity for adaptation, learning, and transformation (IPCC 2014).</p> <p>Ecological system: The level of disturbance that an ecosystem can undergo without crossing a threshold to a situation with different structure or outputs. Resilience depends on ecological dynamics as well as the organizational and institutional capacity to understand, manage, and respond to these dynamics. (UK Ecosystem Assessment 2011).</p>

Glossary of terms	Definition
<b>Risk</b>	The potential for consequences where something of value is at stake and where the outcome is uncertain, recognizing the diversity of values. Risk is often represented as probability of occurrence of hazardous events or trends multiplied by the impacts if these events or trends occur. Risk results from the interaction of vulnerability, exposure, and hazard (IPCC 2014).
<b>UNFCCC</b>	The United Nations Framework Convention on Climate Change was adopted on 9 May 1992 in New York and signed at the 1992 Earth Summit in Rio de Janeiro by more than 150 countries and the European Economic Community. Its ultimate objective is the “stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system”. It contains commitments for all parties. Under the Convention, parties included in Annex I aimed to return greenhouse gas emissions not controlled by the Montreal Protocol to 1990 levels by the year 2000. The convention came into force in March 1994. In 1997, the UNFCCC adopted the Kyoto Protocol. (IPCC 2012).

Source: Bundesamt für Naturschutz 2016; \*: working definition by Arepo.

## Annex VIII. Results of the 4 case studies

### Vietnam case study

BMU/IKI projects play an important, yet modest, role in EbA in Vietnam. The project portfolio with relevance to NbS and EbA in the 2010s was about USD 27 million, or a 10% share of grant funding to Vietnam on these topics in that period. This is complemented by at least USD 1 billion in thematically linked development loans from International Financial Institutions.

There is a wide variety of NbS and (more specifically) EbA being applied, all over the country and in rural and urban areas. NbS and EbA are applied in the context of biodiversity, forestry, agriculture and in construction. More specifically, many NbS and EbA applications were found to be closely linked to water: coastal zone protection, mangrove-shrimp production, terrestrial wetlands including Ramsar sites, coastal and riverbank erosion, urban drainage, and flood management. Many of these were essentially being developed and applied before the language of EbA arrived in Vietnam and the first IKI projects were implemented and became

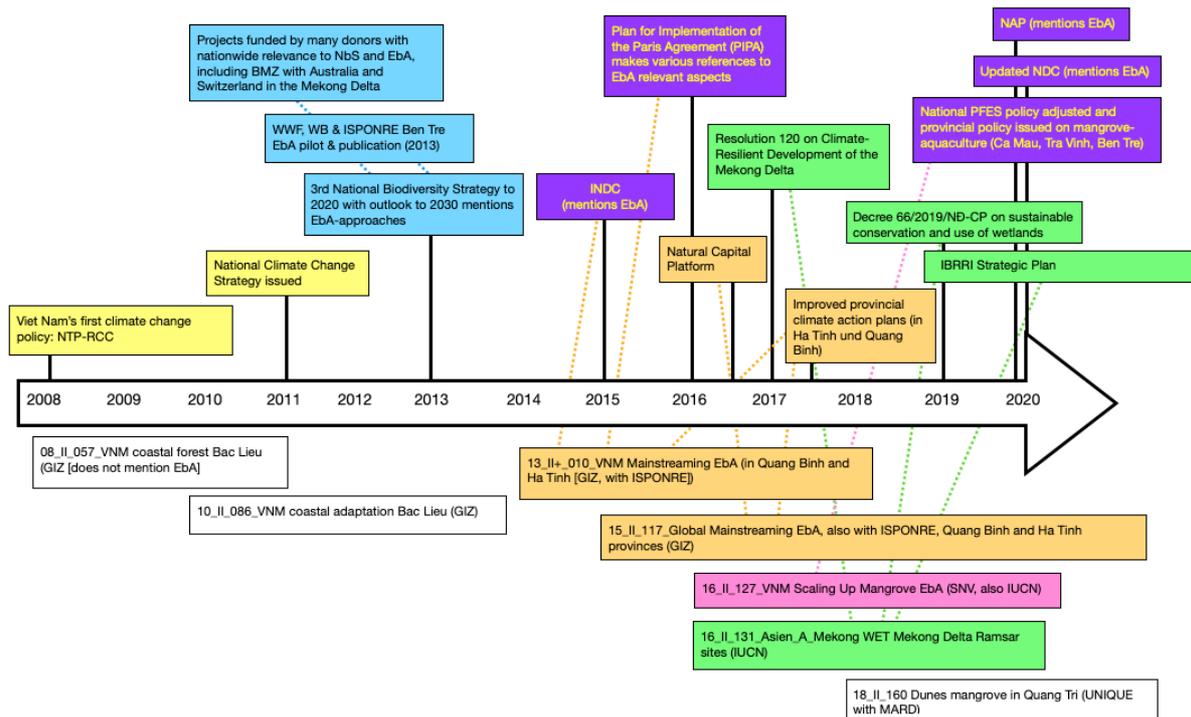
known, whereas what EbA projects have proposed and implemented can be understood as an evolution or next step of these older approaches. Primary examples in this regard are coastal protection, mangrove, and aquaculture, in different approaches; agricultural and aquaculture techniques that lead to higher sustainability and resilience of production. This includes models that have been promoted for decades, such as “VAC” – garden-pond-livestock integration on small farms, upland / mountainous sustainable agriculture, agroforestry, and forestry in which erosion prevention is key, and shrimp-mangrove models in the Mekong Delta.

Catalytic outcomes were largely confirmed by the interviewees as well as through the literature analysis. In short, the projects in Vietnam have worked on and have had some success in terms of feeding into UNFCCC and CBD related language, national commitments such as in the NDC, national reports to the CBD and UNFCCC and national policies on climate change, biodiversity, forestry, that all include direct and/or indirect references to EbA. Provincial regulations have also been influenced, according to the desk study as well as several of the interviews, ensuring that a degree of mainstreaming of EbA and applications with domestic financial support at least become a possibility if not a likelihood. There is also one particular IKI project (16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA), managed by SNV in Ca Mau province (and scaled up to Tra Vinh and Ben Tre), that has applied Payment for Environmental Services principles to mangrove-shrimp production and shrimp processing companies, and that has thus started to leverage private finance towards ecosystem services and sustainable and resilient production. This has included an official provincial policy concerned with the standards that must be applied in Ca Mau. In this context, a network was set up that is still active.

EbA projects have fed into UNFCCC and CBD language, Vietnamese commitments (UNFCCC, CBD), and national and provincial policies. This has increased the likelihood of domestic public funding though that is still small-scale. There is high importance of knowledge and capacity building in terms of transformation towards NbS and EbA, and all projects have contributed to that.

Finance was identified as a barrier to EbA. External resources are important for application and replication. Private finance through PFES is an opportunity but e.g., the initial success with replication in Ca Mau and other provinces of the mangrove-shrimp model is not certain to continue. Replication will only happen with high awareness, knowledge, capacity, information. International information is accessed by researchers and experts with English language skills. Vietnamese language information for officials and farmers is hard to access and/or find.

Figure 9: Case study Vietnam – timeline for catalytic impact



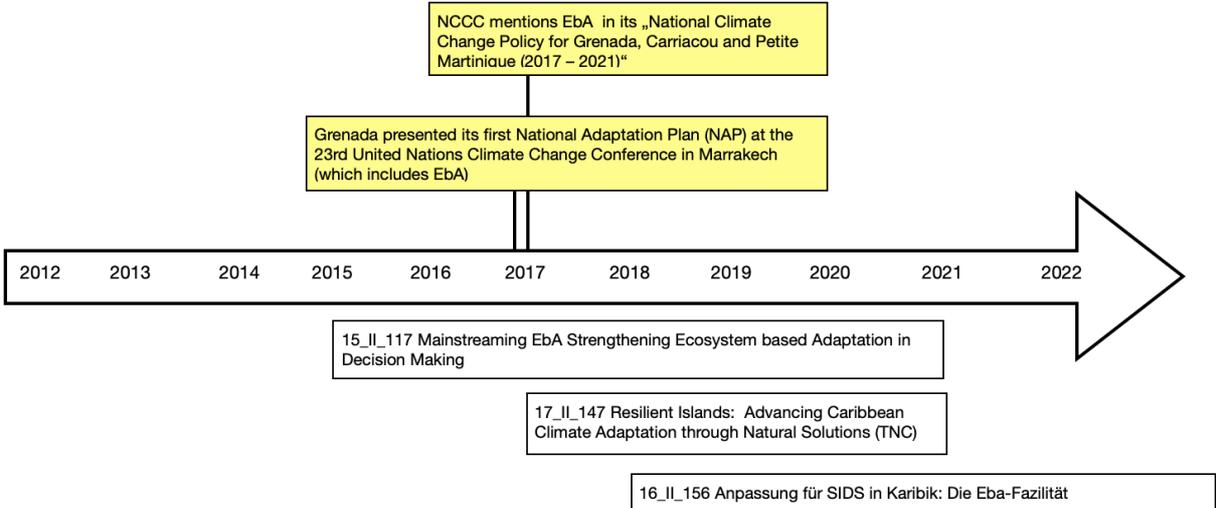
Source: Arepo.

### Grenada case study

Between 2013 to 2021 Grenada, has piloted two ecosystem-based adaptation projects: Firstly, the “At the Water’s Edge” project in Greater Grenville to decrease exposure to flooding, erosion, and storm surges. Secondly, the “Building the Case for Ecosystem Based Adaptation in Small Island Developing States” to reduce exposure to sea level rise and flooding in two pilot sites, namely Grand and Windward/Carriacou. Both projects looked at mangrove restoration and coral reef restoration as an EbA option. The projects were piloted by The Nature Conservancy and UNEP, alongside with the Government of Grenada. More recently, having received funding from the IKI, The Nature Conservancy’s project “At the Water’s Edge” has been up-scaled to the “Island Resilience” project.

In the Climate Change arena, Grenada is a member of numerous working groups for climate change. These include Alliance of Small Island States and Small Island Developing States. Grenada is also a signatory to a number of conventions, including the Convention on Biological Diversity. In 2020 Grenada became one of the first countries to submit its NDC Report. Regionally, it was one of the first to prepare its National Adaptation Plan, which is currently being used to guide and implement Climate Change priorities for the country. One of the other key overarching documents is the country’s National Sustainable Development Plan.

Figure 10: Case study Grenada – timeline for catalytic impact



Source: Arepo.

**Peru case study**

In Peru, it can be said that a catalytic effect is observed in all the six projects that were analyzed for the case study. This effect is evidenced in the legal framework and management instruments, in which the concept has been included after an intense work of implementation in the territory and capacity-building in local, regional, and national decision-makers. It has been a process that after 2011, with the start of the Flagship EbA Mountain project, has progressed and triggered multiple effects.

The six projects have had a catalytic effect that has been accumulated and capitalized. Each one has had and still has its own characteristics. It is at the national level that the cumulative effect that has been generated with the implementation of several of them is particularly significant. A temporal analysis reveals that it is towards the year 2013 that the Ministry of Environment of Peru commits itself to the EbA approach, participating in capacity-building

processes promoted by projects that would later generate the inclusion of the approach in policies and regulations at the national level: Policy guidelines for public investment in matters of biological diversity and ecosystem services 2015-2021, Framework Law on Climate Change (2018), Regulation of the Framework Law on Climate Change (2019), National Adaptation Plan (2020), and also at the MEF. This ministry integrated explicit requirements for considering natural infrastructure in public investment projects (2015), thanks to the joint effort of the ongoing projects but basically to the Adapting Public Investment to Climate Change project implemented by GIZ between 2012 and 2015.

At the regional level, the most evident impact is in the Junín region, the area of action of the EbA Mountain project, where there is an explicit incorporation of the EbA approach in the vision of the Regional Climate Change Strategy (2015), which is still ongoing. In addition, the Regional Council on Climate Change was created to promote the implementation of the climate change strategy (2017).

IKI's EbA projects have been an explicit trigger for knowledge management in these ten years since the beginning of the EbA Mountain project, integrating new concepts in learning from the territory. There has been a lot of two-way information flow along with the ability to demonstrate the application of the concept and support to public policies. There was a constant interaction between the experiences in the field in support of the strengthening of public policies so that they guide replication and escalation. Peruvian national authorities acknowledge that the projects have allowed a learning process in the country, generating the updating of development visions. This has been a catalyst process: achieve to strengthen leadership, give permanence to things done, advance in good training at the technical level, and motivate a willingness to work across sectors. However, there is still no capacity to articulate the sectoral work with the territorial one. There are articulation efforts, but the challenges of how populations benefit from ecosystems and that the money remains in local areas persist. It is recognized that the essence of EbA is landscape sustainability, so it is crucial to give an important role to protected areas, something which has been advanced with the coordinated work between the projects (EbA Mountain, EbA Amazonia) and SERNANP.

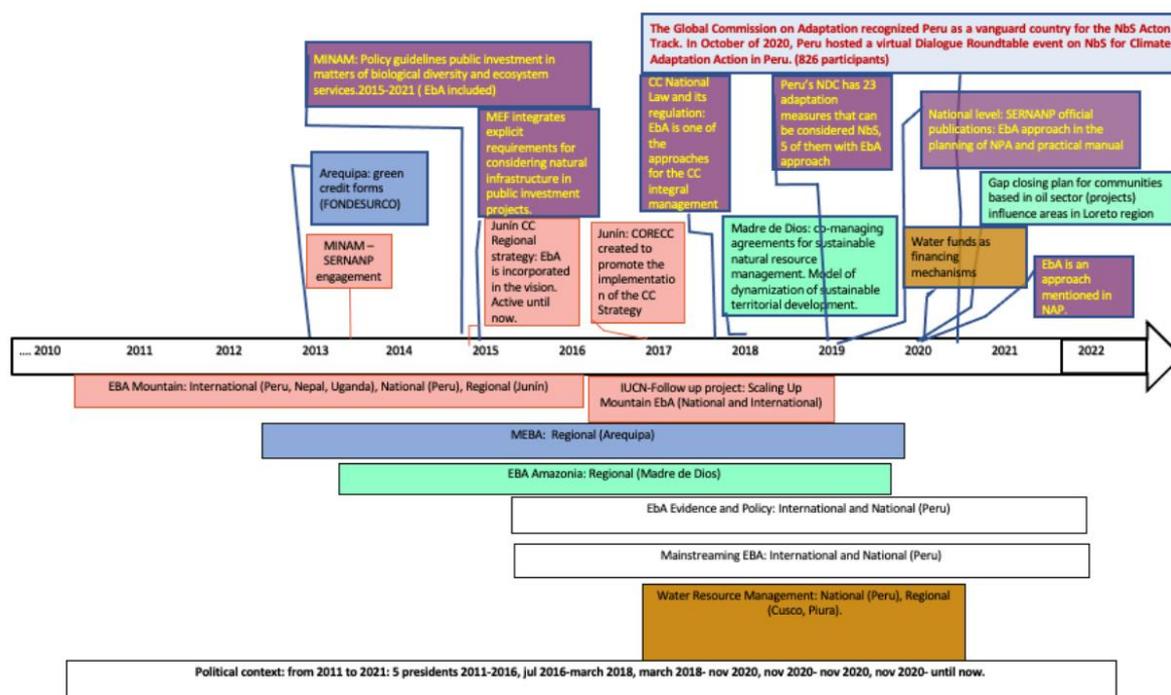
For current national authorities, EbA issues have been worked on for several years and a noticeable effect has been generated. Thus, there is now a broad concept of SBN in which the EbA approach is embedded. However, there is also an understanding that the projects have not yet generated enough information on the measurement of results, since the projects finish before they can demonstrate their effects in a quantifiable way.

Regarding international level negotiations, the representatives of the institutions of the evaluated projects acknowledge that these do not generate effects on the short term, the ideas "trickle" towards decision makers and high-level officials, who are internalizing an idea of the issues little by little. They say that many times the highest official is not quite aware,

and the specialists do not always convey the information. When it works best is when there has been a previous joint work in the country based on concrete experiences, which is an aspect that has advanced a lot in recent years in Peru. The representatives agree that a bottom-up scaling is more sustainable and solid, based on real experiences that have made possible a favorable change in the lives of populations and territories. Although international negotiations should not be neglected, these are longer-term processes to generate concrete impacts.

Even with the progress made, it is still a challenge to implement the EbA approach. NDC measures have been defined, but they are pending to land at the local and regional level with a planning process that is understandable at a technical and operational level. To influence management, it is necessary to further strengthen human capacities. EbA is not only a technical issue. Although there has been more acceptance of EbA in the Ministry of Economy and Finance, which is an important actor, there is still work to be done so that it does not continue to finance mainly hard infrastructure.

Figure 11: Case study Peru – timeline for catalytic impact



Source: Arepo.

### IIED case study

The IIED case study analyzed project 15\_II\_116\_Global\_A\_EbA Evidence and Policy and its potential catalytic impacts at the national as well as at the international level.

## The project

The “IIED project” (15\_II\_116) focused on a portfolio of established EbA project sites (funded by IKI and others) in Bangladesh, Burkina Faso, Chile, China, Costa Rica, El Salvador, Kenya, Nepal, Peru, Senegal (former location was Mali), South Africa, and Uganda. IIED has applied an overarching analytical framework in all project countries and translated that analysis into policy recommendations to explore the opportunities for, and obstacles to, the implementation of EbA in national adaptation plans and policies. To infuse EbA measures into wider policy, planning, funding priorities and international discourse IIED looked for outreach through the Nairobi Work Programme, the UNFCCC Adaptation Committee, like NAP-related events and through articles and existing adaptation knowledge platforms and networks.

## Research results

The IIED case study has shown that the main focus of the project at the national level were cooperation with and consultation for national stakeholders as well as networking and exchange of knowledge with other EbA-related projects in the countries. Activities were primarily in the areas of sensitization, awareness, generating practical knowledge. Specific means were e.g.: engagement with government officials, publication of country policy briefings, consultation, trainings, and workshops, and advising and supporting of governmental stake holder to include EbA in national policies.

At the international level IIED has been active in a wide range of contexts and organizations (e.g., UNFCCC and CBD COPs; UNFCCC SBSTA/SBI, NWP; IPCC). The focus of the project at the international level was to disseminate the results of the overarching analytical framework and research findings in international contexts. This was done by means of presentations at important international events and meetings "of key international bodies, particularly through the NWP and the Adaptation Committee and LEG meetings and events of the UNFCCC and CBD". The assumption was that “assessable and easily digestible information and presentations should help influence international policy.” Furthermore, it was assumed that the participating countries "will be willing to highlight the research findings at these events and through these platforms" by themselves.

## Catalytic outcomes at national level

There were catalytic outcomes in eleven out of twelve countries. In most cases, EbA was anchored in regulations, obligations and/or policies at the national or subnational level. This was achieved by participation and consultation of IIED in the drafting process of these regulations, intensive cooperation with relevant political actors, and sensitization, awareness rising as well as transfer of knowledge for action. Along the PHINEO impact ladder, it can be noted that in ten out of twelve countries there were activities that produced outcomes that

can be expected to have an impact, in six out of twelve cases even at the highest outcome level (Level 6). At the country level, the activities can therefore be rated as successful.

#### Catalytic outcomes at international level

At the international level the project has produced less catalytic impact. One potential catalytic result was that IIED contributed to the development of CBD voluntary guidelines for the design and effective implementation of EbA and Eco-DRR. In the majority of international contexts where IIED has conducted activities, there have been no potential catalytic outcomes within the used logic model. Only in the context of UNFCCC Subsidiary Bodies (especially NWP) and CBD were isolated outcome activities which are the prerequisite for catalytic impact. The majority of activities at the international level remain at the output level.

Despite diverse and numerous IIED activities in the context of UNFCCC negotiations, there are no evidences for a direct influence of negotiations outcomes. Actually, IIED used the international negotiations more as a platform to promote the EbA approach in the UNFCCC Subsidiary Bodies through various activities (participation and organization of workshops, technical input, etc.) and to provide assistance to interested countries in the implementation of EbA. IIED thus contributes to and was a significant part of the community of practice.

It can be assumed that IIED was successful in an indirect way and generated potentially catalytic outcomes through the international level. However, these indirect but potentially catalytic activities are not adequately captured in the reports for IKI and are also related to the fact that IIED is implementing several projects in the EbA field and is a respected as well as widely known actor at the international level.

## Annex IX. Terms of Reference

Please refer to the separate PDF document.

## Annex X. Bibliography

ASEAN (Association of Southeast Asian Nations) (2012). Joint Statement of ASEAN Environment Ministers for the Eleventh Meeting of the Conference of the Parties to the Convention on Biological Diversity. Retrieved from: <https://asean.org/joint-statement-of-asean-environment-ministers-for-the-eleventh-meeting-of-the-conference-of-the-parties-to-the-convention-on-biological-diversity/?highlight=ecosystem-based%20adaptation>

- Asian Development Bank (n.d.). Ecosystem-based Approaches to Address Climate Change Challenges in the Greater Mekong Subregion. Retrieved from: <https://www.adb.org/sites/default/files/publication/158165/ecosystem-based-approaches-gms.pdf>
- Asian Development Bank (2017). Greater Mekong Subregion Core Environment Program Strategy: Framework and Action Plan 2018-2022. Retrieved from: <https://greatermekong.org/sites/default/files/CEP-Strategic-Framework-2018-2022-web%20version.pdf>
- BfN (Bundesamt für Naturschutz) (2019). Ecosystem-based Adaptation: Opportunities in policy and practice -Documentation. Retrieved from: [https://www.bfn.de/fileadmin/BfN/ina/Dokumente/Tagungsdoku/2019/Ecosystem-based\\_Adaptation\\_-\\_Opportunities\\_in\\_policy\\_and\\_practice.pdf](https://www.bfn.de/fileadmin/BfN/ina/Dokumente/Tagungsdoku/2019/Ecosystem-based_Adaptation_-_Opportunities_in_policy_and_practice.pdf)
- Bundesministerium für Umwelt, Naturschutz und Reaktorsicherheit (2016). IKI-Exzellenzkriterien - Hinweise zur Skizzenauswahl für externe Gutachter.
- CARICOM (n.d.). The State of Biodiversity in the Caribbean Community: A Review of Progress Towards the Aichi Biodiversity Targets. Retrieved from: 16630-un\_environment\_-\_the\_state\_of\_biodiversity\_in\_the\_caribbean\_community\_b5...-3.pdf (caricom.org)
- Colls, A., Ash, N., & Ikkala, N. (2009). *Ecosystem-based Adaptation: a natural response to climate change* (Vol. 21). Gland: IUCN.Convention on Biological Diversity (n.d.). Regional Biodiversity Strategies and Action Plans. Retrieved from: <https://www.cbd.int/nbsap/related-info/region-bsap/>
- Convention on Biological Diversity (n.d.). Latest NBSAPs. Retrieved from: <https://www.cbd.int/nbsap/about/latest/>
- Convention on Biological Diversity (2019). Voluntary guidelines for the design and effective implementation of ecosystem-based approaches to climate change adaptation and disaster risk reduction and supplementary information. Retrieved from: <https://www.cbd.int/doc/publications/cbd-ts-93-en.pdf>
- Devlin-Foltz, D., & Molinaro, L. (2010). Champions and Champion-Ness, Measuring Efforts to Create Champions for Policy Change. *Center for Evaluation Innovation*: Washington, DC, USA, 1-10.
- Ecosystem-based Adaptation through South-South-Cooperation (n.d.). Overview. Retrieved from: <http://www.ebasouth.org/>
- Ecosystem-based Adaptation through South-South-Cooperation (n.d.). About. Retrieved from: <http://www.ebasouth.org/overview/about-eba-south>

- Friends of Ecosystem-based Adaptation (n.d.). Knowledge products. Retrieved from: <https://friendsofeba.com/knowledge-products-2/>
- GEF Evaluation Office (Global Environment Facility) (2008). Evaluation of the Catalytic Role of the GEF. A Qualitative Analysis of Terminal Evaluations. Technical Paper #1
- GEF (Global Environment Facility) (2014). GEF Programming Strategy on Adaptation to Climate Change, LDCF, SCCF. Retrieved from: <https://www.thegef.org/documents/gef-programming-strategy-adaptation-climate-change-ldcf-sccf>
- GEF (Global Environment Facility) (2014). GEF-6 PROGRAMMING DIRECTIONS. Retrieved from: <https://www.thegef.org/sites/default/files/documents/GEF-6%20Programming%20Directions.pdf>
- GEF (Global Environment Facility) (2017). United Nations Framework Convention on Climate Change: Guidance from the Conference of the Parties and Responses by the Global Environment Facility – COP 1 – COP 23. Retrieved from: [https://www.thegef.org/sites/default/files/publications/GEF\\_UNFCCC%20COP%20Guidance2018\\_CRA.pdf](https://www.thegef.org/sites/default/files/publications/GEF_UNFCCC%20COP%20Guidance2018_CRA.pdf)
- Greater Mekong Subregion (n.d.). How Mangrove-Friendly Shrimp Farming Is Protecting the Mekong Delta. Retrieved from: <https://greatermekong.org/how-mangrove-friendly-shrimp-farming-protecting-mekong-delta>
- Greater Mekong Subregion Core Environment Program Strategic Framework and Action Plan 2018-2022. Retrieved from: <https://greatermekong.org/sites/default/files/CEP-Strategic-Framework-2018-2022-web%20version.pdf>
- Green Climate Fund (n.d.). Ecosystems and ecosystem services. Retrieved from: <https://www.greenclimate.fund/results/ecosystems-ecosystem-services>
- Green Climate Fund (n.d.). Simplified Approval Process (SAP) Technical Guidelines: Ecosystems and Ecosystem Services. Retrieved from: <https://www.greenclimate.fund/sites/default/files/document/sap-technical-guidelines-ecosystems-and-ecosystem-services.pdf>
- Internationale Klimaschutzinitiative (2021). Natürliche Ansätze für die Anpassung an den Klimawandel im Pazifik: Umsetzung von ökosystembasierten Ansätzen. Retrieved from: [https://www.international-climate-initiative.com/de/details/project/natuerliche-ansaetze-fuer-die-anpassung-an-den-klimawandel-im-pazifik-umsetzung-von-oekosystembasierten-ansaetzen-14\\_II\\_109-389](https://www.international-climate-initiative.com/de/details/project/natuerliche-ansaetze-fuer-die-anpassung-an-den-klimawandel-im-pazifik-umsetzung-von-oekosystembasierten-ansaetzen-14_II_109-389)
- IUCN (2021). 7th Ecosystem-based Adaptation (EbA) Knowledge Day. Retrieved from: [https://www.iucn.org/sites/dev/files/7th\\_eba\\_knowledge\\_day\\_agenda.pdf](https://www.iucn.org/sites/dev/files/7th_eba_knowledge_day_agenda.pdf)

- IUCN (n.d.). Ecosystem-based Approaches to Climate Change Adaptation. Retrieved from: <https://www.iucn.org/theme/ecosystem-management/our-work/ecosystem-based-approaches-climate-change-adaptation>
- Mayring, P. (2015). Qualitative Inhaltsanalyse. Grundlagen und Techniken. Weinheim.
- Micronesia Challenge (n.d.) About. Retrieved from: <http://www.micronesiachallenge.org/>
- Pauleit, S., Zölch, T., Hansen, R., Randrup, T. B., & van den Bosch, C. K. (2017). Nature-based solutions and climate change—four shades of green. In *Nature-Based solutions to climate change adaptation in urban areas* (pp. 29-49). Springer, Cham.
- Pearce, D. Policy Frameworks for the Ancillary Benefits of Climate Change Policies. CSERGE Working Paper GEC 2000-1.
- Secretariat of the Pacific Regional Environment Programme (n.d.). Ecosystem-based Approaches (EbA). Retrieved from: <https://www.sprep.org/pebacc/user-eba-links>
- Swiderska, K., King-Okumu, C., & Islam, M. M. (2018). Ecosystem-based adaptation: a handbook for EbA in mountain, dryland and coastal ecosystems. Retrieved from: <https://pubs.iied.org/sites/default/files/pdfs/migrate/17460IIED.pdf>.
- United Nations Environment Programme, Mensah, A., Deeb, A., & Grünwaldt, A. H. (2011). Making the Case for Ecosystem-based Adaptation: Building Resilience to Climate Change. UNEP.
- UNFCCC (n.d.) National Adaptation Plans. Retrieved from: [https://www4.unfccc.int/sites/NAPC/News/Pages/national\\_adaptation\\_plans.aspx](https://www4.unfccc.int/sites/NAPC/News/Pages/national_adaptation_plans.aspx)
- UNFCCC (n.d.). NDC Registry. Retrieved from: <https://www4.unfccc.int/sites/NDCStaging/Pages/All.aspx>
- UNFCCC (2006). Decisions adopted by the Conference of the Parties at its Twelfth Meeting. Retrieved from: <https://www.cbd.int/doc/decisions/cop-12/full/cop-12-dec-en.pdf>
- UNFCCC (2011). Report of the Conference of the Parties on its seventeenth session, held in Durban from 28 November to 11 December 2011. Retrieved from: <https://unfccc.int/resource/docs/2011/cop17/eng/09a02.pdf>
- UNFCCC (2011). Nairobi work programme on impacts, vulnerability and adaptation to climate change Draft conclusions proposed by the Chair. Retrieved from: <https://unfccc.int/resource/docs/2011/sbsta/eng/l13.pdf>
- UNFCCC (2011). Ecosystem-based approaches to adaptation: compilation of information. Note by the secretariat. Retrieved from: <https://unfccc.int/sites/default/files/resource/docs/2011/sbsta/eng/inf08.pdf>

- UNFCCC (2012). National Adaptation Plans: Technical guidelines for the national adaptation plan process. Retrieved from: [https://unfccc.int/files/adaptation/cancun\\_adaptation\\_framework/application/pdf/naptechguidelines\\_eng\\_high\\_\\_res.pdf](https://unfccc.int/files/adaptation/cancun_adaptation_framework/application/pdf/naptechguidelines_eng_high__res.pdf)
- UNFCCC (2012). Progress made in implementing activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change Note by the secretariat. Retrieved from: <https://unfccc.int/sites/default/files/resource/docs/2012/sbsta/eng/inf01.pdf>
- UNFCCC (2013). Technical workshop on ecosystem-based approaches for adaptation to climate change. Retrieved from: <https://unfccc.int/event/technical-workshop-on-ecosystem-based-approaches-for-adaptation-to-climate-change>
- UNFCCC (2013). Report on the technical workshop on ecosystem-based approaches for adaptation to climate change Note by the secretariat. Retrieved from: <https://unfccc.int/sites/default/files/resource/docs/2013/sbsta/eng/02.pdf>
- UNFCCC (2013). Report of the Subsidiary Body for Scientific and Technological Advice on its thirty-eighth session, held in Bonn from 3 to 14 June 2013. Retrieved from: <https://unfccc.int/resource/docs/2013/sbsta/eng/03.pdf>
- UNFCCC (2015). Good practices and lessons learned in adaptation planning processes addressing ecosystems, human settlements, water resources and health, and in processes and structures for linking national and local adaptation planning: a synthesis of case studies Note by the secretariat. Retrieved from: <https://unfccc.int/resource/docs/2015/sbsta/eng/04.pdf>
- UNFCCC (2015). Good practices and lessons learned in adaptation planning processes addressing ecosystems, human settlements, water resources and health, and in processes and structures for linking national and local adaptation planning: a synthesis of case studies. Note by the secretariat. Retrieved from: <https://unfccc.int/resource/docs/2015/sbsta/eng/04.pdf>
- UNFCCC (2016). Progress made in implementing activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change Note by the secretariat. Retrieved from: <https://unfccc.int/sites/default/files/resource/docs/2016/sbsta/eng/inf04.pdf>
- UNFCCC (2017). Adaptation planning, implementation and evaluation addressing ecosystems and areas such as water resources Synthesis report by the secretariat. Retrieved from: <https://unfccc.int/sites/default/files/resource/docs/2017/sbsta/eng/03.pdf>

- UNFCCC (2018). Report of the Conference of the Parties on its twenty-fourth session, held in Katowice from 2 to 15 December 2018. Retrieved from: <https://unfccc.int/sites/default/files/resource/10a1.pdf>
- UNFCCC (2018). Report of the Adaptation Committee. Retrieved from: [https://unfccc.int/sites/default/files/resource/3e\\_0.pdf](https://unfccc.int/sites/default/files/resource/3e_0.pdf)
- Vázquez Vela, A. C. (2018). Entry Points for Mainstreaming Ecosystem-based Adaptation. The Case of Mexico. Bonn, Germany: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).
- Wörten, C., Rieseberg, S. & Lorenz, R. (2016). The Theory of No Change. International Energy Policies & Programmes Evaluation Conference, Amsterdam.

## Annex XI. List of project documents

- 08\_II\_018\_ASIA\_A\_TNC\_Challenge: Advancing the Micronesia Challenge through new protected areas: Reducing ecosystem vulnerability to climate change and sea-level rise through a new network of resilient, locally-managed conservation areas across the islands of Micronesia. Final Report. 2011.
- 09\_II\_069: Pacific Mangroves Initiative. Final Report. 2019.
- 10\_II\_085\_PHL\_G\_Anpassung Küstenbereiche: Protection and Rehabilitation of Coastal Ecosystems for an improved Climate Change Adaptation in the Philippines as a contribution to the Coral Triangle Initiative (ACCCoast). Final Report. 2014.
- 10\_II\_086\_VNM\_G\_Anpassung Küstenbevölkerung: Anpassung an den Klimawandel durch Förderung der Biodiversität in der Provinz Bac Lieu, Vietnam. Final Report. 2016.
- 10\_II\_109\_Global\_A\_EbAs in Mountain Regions: Ecosystem-based Adaptation (EbA) in Mountain Ecosystems. Final Report. 2016.
- 11\_II+\_001\_LA\_A\_EbA Smallholder Farming: Ecosystem-based Adaptation for Smallholder Subsistence and Coffee Farming Communities in Central America (CASCADE). Final Report. 2019.
- 11\_II+\_002\_LA\_M\_MEBA\_Microfinance: Microfinance for Ecosystem-based Adaptation to Climate Change Phase II - MEbA II. Interim Report. 2020.
- 11\_II\_075\_NPL\_A\_Watershed Management: Increasing Climate Change Resilience of Vulnerable Communities in Humia District, Nepal. Final Report. 2014.

- 11\_II\_080\_MEX\_A\_Adaptation in Watersheds: Innovative Mechanisms for a Cooperative Climate Change Adaptation Program in Sierra Madre and the Coast of Chiapas, Mexico. Final Report. 2016.
- 11\_II\_084\_Global\_A\_EbA solutions: Ecosystem-based Adaptation in marine, terrestrial and coastal regions as a means of improving livelihoods and conserving biodiversity in the face of climate change. Final Report. 2016.
- 12\_II+\_003\_LA\_G\_EbA\_COL\_ECU: Strategien ökosystembasierter Anpassung an den Klimawandel in Kolumbien und Ecuador. Final Report. 2019.
- 12\_II+\_005\_Global\_A\_EPIC: Ecosystems Protecting Infrastructure and Communities (EPIC). Final Report. 2018.
- 13\_II+\_010\_VNM\_G\_Mainstreaming EbA: Strategische Verankerung von Ökosystembasierter Anpassung in Vietnam. Final Report. 2019.
- 13\_II\_098\_PER\_M\_Communal Reserves: Integrated Climate Change Management in Communal Reserves in the Amazon Rainforest. Interim Report. 2020.
- 13\_II\_099\_THA\_G\_Extremereignismanagement: Verbesserte Hochwasser- und Dürreprävention durch ökosystemare Anpassung in Wassereinzugsgebieten. Final Report. 2018.
- 13\_II\_102\_Africa\_A\_WISE-UP: WISE-UP to Climate Change. Final Report. 2020.
- 14\_II\_095\_Pazifik\_A\_Enabling\_EbA: Building the Resilience of Communities and their Ecosystems to the Impacts of Climate Change in Micronesia and Melanesia. Final Report. 2019.
- 14\_II\_109\_Pacific\_M\_Natural solutions to Climate Change: Natural Solutions to Climate Change in the Pacific Island Region: Implementing Ecosystem based Adaptation a.k.a. Ecosystem-based Adaptation to Climate Change (PEBACC). Interim Report. 2020.
- 14\_II\_111\_Lateinamerika\_A\_Governance for EbA: Transforming Evidence into Change: a Holistic Approach to Governance for EbA - GO4EbA. Final Report. 2020.
- 15\_II\_108\_COL\_A\_Magdalena River Basin: Ecosystem-Based Adaptation to Climate Change in the Magdalena River Basin. Final Report. 2019.
- 15\_II\_110\_Zentralasien\_G\_EbA\_Hochgebirgsregionen: Ökosystembasierte Anpassung an den Klimawandel in Hochgebirgsregionen Zentralasiens. Interim Report. 2019.

- 15\_II\_110\_Zentralasien\_G\_EbA\_Hochgebirgsregionen: Ökosystembasierte Anpassung an den Klimawandel in Hochgebirgsregionen Zentralasiens. Interim Report. 2020.
- 15\_II\_116\_Global\_A\_EbA Evidence and Policy: Ecosystem-based approaches to adaptation: strengthening the evidence and informing policy. Interim Report. 2020.
- 15\_II\_117\_Global\_G\_Wissensnetzwerk EBA Mainstreaming: Mainstreaming EbA - Stärkung ökosystembasierter Anpassung in Planungs- und Entscheidungsprozessen. Interim Report. 2020.
- 16\_II\_127\_VNM\_A\_Scaling Up Mangrove EbA: Scaling up Mangrove EbA in the Mekong Delta. Final Report. 2020.
- 16\_II\_128\_Global\_A\_Ecosystems, Risk and Climate Adaptation: Ökosysteme, Risiko und Klimaanpassung. Interim Report. 2020.
- 16\_II\_130\_IDN\_A\_EbA Building with Nature: Ecosystem-based adaptation at scale through Building with Nature – Towards resilient coasts in Indonesia. Interim Report. 2020.
- 16\_II\_131\_Asien\_A\_Mekong\_WET: Building Resilience of Wetlands in the Lower Mekong Region Through a Ramsar Regional Initiative. Interim Report. 2020.
- 16\_II\_138\_Global\_A\_FEBA Koordination: Coordination of the Friends of EbA (FEBA). Interim Report. 2020.
- 16\_II\_156\_Karibik\_K\_Climate Change Adaptation in the Caribbean: Anpassung für SIDS in der Karibik: Die EbA-Fazilität. Interim Report. 2020.
- 17\_II\_133\_PER\_A\_Adapting Water Resource Management: Adaptation of Water Resource Management to Climate Change: development of management tools and sustainable financing mechanisms in three representative ecoregions of Peru. Interim Report. 2020.
- 17\_II\_139\_PHL\_A\_EbA Financing Instruments: Facilitating private sector engagement for the financing of ecosystem-based adaptation in support of the Climate Change Action Plan of the Philippines. Interim Report. 2020.
- 17\_II\_140\_MEX\_G\_EbA Privatwirtschaft: Ökosystembasierte Anpassung an den Klimawandel mit der Privatwirtschaft in Mexiko (ADAPTUR). Interim Report. 2020.
- 17\_II\_147\_Caribbean\_A\_Resilient Islands via EbA: Resilient Islands by Design: Integrating Ecosystem- and Community-based Approaches to Enhance Climate Change Adaptation in the Caribbean. Interim Report. 2020.

## Annex XII. Project team

### **Dr. Christine Wörlen**

---

Dr. Christine Wörlen is the founder of Arepo GmbH. She holds a degree in geoecology and did her PhD at Boston University (Ph.D.) on "Technical and Economic Aspects of Renewable Energy Promotion". The focus of her work is the design and implementation of evaluation and monitoring of climate and energy policies and programs. At the same time, she has extensive technical expertise, especially in the areas of biomass energy use, energy efficiency or energy optimization of production processes.

She is an internationally renowned expert in the area of climate policy and climate finance and as an international evaluator and author of the "Theory of No Change". She has conducted a large number of evaluation assignments, including but not limited to IKI projects, most notably the evaluation of the DEG Klimapartnerschaften, the UNEP Seed Capital Access Facility and the NAMA Facility Mid-Term evaluation. She led the evaluation of DfID's Carbon Market Finance Programme, which funds the World Bank's Carbon Fund Ci-Dev, and in this programme evaluation, the discussion around Art. 6 dominated the relevance and sustainability discussions. Apart from the evaluation of several country-specific programme outlines of the IKI, she has also led the evaluation of the thematic call outlines conducted by Arepo. She was team leader for the preliminary study for IKI thematic-oriented proposals in 2019 and deputy lead in the evaluation of thematic-oriented programme outlines for the IKI in 2019. Her most recent flagship project was a study on the possible synergies between different multilateral carbon funds for GCF and the Climate Investment Funds E&L programme. She was, among other things, a member of the planning committee of the European Energy Evaluation Conference 2020 and regularly advises the evaluation offices of major international donors.

Ms. Wörlen is fluent in English, with advanced knowledge of Spanish and French.

### **Dr. Martina Greib**

---

Dr. Martina Greib holds a degree in agricultural engineering and a doctorate in agricultural economics and is project director at Arepo.

She has 20 years of experience in planning, implementation and evaluation of climate adaptation projects in Germany, Europe and developing countries. Her focus is on forest landscape restoration, REDD+, ecosystem services and ecosystem-based adaptation (EbA) projects. Through her extensive work abroad for GIZ, EU and World Bank in Latin America, Africa and Asia, she brings a lot of practical experience in the implementation and evaluation of Nature-based Solutions (NbS) projects.

In her current position as senior consultant at Arepo, she has led the evaluation of numerous umbrella and individual projects for GIZ, UNEP, World Bank and other clients. She therefore has a wide range of methodological evaluation skills, including method development, qualitative and quantitative data collection techniques, but also the optimization of (policy) programs.

Ms. Greib reviewed thematic and country-specific program outlines for the International Climate Initiative (IKI) of the German Federal Ministry for the Environment (BMU). She also advised the BMU on the further development of IKI funding priorities in topics such as The Bonn Challenge/Forest Landscape Restoration, EbA, Water-Energy Nexus and Biodiversity Conservation. She is currently leading the Strategic Evaluation on IKI's catalytic role in EbA. She evaluated REDD+ projects as part of IKI's individual project evaluations.

Another focus of her work is on the transformation aspect. Ms. Greib has been accompanying the structural transformation process of municipal actors in Germany for many years. From 2010 to 2012, she was managing director of the Energy Region Lausitz-Spreewald GmbH and was involved in the interests of districts, cities, and municipalities in a just transition from a fossil to a CO<sub>2</sub>-neutral region. From 2012 to 2015, Martina Greib led networking projects in the border region between Germany and Poland with the participation of citizens and stakeholders from society, business, and science. One focus of her work here was the German-Polish Euroregions, on which she also wrote her doctoral thesis.

In addition to her professional qualifications, Ms. Greib also has extensive project experience as a long-term and short-term expert in Africa, Latin America, and Asia. She also worked as a project manager abroad for many years.

### **Bianca Soares Möckel**

---

As an advisor and project manager at Arepo, Bianca Soares Möckel manages projects on topics of the International Climate Initiative, and supports individual evaluation projects for various United Nations organisations and in the area of energy efficiency in the heat pump sector with her expertise. She was the team coordinator in the project individual project evaluations of the International Climate Initiative (IKI) for the Federal Ministry of the Environment, Nature Conservation and Nuclear Safety (BMU), where she is responsible for the maintenance and optimisation of the project database as well as the management and quality control of 174 evaluations within a consortium. Furthermore, she is responsible for evaluations in the thematic area of Conserving natural carbon sinks and REDD+.

Before joining Arepo, Ms. Soares Möckel completed an internship at the Institute for Ecological Economy Research in the project "Cooperation and Participation Process for the Further Development of the German Adaptation Strategy to Climate Change (Participation Process DAS)". During her studies she worked as a student assistant in the department

“Globalization, Transformation, Gender” at Freie Universität Berlin. In this context she gave tutorials on development geography and global change. During her studies she worked in various German-Brazilian cooperation projects (Novas Parcerias) in the Brazilian Amazon region on the topics “Extractivism of the Brazil nut” and “Agricultural and environmental law in the rural Amazon”.

Ms. Soares Möckel studied the internationally oriented Master’s program in Geographical Development Studies at the Free University of Berlin and also completed the advanced training course “Climate Change and Sustainable Development” at the Centre for Rural Development at Humboldt University in Berlin. Through several study and project stays in Latin America, she speaks Portuguese and Spanish fluently. She is also fluent in English.

### **Karolin Kölling**

---

As an advisor and project manager at Arepo, Karolin Kölling provides her expertise in the area of natural resource management and international climate policy in projects covering the International Climate Initiative (IKI), the evaluation of the Results-Based Financing for Low Carbon Energy Facility (RBFF) of Energising Development (EnDev) for GIZ, and a project on energy efficiency in the heat pump sector, among others.

Ms. Kölling has experience in international cooperation in the field of climate policy. Before joining Arepo, Ms. Kölling worked as an intern and independent expert for the German International Development Organization GIZ in Berlin, Germany and Hanoi, Vietnam. In this role, she supported projects covering the topics of mitigation and climate reporting. In depth she dealt with reporting to the UNFCCC, specifically the Vietnamese reporting, and supported the teams in conducting workshops, and producing studies, communication materials and newsletters.

Further internships brought Ms. Kölling to Costa Rica and Greece, where she gained experience in agriculture and ecology.

Karolin Kölling holds a Master’s degree from Humboldt University Berlin in “Integrated Natural Resource Management” (M.Sc.). She completed her degree in a research project of the Potsdam Institute for Climate Impact Research (PIK) in the field of land use change. Through her work experience as well as her Master’s degree, Karolin Kölling speaks fluent English and has basic knowledge of Spanish and French.

### **Sven Morgen**

---

Sven Morgen joined Arepo in April 2021 as an advisor and project manager. In his work, he focusses on strategic analysis and international climate policy. He contributes his expertise to

the project of the “Strategic Evaluation for the International Climate Initiative (IKI) – Catalytic Role of the IKI”.

Before joining Arepo, Sven Morgen worked as a freelance consultant and co-author on a study by Germanwatch e.V. on “Paris Partnerships – A Contribution to Realigning German Foreign Climate Policy with the Goals of the Paris Climate Agreement”. At the Friedrich Schiller University in Jena, he spent several years as a researcher and lecturer on issues including international climate policy, foreign climate policy, climate change as a crisis phenomenon, and the security policy dimension of climate change.

Sven Morgen studied BA “Political Science” with a focus on “Politics and Public Law” in Erfurt and MA “Political Science” with a specialization in “Foreign Policy and International Relations” in Jena.

### **Arne Hennig**

---

In his work and research activities, Arne Hennig focuses on climate adaptation and governance issues. He joined Arepo in May 2021 as an advisor and project manager and is currently involved in the project “Strategic Evaluation of the International Climate Initiative (IKI) – Catalytic Role of the IKI” and in central project evaluations of GIZ projects.

Prior to joining Arepo, Arne Hennig conducted research on climate change adaptation in Small Island Developing States (SIDS) as a research assistant at the Institute of Geography at the University of Hamburg from 2016 to 2020. In an interdisciplinary research project, he analyzed the implementation options of alternative adaptation strategies, such as ecosystem-based adaptation (EbA) measures, on the coasts of the Maldives and Papua New Guinea. He successfully defended his dissertation entitled “Enablers and Barriers to Local Adaptive Capacity – A Case Study on Coastal Governance in the Maldives” in February 2021, through which he has been able to gain in-depth insights into the governance of adaptation measures and in the field of climate policy.

As part of his PhD, Arne Hennig completed the graduate school “School of Integrated Climate System Science” at the Center for Earth System Research and Sustainability at the University of Hamburg. He already focused on South and Southeast Asia during his geography master studies (M.Sc.) at the University of Cologne with field research stays in Indonesia and Myanmar. As part of his work as a student assistant in a research project, he completed his master’s thesis on disaster management and the potential of innovative technologies in Jakarta/Indonesia. As a student assistant, he gained experience in evaluation at the German Institute for Development Evaluation (DEval).

## Max Schmidt

---

Before joining Arepo in April 2021, Max Schmidt was a Carlo-Schmid-Fellow with the International Institute for Sustainable Development in Geneva, working on energy subsidy reform in the two coal economies South Africa and India. He also gained field experience in both countries, interning with the German Embassy Pretoria and during a study trip to New Delhi, Mumbai, and Pune as a scholarship holder of the Hans-Böckler-Foundation. Building on these field experiences and field research, he wrote his Bachelor's thesis on the political sociology of South Africa and his Master's thesis on the modern expression of "coal nationalism" under Narendra Modi.

Besides his work in think tanks, NGOs and the public sector, Max Schmidt also worked and volunteered in various university roles, most recently as Graduate Research Assistant at the Centre for Sustainable Finance at SOAS, University of London where he supported the drafting of reports such as on climate-related financial risks for the countries of the Association of Southeast Asian Nations. From 2014 to 2021 Max Schmidt also worked as a facilitator for civic education with teamGLOBAL, focussing on topics related to resources, climate, and energy.

Max Schmidt holds an M.Sc. in Research for International Development from SOAS, University of London, funded by the Economic and Social Research Council, and taught by both the Department of Economics and the Department of Development Studies. He completed two B.A.s in sociology and political science at Leipzig University in parallel. At the University of Edinburgh he broadened his academic horizon beyond the social sciences as an ERASMUS+-student for a year.

## Koos Neefjes

---

Koos Neefjes is a senior climate change expert and director of Climate Sense (Vietnam). Koos is consulting on climate change policies; climate change adaptation and disaster risk management; as well as greenhouse gas emissions mitigation. He is currently advising the Government of Vietnam; managing research on climate change adaptation (especially Mekong Delta) and greenhouse gas emissions mitigation (especially renewable energy); advising renewable energy investors; providing training; reviewing projects; and writing policy papers.

Koos holds a Land & Water Use degree from Wageningen University. He has worked on sustainable development questions in about 30 countries for over 30 years. He was Policy Advisor Climate Change with UNDP in Vietnam (2005- 2015); Representative of Oxfam Hong Kong in Vietnam & Laos, and Policy Advisor Sustainable Development of Oxfam GB (1991-2001). He also advised a project in Guinea Bissau on paddy irrigation, worked as independent

expert on sustainable development and water management, and provided lectures at different universities. He has written numerous publications, reports, and papers, e.g., on sustainable livelihoods and climate change.

He is fluent in Dutch, English and Portuguese and speaks several other languages.

### **Leyana Romain**

---

Leyana Romain is a conservation biologist with over 7 years professional work experience in the environmental field in Grenada. Her expertise includes urban planning and land management research, project management for climate change adaptation projects, conservation research and conducting capacity building initiatives and training.

In the past, she worked as a national program officer for GIZ in the 7 Ridge to Reef Projects in Grenada and Carriacou. In this role, she established the Monitoring and Evaluation framework for 7 community projects focused on ridge to reef approaches, designed and collected baseline data with Farmers and Community Groups, planned and facilitated focus group meetings with community stakeholders including Government and other Development organizations working in the country, and conducted training exercises in proposal writing and project documentation.

Leyana holds a Master's Degree in Urban and Regional Planning and a Bachelor's in Marine Biology and Wildlife Conservation. Her extensive skills include quantum and Arc GIS, drone mapping for environmental monitoring and she is a certified rescue diver and trained Permaculturalist.

### **Gabriela López Sotomayor**

---

Gabriela López Sotomayor has over 22 years of continuous experience in conservation, rural development, climate change, ecosystem-based adaptation, and participatory management of fragile ecosystems with NGOs, the public sector and international cooperation organizations.

She holds a Master's Degree in Rural Development from the National Center for Agronomic Studies for Tropical Regions (CNEARC) in Montpellier, France and a Bachelor's degree in Animal Husbandry Engineering and Science from the Universidad Agrarian University La Molina, Peru. Additional international training include governance for conservation and sustainable ecosystem management in the United States, Bolivia, and Italy. She worked as a consultant for UNDP, Deval, GIZ, DKN- Climate and Development Knowledge Network, the Belgian Development Agency and various ministries and government agencies and published various articles on topics of adaptation and climate change.

She managed ecosystem management projects such as the Andean Paramo Project in Peru, in coordination with counterparts in Colombia, Ecuador and Venezuela), leading methodological and interdisciplinary processes as well as diverse strategies. The design and development of participatory methodologies with mountain communities in the Andes and Africa is part of her core expertise.